

<< OLE Object: Picture (Device Independent Bitmap) >>

Sheffali Welch

Chief Operating Officer, Wealth Management Americas

Deutsche Bank Trust Company Americas
345 Park Avenue, New York, NY, USA

From: Rodrigo Quintero

Sent: Monday, June 05, 2017 9:12 AM

To: Patrick Harris <[REDACTED]>

Cc: Emily Craig <[REDACTED]>; Daphne Cales <[REDACTED]>; Sheffali Welch

<[REDACTED]>; Janice Franklin <[REDACTED]>

Subject: RE: KYC HR Clients Remediation - Status [1]

Classification: **For internal use only**

All,

Below is the Monday morning deliverable (as of 6/02/17). Let me know if you have any question.

I want to point out Daphne and I noticed an issue with the number of out of scope reported previously due to an manual error, numbers have been corrected.

SUMMARY

| KYC Update Steps | Create KYC Checklist | Review Info and Docs | Create KYC Update in System | Attach Checklist & Docs to KYC case | Request Due Diligence profile | Submit to Front Office (FO) | FO Attest to Completeness | Obtain MD Approval | Obtain ABR Approval*** | Obtain AFC Approval |
|----------------------------------|----------------------|----------------------|-----------------------------|-------------------------------------|-------------------------------|-----------------------------|---------------------------|--------------------|------------------------|---------------------|
| Owner | DT | DT | DT | DT | DT | DT | FO | FO | FO | FO |
| Total In Scope (Clients)* | 948 | 948 | 948 | 948 | 948 | 948 | 948 | 948 | 948 | 948 |
| # Completed (Clients)** | 282 | 360 | 368 | 344 | 329 | 309 | 115 | 92 | 4 | 68 |
| # Remaining (Clients) | 666 | 588 | 580 | 604 | 619 | 639 | 833 | 856 | 944 | 880 |
| % Completed | 29.75% | 37.97% | 38.82% | 36.29% | 34.70% | 32.59% | 12.13% | 9.70% | 0.42% | 7.17% |