
From: Carl Timcke [REDACTED]
on behalf of PWMUS AMLKYC [REDACTED]
Sent: 2/6/2018 10:45:37 AM
To: Cynthia Rodriguez [REDACTED]
CC: PWMUS AMLKYC [REDACTED]
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



Carl Timcke
Associate | AML Compliance Officer

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