

Subject: May 2016 AML/KYC Escalation Reports [I]
From: Melisa Venegas [REDACTED]
Date: Wed, 04 May 2016 15:26:05 -0400
To: Armen Brash <[REDACTED]>,
Andrew Gallivan <[REDACTED]>,
Michael S Jacoby <[REDACTED]>,
Lee Hutter <[REDACTED]>,
Mark LaRoe <[REDACTED]>
Cc: Vaishali-P Mehta <[REDACTED]>

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
High	1	7	8			
Moderate	2	5	22	29		
Low	1	1	10	12		

* 28 are pending AML Compliance's review

Overdue Temporary Exceptions

Risk	Days Overdue	1-30	31-60	61-90	>90	Grand Total
High	2	15	1	18		
Moderate	1	1	1	3		
Low	1	1				

Overdue High Risk in Person Meetings 32

Office	0-30	31-60	61-90	>90	Total
Los Angeles	1	1	4	6	
High	1				
Moderate		3	3		
Low	1	1	2		
New York	1	5	20	26	
High		6	6		
Moderate		5	10	15	
Low	1	4	5		
San Francisco		2	15	17	
High		1	1		
Moderate		2	9	11	
Low		5	5		

Melisa Venegas

Deutsche Bank Wealth Management | 60 Wall Street, 10005-2836 New York, NY, USA

Tel.: +1 (212) 250-1493 | Email [REDACTED]