



- 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      Requestor  
Business Approver Name      Approver

**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 (dependant 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.<sup>1</sup> 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**

<sup>1</sup> 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.

For internal use only