

APPENDIX 3 **Reputational Risk Mitigants**

(Proactive measures that allow region to keep risk as low as possible when evaluating transactions)

- Current searches of media (print, social) for adverse news
- Current legal searches for pending investigations, open subpoenas
- Bank conducted or commissioned background checks
- Documented understanding of client and DB purpose in the transaction
- DB access to or control of collateral
- Minimum notional sizes
- Minimum leverage
- Minimum cumulative transaction value
- Exchange-listed securities
- Other top-tier financial institutions participating in transaction with DB
- Results of KYC/AML/OFAC reviews
- Results of NPA/LEC/IRO approval processes
- Written operational manuals or desk guides.