

<u>Source of Wealth</u>	<u>Sales Response</u>
<p>14. Based on your existing knowledge of the client, where an individual(s) holds <math>\geq 10\%</math> interest, please complete the below. Please list additional owners, if applicable.</p> <p>Identify the source of wealth as one or more of the following:</p> <ul style="list-style-type: none"> <li>• Business Owner</li> <li>• Salary/Earnings</li> <li>• Investment Activity</li> <li>• Inheritance</li> <li>• Gifts</li> <li>• Betting / Lotteries</li> <li>• Other (please specify)</li> </ul> <p>For each identified source, describe the activity(ies) which contributed to the individual's wealth.</p>	
<p><b><u>Confidentiality &amp; Non-Disclosure Agreements (NDA's) (If applicable)</u></b></p>	<p><b><u>Sales Response</u></b></p>
<p>15. Are you aware or know of any Confidentiality Agreements or Non-Disclosure Agreements (NDA's) which prevent the client's data being shared between DB Locations? (If 'Yes' please describe the requirements).</p>	
<p><b><u>Regulatory Status (Level 3 or Level 4 regulated entity)</u></b></p>	<p><b><u>Sales Response</u></b></p>
<p>16. Are you aware if any changes have been made in the last 12/36/60 months, to your Client's regulatory status or any country or jurisdiction the Client is connected to? If yes, please provide the name of the regulator and the regulatory reference number as well as details of the specific changes.</p>	
<p><b><u>Politically Exposed Person (PEP) &amp; Adverse Information</u></b></p>	<p><b><u>Sales Response</u></b></p>
<p>17. To the best of your knowledge are you aware of any new material adverse information or new PEP relationship linked to the Client and/or its Connected Parties or affiliates, which could pose a reputational risk to DB?</p>	

If you have any questions please feel free to contact me directly. We may reach out to you if any further information is required.  
**We will be reaching out to the client for the required documentation, please let me know if you have any concerns with this (see the attached spreadsheet for more details).**

Best Regards,



Michael Valencia  
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