

From: Melisa Venegas [REDACTED]
Sent: 5/4/2016 3:26:05 PM
To: Armen Brash [REDACTED]; Andrew Gallivan [REDACTED]; Michael S Jacoby [REDACTED]; Lee Hutter [REDACTED]; Mark LaRoe [REDACTED]
CC: Vaishali-P Mehta [REDACTED]
Subject: May 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
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				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