
From: Cherie Quigley [REDACTED]
Sent: 10/17/2014 1:51:12 PM
To: Wayne Salit [REDACTED]
CC: Ying-A Wang [REDACTED]
Subject: For our 2:00 [I]
Attachments: Prime System Control Log.xlsx; Audit PRIME.zip; [REDACTED].gif; [REDACTED].gif

Classification: **For internal use only**

Cherie

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.
Monthly MIS reports are attached (PWM AML Status). Please note that the July report was not distributed. These reports were for John Caruso and have not been distributed since his departure. The summary of the data has been updated, but the Management Summary has not

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

- 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)

- 6) Review of auto-closed alerts for the months of July 2014, June 2014, March 2014 and December 2013.
See files for Second level review Alerts

- 7) Monthly reconciliation between DbForce and Prime for the months of July 2014, June 2014, March 2014 and December 2013.