

## Cynthia Rodriguez

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**From:** Carl Timcke on behalf of PWMUS AMLKYC  
**Sent:** Tuesday, February 06, 2018 10:46 AM  
**To:** Cynthia Rodriguez  
**Cc:** PWMUS AMLKYC  
**Subject:** CLEARED: RUSH RDC Alert\_ The 2017 Caterpillar Trust [I]  
**Attachments:** RDC alert\_ The 2017 Caterpillar Trust.pdf; RDC alert\_ 1 The 2017 Caterpillar Trust.pdf

**Importance:** High

Classification: **For internal use only**

Good morning Cynthia,

AML Compliance has reviewed the 2 RDC Alerts generated 2/5/18 for 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. Both alerts contain the same subject material.

Our Party: The 2017 Caterpillar Trust, Incorporate din 2017 in the U.S, with an address in St. Thomas. This is a grantor retained annuity trust that holds membership interest in IGO Company LLC.

Alert Subject: Caterpillar Inc. (NYSE: CAT) is an American Fortune 100 corporation which designs, develops, engineers, manufactures, markets and sells machinery, engines, financial products and insurance to customers via a worldwide dealer network. It is the world's largest construction equipment manufacturer. Caterpillar, founded in 1925, is headquartered in Deerfield, Illinois.

AML Compliance clears these alerts from an AML perspective as a company false positive. The company name, company objective, incorporation and/or foundation date and location of Our Party do not match that of the Alert Subject.

Regards,

Carl Timcke

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Carl Timcke  
Associate | AML Compliance Officer

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**From:**  
**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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