
From: Kimberly Hart [REDACTED]
Sent: 12/3/2014 1:56:27 PM
To: Melisa Venegas [REDACTED]
CC: Armen Brash [REDACTED]
Subject: FW: October 2014 AML/KYC Escalation Reports [I]
Attachments: COVERAGE_Domestic_ACU 11.6.xlsx; image001.gif; image002.gif; image003.png; image004.png

Classification: **For internal use only**

The updates that Andrea sent to you do not seem to be reflected on the recent report that you just sent out. Is there a reason that the items were not removed? Do you require additional information?



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From: Andrea Tapia
Sent: Thursday, November 06, 2014 5:29 PM
To: Melisa Venegas
Cc: Kimberly Hart; Armen Brash
Subject: RE: October 2014 AML/KYC Escalation Reports [I]

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Hi Melissa,

In the attached file, please find the list of ACUs that should be taken off the list. Most of these customer's accounts have been closed, two are Brokerage only, two should be transferred to IA, and one has an existing KYC. We are working with the respective Banker teams to resolve the remaining ACU's not included. Please see the corresponding notes in column N and let me know if you have any questions.

Kind regards,
Andrea Tapia



Andrea Tapia
Assistant Vice President