
From: Cherie Quigley [REDACTED]
Sent: 1/22/2015 11:07:25 AM
To: Christy Wolanski [REDACTED]
Subject: RE: today's meeting [C]
Attachments: DBForcePrimeCompare Sept 2014.xlsx; DBForcePrimeCompare Oct 2014.xlsx; PEP Report_Sept2014.xlsx; PEP Report Oct 2014.xlsx

Classification: **Confidential**

Christy

This should wrap it up. See attached for items 6 & 7.

Please let me know if I missed anything or if you have any questions.

Cherie

From: Christy Wolanski
Sent: Friday, January 16, 2015 1:56 PM
To: Cherie Quigley
Cc: Ying-A Wang
Subject: today's meeting [C]

Classification: **Confidential**

Hi Cherie,

Thank you both for taking the time to meet today, much appreciated. As discussed, could you please provide the following:

- 1) Evidence of senior management review of 2013 US AML PB Monitoring Report
- 2) KPI's for months of Sept 2014, Oct 2014 and Dec 2014
- 3) Last quarterly GCP review
- 4) Documentation evidencing performance of second-level review for Sept 2014 and Oct 2014
- 5) Documentation evidencing last review of semi-annual review of "recurrent customer/alert list ("Per WSPs, on a semiannual basis, the list of customer /rule combinations for established non-suspicious rules will be reviewed.)
- 6) Customer reconciliations for Sept 2014 and Oct 2014 ("Per WSPs, on a monthly basis, the AML team will compare all clients marked as moderate or high risk in DBforce to their risk rank in Prime to ensure that customer risk classes are being properly assigned in both systems.")
- 7) Transactions in PEP account report for Sept 2014 and Oct 2014 (Sorry, I forgot to discuss this one but per the WSPs on a monthly basis this report is created, capturing all PEP transaction for prior month. The report is downloaded into EXCEL and the data is supplemented and analyzed to determine which PEP customers will require a review of their monthly transactions.)

I am leaving early today and we have off on Monday so please feel free to start providing the items in piecemeal on Tuesday so I can review as we go along. Enjoy the long weekend!

Kind regards,
Christy Wolanski



Christy Wolanski