

Deutsche Bank  
Private Wealth Management  
Corporate Account Information Form  
This form is for informational purposes only.

Corporate Details

Account Number:

Account Title:

LEGAL ADDRESS

ATTN:

Address:

City:

Province/County/Subdivision:

Business Phone Number:

Email Address:

Entity Information

Type of Entity (check one):

Corporate

State: \_\_\_\_\_ Zip/Postal Code: \_\_\_\_\_

Country: \_\_\_\_\_

MAILING ADDRESS (if different)

ATTN:

Address:

City:

Province/County/Subdivision:

State: \_\_\_\_\_ Zip/Postal Code: \_\_\_\_\_

Country: \_\_\_\_\_

Fax Number: \_\_\_\_\_

Client Advisor: \_\_\_\_\_

Holding Company

Corporate Pension/Profit Sharing Plan

Financial Organization

LLC

Private Equity Fund

Delaware LLC  Investment Advisor

Venture Capital Fund

Hedge Fund

Government Entity/Agency  Sole Proprietor  Other:

Is client an institutional account by one of the following definitions:

Bank, Savings and Loan Association, Insurance Company or Registered Investment Company;

An investment adviser registered either with the Securities and Exchange Commission under Section 203 of the Investment Advisers Act of 1940 or with a state securities commission or any agency or office performing like functions;

Other Entity (whether a natural person, corporation, partnership, trust or other) with total assets of at least \$50 million

If client meets any of the institutional definitions above, does client waive Deutsche Bank's suitability obligation under Financial Industry Regulatory Authority (FINRA) 2111?  Yes  No

Liquidity Needs:  Low (Somewhat Important)  Medium (Important)  High (Very Important)

Time Horizon (approximate year account owner expects to achieve the financial goals for this account):

OR o 10 years or longer

Year

Total Investments

Please note the investment types in which Client currently invests or owns (whether with DBSI and/or with other financial institutions) by indicating the

estimated value of those investments.

Equities: \_\_\_\_\_

Options: \_\_\_\_\_

Fixed Income: \_\_\_\_\_

Mutual Funds: \_\_\_\_\_

Business ID:

Number of Authorized Parties:

Country of Incorporation:

Date the entity was formed or incorporated:

Nature of Business:

Principal Place of Business:

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ETFs: \_\_\_\_\_

Real Estate Property

(excluding Primary Residence):

\_\_\_\_\_  
Variable Annuities: \_\_\_\_\_

Alternative Investments (Hedge Funds and Private Equity): \_\_\_\_\_

Structured Products: \_\_\_\_\_

Foreign Currency: \_\_\_\_\_

Tax Identification

Number: \_\_\_\_\_

Is the company publicly traded? o Yes o No

State/Province of

Incorporation: \_\_\_\_\_

Entity's Financial Details

Annual Income:

- Less than \$50,000
- 50,000-99,999
- 100,000-249,999
- 250,000-499,999
- 500,000-999,999
- 1,000,000-2,499,999
- 2,500,000-4,999,999
- 5,000,000 and over

Net Worth:

- Less than \$50,000
- 50,000-99,999
- 100,000-249,999
- 250,000-499,999
- 500,000-999,999
- 1,000,000-2,499,999
- 2,500,000-4,999,999
- 5,000,000 and over

Entity's Source of Wealth (Check all that apply)

- Inheritance or Gifts
- Corporate Executive
- Sale of Other Assets
- Professional Earnings
- Sale of Business

Federal Tax Status (check one):

- 0-15%
- 15.1-32%
- 32.1-50%
- 50.1% or more

Approx % of net worth that is investable assets:

- Sale of Securities
- Public or Gov't Official
- Lottery or Gaming
- Individual Earnings
- Sale of Real Estate
- Corporate Earnings
- Business Owner

Please further describe the Primary Account Holder's source of wealth including but not limited to employment (history if retired) earnings (salary,

bonus, commission), name of businesses owned/sold (history of growth & revenues, assets & liabilities, proceeds of sale). For inheritance/gifts include

the amount, from whom, and how originally earned.

- Other (please provide):

Entity's Investment Experience

Investment Type

Experience

(Required)

Years of  
Investing  
Equities  
Options  
Fixed Income  
Mutual Funds  
Exchange Traded Funds (ETFs)  
Variable Annuities  
Real Estate Property (excluding Primary  
Residence)  
Alternative Investments  
(Hedge Funds, Private Equity)  
Structured Products  
Foreign Currency

Account Investment Objectives/Risk Tolerance  
Investment Objectives (please select up to two consecutive investment  
objectives):

o Aggressive Growth: Investor is willing to accept substantial risk of loss  
to the portfolio to obtain growth of capital with minimal or no current  
income. Investor seeks return mainly from potential capital appreciation;  
liquidity is of no primary concern.

o Growth: Investor is willing to accept increased risk of loss to the  
portfolio with greater exposure to the equity markets or equivalent markets.  
The

objective is long-term growth of capital. Investor seeks return mainly from  
capital appreciation and/or higher yielding instruments.

o Income: Investor is willing to accept some risk of loss to the portfolio  
with exposure to income producing securities in equity, fixed income or  
equivalent markets. Investor seeks return mainly from income.

o Capital Preservation: Risk averse investor who is willing to accept  
limited risk of loss to the portfolio with limited exposure to equity  
markets risk

or equivalent risks. The objective is capital preservation with limited  
potential for capital appreciation and current income. Investor seeks  
stability

and a modest return on capital.

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None

No history

of any

transactions

Annual Activity Level (Select one)

Limited

(1-5 transactions

per year)

Moderate

(6-15

transactions

per year)

High  
(Over 15  
transactions  
per year)

Do you have brokerage accounts with other firms?  Yes  No

If Yes, please list firm name(s):

Does the owner have any other DB accounts?  Yes  No

If Yes, please list account number(s):

Banking Account Information

Banking Name:

Banking Address:

City:

Banking Phone Number:

Accountant Name:

Accountant Address:

City:

Accountant Phone Number:

Authorized Party's Personal Information

Name:

Legal Address:

City:

Country of Citizenship:

Employment Status:  Employed

Occupation and Position:

Employer's Name:

Employer's Address:

City:

Length of Employment:

Home Phone Number:

Investment Experience

Investment Type

State: \_\_\_\_\_ Zip/Postal Code: \_\_\_\_\_

Banking Email Address: \_\_\_\_\_

State: \_\_\_\_\_ Zip/Postal Code: \_\_\_\_\_

Accountant Email Address: \_\_\_\_\_

DOB: \_\_\_\_\_

SSN: \_\_\_\_\_

State: \_\_\_\_\_ Zip/Postal Code: \_\_\_\_\_ Country: \_\_\_\_\_

If not U.S. (check one):  Resident Alien  Non-Resident Alien

Self-Employed

Retired

Unemployed  Homemaker

Student

State: \_\_\_\_\_ Zip/Postal Code: \_\_\_\_\_

Business Phone Number: \_\_\_\_\_ Email \_\_\_\_\_

Address: \_\_\_\_\_

Experience

(Required)

Years of

Investing

Equities

Options

Fixed Income

Mutual Funds  
Exchange Traded Funds (ETFs)  
Variable Annuities  
Real Estate Property (excluding Primary  
Residence)  
Alternative Investments  
(Hedge Funds, Private Equity)  
Structured Products  
Foreign Currency

Are you an employee of Deutsche Bank (DB), its subsidiaries or affiliates? o  
Yes o No

If Yes, list name of DB employer:

Are you related to an employee of DB, its subsidiaries or affiliates? o Yes  
o No

If Yes, list name of employee/relationship/name of DB employer:

Are you an employee of another broker-dealer? o Yes o No

If Yes, list name of broker-dealer:

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None

No history

of any

transactions

Annual Activity Level (Select one)

Limited

(1-5 transactions

per year)

Moderate

(6-15

transactions

per year)

High

(Over 15

transactions

per year)

Are you related to an employee at another broker-dealer?  Yes  No

If Yes, list name of broker-dealer/name of employee:

Are you an employee or related to an employee of Financial Industry Regulatory Authority/other self-regulatory organization?  Yes  No

If Yes, list person and organization:

Is any owner now, or has any owner ever been, a senior corporate officer or director, or does any owner own 10% or more of any publicly-traded company's stock?  Yes  No

If Yes, provide name of company, publicly traded symbol and affiliation date:

2nd Authorized Party's Personal Information

Name:

Legal Address:

City:

Country of Citizenship:

Employment Status:  Employed

Occupation and Position:

Employer's Name:

Employer's Address:

City:

Length of Employment:

Home Phone Number:

Investment Experience

Investment Type

DOB: \_\_\_\_\_

SSN: \_\_\_\_\_

State: \_\_\_\_\_ Zip/Postal Code: \_\_\_\_\_ Country:

If not U.S. (check one):  Resident Alien  Non-Resident Alien

Self-Employed

Retired

Unemployed  Homemaker

Student

State: \_\_\_\_\_ Zip/Postal Code:

Business Phone Number: \_\_\_\_\_ Email

Address: \_\_\_\_\_

Experience

(Required)

Years of

Investing

Equities

Options

Fixed Income

Mutual Funds

Exchange Traded Funds (ETFs)

Variable Annuities

Real Estate Property (excluding Primary Residence)

Alternative Investments

(Hedge Funds, Private Equity)

Structured Products

Foreign Currency

Are you an employee of Deutsche Bank (DB), its subsidiaries or affiliates?  Yes  No

If Yes, list name of DB employer:

Are you related to an employee of DB, its subsidiaries or affiliates?  Yes  No

If Yes, list name of employee/relationship/name of DB employer:

Are you an employee of another broker-dealer?  Yes  No

If Yes, list name of broker-dealer:

Are you related to an employee at another broker-dealer?  Yes  No

If Yes, list name of broker-dealer/name of employee:

None

No history

of any

transactions

Annual Activity Level (Select one)

Limited

(1-5 transactions  
per year)

Moderate

(6-15  
transactions  
per year)

High

(Over 15  
transactions  
per year)

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Are you an employee or related to an employee of Financial Industry Regulatory Authority/other self-regulatory organization?  Yes  No

If Yes, list person and organization:

Is any owner now, or has any owner ever been, a senior corporate officer or director, or does any owner own 10% or more of any publicly-traded company's stock?  Yes  No

If Yes, provide name of company, publicly traded symbol and affiliation date:

3rd Authorized Party's Personal Information

Name:

Legal Address:

City:

Country of Citizenship:

Employment Status:  Employed

Occupation and Position:

Employer's Name:

Employer's Address:

City:

Length of Employment:

Home Phone Number:

Investment Experience

Investment Type

DOB: \_\_\_\_\_

SSN: \_\_\_\_\_

State: \_\_\_\_\_ Zip/Postal Code: \_\_\_\_\_ Country:

If not U.S. (check one):  Resident Alien  Non-Resident Alien

Self-Employed

Retired

Unemployed  Homemaker

Student

State: \_\_\_\_\_ Zip/Postal Code:

Business Phone Number: \_\_\_\_\_ Email

Address: \_\_\_\_\_

Experience

(Required)

Years of

Investing

Equities

Options

Fixed Income

Mutual Funds

Exchange Traded Funds (ETFs)

Variable Annuities

Real Estate Property (excluding Primary Residence)

Alternative Investments

(Hedge Funds, Private Equity)

Structured Products

Foreign Currency

Are you an employee of Deutsche Bank (DB), its subsidiaries or affiliates?

Yes o No

If Yes, list name of DB employer:

Are you related to an employee of DB, its subsidiaries or affiliates? o Yes o No

If Yes, list name of employee/relationship/name of DB employer:

Are you an employee of another broker-dealer? o Yes o No

If Yes, list name of broker-dealer:

Are you related to an employee at another broker-dealer? o Yes o No

If Yes, list name of broker-dealer/name of employee:

Are you an employee or related to an employee of Financial Industry Regulatory Authority/other self-regulatory organization? o Yes o No

If Yes, list person and organization:

Is any owner now, or has any owner ever been, a senior corporate officer or director, or does any owner own 10% or more of any publicly-traded company's stock? o Yes o No

If Yes, provide name of company, publicly traded symbol and affiliation date:

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None

No history

of any

transactions

Annual Activity Level (Select one)

Limited

(1-5 transactions  
per year)

Moderate

(6-15  
transactions  
per year)

High

(Over 15  
transactions  
per year)

Beneficial Owner's Information

Name:

DOB or Date of Establishment:

Legal Address:

City:

Country of Citizenship:

Employment Status:  Employed

Occupation and Position:

Employer's Name:

Employer's Address:

City:

Length of Employment:

Home Phone Number:

Investment Experience

Investment Type

OR Entity

Name: \_\_\_\_\_

SSN or

TIN: \_\_\_\_\_

State: \_\_\_\_\_ Zip/Postal Code: \_\_\_\_\_ Country: \_\_\_\_\_

If not U.S. (check one):  Resident Alien  Non-Resident Alien

Self-Employed

Retired

Unemployed  Homemaker

Student

State: \_\_\_\_\_ Zip/Postal Code: \_\_\_\_\_

Business Phone Number: \_\_\_\_\_ Email \_\_\_\_\_

Address: \_\_\_\_\_

Experience

(Required)

Years of

Investing

Equities

Options

Fixed Income

Mutual Funds

Exchange Traded Funds (ETFs)

Variable Annuities

Real Estate Property (excluding Primary

Residence)

Alternative Investments

(Hedge Funds, Private Equity)

Structured Products

Foreign Currency

FINRA/Broker Dealer Affiliations (Please Answer All Questions)

Is any owner (or person with a beneficial interest in the account) either (1) a senior military, governmental, or political official of any country, or (2)

closely associated with or an immediate family member of such an official?

Yes o No

Are any of the following employed by Deutsche Bank, its subsidiaries or affiliates, employed by a member firm or registered broker-dealer, or employed by FINRA or any other self-regulatory organization? o Yes o No (If Yes, please complete below)

Accounts owners?

o Yes o No

Any member of the same household as the account owner? o Yes o No

Any person who materially supports the account owner?

Any immediate family member of the account owner?

Any person materially supported by the account owner?

o Yes o No

o Yes o No

o Yes o No

If you answered YES to ANY of the above, please provide the following:

Name of Employee:

Name of Employer:

Relationship to Account Owner: \_\_\_\_\_

None

No history

of any

transactions

Annual Activity Level (Select one)

Limited

(1-5 transactions

per year)

Moderate

(6-15

transactions

per year)

High

(Over 15

transactions

per year)

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Is any owner now, or has any owner ever been, a senior corporate officer or director, or does any owner own 10% or more of any publiclytraded company's stock? o Yes o No  
If Yes, provide name of company, publicly traded symbol and affiliation date:  
Will anyone else be entering orders: o Yes o No  
If YES, please list name(s) (additional paperwork will be required).

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