

From: Kimberly Hart [REDACTED]
Sent: 11/4/2014 9:20:06 AM
To: [REDACTED]
CC: Armen Brash [REDACTED]
Subject: Re: October 2014 AML/KYC Escalation Reports [I]
Attachments: COVERAGE_Domestic.xlsx; Account Opening - COVERAGE-Domestic.xlsx

Classification: For internal use only

A number of the account opening items are associated with IA - not coverage. Can you follow-up with them directly?

Case Number	Customer Name	Created By	Opened Date	Description	Exception Expires	Reason for Exception
01163605	Milstein & Co. LLC	Meghan Stevin	12/11/2013	* Rush * ABR, Please vet the signatories and approve the case with W-9. New IA Account KYC # 839146 NAO Case 7186162 Please open this account today because the client wants to fund it tomorrow.	12/18/2013	* Rush * ABR, Please vet the signatories and approve the case with W-9. New IA Account KYC # 839146 NAO Case 7186162 Please open this account today because the client wants to fund it tomorrow.
01199425	The Cheryl Pailer Living Trust	Caitlin Brunton	3/4/2014	ABR, Please review and approve the case with W-9 PLEASE OPEN THIS ACCOUNT ASAP BY 3/5/14. NAO #: 7544916 KYC #: 948862	4/4/2014	ABR, Please review and approve the case with W-9 PLEASE OPEN THIS ACCOUNT ASAP BY 3/5/14. NAO #: 7544916 KYC #: 948862
01112572	Jacobson Perpetual Investments LLC	Caitlin Brunton	4/4/2014	ABR please Vett the signor with Approved W-9.Thanks Please open this account ASAP. Need opened by today 4/4/14. Attached are the docs. NAO #: 7709330 KYC #: 1057550	5/5/2014	ABR please Vett the signor with Approved W-9.Thanks Please open this account ASAP. Need opened by today 4/4/14. Attached are the docs. NAO #: 7709330 KYC #: 1057550
01254971	WEA 21st Century Incorporated	Meghan Stevin	7/10/2014	Please vet the signers with W-9 approval. New IA Account for WEA 21st Century Incorporated. Copies of the original account opening forms are attached this case along with a email from SPG granting a 30 day temporary exception for the Peter Wunsch's signature.	8/11/2014	Please vet the signers with W-9 approval. New IA Account for WEA 21st Century Incorporated. Copies of the original account opening forms are attached this case along with a email from SPG granting a 30 day temporary exception for the Peter Wunsch's signature.
01255058	Olive, John	Meghan Stevin	7/10/2014	New IA Account for John Olive via nao case 8095121 New IA Account for John and Anne Olive via case 8094815. Copies for the original account opening documents are attached to this case.	7/24/2014	New IA Account for John Olive via nao case 8095121 New IA Account for John and Anne Olive via case 8094815. Copies for the original account opening documents are attached to this case.
01256724	Mulberry Health Inc.	Meghan Stevin	7/15/2014	New IA Account for Mulberry Health Inc. Please rush this request and assign as account number today. Exception email is attached to open with scanned copies. NAO# 8184547 Thank you.	7/15/2014	New IA Account for Mulberry Health Inc. Please rush this request and assign as account number today. Exception email is attached to open with scanned copies. NAO# 8184547 Thank you.
01259397	Nuvaring Qualified Settlement Fund	Tim Shields	7/22/2014	ABR, Please vet the signers and approve the case with W-9 Please see attached for the new account docs. Please open as soon as possible. NAO #: 8197694 KYC #: 01255029	8/21/2014	ABR, Please vet the signers and approve the case with W-9 Please see attached for the new account docs. Please open as soon as possible. NAO #: 8197694 KYC #: 01255029
01259400	Nuvaring Qualified Settlement Fund	Tim Shields	7/22/2014	ABR, Please vet the signers and approve the case with W-9 Please see attached for the new account docs. Please open as soon as possible. NAO #: 8197489 KYC #: 01255029	8/21/2014	ABR, Please vet the signers and approve the case with W-9 Please see attached for the new account docs. Please open as soon as possible. NAO #: 8197489 KYC #: 01255029
01259417	Nuvaring Qualified Settlement Fund	Tim Shields	7/22/2014	ABR, Please vet the signers and approve the case with W-9 Please see attached for the new account docs. Please open as soon as possible. NAO #: 8197183 KYC #: 01255029	8/21/2014	ABR, Please vet the signers and approve the case with W-9 Please see attached for the new account docs. Please open as soon as possible. NAO #: 8197183 KYC #: 01255029