



- 4.1. Please provide details of where this is recorded and provide a copy
Type Here
5. Are there any special or sensitive circumstances surrounding this request?
Type Here
6. Please outline the scope of the request
Type Here

Approval

Business Requestor Name Wealth Management-Americas
Business Approver Name Paul Morris

Please attach any supporting documents with this request

Acceptance of Conditions (All levels – Cat 3 must be Managing Director Level)

Please note – only category 3 requests require consent of the subject / entity (dependent on the territory data protection laws and views of the local legal authority), however it is strongly advised to check whether the subject / entity has provided consent generally when they engaged with the business. This may prevent delays at a later stage, specifically where a Cat 1 request escalates to a Cat 3.

"I confirm that the information provided is accurate and relation to lawful business purposes. As the sponsor I confirm that enquiries have been made to identify and / or obtain documents to support this request, specifically any authority provided by the subject(s) and / or entities in relation to the Bank conducting such research in relation to them.

Where the request is for Category 3, I can confirm that the necessary consent has been provided by the subject of the research and documents are available to be reviewed as part of the pre-screening process.

I am aware of my obligations in relation to security of information and the non-release of any product / research outside of the Bank. I can confirm that the request is necessary in the interest of Deutsche Bank and I am aware of my obligations in relation to data privacy and compliance with local laws that may span multiple territories.¹ Breach of country laws may expose the Bank to reputational damage and / or pose a risk of fine and / or imprisonment.

It is strongly advised that the sponsor / requestor engages with their legal counsel prior to submission of a CAT 3 request particularly where the matter relates to a complex transaction and / or spans multiple jurisdictions.

Please attach the electronic approval from the subject with this request

I have read the above statements and confirm this to be true and correct

Next Steps: Save this document and sent it to the relevant CSBC contact

¹ As part of this process it may be necessary to consult with your local legal office to fully understand any data privacy and / or local law limitations. A Category 3 check will automatically generate a Legal check through an established process.

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