

From: Melisa Venegas [REDACTED]
Sent: 9/2/2016 10:55:37 AM
To: Armen Brash [REDACTED]; Andrew Gallivan [REDACTED]; Michael S Jacoby [REDACTED]; Lee Hutter [REDACTED]; Mark LaRoe [REDACTED]
CC: Vaishali-P Mehta [REDACTED]
Subject: Aug 2016 AML/KYC Escalation Reports [I]
Attachments: US_Onshore.xlsx

Classification: **For internal use only**

All,

Included below is the monthly AML/KYC escalation report for overdue and coming due items. Please review and address accordingly. Thank you.

ACUs w/Mat Changes*

Risk Days Overdue	1-30	31-60	61-90	>90	Grand Total	<< File: US_Onshore.xlsx >>
High	1	1	2	2	6	
Moderate				18	18	
Low	2	2	2	8	14	

* some are pending AML Compliance's review

Overdue Temporary Exceptions

Risk Days Overdue	1-30	31-60	61-90	>90	Grand Total
High	4				4
Moderate	2				2
Low	1				1

Overdue High Risk in Person Meetings

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Office	0-30	31-60	61-90	+90
Jacksonville			1	
Low			1	
Los Angeles	1	1		2
High	1			
Low		1		2
New York		2	2	17
High			1	2
Moderate				12
Low		2	1	3
San Francisco	2		1	9