

CLIENT NAME	dbcAR ID	KYC TYPE	PRODUCT AND ENTITY	BUSINESS OUTREACH	COMMENTS	DATE COMPLETED
Anschutz Investments Co	[REDACTED]	New KYC	Loan - DBNY and DBCI	Martin Z	Loans completed	5/11/2018
O3 Capital Global Fund/O3 Gestao de Recursos Ltda	[REDACTED]	New KYC/Extension	Fixed Income DVP - DBSI/DB AG Lon	Xavi X	Fixed income DBSI	5/24/2018
Southern Financial LLC	[REDACTED]	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	CASE MANAGER	BUSINESS OUTREACH	TARGET DUE DATE	LIVE DEAL DETAILS	OUTSTANDING ITEM	ADDITIONAL COMMENTS	
Case Manager Action Required	1. KCP LATAM O3 Capital Global Fund/O3 Gestao de Recursos Ltda	[REDACTED]	New KYC/Extension	OTC Rates - DB AG FX Outlier - DB AG Structured Securities - OTC (Zinn) Synthetic Assets (OTC)	Asha Khan	Xavi X	5/11/2018	Trade on a weekly basis - 100M across all asset classes with 300M PNL target. High priority	1. Pending update from Asha/Traina	(AFC UK compliance) AFC UK compliance team Approved. Pending with Asha	
	2. KCP LATAM Anschutz Investments Limited	[REDACTED]	Retention	Fixed Income/Cash Bonds Global Credit Derivatives and OTC Derivatives (FX) - DB AG Lon	Jan Semeruk	Rily D	5/11/2018			Pending M&A approval. Weekly releases is leading into the right account	
	3. KCP LATAM Inversiones Mahama Ltda	[REDACTED]	New	1. Fixed Income - DB AG Lon and Global Credit Derivatives/OTC Derivatives (Rates/Credit/FX) - DB AG Lon 2. Cash Equities - DB AG London 3. Global Management - DB AG FX Cash/FX Options - DB AG Lon	Joshua Chikwong	Rily D	5/11/2018			1. Pending with Joseph	Deal submitted to Maria for approval - waiting on approval. Need global approval
	4. KCP US The Carolina Ventures Corporation	[REDACTED]	Retention	Credit Derivatives	Asha Khan	Martin Z	5/11/2018	We (NY Argentina CO) had a pool of \$50M PNL, usually		1. Pending with Joseph	Need confirmation of requirements. Deal has been started. FX Cut to date. Just need external
	5. KCP LATAM Teseo Limited	[REDACTED]	Retention	1. Fixed Income, Cash Equities, Derivatives Management, OTC Derivatives, Global Credit Derivatives, OMF - DB AG Lon	Jan Semeruk	Rily D	5/11/2018				Waiting on OIB
	7. KCP LATAM Arroyo Fund LLC	[REDACTED]	Retention	FX Cash/FX Options and Fixed Income (Cash Bonds) - DB AG Lon	Asha Khan	Silvia P	5/11/2018				USD is pending with client - Eduardo/Traina. Need updated financial

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KCP Action Required	8. KCP LATAM W De Argentina - Inversiones SA	[REDACTED]	Retention	1. Loans - DB AG Lon	Deborah A Alexander	Xavi X	5/15/2018			We have the list, waiting on client
	5. KCP LATAM Productive Holding	[REDACTED]	New	FX/OTC - DB AG Lon	Asha Khan	Rily D	5/11/2018	50M PNL annually		OTC trade from business. Deal has been started
	6. KCP US Influence Voyagers LLC	[REDACTED]	New	1. Structured Securities - DB AG Lon	Asha Khan	Jan S	5/11/2018			1. Pending with Business

Kind regards,



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