

Subject: Oct 2016 AML/KYC Escalation Reports [I]  
From: Melisa Venegas <[REDACTED]>  
Date: Thu, 03 Nov 2016 12:22:00 -0400  
To: Armen Brash <[REDACTED]>,  
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Classification: For internal use only

All,

Included below is the monthly AML/KYC escalation report for overdue and coming due items. Please review and address accordingly. Thank you.

ACUs w/Mat Changes\*

Risk | Days Overdue 1-30 31-60 61-90 >90 Grand Total << File:  
US\_Onshore.xlsx >>  
High 1 8 9  
Moderate 3 1 1 8 13  
Low 4 4 8

\* some are pending AML Compliance's review

Overdue Temporary Exceptions

Risk | Days Overdue 1-30 31-60 61-90 >90 Grand Total  
High 2 3 5  
Moderate 2 1 3  
Low 3 1 4

Overdue High Risk in Person Meetings 7

City Coming due 0-30 31-60 61-90 +90  
Los Angeles 1  
High 1  
Miami 3  
Mod 1  
Low 2  
New York 4 2 1 1 15  
High 1 1 6  
Mod 1 2 1 6  
Low 2 3  
San Francisco 1 1 2 4

High 1  
Mod 1 1 2  
Low 2 1  
Grand Total 5 3 1 6 20

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