

Thanks,  
Jesse

---

**From:** Zack Bunimovich  
**Sent:** Monday, May 07, 2018 3:51 PM  
**To:** Jesse-J Cruz <[REDACTED]>; AMLUK Reviews <[REDACTED]>; amluk compliance <[REDACTED]>  
**Cc:** Kareen Johnson <[REDACTED]>; Daniel-A Klyashtorny <[REDACTED]>  
**Subject:** RE: Escalation: ONB-1135648 / LKYCGB-160049 / Southern Financial LLC [I]

Classification: **For internal use only**

Classification: **For internal use only**

Hi AML teams,

Can you please revert on the below?

Thanks,  
Zack

---

**From:** Jesse-J Cruz  
**Sent:** Thursday, May 03, 2018 3:05 PM  
**To:** AMLUK Reviews <[REDACTED]>; amluk compliance <[REDACTED]>  
**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

Deutsche Bank Securities Inc.  
Client Data Services | DBUSA Core Corp.  
5201 Gate Parkway, 32256 Jacksonville, USA  
[REDACTED]