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Sent: 11/3/2016 12:22:00 PM
To: Armen Brash [REDACTED]; Andrew Gallivan [REDACTED]; Michael S Jacoby [REDACTED]; Lee Hutter [REDACTED]; Mark LaRoe [REDACTED]
CC: Vaishali-P Mehta [REDACTED]
Subject: Oct 2016 AML/KYC Escalation Reports [I]
Attachments: US_Onshore.xlsx

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

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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