
From: Jesse-J Cruz

Sent: Thursday, May 03, 2018 3:05 PM

To: AMLUK Reviews <amluk.reviews@db.com>; amluk compliance <amluk.compliance@db.com>

Cc: Zack Bunimovich <[REDACTED]>; Kareen Johnson <[REDACTED]>

Subject: Escalation: ONB-1135648 / LKYCGB-160049 / Southern Financial LLC [I]

Classification: **For internal use only**

Hi All,

We are performing a principal product extension for **Southern Financial, LLC** for **GED, Convertible Bonds, and Global Credit Derivatives** in **DBAG**. DBcar triggered a high risk rating. Attached is an **EDD package** comprised of the following:

- Searches
- Formation documents
- Tax document
- Correspondence with client emails
- Financial statements

Please let me know if you need any additional information.

Kind regards,



Jesse Jay Cruz
Analyst

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