

Process Steps: NAO-CIP PCS Case Review

A. Documentation

Front Office submits required documentation using upload feature in NetX360. The document shows up for Middle Office review in NetX360 Work Corner after going through the normal work flow. Front Office should consult the AML Compliance Guide for opening a new account for document requirements. The NAO case that have been in the queue for 3 days and documentation has not been received will be returned to the case owner. All accounts will be reviewed by Middle Office.

- a) Upon receipt of documentation, most importantly, an approved KYC, Middle Office will review the case and documentation for completeness and accuracy.
- b) All accounts must be checked for EEA coding using the following steps:
 - i) In DBForce for the Private Bank – in the Search box type in the approved KYC number.
 - ii) Click on the KYC number in the search results.
 - iii) Scroll down to the section titled "Disregard the below Fields" and click on Contact Name.
 - iv) On Contact Page click on Customer Name.
 - v) Check the EEA Client Type and EEA County(ies) – if any of these fields are coded the appropriate EEA form is required.
- c) If the case is not properly setup it will be returned to the case owner for updates. The