Megha Arora includes you on the approval process before an account is exited (i.e. in the example of Tonell) as a result of it being on the red list. An account would not be exited without your knowledge as part of the clearing house. The red list has a number of drivers and I can link you into the ACO team who can give you the detail behind why the acct would have been added to the red list.

Thanks

From: Nina Tona
Sent: Monday, February 26, 2018 6:12 PM
To: Rita Shteynberg <███████████████████>; Zack Bunimovich <███████████████████>; Jitan Patel
<███████████████>; Lindsay Robinson <███████████████████>
Cc: cob-cst.ny@list.db.com; Davide-A Sferrazza <███████████████████>
Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155 ****URGENT** [I]

Classification: **For internal use only**

Jitan

Please advise why Southern Financial is on the red list. This client was asked to be retained through Jane Varley and we are in the process of and NCA and product extension. This also happened to another client today, Tonell. I have not been part of the emails in regards to the red list. Please advise where we go from here as its very frustrating to find out while we are in the middle of an NCA and while we were trying to conduct trades.

Thank you

Nina Tona

From: Rita Shteynberg
Sent: Monday, February 26, 2018 5:48 PM
To: Nina Tona <███████████████>; Zack Bunimovich <███████████████████>; Jitan Patel <███████████████████>;
Lindsay Robinson <███████████████████>
Cc: cob-cst.ny@list.db.com; Davide-A Sferrazza <███████████████████>
Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155 ****URGENT** [I]

Classification: **For internal use only**

Nina-

If a client has been red listed we cannot proceed with the NCA process.

Please speak with Jitan Patel about red listed clients and the process around this.

Thank you

From: Nina Tona
Sent: Monday, February 26, 2018 4:46 PM
To: Zack Bunimovich <███████████████████>
Cc: Rita Shteynberg <███████████████████>; cob-cst.ny@list.db.com; Davide-A Sferrazza <███████
████████████>
Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155 ****URGENT** [I]