

Due Diligence

Why is AFC Assignment required? (Tick as many as required) ▼

Conditional Approval	Country Risk	Source Of Funds	Other ML Factors have been identified	Material Negative Information	Change in risk rating	Sanctions & Embargoes	PEP Nexus	Bearer Shares	Consultation	SourceOfWealthAFC	Industry Risk	Product Risk
false	false	false	false	false	false	false	false	false	false	false	false	false

SRC Nexus: No

Name List Screening Yes

Screening system ▼

Google	Volcker Super 23A Restricted list	Lexis Nexis	Sanction lists	CDD Gateway	PCR Norkom	AFC negative list of rejected clients	FircoSoft	RDC	Yahoo	Internal Lists	Target lists	Embargo lists	Other
false	false	false	false	false	false	false	true	false	false	false	false	false	false

Please provide details Searches ran with FircoSoft

Adoption Information

Initiator Jesse-J Cruz

Location of Initiator USA

Request Type Product Extension (PE)

Business Sponsors & Approvers ▼

Business Approver	Adoption Entity	Product	Business Sponsor	BA Location	Business Unit	BS Location	Adoption Location
Joe Aglione	DB AG (London)	OTC Derivatives (Rates)	John Kennedy	USA	Markets		United Kingdom
Matthew OConnor	DB AG (London)	Commodities	Jatin Bindal		Markets		United Kingdom
Joe Aglione	DB AG (London)	FX Options	John Kennedy	USA	Markets		United Kingdom
Joe Aglione	DB AG (London)	FX Cash	John Kennedy	USA	Markets		United Kingdom
Martin Zeman	DB AG (London)	Convertible Bonds	Martin Zeman	USA	Markets	USA	United Kingdom
Joe Aglione	DB AG (London)	Fixed Income	Christopher Hatch	USA	Markets		United Kingdom
Xavier Avila	DB AG (London)	GED	Martin Zeman	USA	Markets	USA	United Kingdom
Xavier Avila	DB AG (London)	Global Credit Derivatives	Martin Zeman	USA	Markets	USA	United Kingdom

AFC

AFC Comments System Approval NOT Product Extension

View of the Business

Business Recommendation Continue the relationship