

**From:** Melisa Venegas [REDACTED]  
**Sent:** 12/2/2016 12:54:30 PM  
**To:** Armen Brash [REDACTED]; Andrew Gallivan [REDACTED]; Michael S. Jacoby [REDACTED]; Lee Hutter [REDACTED]; Mark LaRoe [mark.laroe@ab.com]  
**CC:** Vaishali-P Mehta [REDACTED]  
**Subject:** Nov 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			9	11	
Moderate	1	2	1	8	12	
Low	2			8	10	

\* 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
Moderate			1		1
Low	1			1	2

**Overdue High Risk in Person Meetings**

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City / Risk	coming due	0-30	31-60	61-90	+90	Grand Total
<b>Los Angeles</b>	<b>3</b>				<b>3</b>	<b>6</b>
high					2	2
moderate	2					2
low	1				1	2
<b>Miami</b>		<b>1</b>			<b>3</b>	<b>4</b>
high		1				1
moderate					1	1
low					2	2
<b>New York</b>	<b>1</b>	<b>3</b>	<b>1</b>	<b>1</b>	<b>12</b>	<b>18</b>