
From: Natalie Barak [REDACTED]
Sent: 4/3/2019 10:14:06 AM
To: Daphne Cales [REDACTED]
CC: Brigid Macias [REDACTED]; Stewart Oldfield [REDACTED]
Subject: FW: returned funds to Caterpillar

Hi Daphne – do you have a minute to discuss today?

We are off-boarding this client. The last wire they sent out (bringing their account to zero) bounced back but we had already closed their deposit account.

Since it is a trust, the funds can't be credited to another entity. We wanted to re-open the account, credit the funds, resend the wire and then close the account again.

We are now being told by AOG that a new KYC must be processed in order to complete.

Is there a more efficient way to handle? Can the bank cut a check for the funds that we can mail to the client?

Natalie



Natalie Barak

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From: Stewart Oldfield
Sent: Tuesday, April 02, 2019 7:34 PM
To: Natalie Barak [REDACTED]
Cc: Brigid Macias [REDACTED]
Subject: Re: returned funds to Caterpillar

Ok. I remediated most of these last year. I land at 1:30pm tmw. Thanks

Stewart Oldfield, CFA, CAIA

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