Classification: **Confidential**

Christy

I have enclosed the requested items. Please see comments for items 2, 6 & 7.

Please let me know if you need any additional information or have any question on any of these items.

Cherie

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From: Christy Wolanski
Sent: Friday, October 10, 2014 1:03 PM
To: Jonathan Cheng
Cc: Pradeepta Roy; Cherie Quigley; Ying-A Wang
Subject: PB Transaction monitoring and Prime request [I]

Classification: For internal use only

Hi Jonathan,

Below is a request list related to transaction monitoring for Private Bank and Prime. I am off on holiday Monday (not sure if everyone else is) but feel free to reach out with any questions on the request (most of which was derived from the KOPs). Thank you and have a nice weekend.

1) Last copy of the annual AML monitoring report for PB.   See attached

2) Monthly MIS report summarizing results of cases, alerts & inquiries for the months of July 2014, June 2014, March 2014 and December 2013.

     The monthly MIS reports (PWM AML Status Reports) are attached. These reports were provided to the Regional Head of AML Compliance for informational purposes. The Regional Head of AML Compliance (John Caruso) left DB on June 20, 2014. Therefore, the July 2014 report was <u>not</u> distributed since there has yet to be a replacement for the Regional Head of AML Compliance. Although the underlying data for the July 2014 report was updated, the summary narrative was not, since the report was not distributed.

3) Prime system control log for the period September 1, 2013 to present.

See attached (Prime System Control Log)

4) Latest semi-annual review of non-alerted customers/accounts.

     See attached (Validation Report)

5) Latest semi-annual review of customer/rule combinations established as non-suspicious.

     See attached (SemiAnnualReviewRecurrents)