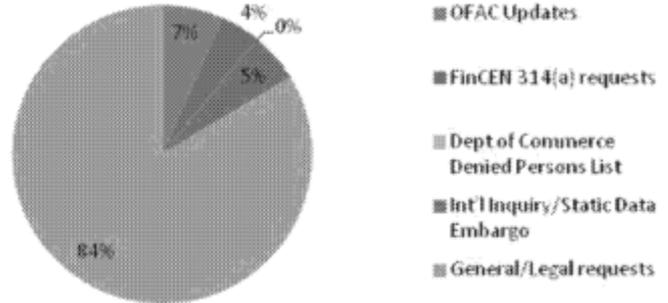




US PWM AML Search Requests November and December 2013

- 6 OFAC requests were received.
- 4 FinCEN 314(a) requests were received.
- 0 Department of Commerce Denied Persons List were received
- 5 International Inquiries and/or Static Data Embargo Inquiries were received.
- 77 General/Legal requests were received.

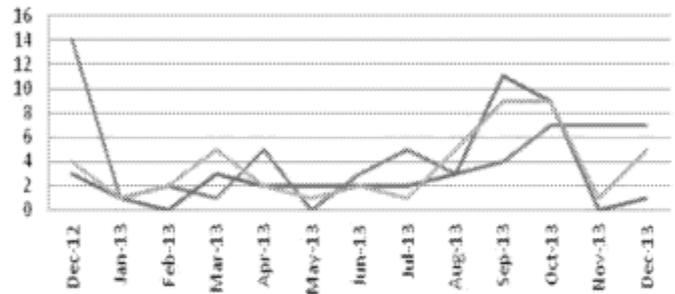
US PWM AML Search Requests



US PWM CTR and SAIF Filings November and December 2013

- 7 CTR were filed in November 2013
- 0 SAIFs were filed in November 2013 for the Private Bank.
- 1 SAIF was filed in November 2013 for Private Client Services.
- 7 CTR were filed in December 2013
- 1 SAIF was filed in December 2013 for the Private Bank.
- 5 SAIFs were filed in December 2013 for Private Client Services.
- Numbers dropped due to fraud SAIFs moving to AFU.

US PWM CTR and SAIF Filings



	Dec-12	Jan-13	Feb-13	Mar-13	Apr-13	May-13	Jun-13	Jul-13	Aug-13	Sep-13	Oct-13	Nov-13	Dec-13
CTR's filed	14	1	2	1	5	0	3	5	3	4	7	7	7
PB SAIFs filed	3	1	0	3	2	2	2	2	3	11	9	0	1
PCS SAIFs filed	4	1	2	5	2	1	2	1	5	9	9	1	5