

From: Melisa Venegas [REDACTED]
Sent: 7/6/2016 4:40:49 PM
To: Armen Brash [REDACTED]; Andrew Gallivan ([REDACTED]); Michael S Jacoby [REDACTED]; Lee Hutter ([REDACTED]); Mark LaRoe [REDACTED]
CC: Vaishali-P Mehta ([REDACTED])
Subject: June 2016 AML/KYC Escalation Reports [I]
Attachments: US_Onshore.xlsx; 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
High	2		1	4	7*
Moderate	1		1	19	21*
Low	4	1		8	13*

* some are pending AML Compliance's review

Overdue Temporary Exceptions

Risk Days Overdue	1-30	31-60	61-90	>90	Grand Total
High	2	2			4
Moderate	3	1	1		5
Low	4				4

Overdue High Risk in Person Meetings

26

OFFICE	0-30	31-60	61-90	+90	Grand Total
Jacksonville	1				1
Low	1				1
Los Angeles			1	3	4
High			1		1
Moderate				1	1
Low				2	2
New York	10	1	1	19	31
High	1			4	5
Moderate	1		1	12	14