

Subject: Monthly Annual Client Update Reports - April 2016 [I]

From: Rich Iarossi <[REDACTED]>

Date: Wed, 06 Apr 2016 15:19:25 -0400

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Classification: For internal use only

All,

Attached are two reports:

- Any ACU that is past due
- ACUs due within the next 30 days

\*The tables below are a breakdown of the Overdue ACU's.

US PB

# of active clients

1-30

31-60

61-90

90+

Grand Total

Previous Month

Current Month

PEP

-

-

-

-

-

-

-

-

Low Risk

9963

81

42

17

29

169

1.36

1.70

Moderate Risk

4614

66

5

4

14

89

1.02

1.93

High Risk

1464

19

6

1

66

92

0.29

6.28

1-30

31-60

61-90

90+

Grand Total

BANKING

12

5

17

Low Risk

1

1

2

Moderate Risk

5

2

7

High Risk

6

2

8

COVERAGE-Domestic

60

28

12

46

146

Low Risk

33

23

10

15

81

Moderate Risk

22

4

1

5

32

High Risk

5

1

1

26

33

COVERAGE - GAT

38

9

4

2

53

Low Risk

30

9

3

42

Moderate Risk

7

1

2

10

High Risk

1

1

COVERAGE - LATAM

31

6

2

10

49

Low Risk

1

1

2

Moderate Risk

24

1

1

1

27

High Risk

6

5

9

20

CUSTODY

8

7

1

8

24

Low Risk

4

7

6

17

Moderate Risk

4

1

2

7

IA

3

3

Low Risk

2

2

Moderate Risk

1

1

LENDING

7

1

34

42

Low Risk

4

1

5

10

Moderate Risk

2

1

3

High Risk

1

28

29

TRUST

7

2

3

4

16

Low Risk

6

2

3

2

13

Moderate Risk

1

1

2

High Risk

1

1

Grand Total

166

53

22

109

350

Please note there are certain customers that appear to have outstanding ACUs for several months and even years. This may be due to either a system glitch or some other circumstance out of the CFP's control. I am working on these cases with the CFPs on a one to one basis. Please also note that the below reports are created as of the first of the month- clients may appear below even though the ACUs have been completed by the time all notifications are sent out.

Kind regards,  
Rich Iarossi

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