

The AML Unit will evidence/document each file reviewed by utilizing the attached TALF Borrower File Review Assessment Form.



TALF File  
Assessment.xls

**Step 6 – Escalation of exceptions**

The AML Unit will communicate (via e-mail) with appropriate Management (e.g. AML Compliance, CAG, TMG-QA) on the results of the File Review. Items that are noted as exceptions will need to be remedied by CAG/TMG-QA within a reasonable time-frame. Remediation of identified exceptions will be forwarded to AML Compliance so as to track completion.

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