

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

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**From:** Nina Tona

**Sent:** Monday, February 26, 2018 4:46 PM

**To:** Zack Bunimovich <[REDACTED]>

**Cc:** Rita Shteynberg <[REDACTED]>; [REDACTED]; Davide-A Sferrazza <[REDACTED]>

**Subject:** RE: \*\*\*REASSIGN NEEDED\*\*\*FW: SOUTHERN FINANCIAL LLC - ONB-1010155 \*\*\*\*\*URGENT\*\* [!]

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Yes, we don't understand why it was put on that list. We need to make sure the NCA is completed and extended for global credit derivatives.

Thank you

Nina Tona

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**From:** Zack Bunimovich

**Sent:** Monday, February 26, 2018 4:44 PM

**To:** Nina Tona <[REDACTED]>

**Cc:** Rita Shteynberg <[REDACTED]>; [REDACTED]; Davide-A Sferrazza <[REDACTED]>

**Subject:** RE: \*\*\*REASSIGN NEEDED\*\*\*FW: SOUTHERN FINANCIAL LLC - ONB-1010155 \*\*\*\*\*URGENT\*\* [!]

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Hi Nina,

If the client was put on the red list that means we can't trade with them? Is this request still needed?

Thanks,  
Zack

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**From:** Nina Tona

**Sent:** Monday, February 26, 2018 4:14 PM

**To:** Zack Bunimovich <[REDACTED]>

**Cc:** Rita Shteynberg <[REDACTED]>; [REDACTED]; Davide-A Sferrazza <[REDACTED]>

**Subject:** RE: \*\*\*REASSIGN NEEDED\*\*\*FW: SOUTHERN FINANCIAL LLC - ONB-1010155 \*\*\*\*\*URGENT\*\* [!]

**Importance:** High

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Hello Zack,