

1Q 2022

- On January 7, 2022, DIMA (the “Advisers”) filed an amendment to the Form ADVs on an other-than-annual update basis to add a regulatory disciplinary matter to Item 11 of Form ADV Part 1 between Deutsche Bank AG (the Advisers’ Advisory Affiliate) and the German Federal Financial Supervisory Authority (BAFIN).
- In addition, DIMA has recently completed their annual amendment filings on March 30, 2022.

2Q 2022

- DIMA (the “Advisers”) filed an amendment to the Form ADVs on an other-than-annual update basis to add regulatory disciplinary matters to Item 11 of Form ADV Part 1 between:
 - Deutsche Bank AG (the Advisers’ Advisory Affiliate) and Eurex Deutschland. In addition, an update was made to a prior DB AG disciplinary matter (between DB AG and the German Federal Financial Supervisory Authority (BAFIN).
 - Deutsche Bank AG and Frankfurt Stock Exchange
 - Deutsche Bank AG and CME Group Exchange

3Q 2022

- DIMA (the “Advisers”) filed an amendment to the Form ADVs on an other-than-annual update basis to add a regulatory disciplinary matter to Item 11 of Form ADV Part 1 between Deutsche Bank AG and the State Bank of Pakistan.

4Q 2022

- DIMA updated the Form ADV’s Part 1 Item 11 Regulatory Action and Civil Judicial disciplinary reporting pages. Please refer to the DIMA and RREEF Form ADV Item 11 for the details on the matters listed below:
 - October 2022 regulatory action between:
 - DB AG and DBSI Off Channel CFTC Settlement; and
 - DBSI and DIMA Off Channel SEC Settlement
 - November 2022
 - updates to regulatory action between DB AG and DBSI CFTC Settlement; and DBSI and DIMA Off Channel SEC Settlement previously filed in October.
 - added new Civil Judicial DRP regarding DWS Investment GMBH.