

Subject: RE: June 2016 AML/KYC Escalation Reports [I]
From: Melisa Venegas <[REDACTED]>
Date: Fri, 03 Jun 2016 10:15:00 -0400
To: Armen Brash <[REDACTED]>,
Andrew Gallivan <[REDACTED]>,
Michael S Jacoby <[REDACTED]>,
Lee Hutter <[REDACTED]>,
Mark LaRoe <[REDACTED]>
Cc: Vaishali-P Mehta <[REDACTED]>

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File attached.

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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	2	7	10*		
Moderate	2	27	29*			
Low	1	11	12*			

* some are pending AML Compliance's review

Overdue Temporary Exceptions

Risk	Days Overdue	1-30	31-60	61-90	>90	Grand Total
High	3	14	1	18		
Moderate	4	1	1	6		
Low	4	4				

Overdue High Risk in Person Meetings 26

Office 0-30 31-60 61-90 >90 Total

Los Angeles

High 1 1
Moderate 3 3
Low 2 2

New York

High 2 6 8
Moderate 15 15
Low 1 3 4

San Francisco

High 1 1
Moderate 2 9 11
Low 5 5

Miami

High
Moderate
Low 1 1

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