

Deutsche Asset
& Wealth Management
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?

Are there any new parties to be included on the accounts (POAs, signatories, etc.)?

Are there any changes in actual or expected monthly transaction activity in any account?

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?

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?

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?

Has the client's primary occupation or business, or where it is conducted, changed ?

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 if 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.

Have bearer shares been newly issued or transferred (if applicable)?

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

Has a party been subject to a criminal or regulatory investigation or negative media?

Has a party become a PEP or public figure since the last review?

Has a party become involved in or threatened litigation against any DB entity?

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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Yes No

Yes No

Yes No

Yes No

Yes No

Client Activities:

Describe the client's activities in the past year. Individuals: You should include developments in the client's occupation, where the client spends most of his time, etc. Entities: You should include nature of business, income producing activities, etc.

Describe the Client's income-producing activities; est. annual income/- investable assets, any other changes in circumstances or topics discussed with client.

Have you verified this client's position as an officer or director of publically traded companies and reported any changes to your supervisor? o Yes o No

Any Other Material Changes Not Listed Above? o Yes o No

Description of "Yes" Responses and Any Other Material Changes (e.g., divorce, death):

WEALTH MANAGEMENT POLICY STATEMENT

Deutsche Bank Wealth Management worldwide is committed to professionally serve the interests of its clients. To do so,

Client Facing Professionals

(CFPs) should establish and maintain business relationships only with persons who satisfy

our high standards of suitability, background and character. Due diligence obtained on the client must be appropriately documented by the CFP. It is the responsibility of CFPs to demonstrate that they know their client both at the inception of a relationship and on an ongoing basis.

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CFPs include: Relationship Managers, Wealth Advisors, Product Officers, Brokers, Client Managers, etc.

DECLARATION BY ALL SIGNERS OF THIS FORM

To the best of my knowledge and belief the above information is correct and up to date. I confirm that I have no suspicions relating to money laundering or other illegal activities on the part of the client(s) and that I have followed all the procedures relating to account opening as described in the Wealth Management Americas Policies and Procedures and the Wealth Management Global KYC Policy.

Approvals

CFP

CFP Print Name

Account Manager/Product Officer Print Name

Date

Account Manager/Product Officer

Date

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