

## Cynthia Rodriguez

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**From:** Carl Timcke on behalf of PWMUS AMLKYC  
**Sent:** Tuesday, February 06, 2018 10:45 AM  
**To:** Cynthia Rodriguez  
**Cc:** PWMUS AMLKYC  
**Subject:** CLEARED: RUSH RDC Alert\_ Jeffrey Edward Epstein [I]  
**Attachments:** RDC alert\_ Jeffrey Edward Epstein.pdf; RDC alert\_ 1 Jeffrey Edward Epstein.pdf; CLEARED\_Jeffrey Epstein \_\_RDC Alert,Jeffrey Epstein\_\_PCR Aler.pdf; Chip Packard Approval - Jeffrey Epstein.pdf

**Importance:** High

Classification: **For internal use only**

Good morning Cynthia,

AML Compliance has reviewed the 2 RDC Alerts generated 2/5/18 for Jeffrey Edward Epstein, UBO of The 2017 Caterpillar Trust, a new account for the Southern Financial relationship; a relationship of the Private Bank since 2013. Both alerts contain the same subject material.

The RDC Alerts are positive matches for Jeffrey Edward Epstein as it pertains to negative information based on reputation. However, AML Compliance clears these alerts based on the attached email approval from Chip Packard with the support of senior management on an AML reputational and legal perspective to Jeffrey Edward Epstein.

AML Compliance previously reviewed the subject matter of this alert and provided clearance on August 13, 2013 for KYC 1651789. Please attach clearance and email to the KYC.

Regards,

Carl Timcke

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Carl Timcke  
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**From:** Cynthia Rodriguez  
**Sent:** Monday, February 05, 2018 5:32 PM  
**To:** PWMUS AMLKYC <[REDACTED]>  
**Subject:** RUSH RDC Alert\_Jeffrey Edward Epstein And The 2017 Caterpillar Trust [I]  
**Importance:** High

Classification: **For internal use only**

Dear AML Compliance,

Attached are RDC alerts for Jeffrey Epstein and The 2017 Caterpillar Trust, part of KYC case 01898372. The alerts reference the following:

- Caterpillar Inc being charged with fraud after disclosure of "deliberate, multi-year, coordinated accounting misconduct"
- Jeffrey Epstein pled guilty to a single state charge of soliciting prostitution

The 2017 Caterpillar Trust is a trust that Mr. Epstein created and is the grantor of. The attached RDC is a false positive and Caterpillar Inc is not part of this trust in any way. Mr. Epstein's alert has previously been cleared. See attached.

Please provide updated clearances. This is part of a rush KYC. The reason for the rush is for an upcoming acquisition where funds will need to be available by 2/7/2018. Thank you.

Kind regards,

Cynthia Rodriguez



**Cynthia Rodriguez**  
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