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**From:** Cherie Quigley [REDACTED]  
**Sent:** 1/21/2015 11:45:14 AM  
**To:** Christy Wolanski [REDACTED]  
**CC:** Ying-A Wang [REDACTED]  
**Subject:** RE: today's meeting [C]  
**Attachments:** Monthly Cases - January 2015.xlsx; SemiAnnualReviewRecurrents\_Apr2014.xlsx

Classification: **Confidential**

Hi Christy

See attached & comments below

Cherie

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**From:** Christy Wolanski  
**Sent:** Friday, January 16, 2015 1:56 PM  
**To:** Cherie Quigley  
**Cc:** Ying-A Wang  
**Subject:** today's meeting [C]

Classification: **Confidential**

Hi Cherie,

Thank you both for taking the time to meet today, much appreciated. As discussed, could you please provide the following:

- 1) Evidence of senior management review of 2013 US AML PB Monitoring Report
- 2) KPI's for months of Sept 2014, Oct 2014 and Dec 2014
- 3) Last quarterly GCP review
- 4) Documentation evidencing performance of second-level review for Sept 2014 and Oct 2014  
See the attached Monthly Cases January 2015. The cases for Sept and Oct are not completed yet, so the second review is not done. Please see the individual tabs for each month for the ones marked for second review.
- 5) Documentation evidencing last review of semi-annual review of "recurrent customer/alert list ("Per WSPs, on a semiannual basis, the list of customer /rule combinations for established non-suspicious rules will be reviewed.)  
See attached SemiAnnualReviewRecurrents
- 6) Customer reconciliations for Sept 2014 and Oct 2014 ("Per WSPs, on a monthly basis, the AML team will compare all clients marked as moderate or high risk in DBforce to their risk rank in Prime to ensure that customer risk classes are being properly assigned in both systems.")
- 7) Transactions in PEP account report for Sept 2014 and Oct 2014 (Sorry, I forgot to discuss this one but per the WSPs on a monthly basis this report is created, capturing all PEP transaction for prior month. The report is downloaded into EXCEL and the data is supplemented and analyzed to determine which PEP customers will require a review of their monthly transactions.)

I am leaving early today and we have off on Monday so please feel free to start providing the items in piecemeal on Tuesday so I can review as we go along. Enjoy the long weekend!

Kind regards,  
Christy Wolanski