

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



Relationship Name	SOUTHERN FINANCIAL RELATIONSHIP					
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
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4. Attachments

A. Type of Photo ID Provided	<input checked="" type="checkbox"/> Drivers License	<input checked="" 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 type="checkbox"/> Yes <input checked="" 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: GRATITUDE AMERICA: No negative media No court cases DARREN INDYKE: Negative media mentions his name as an owner of a building. The negative media is not about him individually but about the others mentioned. No court cases JEFFREY EPSTEIN: Previously approved KYC #:01082293 & 01121718 All negative media pertains to court cases which have been previously approved in the above mentioned KYCs. Court Cases have been closed				
E. To the best of your knowledge, has the client ever been convicted of a criminal offense? <input checked="" type="checkbox"/> Yes <input 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				

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N3000000D9Di&ei...> 7/3/2015