7. **Mons Investments CV** (SAR filed: 11/22/2017) – High Risk Rating

PB:

Most recent case 1830090 remains in progress; case was created on 9/21/2017. The KYC case 733540 dates back to 2011.

Mons Investments C.V.

Account Detail

Customer Account Type	Client	Customer Owner	Carlos Luna
Customer Name	Mons Investments C.V. [View Hierarchy]	Genesis ID	
Relationship	MONS INVESTMENTS C.V. (RELATIONSHIP)	Created By	AMLB, 1/11/2011 10:46 AM
* Type	Organization	Last Modified By	Residence Junction, 4/18/2016 10:19 AM
DUNS		Customer ID	450,000
National Tax ID #		ECIS Customer Number	000000409089
Referral Source		Rank	4
Name of Referral Source		* Business Risk	
Third Party Referral Source		* Risk Rating	✓
Status	Active	Risk Rating	KYC 7/30/10 Risk calc score = 9.375198 Risk Rating downgraded to "High" by AML Compliance 9/2017
Client Since Date	3/30/2011	Risk Type	
Freeze Client?		Voucher Control Form?	
Portfolio Management Status		AIF	No
Covenant Consent Reference		Will Appointment	
EDI Client Type	Retail	Grace Date	
ECA Country Code	Netherlands	* Booking Location	Offshore
Organization		Lockedout	✓
Last KYC approved date		Form K	Yes
Next Review Date	6/30/2013	MCP	
		Exception Comment	
		Temporary Exception valid thru	

Online Links

View DB Accounts and Revenue
Request Customer Deletion
Request Primary Officer Change
Request New Relationship
Launch NAD Wizard
View NAD Cases
Launch Due Diligence
Countersign AI Risk
Log Client Contacted
Import Documents
Export Documents
View Documents From Repository
Create Annual Client Update
Request AOU Contact Exemption
View Exemption Guidelines
Generate Key Relationship Report
Launch ALAT Preview
View Loan Covenant Details

Cases (most recent case in progress):

Advanced Search Results

Search: [illegible] Search

Scope: Cases: Advanced Search

Cases (8)

Cases [8]

Case Number	Case Record Type	Case Subject	Status	Date/Time Opened	Owner Name
[illegible]	KYC - Onshore	KYC Annual Call Note	1. In Progress	9/21/2017 8:33 AM	Karina Bustamante
[illegible]	KYC - Onshore	KYC Annual Call Note	Closed	9/21/2017 8:55 AM	Priscilla Lopez
[illegible]	KYC - Onshore	KYC Annual Call Note	1. In Progress	4/18/2013 4:51 PM	Carlos Luna
[illegible]	KYC - Onshore		5. Approved	10/7/2011 2:32 PM	Approved KYC
[illegible]	KYC - Onshore		1. In Progress	10/7/2011 10:32 AM	Grace Gallick
[illegible]	KYC - Onshore		5. Approved	10/7/2011 10:02 AM	Approved KYC

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