DB PWM GLOBAL KYC/NCA: **PART A**

KYC Case # : **01305519**   Status : **6. Approved**

One sheet must be established per relationship - list all accounts included in the relationship

1. Relationship Details			
Relationship Name:	JSC INTERIORS LLC RELATIONSHIP:00000496076	Booking Center:	New York
Relationship Manager:	Paul Morris		

Relationship to PWM:	☑ New PWM Relationship		☐ Existing PWM Relationship	
	If existing, please indicate since when the relationship exists, provide reason for new profile and attach old profile:			

How Was the Client(s) Introduced? How long has the RM personally known the client?	☑ Client Referral	☐ RM Prospect	☐ Intermediary/FIM	☐ Other Source (CIB, etc.)
	Please provide details (e.g. name of referral source, how many years RM personally has known client, etc.): Richard Kahn is a current client of Paul Morris. He referred the account as he knows the owner of this LLC and is also POA.			

Does Deutsche Bank pay a retrocession or similar compensation to a third party for the introduction of this relationship?	☐ Yes	☑ No
	(If Yes, describe):	

List all existing and new accounts involved in this relationship

	Legal Entity Account(s)	Account Name / Number	Opening Date (intended/actual)
1	☑	JSC Interiors LLC - Deposits	11/19/2014
2	☑	JSC Interiors LLC - MMA	11/19/2014

Who is the primary contact person for the RM? (Note: This person needs to have signatory rights and/or information right for the accounts.):	Richard Kahn	Preferred method of contact (indicate phone no., fax no., e-mail address, etc.):	▇▇▇▇▇

One sheet must be established for each account to be opened

2. Account Ownership Summary		
Account Name:	JSC Interiors LLC - Deposits	Acct. Number *(if available)*:
Account Manager:	Paul Morris	

What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? Checking account for daily activities associated with running an interior design company.

Indicate from where the assets are expected to arrive?

☐ DB Group: Same Booking Center (indicate account number):

☐ DB Group: Other Booking Center (indicate DB location and account details):

☑ Other Institution (Indicate name & location): JPM

☐ Physical Deposits (specify cash, securities, cheques, …):

What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)?: Roughly 10-20 inflows and outflows per month ranging from $1,000 to $10,000

What is the expected volume of assets and currency for the account approx. 90 days after opening?	25000	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	50000	Currency	USD

Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?   ☐ Yes ☑ No

Please list all parties related to the account.

For each party:
- Check if a source of wealth description is required for the party.
- Check the appropriate box to describe the relationship of the party to this account (> 1 can be selected).
- If none of the check boxes apply, describe the party's relation to the account in the "Other" column.
- Always describe the relationship between the parties in the last column.
- Please drill down to the ultimate/underlying Beneficial Owner(s).

	Legal Entity	Description of Source of Wealth required	Parties related to this account	Account Holder	PIC Owner	Settlor of Trust / Founder of Foundation	Ultimate Beneficial Owner	Signatory or Full POA	Limited POA	Financial Intermediary (FIM)	Significant Shareholder (>=25%) Non-PIC entity (indicate ownership %)	Legal Representative	Grantor/Settlor	Founding Donor	Other (please describe other roles and/or indicate relationship between parties)
1	☐	☐	Richard Kahn	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	
2	☑	☑	JSC Interiors LLC	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	
3	☐	☑	(█)	☐	☐	☐	☑	☐	☐	☐		☐	☐	☐	

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2. Account Ownership Summary		
Account Name:	JSC Interiors LLC - MMA	Acct. Number *(if available)*:
Account Manager:	Paul Morris	

What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? Money Market account to hold funds and earn interest for the interior design firm

Indicate from where the assets are expected to arrive?

- ☐ DB Group: Same Booking Center (indicate account number):
- ☐ DB Group: Other Booking Center (indicate DB location and account details):
- ☑ Other Institution (Indicate name & location): JPM
- ☐ Physical Deposits (specify cash, securities, cheques, ...):

What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)?: Roughly 1-3 inflows and outflows per month ranging from $1,000 to $10,000

What is the expected volume of assets and currency for the account approx. 90 days after opening?	25000	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	50000	Currency	USD

Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?	☐ Yes ☑ No

Please list all parties related to the account.

For each party:
- Check if a source of wealth description is required for the party.
- Check the appropriate box to describe the relationship of the party to this account (> 1 can be selected).
- If none of the check boxes apply, describe the party's relation to the account in the "Other" column.
- Always describe the relationship between the parties in the last column.
- Please drill down to the ultimate/underlying Beneficial Owner(s).

	Legal Entity	Description of Source of Wealth required	Parties related to this account	Account Holder	PIC Owner	Settlor of Trust / Founder of Foundation	Ultimate Beneficial Owner	Signatory or Full POA	Limited POA	Financial Intermediary (FIM)	Significant Shareholder (>=25%) Non-PIC entity (indicate ownership %)	Legal Representative	Grantor/Settlor	Founding Donor	Other (please describe other roles and/or indicate relationship between parties)
1	☐	☐	Richard Kahn	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	
2	☑	☑	JSC Interiors LLC	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	
3	☐	☑	▉	☐	☐	☐	☑	☐	☐	☐		☐	☐	☐	

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2. Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:	Richard Kahn - 00000486407	Date of Birth:	▮
Country of Residence:	USA	Country of Citizenship:	USA
Address of primary residence:	▮	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:	Accountant	Tax ID / SSN:	▮
Current Employer:	HBRK Associates, Inc	Position/Title/Rank:	
Address of employer:	575 Lexington Ave, 4th Fl New York NY USA 10022		

Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities	☐ Yes ☑ No
Is the individual a Politically Exposed Person (PEP)?(if Yes, describe)	☐ Yes ☑ No
To the best of your knowledge, is the individual related to an employee of the DB group?(if Family or Friendship, describe)	☐ Family ☐ Friendship ☑ None
To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?(if Yes,describe)	☐ Yes ☑ No

If applicable, indicate which bank officers have met the person:	Indicate where and when the client meeting(s) took place:				
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
Paul Morris	☐	☐	☑		11/4/2014
	☐	☐	☐		
	☐	☐	☐		

☐ Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:	
Primary Country of source of wealth/source of Funds?	
Primary industry of source of Wealth/Source of Funds?	
Summarize Source of Wealth:	☐ Business Owner ☐ Salary/Earnings ☐ Investment ☐ Inheritance/Gifts ☐ Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.)

Estimated Annual Income($):		Estimated amount of investable assets($):	
Estimated Net Worth($):		Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

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Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2. Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:	██████████	Date of Birth:	████
Country of Residence:	USA	Country of Citizenship:	
Address of primary residence:	██████████	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:	████	Tax ID / SSN:	████
Current Employer:	████	Position/Title/Rank:	President
Address of employer:	████		

Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities	☐ Yes ☑ No
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe)	☐ Yes ☑ No
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe)	☐ Family ☐ Friendship ☑ None
To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)? (if Yes, describe)	☐ Yes ☑ No

If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:				
Bank Officer Name(s)		Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
Paul Morris		☐	☐	☑		11/3/2014
		☐	☐	☐		
		☐	☐	☐		

☐ Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:	Interior Design
Primary Country of source of wealth/source of Funds?	
Primary industry of source of Wealth/Source of Funds?	
Summarize Source of Wealth:	☑ Business Owner ☐ Salary/Earnings ☐ Investment ☐ Inheritance/Gifts ☐ Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.) Yulia is an interior decorator and has earned her living through this outlet. She has lived in the US for over a year and has focused her business in New York catering to individual clients and hopes to expand over time to other locations where clients have homes

Estimated Annual Income($):	100,000.00	Estimated amount of investable assets($):	<$1 MM
Estimated Net Worth($):	<$1 MM	Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.): Married

One sheet must be established for EACH LEGAL ENTITY in Section 2. Account Summary

3C. Legal Entity Details (For all Legal Entities)			
Legal Entity Name:	███████████████		
Type of Entity:	☐ Foundation/Association ☐ Trust ☑ Company ☐ Estate ☐ Partnership	Purpose of Entity:	☑ Private Investment ☐ Philanthropic/Charitable ☐ Commercial
Type of Entity Other (specify):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	USA	Date of incorporation / registration:	11/7/2014
Volcker Status:		Volcker Flag:	
Address (city, street, post code):	575 Lexington Avenue, 4th Fl New York NY 10022 USA USA	U.S. TIN/EIN:	47-2294796

Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations, include information about revocability,settlor and beneficiaries,etc.:

Please indicate how ownership of the legal entity is reflected: ███████████████ Richard Kahn is the Manager

☑ Special attention: Bearer Shares - Indicate where shares are custodied: N/A

Describe the chain from the direct owner of the entity to the ultimate beneficial owner *(if not the same persons)*: Single member LLC ███████████ ██████ Richard Kahn is the Manager

To the best of your knowledge, is the entity party to a non-banking relationship with Deutsche Bank (e.g. external legal counsel, client referral source, supplier of goods or services)?:	Yes ☐ No ☑

Describe Nature of Entity's Primary Business and Investment Activities

Nature of the business:	███████████████████████████ and it is located in New York.
Countries where business is transacted:	USA
Number of employees:	1

3D. Wealth Profile (Only for parties requiring source of wealth description as indicated in Section 2)	
Primary Country of source of wealth/source of Funds?	
Primary industry of source of Wealth/Source of Funds?	

Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities): JSC Interiors LLC's assets come from the fees it charges its clients for its decorating services. The firm specializes in the high end and works mainly with elite private clients and companies

Estimated gross receipts p.a.($):	400,000.00
Estimated net profit p.a. ($):	300,000.00
Estimated investable assets ($):	<$1 MM
Potential Amount to be invested with PWM ($):	100,000.00
Other Known Financial Institutions:	

Institution:	JPM	Country:	USA	Est. Assets Under Mgt:	100,000.00
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

DB PWM GLOBAL KYC/NCA: US/LatAm/Int'l **PART B** [DB logo]

Relationship Name	████████████████
Risk Rating Comments:	

Booking Center	☑ NY	☐ NY/Offshore	☐ Offshore	☐ Moderate Risk	☐ High Risk	

(Compliance Signature)

☐ DB Employee	☐ DB Managed PIC	☐ DB is Trustee/Co-Trustee	☐ Bearer Shares

4. Attachments

A.	Type of Photo ID Provided	☑ Drivers License ☐ Passport ☐ National/State ID ☐ Other
B.	Checklist of names (individuals and/or entities) that were submitted for database searches is attached	☑ Yes ☐ No
C.	Please indicate the results of the database searches performed	

RDC searches complete	☑ Yes ☐ No	negative results found	☐ Yes ☑ No
PCR checks complete	☑ Yes ☐ No	negative results found	☐ Yes ☑ No
OFAC checks complete	☑ Yes ☐ No	negative results found	☐ Yes ☑ No
BIS searches complete (Lexis/Nexis, Factiva, Reuters, Dow Jones, D&B)	☑ Yes ☐ No	negative results found	☐ Yes ☑ No
Denial Orders checks complete	☑ Yes ☐ No	negative results found	☐ Yes ☑ No
Martindale-Hubbell searched (Lawyers/Law Firms only)	☐ Yes ☑ No	negative results found	☐ Yes ☐ No

D.
Please summarize any negative results from the database searches indicated above: ████████████
No negative results
No court cases

JSC INTERIORS LLC
No negative results
No court cases

RICHARD KAHN:
KYC approved in #01133377 and #01133113

E.	To the best of your knowledge, has the client ever been convicted of a criminal offense?	☐ Yes ☑ No
F.	To the best of your knowledge, has the customer ever been involved in any past litigation against Deutsche Bank AG or any of its subsidiaries or is the customer threatening litigation against Deutsche Bank AG or any of its subsidiaries? *(If Yes, provide details below and contact Quality Mgt. (LatAm/Int'l) or the Regulatory Control Group and notify Compliance immediately)*	☐ Yes ☑ No
G.	Does the client or related party have any financial or other association / interactions within countries or regimes sanctioned by the Office of Foreign Assets Control (OFAC)?	☐ Yes ☑ No
H.	Does the client or related party have any financial or other association/ interactions within high risk countries?	☐ Yes ☑ No
I.	Corporate Documentation Attached (Legal Entities Only)	☑ Yes ☐ No ☐ Not Applicable
J.	Undisclosed Principal Form Complete (Intermediaries Only)	☐ Yes ☐ No ☑ Not Applicable
K.	If Lexis/Nexis Search Results, Corporate Documents or Other Supporting Documentation is not in English, please provide an English summary of the nature/contents of the non-English Documentation:	
L.	Special Risk Factors	
	Does the account have Nexus to Special Risk Countries?	☐ Yes ☑ No
	Is the account structure unusually complex?	☐ Yes ☑ No

Is there any indication the client set up a non operating company expressly for the purpose of transferring shares to third parties?	☐ Yes ☑ No
Is there any indication this could be a prohibited business relationship?	☐ Yes ☑ No
Are the bearer shares identified subject to acceptable controls?	☐ Yes ☑ No

M. Case Comments
No records to display.

ONSHORE APPROVALS

Client Facing Professional (CFP):	Paul Morris	(Signature) Paul Morris	11/14/2014
Office Director/Business Head:	Kimberly Hart	(Signature) Kimberly Hart	11/17/2014
Regional Office Director:		(Signature)	
AML Business Risk:	Melisa Venegas	(Signature) Melisa Venegas	12/2/2014
AML Compliance:		(Signature)	

LATAM/INTERNATIONAL APPROVALS

Client Facing Professional (CFP):		(Signature)	
Account Manager:		(Signature)	
Global Market Team Head (GMTH)/Sub-Market Team Head (SMTH):		(Signature)	
AML Business Risk:		(Signature)	
AML Compliance:		(Signature)	

PRIVATE WEALTH MANAGEMENT POLICY STATEMENT: *Deutsche Bank Private Wealth Management (PWM) worldwide is committed to professionally serve the interests of its clients. To do so, Client Facing Professionals1(1) (CFP's) 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 CFP's to demonstrate that they know their client both at the inception of a relationship and on an ongoing basis.*

DECLARATION FOR 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 the money laundering or unethical activities on the part of the client(s) and that I have followed all the procedures relating to account opening as described in the PWM Americas Procedures and the PWM Global KYC Policy*

(1) Client Facing Professionals (CFP's) include: Relationship Managers, Wealth Advisors, Product Officers, Brokers, Client Managers, etc.

Deutsche Bank Americas New York