

Registration Categories

Categories

SWAP DEALER REGISTERED
EXEMPT FOREIGN FIRM APPROVED
NFA MEMBER APPROVED

Business Information

Name	DEUTSCHE BANK AG
Form of Organization	CORPORATION
Country	GERMANY

Federal EIN	132944988
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Business Address

Street Address 1	TAUNUSANLAGE 12
Street Address 2	FRANKFURT AM MAIN
City	FRANKFURT
Zip/Postal Code	60325
Country	GERMANY

Phone Number	01149 69 910-00
Fax Number	011 49 69 910-34225

Email	Not provided
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Website/URL	WWW.DB.COM
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CRD/IARD ID	Not provided
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Other Names

Not provided

Location of Business Records

Street Address 1	1 COLUMBUS CIRCLE
City	NEW YORK
State	NEW YORK
Zip/Postal Code	10019
Country	UNITED STATES

U.S. Address for Production of Business Records

Office of NFA located in New York, NY

Principal Information

Individual Information

NFA ID **0575939**
Name **AKRAM, RAJA JAWAD**
Title(s) **CHIEF FINANCIAL OFFICER**
10% or More Interest **No**
Status **APPROVED**
Effective Date **02-04-2026**

NFA ID **0541581**
Name **CAMPELLI, FABRIZIO**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **01-26-2023**

NFA ID **0497291**
Name **CHROMIK, MARCUS JOHANNES**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **04-30-2025**

NFA ID **0557663**
Name **DE SANCTIS, CLAUDIO**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **09-08-2023**

NFA ID **0577972**
Name **DEVERDUN, MARIE JEANNE CECILE**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **05-13-2026**

NFA ID **0468309**
Name **GOULDEN, MARK THOMAS**

Title(s) **CHIEF COMPLIANCE OFFICER**
10% or More Interest **No**
Status **APPROVED**
Effective Date **05-01-2024**

NFA ID **0578742**
Name **HOOPS, STEFAN**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **06-11-2026**

NFA ID **0542962**
Name **LEUKERT, BERND GUNTER**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **10-28-2021**

NFA ID **0275157**
Name **NAYAK, RAMACHANDRA**
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**
10% or More Interest **No**
Status **APPROVED**
Effective Date **10-01-2019**

NFA ID **0565113**
Name **PADOVANI, LAURA MARCELA**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **07-31-2024**

NFA ID **0486225**
Name **SEWING, CHRISTIAN**
Title(s) **CHIEF EXECUTIVE OFFICER**
10% or More Interest **No**
Status **APPROVED**
Effective Date **05-27-2015**

NFA ID **0541645**

Name	SHORT, REBECCA ANNE
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	10-19-2021

NFA ID	0506739
Name	VON MOLTKE, JAMES ADAM MARK
Title(s)	CHIEF FINANCIAL OFFICER
10% or More Interest	No
Status	APPROVED
Effective Date	08-10-2017

NFA ID	0533422
Name	VON ZUR MUEHLEN, GERD ALEXANDER
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	10-19-2020

Holding Company Information

Not provided

Non-U.S. Regulator Information

List of Non-U.S. Regulator(s) During The Past Five Years

Country	Regulator Name
GERMANY	BUNDESANSTALT FÜR FINANZDIENSTLEISTUNGSAUFSICHT (BAFIN)
GERMANY	EUROPEAN CENTRAL BANK
THAILAND	BANK OF THAILAND
UNITED KINGDOM	FINANCIAL CONDUCT AUTHORITY (FCA)
INDIA	SECURITIES AND EXCHANGE BOARD OF INDIA
REPUBLIC OF KOREA	FINANCIAL SERVICES COMMISSION/FINANCIAL SUPERVISORY SERVICE
SINGAPORE	MONETARY AUTHORITY OF SINGAPORE
TAIWAN (CHINESE TAIPEI)	SECURITIES AND FUTURES BUREAU
JAPAN	FINANCIAL SERVICES AGENCY

Disciplinary Information - Criminal Disclosures

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

THE QUESTIONS ON THIS PAGE MUST BE ANSWERED "YES" EVEN IF:

- **ADJUDICATION OF GUILT WAS WITHHELD OR THERE WAS NO CONVICTION; OR**
- **THERE WAS A CONDITIONAL DISCHARGE OR POST-CONVICTION DISMISSAL AFTER SUCCESSFUL COMPLETION OF A SENTENCE; OR**
- **A STATE CERTIFICATE OF RELIEF FROM DISABILITIES OR SIMILAR DOCUMENT WAS ISSUED RELIEVING THE HOLDER OF FORFEITURES, DISABILITIES OR BARS RESULTING FROM A CONVICTION; OR**
- **THE RECORD WAS EXPUNGED OR SEALED; OR**
- **A PARDON WAS GRANTED.**

THE QUESTIONS MAY BE ANSWERED "NO" IF THE CASE WAS DECIDED IN A JUVENILE COURT OR UNDER A YOUTH OFFENDER LAW.

For each matter that requires a "Yes" answer to Questions A, B or C below, a Criminal Disclosure Matter Page (DMP) must be filed using NFA's DMP Filing System that requests:

- who was involved;
- when it occurred;
- what the allegations were;
- what the final determination was, if any; and
- the date of the determination.

In addition, documents must be provided for each matter requiring a "Yes" answer that show:

- the charges;
- the classification of the offense, i.e., felony or misdemeanor;
- the plea, sentencing and probation information, as applicable;
- the final disposition; and
- a summary of the circumstances surrounding the criminal matter.

The documents may be provided electronically using the upload function in the DMP Filing System or sending them to NFA (See Instructions).

Question A

Has the firm ever pled guilty or nolo contendere ("no contest") to or been convicted or found guilty of any felony in any U.S., non-U.S. or military court?

No

Question B

Has the firm ever pled guilty to or been convicted or found guilty of any misdemeanor in any U.S., non-U.S. or military court which involves:

- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering, or misappropriation of funds, securities or property; or
- violation of sections 7203, 7204, 7205 or 7207 of the Internal Revenue Code of 1986; or
- violation of sections 152, 1341, 1342 or 1343 or chapters 25, 47, 95 or 96 of the U.S. Criminal Code; or
- any transaction in or advice concerning futures, options, leverage transactions or securities?

No

Question C

Is there a charge pending, the resolution of which could result in a "Yes" answer to the above questions?

No

Disciplinary Information - Regulatory Disclosures

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

For each matter that requires a "Yes" answer to Questions D, E, F, G, H or I below, a Regulatory DMP must be filed using NFA's DMP Filing System that requests:

- who was involved;
- when it occurred;
- what the allegations were;
- what the final determination was, if any;
- the date of the determination; and
- a summary of the circumstances surrounding the regulatory matter.

In addition, documents must be provided for each matter requiring a "Yes" answer that show:

- the allegations; and
- the final disposition.

The documents may be provided electronically using the upload function in the DMP Filing System or sending them to NFA (See Instructions).

Question D

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC), has a court ever permanently or temporarily enjoined the firm after a hearing or default or as the result of a settlement, consent decree or other agreement, from engaging in or continuing any activity involving:

- any transaction in or advice concerning futures, options, leverage transactions or securities; or
- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property?

No

Question E

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC), has the firm ever been found, after a hearing or default or as the result of a settlement, consent decree or other agreement, to:

- have violated any provision of any investment-related statute or regulation thereunder; or
- have violated any statute, rule, regulation or order which involves embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- have willfully aided, abetted, counseled, commanded, induced or procured such violation by any other person; or
- have failed to supervise another person's activities under any investment-related statute or regulation thereunder?

Yes

Question F

Has the firm ever been debarred by any agency of the U.S. from contracting with the U.S.?

No

Question G

Has the firm ever been the subject of any order issued by or a party to any agreement with a U.S. or non-U.S. regulatory authority (other than the CFTC), including but not limited to a licensing authority, or self-regulatory organization (other than NFA or a U.S. futures exchange) that prevented or restricted the firm's ability to engage in any business in the financial services industry?

Yes

Question H

Are any of the orders or other agreements described in Question G currently in effect against the firm?

No

Question I

Is the firm a party to any action, the resolution of which could result in a "Yes" answer to the above questions?

No

Disciplinary Information - Financial Disclosures

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

For each matter that requires a "Yes" answer to Question J below, a Financial DMP must be filed using NFA's DMP Filing System that requests:

- who was involved;
- when it occurred;
- what the allegations were;
- what the final determination was, if any;
- the date of the determination; and
- a summary of the circumstances surrounding the financial matter.

In addition, documents must be provided for each matter requiring a "Yes" answer that show:

- the allegations; and
- the final disposition.

The documents may be provided electronically using the upload function in the DMP Filing System or sending them to NFA (See Instructions).

Question J

Has the firm ever been the subject of an adversary action brought by a U.S. bankruptcy trustee?

Yes

Registration Contact Information

First Name	CHAD
Last Name	TROESTER
Title	VICE PRESIDENT
Street Address 1	5201 GATE PKWY
City	JACKSONVILLE
State (United States only)	FLORIDA
Zip/Postal Code	32256
Country	UNITED STATES
Phone	904-645-4923
Email	CHAD.TROESTER@DB.COM

Enforcement/Compliance Communication Contact Information

First Name **OMAIRA**
Last Name **CRANE**
Title **DIRECTOR**
Street Address 1 **1 COLUMBUS CIRCLE**
City **NEW YORK**
State (United States only) **NEW YORK**
Zip/Postal Code **10019**
Country **UNITED STATES**
Phone **1(212)250-5793**
Email **DBREGULATORY.REQUESTS@DB.COM**

First Name **MARK**
Last Name **GOULDEN**
Title **CHIEF COMPLIANCE OFFICER**
Street Address 1 **21 MOORFIELDS**
City **LONDON**
Zip/Postal Code **EC2Y 9DB**
Country **UNITED KINGDOM**
Phone **44(20)754-10596**
Email **MARK.GOULDEN@DB.COM**

First Name **KIRSTEN**
Last Name **SALLEY**
Title **DIRECTOR**
Street Address 1 **1 COLUMBUS CIRCLE**
City **NEW YORK**
State (United States only) **NEW YORK**
Zip/Postal Code **10019**
Country **UNITED STATES**
Phone **212-250-9190**
Email **KIRSTEN.SALLEY@DB.COM**

Membership Information

Indicate the category in which the Member intends to vote on NFA membership matters. **SWAP DEALER**

U.S. Regulator Information

Is the firm currently regulated by any of the regulators listed below? **Yes**

THE SECURITIES AND EXCHANGE COMMISSION

THE BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM

Membership Contact Information

Membership Contact

First Name	CHAD
Last Name	TROESTER
Title	VICE PRESIDENT
Street Address 1	5201 GATE PKWY
City	JACKSONVILLE
State (United States only)	FLORIDA
Zip/Postal Code	32256
Country	UNITED STATES
Phone	904-645-4923
Email	CHAD.TROESTER@DB.COM

Accounting Contact

First Name	PAUL
Last Name	MEYS
Title	DIRECTOR
Street Address 1	5201 GATE PKWY
City	JACKSONVILLE
State (United States only)	FLORIDA
Zip/Postal Code	32256
Country	UNITED STATES
Phone	904-645-4687
Email	PAUL.MEYS@DB.COM

Arbitration Contact

First Name	ERIKA
Last Name	ENGELSON
Title	MANAGING DIRECTOR
Street Address 1	1 COLUMBUS CIRCLE
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10019
Country	UNITED STATES
Phone	212-250-7297
Email	ERIKA.ENGELSON@DB.COM

Compliance Contact

First Name	KIRSTEN
Last Name	SALLEY
Title	DIRECTOR
Street Address 1	1 COLUMBUS CIRCLE
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10019
Country	UNITED STATES
Phone	212-250-9190
Email	KIRSTEN.SALLEY@DB.COM

Chief Compliance Officer Contact

First Name	MARK
Last Name	GOULDEN
Title	MANAGING DIRECTOR
Street Address 1	21 MOORFIELDS
City	LONDON
Zip/Postal Code	EC2Y 9DB
Country	UNITED KINGDOM
Phone	44(20)754-10596
Email	MARK.GOULDEN@DB.COM