



4. When was the last asset movement and where to?      account?      E. What other accounts do you have with DB?      12. Do you have additional statement recipients?      20. Who are your primary contacts at DB?

**Appendix A**

**Non-Financial Instructions**

Transaction	Original	Signature Verification	Call Back	Fax	Signature Verification	Call Back	Comments
Investment Strategy Change	✓	✓		✓	✓	✓	The strategy change can be commenced with receipt of fax but original letter of instruction must ultimately be obtained.
Account Tax ID Change	✓	✓		✓	✓	✓	WB or WID (Tax line requires original signatures).
Address Change	✓	✓	✓	✓	✓	✓	An original instruction for a Global Plus address change requires a callback.
Phone Number Change	✓	✓		✓	✓	✓	A callback must be performed to an alternate number on record. Callback is required even if the previous telephone number on record has been disconnected. Incoming client calls do NOT qualify as callbacks.
Change in Remittance Instructions	✓	✓		✓	✓	✓	
Account Closing	✓	✓		✓	✓	✓	If the closing request also instructs asset/fund transfer movements the High Risk media procedures for financial transactions apply.
Checkbooks Order or ATM Card	✓	✓		✓	✓	✓	Where checkbooks are to be delivered to an address other than the address on file.
External Affiliation Change	✓	✓		✓	✓	✓	
Change of Country of Residence	✓	✓		✓	✓	✓	KYC update may also be required.
Account Name Change	✓	✓		✓	✓	✓	Appropriate legal documentation to support the change and a KYC update may be required.

*For all transactions listed above please obtain a Letter of Authorization and completed Callback Sheet (or Stamp) if person creating or approving the TEAS ticket is not the person who performed the callback.*

**Note : If instructions are received from Fax2mail, then instruction via would be always fax and a callback is required to be performed on all transactions.**

- **HRM Policy - For Wire Amendments**

<b>HRM Policy- Wire Amendments</b>				

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