

DB PWM GLOBAL KYC/NCA: US/LatAm/Int'l **PART B**



Relationship Name	[REDACTED]				
Risk Rating Comments:					
Booking Center	<input checked="" type="checkbox"/> NY	<input type="checkbox"/> NY/Offshore	<input type="checkbox"/> Offshore	<input type="checkbox"/> Moderate Risk	<input checked="" type="checkbox"/> High Risk
Yoonsun Chung					
(Compliance Signature)					
<input type="checkbox"/> DB Employee	<input type="checkbox"/> DB Managed PIC	<input type="checkbox"/> DB is Trustee/Co-Trustee	<input type="checkbox"/> Bearer Shares		

4. Attachments	
A. Type of Photo ID Provided	<input checked="" type="checkbox"/> Drivers License <input type="checkbox"/> Passport <input type="checkbox"/> National/State ID <input type="checkbox"/> Other
B. Checklist of names (individuals and/or entities) that were submitted for database searches is attached	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
C. Please indicate the results of the database searches performed	
RDC searches complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No negative results found <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
PCR checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No negative results found <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
OFAC checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No negative results found <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
BIS searches complete (Lexis/Nexis, Factiva, Reuters, Dow Jones, D&B)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No negative results found <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Denial Orders checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No negative results found <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Martindale-Hubbell searched (Lawyers/Law Firms only)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No negative results found <input type="checkbox"/> Yes <input type="checkbox"/> No
Please summarize any negative results from the database searches indicated above: In the attached legal proceedings, one is a false positive for Jeffrey S. Epstein (not Jeffrey E. Epstein) and the other contains no new information. The case relates to jurisdiction over disclosing correspondence from a previous trial that was addressed in previous KYC case [REDACTED]	
D.	The named plaintiff for [REDACTED] is referencing a [REDACTED] and not [REDACTED] residing in [REDACTED]. Same with the court cases regarding [REDACTED] of [REDACTED] and [REDACTED] from [REDACTED]. These are false positives and not a match with the [REDACTED] in this kyc. The civil case found in [REDACTED] research is also a false positive as it lists the defendant as [REDACTED] that is noted in this KYC.
E.	To the best of your knowledge, has the client ever been convicted of a criminal offense? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
F.	To the best of your knowledge, has the customer ever been involved in any past litigation against Deutsche Bank AG or any of its subsidiaries or is the customer threatening litigation against Deutsche Bank AG or any of its subsidiaries? (If Yes, provide details below and contact Quality Mgt. (LatAm/Int'l) or the Regulatory Control Group and notify Compliance immediately) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
G.	Does the client or related party have any financial or other association / interactions within countries or regimes sanctioned by the Office of Foreign Assets Control (OFAC)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
H.	Does the client or related party have any financial or other association / interactions within high risk countries? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
I.	Corporate Documentation Attached (Legal Entities Only) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable
J.	Undisclosed Principal Form Complete (Intermediaries Only) <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable
K.	