

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

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**From:** Rita Shteynberg  
**Sent:** Monday, February 26, 2018 5:48 PM  
**To:** Nina Tona <[REDACTED]>; Zack Bunimovich <[REDACTED]>; Jitan Patel <[REDACTED]>; Lindsay Robinson <[REDACTED]>  
**Cc:** [REDACTED]; Davide-A Sferrazza <[REDACTED]>  
**Subject:** RE: \*\*\*REASSIGN NEEDED\*\*\*FW: SOUTHERN FINANCIAL LLC - ONB-[REDACTED] \*\*\*\*URGENT\*\* [!]

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]>; Davide-A Sferrazza <[REDACTED]>  
**Subject:** RE: \*\*\*REASSIGN NEEDED\*\*\*FW: SOUTHERN FINANCIAL LLC - ONB-[REDACTED] \*\*\*\*URGENT\*\* [!]

Classification: **For internal use only**

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]>; Davide-A Sferrazza <[REDACTED]>  
**Subject:** RE: \*\*\*REASSIGN NEEDED\*\*\*FW: SOUTHERN FINANCIAL LLC - ONB-[REDACTED] \*\*\*\*URGENT\*\* [!]

Classification: **For internal use only**

Hi Nina,

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