

Sheet2

Annual Client Update: ID	Customer Number	Customer Name	Primary Officer	Relationship	Meet
ing/Call Date	Material Changes	A15. Client Status	Update Description	Days Overdue	MSR
Bank	Silos	COMMENTS			
[REDACTED]	[REDACTED]	Nina Fund LP	Mary Ann Coleman	HARKIN RELATIONSHIP	1/16/2015
[REDACTED]	[REDACTED]	Office address changed to 475 Park Avenue South NY NY 10016 A	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	AML to Close - KYC Approved # 01385526	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	Ellin, Howard	Ed Finley	ELLIN, HOWARD RELATIONSHIP	10/9/2014
[REDACTED]	[REDACTED]	Estimated annual income remains 1.5MM from salary and investment income.	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	After further conversation with the client, he revealed more information on positions we were not aware of. His estimated net worth is now 20-25MM, revised up from 5-10MM. This is not a change in wealth, just a better understanding of the assets he has been holding since the relationship began.	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	204	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	COVERAGE-Domestic	AML to Close
[REDACTED]	[REDACTED]	- KYC Approved # [REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	LBF Consulting Services B.C. LTD	Armando Estua-Belaunzaran	RAMI	
[REDACTED]	[REDACTED]	10/14/2013	No material changes - consulting fees are relatively stable	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	to last year's fees.	One of the partners recently passed away - there is going to be changes to the signatories in the account. The client has not yet specified if a new signatory is to be added.	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	564	Lina Arias, Felipe Goddard	LatAm Intl	COVERAGE-LATAM
[REDACTED]	[REDACTED]	AML to Close - KYC Approved	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	Landis, Betsy M.	Liz Payne	LANDIS, DONALD RELATIONSHIP	11/6
[REDACTED]	[REDACTED]	Client passed away on 8/24/14. Account has been placed on Caution.	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	176	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	COVERAGE-Domestic	AML to Close - KYC Approved # [REDACTED]
[REDACTED]	[REDACTED]	Landis, Donald M.	Liz Payne	LANDIS, DONALD RELATIONSHIP	10/3
[REDACTED]	[REDACTED]	Donald Landis passed away on 8/24/14. Cautions have been placed on his accounts with us. We are awaiting Letters Testamentary, etc. on this account from his wife, Betsy Landis.	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	210	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	COVERAGE-Domestic	AML to Close - KYC Approved # [REDACTED]
[REDACTED]	[REDACTED]	Allen, Paul Gardner	Russell Daulton	ALLEN, PAUL GARDNER RELATIONSHIP	
[REDACTED]	[REDACTED]	11/5/2014	Elizabeth Joy has left Vulcan and been replaced by Russell Paquette. We are currently working on updating all accounts to reflect those changes. We also spoke about the Dodd - Frank rules that give Mr. Allen the option to segregate collateral on SWAPS. Russell is looking forward to seeing us the next time we are in Seattle.	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	177	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	COVERAGE-Domestic	AML to Close - KYC Approved #1344477
[REDACTED]	[REDACTED]	Humility Ltd.	Mary Ann Coleman	TEMPLETON, JOHN RELATIONSHIP	2/19
[REDACTED]	[REDACTED]	no material changes; current AUM \$378,000,000	additional signer being added via KYC	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	71	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	COVERAGE-Domestic	AML to Close - KYC Approved # [REDACTED]
[REDACTED]	[REDACTED]	Templeton World Charity Foundation, Inc.	Mary Ann Coleman	TEMPLETON, JOHN RELATIONSHIP	1/9/2015
[REDACTED]	[REDACTED]	Investment portfolios held by the Templeton organization. The Foundation maintains a small custody account at DB.	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	The entity changed its name from Templeton World Charity Foundation to Templeton World Charity Foundation, Inc. A KYC update will be completed promptly.	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	112	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	COVERAGE-Domestic	AML to Close - KYC Approved
[REDACTED]	[REDACTED]	Chiappina, Federico	Josie Alonso	CHIAPPINA, FEDERICO RELATIONSHIP	
[REDACTED]	[REDACTED]	2/9/2015	Mr. Federico Chiappina's income derived from savings, and investments. Mr. Federico Chiappina passed away on January 21, 2015.	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	81	Lina Arias, Felipe Goddard	LatAm Intl	COVERAGE-LATAM
[REDACTED]	[REDACTED]	AML to Close - KYC Approved # [REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	CAROLYN C ROWLAND TRUST #2	Terri Sohrab	CROSSETT, EDWARD C RELATIONS	
[REDACTED]	[REDACTED]	7/2/2013	Carolyn Rowland died on 5/15/12.	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	668	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	COVERAGE-Domestic	AML to Close - KYC Approved # [REDACTED]
[REDACTED]	[REDACTED]	CAROLYN C ROWLAND TRUST #2	Terri Sohrab	CROSSETT, EDWARD C RELATIONS	
[REDACTED]	[REDACTED]	5/15/2012	Client died on 5/15/12. Account is terminating. Client died on 5/15/12.	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	1081	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	COVERAGE-Domestic	AML to Close - KYC Approved # [REDACTED]
[REDACTED]	[REDACTED]	CAROLYN C ROWLAND TRUST #2	Terri Sohrab	CROSSETT, EDWARD C RELATIONS	
[REDACTED]	[REDACTED]	6/27/2014	Carolyn Rowland died on 5/15/12.	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	308	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	COVERAGE-Domestic	AML to Close - KYC Approved # [REDACTED]
[REDACTED]	[REDACTED]	CAROLYN C ROWLAND TRUST #2	Terri Sohrab	CROSSETT, EDWARD C RELATIONS	
[REDACTED]	[REDACTED]	5/15/2012	Carolyn Rowland died on 5/15/2012. Trust is terminating.	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	1081	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	COVERAGE-Domestic	AML to Close - KYC Approved # [REDACTED]
[REDACTED]	[REDACTED]	Mortreux, Augustin	Reynaldo Figueredo	BISCAYNE CAPITAL SA RELATIONSHIP	
[REDACTED]	[REDACTED]	3/6/2015	Mrs. Mortereux lives in Washington DC. She is thinking what to do now that she's a widow. She might remain in DC and invest in local Real Estate opportunities. We went over all the needed information to set the new account from joint to single tenant.	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	56	Lina Arias, Felipe Goddard	LatAm Intl	COVERAGE-LATAM
[REDACTED]	[REDACTED]	AML to Close - KYC Approved # [REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	Deccan Value Investors LP	Mary Ann Coleman	DECCAN RELATIONSHIP	
[REDACTED]	[REDACTED]	1/8/2015	Investable assets are reflected in the custody account held here at DB. No material changes to report.	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	113	Kim Hart, Andrew Galivan, Michael J. Davis, Michael	[REDACTED]	[REDACTED]

Jacoby New York	COVERAGE-Domestic	AML to Close - KYC Approved #1381690		
	JEGE, LLC	Paul Morris	SOUTHERN FINANCIAL RELATIONSHIP	2/17/2015
No changes in income producing activities				
Darren Indyke was added as POA in February 2014 73				
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVERAGE-Domestic		
AML to Close - Approved KYC #				
	Computershare Inc	Theresa Romano	COMPUTERSHARE INC RELATIONSHIP	6/13
/2013 client has added 5 new authorized parties to the account as per company changes.				
nt has added 5 new authorized parties to the account as per company changes. 687 Charlie Hoff				
arth, Charlie Burrows, Daphne Cales	BANKING BANKING	AML to Close - Approved KYC #		
	Marriott III, John W.	Brian Convey	MARRIOTT, JOHN W RELATIONSHIP	2/4/
2015 There are no recent changes to his employment status or health. Mr. Marriott recently provid				
ed account opening documents with a different address then previously recorded. 86 Kim Hart, An				
drew Galivan, Michael J. Davis, Michael Jacoby New York				
	COVERAGE-Domestic	AML to Close		
- No Material Change				
	Arnow, Joshua	Terrence Tangney	WEILER/ARNOW RELATIONSHIP	2/12
/2015 Terrence had a meeting today at the Weiler Arnow office.				
We are opening a 2 new accou				
nts for Josh Arnow due a recent fraud attempt. 78 Kim Hart, Andrew Galivan, Michael J. Davis,				
Michael Jacoby New York	COVERAGE-Domestic	AML to Close - No Material Change		
	Ornatus Taiwan LTD	Daphne Cales	DEPRENDA, MICHAEL RELATIONSHIP	12/2
9/2014 All income remains the same, proceeds from his business.				
Street addressof the account				
has changed to: 3F, No. 97 Dunhwa S. Rd, Sec.2 Taipei City 106 TAIWAN 123 Charlie Hoffarth, Ch				
arlie Burrows, Daphne Cales	BANKING BANKING	AML to Close - No Material Change		
	William & Helen Little	Family Foundation	Paul Bartilucci WILLIAM LITT	
LE FAMILY RELATIONSHIP	12/4/2014	None	Majority of client assets left DB to follow Gerald L	
arr to HPM Partners. We are currently still managing this portion of the funds since it has been lef				
t with DB. 148 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York				
	COVERAGE-Domestic	AML to Close - No Material Change		
	Leggett, Susan C.	Paul Bartilucci	CONVERSE/LEGGETT RELATIONSHIP	3/2/
2015 No material changes We recently processed an address change for the client 60 Kim				
Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York				
	COVERAGE-Domestic	AML		
to Close - No Material Change				
	The Alfred Harcourt Foundation Inc.	Debjani Bagchi	HARCOURT, A RELATION	
SHIP	12/12/2014	No material changes at this time.	Client is transferring the account t	
o First Manhattan. Account is Terminating 140 Mary Keaveny, Lawrence Weisman IA IA				
	COVERAGE-Domestic	AML to Close - No Material Change		
	Columbia Realty	Venture LLC	Ron Colonna	BERNSTEIN MANAGEMENT CORPORA
TION RELATIONSHIP	11/6/2014	Per Josh Bernstein, this account will refund in the future.		
Josh Bernstein and Bernstein Management Company used the funds from Columbia Realty Venture to purch				
ase property in November 2014. 176 Mary Keaveny, Lawrence Weisman New York				
	COVERAGE	AML to Close - No Material Change		
	LUMA CAPITAL, S.A. de C.V.	Dessy Arteaga	LUMA RELATIONSHIP	2/18
/2015 Because DB's IA out performed the other investments, the Clients decided to allow us to mana				
ge another \$200 MM . Because DB's IA out performed the other investments, the Clients decided to				
allow us to manage another \$200 MM . 72 Lina Arias, Felipe Goddard LatAm Intl COVE				
RAGE-LATAM	AML to Close - No Material Change			
	Wilner Esq., Diane S.	Liz Payne	WILNER, DIANE S RELATIONSHIP	3/2/
2015 Income producing activities have not changed Client wants to close account so no future t				
ransactions should occur. We need this account to be reactivated so that we can close it 60				
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVERAGE-Domestic		
AML to Close - No Material Change - Client is Inactive				
	Reist, Derrick	Kim Hart	REIST, J&L RELATIONSHIP	4/28/2015
Plea				
se see ACU comment There is no contact with this client. He is a "mutual fund only" client with				
no open Private Bank accounts. The mutual fund account is associated with a "dealer code" that asso				
ciates it to the Private Bank. We are trying to get the account coded correctly. In the meantime, th				
ere has been no account activity. The client has \$18.43 invested in the ICT Treasury Portfolio. 3				
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVERAGE-Domestic		
AML to Close - No Material Changes				
	Burton, Katherine	Kim Hart	BURTON, KATE RELATIONSHIP	4/28
/2015 Please see ACU comment There is no contact with this client. She is a "mutual fund only" cl				
ient with no open Private Bank accounts. The mutual fund account is associated with a "dealer code"				
that associates it to the Private Bank. We are trying to get the account coded correctly. In the mea				
ntime, there has been no account activity. The client has \$77.19 invested in the ICT Treasury Portfo				
lio. 3	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVE	
RAGE-Domestic	AML to Close - No Material Changes			
	Walter Living Trust	Russell Daulton	WALTER, RON RELATIONSHIP	4/14
/2015 Client has moved all assets out of the bank. Only remaining asset is in Private Equity and				
can not be moved. Client is not responding to voice and email messages left by banker. Client has m				
oved all assets out of the bank. Only remaining asset is in Private Equity and can not be moved. Cl				
ient is not responding to voice and email messages left by banker. 17 Kim Hart, Andrew Gal				
ivan, Michael J. Davis, Michael Jacoby	San Francisco	COVERAGE-Domestic	AML to Close - No Ma	
terial Changes				
	Kubali-Camoglu, Ishik	Andrea Nicoletti	CAMOGLU, ISIK RELATIONSHIP	
5/27/2014	No material changes.	Client is deceased	339	
chael J. Davis, Michael Jacoby	New York	COVERAGE-Domestic	AML to Close - No Material C	
hanges				
	Kubali-Camoglu, Ishik	Andrea Nicoletti	CAMOGLU, ISIK RELATIONSHIP	
3/17/2015	No material changes.	Client is deceased	45	
chael J. Davis, Michael Jacoby	New York	COVERAGE-Domestic	AML to Close - No Material C	
hanges				

	Parker, Kevin Brian Burckhard	PARKER, KEVIN	RELATIONSHIP	3/31/2015
The Client derives his income from private instruments, art, real estate and his daily responsibilities at SICM & KNIC	N/A	31	Charlie Hoffarth, Sarita Medina, Liz Fitzgerald	STRUCTURED LENDING
ENDING LENDING AML to Close - No material changes				
	Weisel, Thomas Ed Lok	WEISEL, THOMAS	RELATIONSHIP	3/30/2015
15, No significant changes or updates There are no material changes to report. Mr. Weisel's net worth has remained constant over the past few years. He is working to pay off debt and maintain liquidity.				4-2-
8-12-13: There is negative media surrounding Lance Armstrong and Thomas Weisel's sponsorship company, Trail Wind. Investigation is ongoing with the civil suit.		32	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	San Francisco
COVERED - Domestic AML to Close - No Material Changes				
	Bern, Marc, J	Joanne Jensen	BERN, MARC. J	RELATIONSHIP
Bankers Joanne Jensen, Jennifer Shaw and team keep in regular contact with Marc Bern. To our knowledge he is satisfied with his relationship with DB. Client Marc Bern is a Senior Partner at Napoli, Bern, Ripka LLC, a nationally known plaintiff's law firm. To our knowledge, the claims against DB are with regards to its former building downtown. Paul Napoli, Marc Bern and their firm are robust and longstanding clients of banker Joanne Jensen and team. No longer pursuing litigation.		56	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York
COVERED - Domestic AML to Close - No Material Changes				
	Haesemeyer, Craig	Michael E. McCarthy	HAESEMEYER, CRAIG	RELATIONSHIP
IP 7/17/2013 On July 17, 2013, Mike McCarthy and Janet Sible spoke with Wendy to review the outstanding documents needed to create an estate account. Craig Haesemeyer is deceased. New account in the name of The Estate of Craig Haesemeyer needs to be created as soon as necessary documents are provided.	653	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVERED - Domestic AML to Close - the "Active Accounts" are Private equity accounts only. The primary acct has been closed but the account remains "open" for revenue trailers.
	Haesemeyer, Craig	Michael E. McCarthy	HAESEMEYER, CRAIG	RELATIONSHIP
IP 10/7/2013 Alex Brown account. Craig Haesemeyer has passed away. Estate account [REDACTED] has been established and assets have been transferred to the new account.	571	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVERED - Domestic AML to Close - the "Active Accounts" are Private equity accounts only. The primary acct has been closed but the account remains "open" for revenue trailers.
	Haesemeyer, Craig	Michael E. McCarthy	HAESEMEYER, CRAIG	RELATIONSHIP
IP 11/2/2012 Marci & Brett met with Craig's widow, Wendy Haesemeyer, to see if we could be of assistance and she was not ready to move forward with a trust and she was still pretty shell-shocked about the unexpected death of her husband. Mike McCarthy had an appointment to meet with Wendy in March and flew to Los Angeles before heading to another meeting in San Francisco. Mrs Haesemeyer cancelled their appointment when he reached the airport in LA. Craig Haesemeyer has passed away.	910	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVERED - Domestic AML to Close - the "Active Accounts" are Private equity accounts only. The primary acct has been closed but the account remains "open" for revenue trailers.
	Pacific Health Corporation	Malcolm Kimble	PACIFIC HEALTH	RELATIONSHIP
1/30/2015 We are unable to contact the client as this company no longer exists. This company is no longer in existence. The funds in their accounts were used to pay down a loan of credit, and \$117.04 is left in the account. We do not know where to remit these funds.	91	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVERED - Domestic AML to Close
	Edward Torres Management Trust f/b/o Lara Torres	Terrence Tangney		
TORRES, E RELATIONSHIP 3/11/2014 none DBTCNA has been removed as trustee by the trust protector and replaced by Wells Fargo.	416	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVERED - Domestic AML to Close - Account closed