

Jonathan Whittle <[REDACTED]>; James Gladwin <[REDACTED]>  
**Subject:** Re: Escalation: ONB-1135648 / LKYCGB-160049 / Southern Financial LLC [I]

Good day Nick -

We have an issue here where in dbCAR this relationship did not reflect an old GB review date. We can see in the master profile that the relationship was created several years ago under DBAG, but now when extending for a new product, the review was missing completely. The file was escalated to AML for review and approved. This action triggered a GB review date for the very first time.

Is it possible this was a merger issue?

Please let me know if your team could take a look and if additional information is needed.

Thank you!

Kareen Johnson

On May 18, 2018, at 12:11 PM, James Gladwin <[REDACTED]> wrote:

Classification: **For internal use only**

Hi Simon,

Absolutely, quite simply:

- i. Our Jacksonville CDS colleague, Kareen Johnson, will be reaching out to the dbCLIENT merger team to query the status/success of the KCP merge from dbCLIENT to dbCAR
  - a. @Kareen, it would be great if I could be CC'd in to your correspondence so that AFC can be advised accordingly
  - ii. Nina Tona from business side will be providing myself with the list of KCP clients so that I can conduct a sanity sample check

Both colleagues have been instrumental in assisting with this extension request. I will provide feedback on the above in due course.

Kind regards,

<image001.gif>

**James Gladwin**  
**AFC Business Advisory**  
**Anti-Financial Crime**

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[REDACTED]

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**From:** Simon Nall  
**Sent:** 16 May 2018 15:26  
**To:** James Gladwin <[REDACTED]>; Martin Zeman <[REDACTED]>  
**Cc:** Kareen Johnson <[REDACTED]>; Daniel-A Klyashtorny <[REDACTED]>  
<[REDACTED]>; Nina Tona <[REDACTED]>; Xavier Avila <[REDACTED]>  
<[REDACTED]>; Davide-A Sferrazza <[REDACTED]>; AMLUK  
Reviews <[REDACTED]>; Devshiji Oedra <[REDACTED]>; Ian  
Salters <[REDACTED]>; Ricky-x Patel <[REDACTED]>; Jesse-J Cruz