

Subject: FW: Apr 2016 AML/KYC Escalation Reports [I]
From: Andrew Gallivan <[REDACTED]>
Date: Wed, 06 Apr 2016 12:26:39 -0400
To: Armen Brash <[REDACTED]>

Classification: For internal use only

Can you get an idea of when our high risk will clear?

From: Melisa Venegas
Sent: Wednesday, April 06, 2016 12:22 PM
To: Armen Brash; Andrew Gallivan; Michael S Jacoby; Lee Hutter; Mark LaRoe
Cc: Vaishali-P Mehta
Subject: Apr 2016 AML/KYC Escalation Reports [I]

Classification: For internal use only

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	-	-	7	7		
Moderate	2	5	7	15	29	
Low	1	2	10	13		

Overdue Temporary Exceptions

Risk	Days Overdue	1-30	31-60	61-90	>90	Grand Total
High	15	-	-	1	16	
Moderate	1	1	-	-	2	
Low	2	-	-	-	2	

Overdue High Risk in Person Meetings 25

Melisa Venegas

Deutsche Bank Wealth Management | 60 Wall Street, 10005-2836 New York, NY, USA
Tel.: +1 (212) 250-1493