

ISDA preliminary requirements:

- 1) New Account Forms (PWM Account) – n/a
- 2) Name of Counterparty -
- 3) Authorized trading persons (email, phone and fax) –
- 4) Primary contact with regards to documentation (email, phone and fax) -
- 5) 2 years of financial statements (audited preferred) -
- 6) Ownership Structure and Purpose
- 7) Bank Statements (if client does not hold a lot of assets with DB) -

Preliminary Background Information:

\*\*\*Documents should be less than a year old, if possible

- 1) Legal Name and Address of account –
- 2) Account contact email, telephone number, fax number –
- 3) Trading Capacity (as Agent or Principal) -
- 4) Nature of Business -
- 5) If trading as Agent/Investment Manager, we will need to know the Legal Entity Names of the Managed (sub) Accounts –
- 6) US Tax ID Number for US Domiciled Accounts -
- 7) Corporate Resolution Letter / Certificate of Incorporation / Certificate of Limited Partnership –

Trading Relationship Authority - Corporate Resolution, etc. If needed, you may also complete the attached blanket Corporate Resolution. This document should be printed on your company letter head, fully executed and returned to us. –

- 8) An Investment Management Agreement/Investment Advisory Agreement or Trading Authorization –
- 9) Name of a Senior/Controller Officer (CEO, COO, CFO, Principal) –
- 10) All legal representatives (List of Directors - Registrar of Directors/Annual Report/3rd Party Auditor/internal Legal Counsel) -
- 11) Senior Management - 5 Control Person(s) or all if fewer -
- 12) List of all Ultimate Beneficial Owners (25% or more):
  - a. Full Legal Name -
  - b. Nationality -
  - c. Date of Birth -
  - d. Exact amount of ownership interest -
  - e. Source of wealth -

For above UBOs with Nationality from Level 3/4 Country, Government Photo ID e.g. Passport/ Driving License required

Ownership must be documented with **Operating Agreements** if this lists a breakdown with along with a percentage of holdings of the Ultimate Beneficial Owners. Also may be done through **Share Register/ Annual Report/ Reliable 3rd party/ Internal Legal Counsel**. **\*\*If there are no such individuals nor entities please provide an email or letterhead with a statement to that effect. The information must be provided by a senior manager, internal counsel, compliance officer, etc. -**

- 10) Settlement Instructions (Full DTC instructions needed for account opening coming directly from the client) –
- 11) Products that Account is interested in trading -

\*\*\*Please keep in mind depending on the Entity Type of the Account, additional documentation or due diligence may be required from TMG QA

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