RE: Couple of questions re TXM

From: Jon Yeats

To: Neil Jeans , Nick Stokes , Adam

Sutherland

Date: Tue, 06 Apr 2021 18:24:36 +1000

Attachments: Red Flag Indicator Examples - Version 2.2.pdf (285.84 kB)

Neil.

Here's a few answers to keep you moving forward. I'll give you a call to discuss.

* How many UARs did Crown receive from front line staff in Q1 2021?

 * Our current means for managing UAR workflow is Microsoft Teams. We are unable to extract an exact amount of frontline UARs for that time but can provide the following calculation:

*_____received in total across both properties for Q1 2021. This includes instances where the same matter was the subject of multiple UARs (ie: cage and surveillance report the same activity) or where it was generated internally by non-frontline areas such as AML, Compliance, Credit, etc.

* We are able to extract information from Microsoft Teams across both properties but a different timeframe which indicates that 75% of all UARs are received from the frontline. While this does not provide an exact figure a reasonable estimate of frontline UARs during Q1 2021 is

* Do you have a full list of the UAR Red Flags staff were trained on in Q4 2020?

 * I have attached a 'Red Flag Indicator' document which is accessible to all staff on the AML page of Crown intranet Melbourne and Perth to assist in UAR preparation.

 * The training that was delivered during Q4 of 2020 was varied and tailored to business area that it was being delivered to. In this sense, the Red Flag Indicators were also made specific to the relevant area. For eg: Cage training focussed on whereas Gaming Machines training focussed on

* The mandatory online risk awareness training (all staff) covers the following money laundering typologies or characteristics of money laundering

* How may staff does Crown have undertaking transaction monitoring currently?

* In terms of strictly monitoring and dispositioning (no follow up investigation) we have approximately 1.5
FTE undertaking transaction monitoring.

Jon Yeats | Group Senior Manager AML - Customer Investigations | Crown Melbourne Limited

From: Neil Jeans

Sent: Tuesday, <u>6 April 2021 7:55 AM</u>

To: Nick Stokes Adam Sutherland Jon Yeats

Subject: Couple of questions re TXM

Hi guys

Hope you had a good Easter break

I am about to hit publish on the TXM Review Report Draft (112 pages long) and have a couple of questions/data points to clarify – these will be reflected in the report:

- * How many UARs did Crown receive from front line staff in Q1 2020?
- * How many UARs did Crown receive from front line staff in Q1 2021?
- * Do you have a full list of the UAR Red Flags staff were trained on in Q4 2020?
- * How may staff does Crown have undertaking transaction monitoring currently?
- * What is the budgeted FTE head count for TXM?

Best

Neil

Neil Jeans Principal - Initialism Pty Ltd

Level 8, 90 Collins Street, Melbourne, Victoria, 3000 Australia

W www.initialism.com.au



NOTICE

This e-mail and any attachments are intended for the addressee(s) only and may be confidential. They may contain legally privileged or copyright material.

You should not read, copy, use or disclose them without authorisation. If you are not the intended recipient please contact the sender as soon as possible by return e-mail and then please delete both messages.

This notice should not be removed.

NOTICE: This email and any attachments are confidential and may be legally privileged. If you are not the intended recipient, please advise us immediately by return email and then delete both emails (you must not use or disclose the contents). Crown believes, but does not warrant, that this email and any attachments are virus free. You are responsible for checking for viruses. Crown may monitor emails through its networks. Crown is not responsible for any content that is of a personal nature. Crown handles personal information in accordance with applicable privacy policies available at the relevant Crown website.