

KYC Case # : **01993196**

Status : **6. Approved**

One sheet must be established per relationship - list all accounts included in the relationship

1. Relationship Details			
Relationship Name:	ZUECH, CHRIS RELATIONSHIP:00000583134	Booking Center:	New York
Relationship Manager:	Stewart Oldfield		
Relationship to PWM:	<input checked="" type="checkbox"/> New PWM Relationship		<input type="checkbox"/> Existing PWM Relationship
	If existing, please indicate since when the relationship exists, provide reason for new profile and attach old profile:		
How Was the Client(s) Introduced? How long has the RM personally known the client?	<input type="checkbox"/> Client Referral	<input type="checkbox"/> RM Prospect	<input type="checkbox"/> Intermediary/FIM
	<input checked="" type="checkbox"/> Other Source (CIB, etc.)		
Please provide details (e.g. name of referral source, how many years RM personally has known client, etc.): Client was introduced through the Head of Banking, Charlie Burrows.			
Does Deutsche Bank pay a retrocession or similar compensation to a third party for the introduction of this relationship?	<input type="checkbox"/> Yes		<input checked="" type="checkbox"/> No
	<i>(If Yes, describe):</i>		
List all existing and new accounts involved in this relationship			
	Legal Entity Account(s)	Account Name / Number	Opening Date (intended/actual)
1	<input checked="" type="checkbox"/>	Long Term Insured Credit Fund LLC	10/19/2018
Who is the primary contact person for the RM? (Note: This person needs to have signatory rights and/or information right for the accounts.):	Christopher Jude Zuech		Preferred method of contact(indicate phone no., fax no., e-mail address, etc.): 646-927-6089

One sheet must be established for each account to be opened

2. Account Ownership Summary												
Account Name:			Long Term Insured Credit Fund LLC					Acct. Number (if available):				
Account Manager:			Stewart Oldfield									
What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? Account is being set up to custody \$250mn worth of bonds												
Indicate from where the assets are expected to arrive?												
<input type="checkbox"/> DB Group: Same Booking Center (indicate account number): <input type="checkbox"/> DB Group: Other Booking Center (indicate DB location and account details): <input checked="" type="checkbox"/> Other Institution (Indicate name & location): Funds from various institutions <input type="checkbox"/> Physical Deposits (specify cash, securities, cheques, ...):												
What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)? Incoming- 250mn in Fixed income bonds over life of fund												
100,000 outgoing per every 2 months - residual interest going back to investors												
What is the expected volume of assets and currency for the account approx. 90 days after opening?							100000000		Currency		USD	
What is the expected volume of assets and currency for the account approx. one year after opening?							250000000		Currency		USD	
Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?							<input type="checkbox"/> Yes		<input checked="" type="checkbox"/> No			
Please list all parties related to the account.												
For each party:												
<ul style="list-style-type: none"> • Check if a source of wealth description is required for the party. • Check the appropriate box to describe the relationship of the party to this account (> 1 can be selected). • If none of the check boxes apply, describe the party's relation to the account in the "Other" column. • Always describe the relationship between the parties in the last column. • Please drill down to the ultimate/underlying Beneficial Owner(s). 												
	Legal Entity	Description of Source of Wealth required	Parties related to this account	Account Holder	PIC Owner	Settlor of Trust / Founder of Foundation	Ultimate Beneficial Owner	Signatory or Full POA	Limited POA	Financial Intermediary (FIM)	Significant Shareholder (>=25% Non-PIC entity (indicate ownership %))	Other (please describe other roles and/or indicate relationship between parties)
1	<input type="checkbox"/>	<input type="checkbox"/>	William Raymond Vandewater	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Member of ESM Management LLC, 40% owner;
2	<input type="checkbox"/>	<input type="checkbox"/>	Christopher Jude Zuech	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3	<input type="checkbox"/>	<input type="checkbox"/>	Eric S Meyer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Managing member of ESM Management LLC, 60% owner;
4	<input type="checkbox"/>	<input type="checkbox"/>	David W Jelinek	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
5	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Long Term Insured Credit Fund LLC	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6												

	<input checked="" type="checkbox"/>	<input type="checkbox"/>	ESM Management LLC	<input type="checkbox"/>		Managing Member;						
7	<input checked="" type="checkbox"/>	<input type="checkbox"/>	MLC Investments Limited	<input type="checkbox"/>		Trustee:Trustee for both Low Correlation Strategy Trust and WM Pool Equities Trust No. 78;						
8	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Low Correlation Strategy Trust	<input type="checkbox"/>		37.4532% Investor;						
9	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	WM Pool Equities Trust No.78	<input type="checkbox"/>	39.6563	39.6563% Investor;						

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2. Account Ownership Summary

3A. Individual Details (for all parties)					
Individual's Name:	David W Jelinek -		Date of Birth:	[REDACTED]	
Country of Residence:	United States		Country of Citizenship:	United States	
Address of primary residence:	[REDACTED]		Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Profession/Occupation:	Finance		Tax ID / SSN:	[REDACTED]	
Current Employer:	ESM Management LLC		Position/Title/Rank:	Authorized Signer	
Address of employer:	262 38TH STREET New York NY United States 10018				
Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Is the individual a Politically Exposed Person (PEP)?(if Yes, describe)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
To the best of your knowledge, is the individual related to an employee of the DB group?(if Family or Friendship, describe)			<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None		
To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?(if Yes,describe)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

<input type="checkbox"/> Wealth Details for this individual are not filled in, because they are the same as for the following person:	
3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)	
Nature of the Individual's Business:	
Primary Country of source of wealth/source of Funds?	
Primary industry of source of Wealth/Source of Funds?	
Summarize Source of Wealth:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.)

Estimated Annual Income (\$):		Estimated amount of investable assets(\$):	
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Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	
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Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2. Account Ownership Summary

3A. Individual Details (for all parties)					
Individual's Name:	Eric S Meyer -		Date of Birth:	[REDACTED]	
Country of Residence:	United States		Country of Citizenship:	United States	
Address of primary residence:	[REDACTED]		Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Profession/Occupation:	Finance		Tax ID / SSN:	[REDACTED]	
Current Employer:	ESM Management LLC		Position/Title/Rank:	Managing Member	
Address of employer:	262 38TH STREET New York NY United States 10018				
Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Is the individual a Politically Exposed Person (PEP)?(if Yes, describe)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
To the best of your knowledge, is the individual related to an employee of the DB group?(if Family or Friendship, describe)			<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None		
To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?(if Yes,describe)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

<input type="checkbox"/> Wealth Details for this individual are not filled in, because they are the same as for the following person:	
3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)	
Nature of the Individual's Business:	
Primary Country of source of wealth/source of Funds?	
Primary industry of source of Wealth/Source of Funds?	
Summarize Source of Wealth:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.)

Estimated Annual Income (\$):		Estimated amount of investable assets(\$):	
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Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	
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Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2. Account Ownership Summary

3A. Individual Details (for all parties)					
Individual's Name:	William Raymond Vandewater -		Date of Birth:	[REDACTED]	
Country of Residence:	United States		Country of Citizenship:	United States	
Address of primary residence:	[REDACTED]		Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Profession/Occupation:	Finance		Tax ID / SSN:	[REDACTED]	
Current Employer:	ESM Management LLC		Position/Title/Rank:	Member	
Address of employer:	262 38TH STREET New York NY United States 10018				
Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Is the individual a Politically Exposed Person (PEP)?(if Yes, describe)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
To the best of your knowledge, is the individual related to an employee of the DB group?(if Family or Friendship, describe)			<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None		
To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?(if Yes,describe)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

<input type="checkbox"/> Wealth Details for this individual are not filled in, because they are the same as for the following person:	
3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)	
Nature of the Individual's Business:	
Primary Country of source of wealth/source of Funds?	
Primary industry of source of Wealth/Source of Funds?	
Summarize Source of Wealth:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.)

Estimated Annual Income (\$):		Estimated amount of investable assets(\$):	
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Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	
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Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
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Institution:		Country:		Est. Assets Under Mgt:	
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Institution:		Country:		Est. Assets Under Mgt:	
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Please indicate the family situation of the individual (marital status, other family members, etc.):

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2. Account Ownership Summary

3A. Individual Details (for all parties)					
Individual's Name:	Christopher Jude Zuech -		Date of Birth:	[REDACTED]	
Country of Residence:	United States		Country of Citizenship:	United States	
Address of primary residence:	[REDACTED]		Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Profession/Occupation:	Finance		Tax ID / SSN:	[REDACTED]	
Current Employer:	ESM Management LLC		Position/Title/Rank:	Authorized signer	
Address of employer:	262 38th Street New York NY United States 10018				
Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Is the individual a Politically Exposed Person (PEP)?(if Yes, describe)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
To the best of your knowledge, is the individual related to an employee of the DB group?(if Family or Friendship, describe)			<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None		
To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?(if Yes,describe)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

<input type="checkbox"/> Wealth Details for this individual are not filled in, because they are the same as for the following person:	
3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)	
Nature of the Individual's Business:	
Primary Country of source of wealth/source of Funds?	
Primary industry of source of Wealth/Source of Funds?	
Summarize Source of Wealth:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.)

Estimated Annual Income (\$):		Estimated amount of investable assets(\$):	
Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	
Other Known Financial Institutions:			
Institution:		Country:	
Institution:		Country:	
Institution:		Country:	
Please indicate the family situation of the individual (marital status, other family members, etc.):			

One sheet must be established for EACH LEGAL ENTITY in Section 2. Account Summary

3C. Legal Entity Details (For all Legal Entities)			
Legal Entity Name:	Long Term Insured Credit Fund LLC - 00000583987		
Type of Entity:	<input type="checkbox"/> Foundation/Association <input type="checkbox"/> Trust <input checked="" type="checkbox"/> Company <input type="checkbox"/> Estate <input type="checkbox"/> Partnership	Purpose of Entity:	<input checked="" type="checkbox"/> Private Investment <input type="checkbox"/> Philanthropic/Charitable <input type="checkbox"/> Commercial
Type of Entity Other (specify):	LLC	Purpose of Entity Other (specify):	Fund
Country of incorporation/registration:	Cayman Islands	Date of incorporation / registration:	9/10/2018
Volcker Status:	Determination Required	Volcker Flag:	Yes
Address (city, street, post code):	C/O Walkers Corporate Limited, Cayman Corporate Centre, 27 Hospital Road George Town KY1-9008 Cayman Islands	U.S. TIN/EIN:	██████████
Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations, include information about revocability, settlor and beneficiaries, etc.: WNL Limited, who is listed as the initial member in the LLC Agreement, will resign from the fund per the following clause (Section 3.2) in the LLC agreement (attached): "Immediately following the admission of one or more Members on the Closing Date, the Initial Member, by its execution and delivery of a counterpart of this Agreement, shall resign from the Fund and shall have no further rights or claims against, or obligations as the Initial Member of, the Fund." Once resigned, the 2 members that become over 10% owners at the admission of one or more Members on closing date, are Long Term Insured Credit Fund LLC and WM Pool Equities Trust No.78 . Both are Australian superannuation funds (Retirement investment funds). MLC Investments Limited is the trustee for both funds - MLC is a part of National Australian Bank, a public bank.			
Please indicate how ownership of the legal entity is reflected: Schedule A is attached to KYC as well as the LLC Agreement.			
<input type="checkbox"/> Special attention: Bearer Shares - Indicate where shares are custodied:			
Describe the chain from the direct owner of the entity to the ultimate beneficial owner (if not the same persons): See above. There is no ultimate UBOs.			
To the best of your knowledge, is the entity party to a non-banking relationship with Deutsche Bank (e.g. external legal counsel, client referral source, supplier of goods or services)?:		Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
Describe Nature of Entity's Primary Business and Investment Activities			

Nature of the business:	Fund
Countries where business is transacted:	Cayman Islands;United States
Number of employees:	10

3D. Wealth Profile (Only for parties requiring source of wealth description as indicated in Section 2)				
Primary Country of source of wealth/source of Funds?	Australia			
Primary industry of source of Wealth/Source of Funds?	Low Risk Financial Institutions			
Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities):				
Estimated gross receipts p.a.(\$):				
Estimated net profit p.a. (\$):				
Estimated investable assets (\$):				
Potential Amount to be invested with PWM (\$):				
Other Known Financial Institutions:				
Institution:		Country:		Est. Assets Under Mgt:
Institution:		Country:		Est. Assets Under Mgt:
Institution:		Country:		Est. Assets Under Mgt:

One sheet must be established for EACH LEGAL ENTITY in Section 2. Account Summary

3C. Legal Entity Details (For all Legal Entities)			
Legal Entity Name:	ESM Management LLC -		
Type of Entity:	<input type="checkbox"/> Foundation/Association <input type="checkbox"/> Trust <input checked="" type="checkbox"/> Company <input type="checkbox"/> Estate <input type="checkbox"/> Partnership	Purpose of Entity:	<input checked="" type="checkbox"/> Private Investment <input type="checkbox"/> Philanthropic/Charitable <input type="checkbox"/> Commercial
Type of Entity Other (specify):	LLC	Purpose of Entity Other (specify):	Private Investment
Country of incorporation/registration:	United States	Date of incorporation / registration:	1/9/2009
Volcker Status:	Determination Required	Volcker Flag:	Yes
Address (city, street, post code):	1209 Orange Street Wilmington 19801 United States	U.S. TIN/EIN:	██████████
Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations, include information about revocability, settlor and beneficiaries, etc.:			
This entity is owned 60% by Eric Meyer and 40% by William Vandewater. This is the manager of Long Term Insured Credit Fund LLC.			
Please indicate how ownership of the legal entity is reflected: LLC agreement			
<input type="checkbox"/> Special attention: Bearer Shares - Indicate where shares are custodied:			

Describe the chain from the direct owner of the entity to the ultimate beneficial owner (<i>if not the same persons</i>): This entity is owned 60% by Eric Meyer and 40% by William Vandewater	
To the best of your knowledge, is the entity party to a non-banking relationship with Deutsche Bank (e.g. external legal counsel, client referral source, supplier of goods or services)?:	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Describe Nature of Entity's Primary Business and Investment Activities	
Nature of the business:	Investment Management
Countries where business is transacted:	United States
Number of employees:	10

3D. Wealth Profile (Only for parties requiring source of wealth description as indicated in Section 2)		
Primary Country of source of wealth/source of Funds?		
Primary industry of source of Wealth/Source of Funds?		
Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities):		
Estimated gross receipts p.a.(\$):		
Estimated net profit p.a. (\$):		
Estimated investable assets (\$):		
Potential Amount to be invested with PWM (\$):		
Other Known Financial Institutions:		
Institution:	Country:	Est. Assets Under Mgt:
Institution:	Country:	Est. Assets Under Mgt:
Institution:	Country:	Est. Assets Under Mgt:

One sheet must be established for EACH LEGAL ENTITY in Section 2. Account Summary

3C. Legal Entity Details (For all Legal Entities)			
Legal Entity Name:	MLC Investments Limited -		
Type of Entity:	<input type="checkbox"/> Foundation/Association <input type="checkbox"/> Trust <input checked="" type="checkbox"/> Company <input type="checkbox"/> Estate <input type="checkbox"/> Partnership	Purpose of Entity:	<input checked="" type="checkbox"/> Private Investment <input type="checkbox"/> Philanthropic/Charitable <input type="checkbox"/> Commercial
Type of Entity Other (specify):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	Australia	Date of incorporation / registration:	7/27/1983
Volcker Status:	Determination Required	Volcker Flag:	
Address (city, street, post code):	105-153 Miller Street North Sydney NSW 2060 Australia	U.S. TIN/EIN:	30002641661

Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations, include information about revocability, settlor and beneficiaries, etc.:

Corporate Trustee

As National Australia Bank's wealth management business, MLC provides investments, superannuation and financial advice to corporate, institutional and retail customers. We're all about using our expertise and the capabilities of the NAB Group to give our customers a bigger vision for their future and the bigger picture of their wealth.

Our wealth management expertise means we understand how to help you meet your needs today, set your goals for the future and support you along the way. We're focused on empowering you financially right throughout your life. Our approach is holistic – we'll give you better insight into your financial opportunities, end-to-end financial solutions and access to a broader range of services.

https://www.mlc.com.au/personal/nav_top/about-mlc/about-super-investments/about-us

Please indicate how ownership of the legal entity is reflected: NA

Special attention: Bearer Shares - Indicate where shares are custodied:

Describe the chain from the direct owner of the entity to the ultimate beneficial owner (if not the same persons): NA

To the best of your knowledge, is the entity party to a non-banking relationship with Deutsche Bank (e.g. external legal counsel, client referral source, supplier of goods or services)?: Yes No

Describe Nature of Entity's Primary Business and Investment Activities

Nature of the business:	Corporate Trustee
Countries where business is transacted:	Australia
Number of employees:	50+

3D. Wealth Profile (Only for parties requiring source of wealth description as indicated in Section 2)

Primary Country of source of wealth/source of Funds?		
Primary industry of source of Wealth/Source of Funds?		
Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities):		
Estimated gross receipts p.a.(\$):		
Estimated net profit p.a. (\$):		
Estimated investable assets (\$):		
Potential Amount to be invested with PWM (\$):		
Other Known Financial Institutions:		
Institution:	Country:	Est. Assets Under Mgt:
Institution:	Country:	Est. Assets Under Mgt:
Institution:	Country:	Est. Assets Under Mgt:

One sheet must be established for EACH LEGAL ENTITY in Section 2. Account Summary

3C. Legal Entity Details (For all Legal Entities)

Legal Entity Name:	Low Correlation Strategy Trust -		
Type of Entity:		Purpose of Entity:	

	<input type="checkbox"/> Foundation/Association <input checked="" type="checkbox"/> Trust <input type="checkbox"/> Company <input type="checkbox"/> Estate <input type="checkbox"/> Partnership		<input checked="" type="checkbox"/> Private Investment <input type="checkbox"/> Philanthropic/Charitable <input type="checkbox"/> Commercial
Type of Entity Other (specify):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	Australia	Date of incorporation / registration:	12/10/2010
Volcker Status:	Determination Required	Volcker Flag:	No
Address (city, street, post code):	105-153 Miller Street North Sydney NSW Australia	U.S. TIN/EIN:	██████████
Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations, include information about revocability, settlor and beneficiaries, etc.: This acts similar to a retirement Fund. The fund consists of thousands and thousands of investors. There is no UBO. MLC Investments Limited is the Trustee of the fund.			
Please indicate how ownership of the legal entity is reflected: NA			
<input type="checkbox"/> Special attention: Bearer Shares - Indicate where shares are custodied:			
Describe the chain from the direct owner of the entity to the ultimate beneficial owner (if not the same persons): NA			
To the best of your knowledge, is the entity party to a non-banking relationship with Deutsche Bank (e.g. external legal counsel, client referral source, supplier of goods or services)?:		Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
Describe Nature of Entity's Primary Business and Investment Activities			
Nature of the business:	Australian Superannuation Fund		
Countries where business is transacted:	Australia		
Number of employees:	50+		

3D. Wealth Profile (Only for parties requiring source of wealth description as indicated in Section 2)			
Primary Country of source of wealth/source of Funds?	Australia		
Primary industry of source of Wealth/Source of Funds?	Other		
Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities): Investment funds of Australian retirees.			
Estimated gross receipts p.a.(\$):	81,796,000.00		
Estimated net profit p.a. (\$):	65,000,000.00		
Estimated investable assets (\$):	\$500 MM +		
Potential Amount to be invested with PWM (\$):	85,000,000.00		
Other Known Financial Institutions:			
Institution:		Country:	
			Est. Assets Under Mgt:
Institution:		Country:	
			Est. Assets Under Mgt:

Institution:	Country:	Est. Assets Under Mgt:
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One sheet must be established for EACH LEGAL ENTITY in Section 2. Account Summary

3C. Legal Entity Details (For all Legal Entities)			
Legal Entity Name:	WM Pool Equities Trust No.78 -		
Type of Entity:	<input type="checkbox"/> Foundation/Association <input checked="" type="checkbox"/> Trust <input type="checkbox"/> Company <input type="checkbox"/> Estate <input type="checkbox"/> Partnership	Purpose of Entity:	<input checked="" type="checkbox"/> Private Investment <input type="checkbox"/> Philanthropic/Charitable <input type="checkbox"/> Commercial
Type of Entity Other (specify):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	Australia	Date of incorporation / registration:	11/7/2014
Volcker Status:	Determination Required	Volcker Flag:	No
Address (city, street, post code):	105-153 Miller Street North Sydney NSW 2060 Australia	U.S. TIN/EIN:	██████████
Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations, include information about revocability, settlor and beneficiaries, etc.: This acts similar to a retirement Fund. The fund consists of thousands and thousands of investors. There is no UBO. MLC Investments Limited is the Trustee of the fund.			
Please indicate how ownership of the legal entity is reflected: NA			
<input type="checkbox"/> Special attention: Bearer Shares - Indicate where shares are custodied:			
Describe the chain from the direct owner of the entity to the ultimate beneficial owner (if not the same persons): NA			
To the best of your knowledge, is the entity party to a non-banking relationship with Deutsche Bank (e.g. external legal counsel, client referral source, supplier of goods or services)?:		Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
Describe Nature of Entity's Primary Business and Investment Activities			
Nature of the business:	Australian Superannuation fund		
Countries where business is transacted:	Australia		
Number of employees:	50+		

3D. Wealth Profile (Only for parties requiring source of wealth description as indicated in Section 2)	
Primary Country of source of wealth/source of Funds?	Australia
Primary industry of source of Wealth/Source of Funds?	Other
Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities): Investment funds of Australian retirees.	
Estimated gross receipts p.a.(\$):	150,000,000.00
Estimated net profit p.a. (\$):	125,000,000.00
Estimated investable assets (\$):	\$500 MM +

Potential Amount to be invested with PWM (\$):		90,000,000.00			
Other Known Financial Institutions:					
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

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



Relationship Name	ZUECH, CHRIS RELATIONSHIP				
Risk Rating Comments:	Derek St-Hilaire comfired the moderate risk rating on 10/12/18.				
Booking Center	<input checked="" type="checkbox"/> NY	<input type="checkbox"/> NY/Offshore	<input type="checkbox"/> Offshore	<input checked="" type="checkbox"/> Moderate Risk	<input type="checkbox"/> High Risk
(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
<p>Please summarize any negative results from the database searches indicated above: David Jelinek - court cases all a false positive. Our David was born in 1976, he is 42. The Chicago case involves a 61 year old; for the CA case, he would have been 10.</p> <p>William Vandewater - small claims disposed 2007.</p> <p>ESM - Cases closed.</p> <p>Eric S Meyer Our Eric is from MA. These small civil court cases, all related, are in from Chicago.</p> <p>Chris Zuech - Chris worked for both Carlyle group, one of the largest private equity funds in the world, and Vermillion . Carlyle Group was sued by a former portfolio manager in one of its hedge funds, who alleges the firm and its hedge fund's partners knowingly misled investors.</p>			
D. Zuech, who was Vermillion's chief operating officer and next had a similar role at Carlyle Commodity Management, was named as a defendant. The case was closed on 8/2016.	<p>See below regarding the only RDC alert. This has been AML for a week and waiting for clearance.</p> <p>MLC Investment Limited is the Trustee to two large Australian superannuation (Pension) funds in Australia. These funds are KYC parties to our account holder.</p> <p>MLC is part of National Australia Bank's wealth management business and has been around for 130 years.</p> <p>This alert contains a class action lawsuit against National Australia Bank and its wealth management business MLC. The lawsuit claims that they engage in 'unconscionable conduct' by selling credit card insurance to holder who were ineligible to claim under its term. The lawsuit is very recent – 9/27/2018.</p> <p>National Australia Bank is a public company – as one of the four largest public financial institutions, this is considered normal part of business. Please clear the alert. Thank you.</p>		

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
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? <i>(If Yes, provide details below and contact Quality Mgt. (LatAm/Int'l) or the Regulatory Control Group and notify Compliance immediately)</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
F. 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
G. 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
H. Corporate Documentation Attached (Legal Entities Only)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable
I. Undisclosed Principal Form Complete (Intermediaries Only)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable
J. If Lexis/Nexis Search Results, Corporate Documents or Other Supporting Documentation is not in English, please provide an English summary of the nature/contents of the non-English Documentation: NA	
L. Special Risk Factors	
Does the account have Nexus to Special Risk Countries?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is the account structure unusually complex?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Is there any indication the client set up a non operating company expressly for the purpose of transferring shares to third parties?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is there any indication this could be a prohibited business relationship?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Are the bearer shares identified subject to acceptable controls?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

M. Case Comments		
Created By	Date	Comments
Alicia Burns	10/22/118 10:24 AM	Per Bradley Gillin, the legal address is notated on the W9.
Richard Iarossi	10/17/118 5:39 PM	WM Pool Equities Trust No. 78 - \$90mn Low Correlation Strategy Trust - \$85mn Both will be wired from Citibank New York.
Richard Iarossi	10/17/118 5:37 PM	In regards to WNL Limited, the verbiage in the LLC Agreement clearly states that they will be resigning from the fund. We do not have any other documentation that shows this. For both of the main investors, Low Correlation Strategy Trust and WM Pool Equities Trust No. 78, the funds will be wired from Citibank New York.
Alicia Burns	10/22/118 10:53 AM	Per the LLC Agreement 1.4 The principal place of business of the Fund is 262 West 38th Street, Suite 507, New York, NY 10018.

ONSHORE APPROVALS			
Client Facing Professional (CFP):	Stewart Oldfield	(Signature) Stewart Oldfield	10/15/2018
Office Director/Business Head:	Andrew F Gallivan	(Signature) Andrew F Gallivan	10/16/2018
Regional Office Director:		(Signature)	
AML Business Risk:	Alicia Burns	(Signature) Alicia Burns	10/18/2018
AML Compliance:		(Signature)	

LATAM/INTERNATIONAL APPROVALS			
Client Facing Professional (CFP):		(Signature)	
Account Manager:		(Signature)	
Global Market Team Head (GMTH)/Sub-Market Team Head (SMTH):		(Signature)	
AML Business Risk:		(Signature)	
AML Compliance:		(Signature)	

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PRIVATE WEALTH MANAGEMENT POLICY STATEMENT: *Deutsche Bank Private Wealth Management (PWM) worldwide is committed to professionally serve the interests of its clients. To do so, Client Facing Professionals¹ (CFP's) should establish and maintain business relationships only with persons who satisfy our high standards of suitability, background and character. Due diligence obtained on the client must be appropriately documented by the CFP. It is the responsibility of CFP's to demonstrate that they know their client both at the inception of a relationship and on an ongoing basis.*

DECLARATION FOR ALL SIGNERS OF THIS FORM: *To the best of my knowledge and belief the above information is correct and up to date. I confirm that I have no suspicions relating to the money laundering or unethical activities on the part of the client(s) and that I have followed all the procedures relating to account opening as described in the PWM Americas Procedures and the PWM Global KYC Policy*

(1) Client Facing Professionals (CFP's) include: Relationship Managers, Wealth Advisors, Product Officers, Brokers, Client Managers, etc.

Deutsche Bank Americas New York 
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