德意志銀行公告

德商德意志銀行(以下簡稱本行) 於 2017 年 1 月 31 日發表聲明表示，本行與英國金融市場行為監理總署(UK Financial Conduct Authority，以下簡稱 FCA)和美國紐約州金融監理署(New York State Department of Financial Services，以下簡稱 DFS)就此之前 FCA 和 DFS 針對本行投資銀行部門洗錢防制控管機制所進行的調查達成和解。該調查涵蓋了本行於 2011 年至 2015 年期間透過莫斯科、倫敦與紐約分行所進行的部分證券交易。

依據與 FCA 的和解協議，本行同意支付約 1.63 億英鎊的民事罰金，由於本行在調查初期階段同意與 FCA 達成和解，本行符合罰金金額折價百分之三十的資格。FCA 於其報告中指出本行已投入大量資源改進洗錢防制方面的控管功能，並認可本行在這一個領域所執行的工作。FCA 也指出本行在整個其調查程序進行期間採取了非常配合和主動態度。

依據與 DFS 的和解協議，本行簽署了裁決同意書(Consent Order)，本行同意支付約 4.25 億美元民事罰金，並在最長達兩年的時間裡面對執行情況採取獨立監查。DFS 於裁決同意書中認可本行在配合调查與進行整治方面的努力，並指出其亦將本行所做的這些努力列入和解金額的評估。

上述和解金額已經基本反映計入在本行現存的訴訟費用準備金中。

誠如此前所披露，本行正在配合其他監管機構與司法執行單位針對這些證券交易進行的調查。

中文翻譯僅供參考，詳情請依英文資料。欲獲得進一步詳情，請參考本行的投資人關係網址 : https://www.db.com/ir/

Deutsche Bank

Deutsche Bank reaches settlements over Russian securities trades

Deutsche Bank (XETRA: DBKGn.DE / NYSE:DB) has reached settlements with the UK Financial Conduct Authority (FCA) and the New York State Department of Financial Services (DFS). The settlements conclude the FCA and the DFS's investigations into the bank's anti-money laundering (AML) control function in its investment banking division, including in relation to certain securities trades that occurred between 2011 and 2015 involving its Moscow, London and New York offices.

Under the terms of the settlement agreement with the FCA, Deutsche Bank agreed to pay civil monetary penalties of approximately 163 million pounds. The bank qualified for a 30 percent discount for agreeing to settle at an early stage of the FCA's investigation. The FCA noted in its findings that the bank has committed significant resources to improving its AML controls and recognises the work already undertaken in this area. The FCA also noted that the bank has been exceptionally cooperative in bringing the matter to its attention and throughout its investigation.

Under the terms of the settlement agreement with the DFS, Deutsche Bank entered into a Consent Order, and agreed to pay civil monetary penalties of 425 million dollars and to engage an independent monitor for a term of up to two years. The Consent Order acknowledged Deutsche Bank's cooperation and remediation efforts and noted that the DFS considered those efforts in arriving at the settlement amount.

The settlement amounts are already materially reflected in existing litigation reserves.

As previously disclosed, Deutsche Bank is cooperating with other regulators and law enforcement authorities, which have their own ongoing investigations into these securities trades.

About Deutsche Bank

Deutsche Bank provides commercial and investment banking, retail banking, transaction banking and asset and wealth management products and services to corporations, governments, institutional investors, small and medium-sized businesses, and private individuals. Deutsche Bank is Germany's leading bank, with a strong position in Europe and a significant presence in the Americas and Asia Pacific.

Disclaimer

This release contains forward-looking statements. Forward-looking statements are statements that are not historical facts; they include statements about our beliefs and expectations and the assumptions underlying them. These statements are based on plans, estimates and projections as they are currently available to the management of Deutsche Bank. Forward-looking statements therefore speak only as of the date they are made, and we undertake no obligation to update publicly any of them in light of new information or future events.

By their very nature, forward-looking statements involve risks and uncertainties. A number of important factors could therefore cause actual results to differ materially from those contained in any forward-looking statement. Such factors include the conditions in the financial markets in Germany, in Europe, in the United States and elsewhere from which we derive a substantial portion of our revenues and in which we hold a substantial portion of our assets, the development of asset prices and market volatility, potential defaults of borrowers or trading counterparties, the implementation of our strategic initiatives, the reliability of our risk management policies, procedures and methods, and other risks referenced in our filings with the U.S. Securities and Exchange Commission. Such factors are described in detail in our SEC Form 20-F of 11 March 2016 under the heading "Risk Factors". Copies of this document are readily available upon request or can be downloaded from www.db.com/ir.

Deutsche Bank