

Cc: Joshua Shoshan <[REDACTED]>; Alastair Mackinlay <[REDACTED]>; Ian Salters <[REDACTED]>

Subject: NCA's Completed in May/Update [I]

Hi Team – Happy Wed!

Wanted to provide an update on our NCAs and some good news.

In May we have completed 3 NCA/Extensions! We still have many more to go but we are making progress. Details below.

COMPLETED

| CLIENT NAME | dbCAR ID | KYC TYPE | PRODUCT AND ENTITY | BUSINESS OUTREACH | COMMENTS | DATE COMPLETED |
|---|------------------------|---------------------------|--|-------------------|-------------------|----------------|
| Anschutz Investments Co | 1000078659 | New KYC | Loan - DBNY and DBCI | Martin Z | Loans completed | 5/11/2018 |
| O3 Capital Global Fund/O3 Gestao de Recursos Ltda | 1012934358 /1013914893 | New KYC/Extension | Fixed Income DVP - DBSI/DB AG Lon | Xavi X | Fixed income DBSI | 5/24/2018 |
| Southern Financial LLC | 1007406812 | Retention - NCA/Extension | 1. Renewal 2. Extension - OTC Derivatives and GED - DB AG Lon | Xavi X | COMPLETED | 5/29/2018 |

IN PROGRESS

| BANK TEAM | CLIENT NAME | dbCAR ID | KYC TYPE | PRODUCT AND ENTITY | CRM MANAGER | BUSINESS OUTREACH | TARGET DATE | LIVE/DUAL DETAILS | OUTSTANDING ITEM | ADDITIONAL COMMENTS |
|------------------------------|---|------------------------|-------------------|--|---------------------|-------------------|-------------------|---|--|---|
| Case Manager Action Required | KCP LATAM O3 Capital Global Fund/O3 Gestao de Recursos Ltda | 1012934358 /1013914893 | New KYC/Extension | OTC Rates - DB AG FX Derivatives - DB AG Global Derivatives - OTC (OTC Income Account only) Fixed Income Cash Derivatives | Alsha Khan | Xavi X | 5/11/2018 | Trade on a weekly basis - 100% approval asset classes with 100% PNL target, high priority | 1. Pending update from Alsha/Xavi | OTC/OTC compliance APC OR compliance team Approval. Pending with Xavi |
| | KCP LATAM FxandI Investments Limited | 100008838 | Retention | Global Credit Derivatives and OTC Derivatives (Rates) - DB AG | Nan Semenuk | Bill D | 5/11/2018 | | | Pending MR - 4 approval - contact Rebecca to build into the right account |
| | KCP LATAM Inversiones Alabama Unidos | | New | 1. Fixed Income - DB AG Lon and Global Credit Derivatives/OTC Derivatives (Rates/Cash) - DB AG Lon 2. Cash Equities - DB AG London 3. Global Management - DBNY 4. Cash FX Options - DB AG Lon | Joshua Chin-Cang | Bill D | 5/11/2018 | | | OTC submitted to Karan for approval - waiting on approval. Need global approval |
| | KCP US The Ixia Ventures Corporation | 101400182 | Extension | OTC Derivatives | Alsha Khan | Martin Z | 5/11/2018 | OTC (OTC Argentine CDS) in process of approval | Need list of requirements | Hasn't been started KYC so to date. Just need entries |
| | KCP LATAM Tunneling Limited | 100109157 | Retention | 1. Fixed Income, Cash Equities, Global Management, OTC Derivatives, Global Credit Derivatives, OTC - DB AG Lon FX (Cash/Fx) and Fixed Income (Cash Rates) - DB AG Lon | Nan Semenuk | Bill D | 5/11/2018 | | | Waiting on CDS |
| | KCP US Arroyo Fund LLC | 100088211 | Retention | | Alsha Khan | Ronald P | 5/11/2018 | | USD is pending with client Eduardo/Janas | Need updated financial |
| | KCP LATAM W De Argentina - Inversiones SA | 10070944 | Retention | | Deborah A Alexander | Xavi A | 5/15/2018 | | We have the list waiting on client | List of requirements has been provided |
| KCP LATAM Productive Holding | | New | | Alsha Khan | Bill D | 5/11/2018 | 100% PNL annually | | On hold from business | Hasn't been started |
| KCP US Redwood Manager LLC | 100089177 | New | | Alsha Khan | Jan S | 5/11/2018 | | | | 1. Pending with Business |

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|---------------------|---|-----------|-----------|--------------------|---------------------|-------------------|-------------|-------------------|------------------------------------|--|
| KCP Action Required | KCP LATAM W De Argentina - Inversiones SA | 10070944 | Retention | | Deborah A Alexander | Xavi A | 5/15/2018 | | We have the list waiting on client | List of requirements has been provided |
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Kind regards,