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Classification: For internal use only

Hi, I am part of the AWM audit team and I will be reviewing the transaction monitoring for the PWM businesses (PB and PCS). I would like to have a walkthrough sometime early next week including both of you if possible. Please let me know if your calendars are up to date so that I may schedule a meeting.

In addition, I would like to begin selecting my sample for testing. Can you please provide the following:

- all alerts for the PCS business from Aug 2013 through Aug 2014
- all alerts for the PB business from Aug 2013 through Aug 2014

Thanks and look forward to meeting with you!

Kind regards,  
Rachael Natale

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Rachael Natale  
Principal Auditor

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Group Audit



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