

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	Attest to Completeness	Obtain MD Approval	Obtain ABR Approval***
----------------------	----------------------	-----------------------------	-------------------------------------	-------------------------------	------------------------	------------------------	--------------------	------------------------

Owner

DT	DT	DT	DT	DT	DT	FO	FO	FO
----	----	----	----	----	----	----	----	----

Total In Scope (Clients)*

1,196	1,196	1,196	1,196	1,196	1,196	1,196	1,196	1,196
-------	-------	-------	-------	-------	-------	-------	-------	-------

Completed (Clients)**

210	278	281	239	234	211	92	79	4
-----	-----	-----	-----	-----	-----	----	----	---

Remaining (Clients)

986	918	915	957	962	985	1,104	1,117	1,192
-----	-----	-----	-----	-----	-----	-------	-------	-------

% Completed

17.56%	23.24%	23.49%	19.98%	19.57%	17.64%	7.69%	6.61%	0.33%
--------	--------	--------	--------	--------	--------	-------	-------	-------

DT: Daphne's Team
 FO: Front Office
 DBF: DB Force

* Out-of-Scope population 121. Some items can be determined out-of-scope during review.

** Any decrease on 'Completed' totals after submission to FO are due to potential rejection/closing of the KYC case.

*** ABR is not always part of the High Risk approval flow.

Details

Current KYC Case Status by TEAM	Submission to FO			
	Pending	Completed	Out of Scope *	Grand Total
USO	668	116	37	821
N/A	630		35	665
1. In Progress	37	63	1	101
6. Approved		23		23
7. Approved with Temporary Exception		3		3
Inactive		1		1
Rejected	1	26	1	28
LatAm	240	94	83	417
N/A	204		79	283
1. In Progress	36	55	4	95
2. Ready for Primary Officer Approval		8		8
3. Ready for Office Dir Approval/SMTH		1		1
4. Ready for AML & Bus. Risk Approval		3		3
6. Approved		19		19
Closed		1		1
Rejected		7		7
MEA-NY	59	1	1	61