

N/A	59		1	60
6. Approved		1		1
GAT	20			20
N/A	19			19
1. In Progress	1			1
Grand Total	987	211	121	1319

* Does not includes KYC cases closed or deemed inactive after submitted to Front Office.

Week over week

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

Regards,
Rodrigo

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

Rodrigo Quintero
Vice President

Deutsche Bank Securities Inc.
Deutsche Bank Wealth Management
5022 Gate Parkway, Suite 400, 32256 Jacksonville, USA

From: Rodrigo Quintero
Sent: Monday, May 15, 2017 10:31 AM
To: Patrick Harris <[REDACTED]>
Cc: Emily Craig [REDACTED]; Daphne Cales [REDACTED]
Subject: RE: KYC HR Clients Remediation - Status [I]

Classification: **For internal use only**

All,

Below is the Monday morning deliverable (as of 5/15/17).

Summary

SOURCE	DT	DT	DT	DT	DT	DT	DBF	DBF	DBF	DBF
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***	Obtain AFC Approval
Owner	DT	DT	DT	DT	DT	DT	FO	FO	FO	FO