

- If alerted, should it have been escalated to AML Compliance?
- Enter findings from Monthly CAG File Review Assessment form onto the CAG Monthly Summary Review Excel Spread sheet
  - X in the named field if applicable ,present and correct
  - N/A in the named field if not applicable to that File
  - X In the name field if applicable, missing or incorrect
  - Add to comments field to explain issue
- Upon Completion of CAG Monthly Summary Review Excel spread sheet
  - Tally all of the X and X in the data elements
  - Tally all of the X in the data elements
  - Calculate the percentage of X in the total data elements
  - Send E-mail to GM AML management and CAG/CRM management with findings and request for CAG to provide corrections for designated errors



CAG file review  
monthly assessment (

- CAG resolution
  - CAG will send missing data elements or correct NAOP system elements within a timely manner
  - If elements cannot be corrected and deficiencies for a Base or Sub-account are extreme , Base or Sub-account must be closed immediately

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