

See attached (DBForcePrimeCompare) – Please note that July 2014 was combined with the August 2014 report; The December 2013 was combined with the January 2014 report.

8) Quarterly cash review for June 2014 and March 2014.

See attached 1Q 2014 & 2Q2014

Could you please also provide supporting documentation for the second level review which is performed on cases and alerts. KOPs do not delineate the frequency of the review so was not sure how to request. Excerpt from KOPs below:

- The Head of Transaction Monitoring (or designee) will review a sample of cases and alerts resolved by each researcher.
- New hires all cases and alerts reviewed for at least 30 days.
- Employees with a high rate of returned items – 50% of all cases and alerts.
- Established analysts – 10% of all cases, 20% of HRC4 alerts and 10% of remaining alerts.

See attached Monthly Cases and Second Level Reviews

Kind regards,
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