

**From:** Melisa Venegas [REDACTED]  
**Sent:** 8/3/2016 4:25:01 PM  
**To:** Armen Brash [REDACTED]; Andrew Gallivan [REDACTED]; Michael S Jacoby [REDACTED]; Lee Hutter [REDACTED]; Mark LaRoe [REDACTED]  
**CC:** Vaishali-P Mehta [REDACTED]  
**Subject:** July 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	2			2	4	
Moderate	1		1	17	19	
Low	8	1		8	17	

\* some are pending AML Compliance's review

**Overdue Temporary Exceptions**

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

**Overdue High Risk in Person Meetings**

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OFFICE	0-30	31-60	61-90	+90	Grand Total
Jacksonville	1				1
Low	1				1
Los Angeles				2	2
Low				2	2
New York	8	1	1	16	26
High	1			2	3
Moderate	1		1	11	13
Low	6	1		3	10
San Francisco	2			9	11