

US Risk Assessment

Risk Assessment

Is the entity registered or domiciled in a Level 1,2,3,4 Country:	2
Is the entity involved in a high risk industry?	No
Is a UBO of the entity a national of a Level 4 country and/or domiciled in a Level 4 country?	No
If a natural person facing DB as a direct client - are they a PEP (determined from PCR or any other source)?	N/A
Is a UBO of the entity a PEP?	No
Is a legal representative (control person) of the entity a PEP (determined from PCR or any other source)?	No
Is 10% or greater of the ownership held in bearer form? (not applicable if the bearer shares are traded on a CB&S and GTB Recognised Exchange)	No
To your knowledge, are you aware of any material negative information (from PCR or any other source) about the entity, and/or its UBO's and Legal Representatives, which could pose a reputational risk to DB?	No
If DB are facing a Collective Investment Scheme (Both open-ended and closed end funds) - does a natural person own greater than 25% of the investment (directly or indirectly) in the CIS?	N/A
Is the entity a Private Investment Vehicle i.e. a private investment company, foundation or trust set up for/on behalf of a high net worth individual(s)/family?	Yes
Is the entity that is being onboarded, contractually engaged by DB to develop investment business relationships or to introduce / procure business transactions e.g. a business finder / arranger / introducer / consultant / intermediary etc?	No
Have you come across any other reason for escalation to AML Compliance?	No
Is an account being opened for a foreign financial institution* ("FFI") registered and/or domiciled in either a Level 3 or 4 Country ? * Foreign financial institutions as defined within Section 312 of the USA PATRIOT Act are Non-U.S banks, broker dealers, futures commission merchants, Introducing brokers in commodities, mutual funds, money transmitters or currency exchangers and private banking accounts.	No
Total Risk:	High

Override Risk Rating

Override Risk Rating ?Overriding Risk Rating is to be in exceptional circumstances only. It should not be as a substitute for answering the KYC questions correctly to derive the appropriate Risk Rating. No

Override KYC Next Review Date

Override KYC Next Review Date ?Overriding KYC Next Review Date is to be used in exceptional circumstances only. It should not be used as a substitute for answering the KYC questions correctly to derive the appropriate KYC Next Review Date. No