

**Anti-Financial Crime**

DBOI Global Services (UK) Limited  
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**From:** Martin Zeman

**Sent:** 08 May 2018 20:27

**To:** Zack Bunimovich <>; AMLUK Reviews <>; Jesse-J Cruz <>; James Gladwin <>

**Cc:** Kareen Johnson <>; Daniel-A Klyashtorny <>; Nina Tona <>; Xavier Avila <>; Davide-A Sferrazza <>

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

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James – responding to your questions below. The extension is permanent. Southern Financial LLC trade global macro and are looking to buy CDX IG payer spreads as a hedge for their overall equities and fixed income portfolio they trade with DB. The initial size is around \$100M.

Please call me if you need any more details. This is a priority for our desk. Thank you.

**From:** Zack Bunimovich

**Sent:** Tuesday, May 08, 2018 12:24 PM

**To:** AMLUK Reviews <>; Jesse-J Cruz <>; James Gladwin <>

**Cc:** Kareen Johnson <>; Daniel-A Klyashtorny <>; Martin Zeman <>; Nina Tona <>

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

Classification: **For internal use only**

+Nina

**From:** Zack Bunimovich

**Sent:** Tuesday, May 08, 2018 10:21 AM

**To:** AMLUK Reviews <>; Jesse-J Cruz <>; James Gladwin <>

**Cc:** Kareen Johnson <>; Daniel-A Klyashtorny <>; Martin Zeman <>

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

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Hi James,

For ii, this is a permanent extension.

Martin – can you advise on the questions from James in i. below?

Thanks,