

AM NCA-2018-19 (DBOI)									
Month	Submission	Pending			Completion-Risk wise				
		CAM	JAX-KYC	Compliance	High	Medium	Low	Completed	% Completion
Jul	3	0	0	0	0	1	2	3	100%
Aug	9	0	0	0	0	4	5	9	100%
Sep	6	0	0	0	0	1	5	6	100%
Oct	3	0	1	0	0	0	2	2	67%
Nov	8	0	0	0	0	1	7	8	100%
Dec	11	0	1	0	0	3	7	10	91%
Jan	2	0	0	0	0	1	1	2	100%
Feb	9	0	1	0	0	1	7	8	89%
Mar	7	0	2	0	0	1	4	5	71%
Apr	16	0	1	0	0	4	10	15	94%
May	6	0	4	0	0	0	2	2	33%
Total	80	0	10	0	0	17	52	70	88%

Periodic Review – 2018

BUSINESS LINE- Asset Management	TARGET	COMPLETED		Overall Completion %	Completion % based on Risk Level	PENDING			
		Volume				In immediate COB control		Not in immediate control	
		Previous (05.08.2019)	Current (05.10.2019)			Percentage	Business returns	AML	Not initiated/pending with Requestor
High	155	154	154	29.39%	99.35%	Initial submissions	Business returns	0	1
Medium	205	205	205	39.12%	100.00%	0	0	0	0
Low	164	164	164	31.30%	100.00%	0	0	0	0
AM NY	524	523	523	99.81%		0	0	0	1

Periodic Review – 2019

BUSINESS LINE Asset Management	TARGET	COMPLETED		Overall Completion %	Completion % based on Risk Level	PENDING				
		Volume				In immediate COB control		Not in immediate COB control		
		Previous (05.10.2019)	Current (05.15.2019)			Percentage	Business returns	AML	Not initiated/pending with Requestor	JAX-KYC
High	46	19	19	1.74%	41.30%	Initial submissions	Business returns	0	18	2
Medium	209	77	78	7.12%	37.32%	7	1	1	120	2
Low	840	480	504	46.03%	60.00%	41	22	1	258	14
AM NY	1095	576	601	54.89%		55	23	2	396	18

The above mentioned report is split as per High, Medium and Low risk for entire PR pipeline.

1. PR2018 Final pipe line is 524 as of 11/28/2018.
2. PR2019 Final pipeline is 1095 as of 04/24/2019.

Following is the client status based on NRD (2019):