



Wealth Management Americas Annual Client Update Form

Primary Client

Customer #

Other Clients in Update

Other Customer #

Meeting/Call Type: Phone Call In Person

Location

Meeting/Call Date

List All Participants

Is the most recent KYC on DBForce? Yes No

Client Risk Rating (leave blank if low) Moderate High

Relationship and Account Overview: (please indicate "Yes" or "No")

Is the reason for the update that an account is being opened in a new booking center? Yes No
 Are there any new parties to be included on the accounts (POAs, signatories, etc.)? Yes No
 Are there any changes in actual or expected monthly transaction activity in any account? Yes No

Financial status: (relevant for all parties contributing to source of wealth)

Did significant new funds (25% or more of existing balances) come in from an external source not previously described? Yes No
 Was there a change of 25% or more in the client's financial situation or overall wealth (e.g., income, assets, net worth) since the client's financial status was last updated? Yes No

Professional / Geographic status: (relevant for all parties involved in the relationship)

Has the client's principal residence or, for entities, principal office location, changed, or have we lost contact? Yes No
 Has the client's primary occupation or business, or where it is conducted, changed? Yes No
 If the client is an entity, has there been a change in ownership of any person owning 25% or more if the entity is publicly traded, 5% or more if the entity is not publicly traded, or any percent if the entity is a PIC? *Note: If the client is an unregistered investment company (UIC), these percentages apply to the UIC manager(s) and investment advisor(s) rather than to the UIC itself.* Yes No
 Have bearer shares been newly issued or transferred (if applicable)? Yes No

Public Exposure: (relevant for all parties involved in the relationship)

Has a party been subject to a criminal or regulatory investigation or negative media? Yes No
 Has a party become a PEP or public figure since the last review? Yes No
 Has a party become involved in or threatened litigation against any DB entity? Yes No

Suitability Assessment

Have the client's general investment guidelines, investment risk tolerance, investment time horizon, or knowledge of higher risk investment products changed? Yes No

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