

Subject: RE: Case #01353080 :Gratitude America [I]
From: Gaurav Bhargava <[REDACTED]>
Date: Tue, 03 Mar 2015 13:31:27 -0500
To: Amanda Kirby <[REDACTED]>
Cc: PWM AOG <[REDACTED]>

Classification: For internal use only

Hi Amanda,

Please provide a comments in KYC.

Thank you.

Kind regards,
Gaurav Bhargava

{cid:image017.png@01D0560E.586E9F40}

Gaurav Bhargava
Process Supervisor | PWM US Operations

DBOI Global Services Private Limited
Global Business Services
A-1 & A-2, Evolve - Mahindra Technology Park, Inside Mahindra World City -
SEZ, 302029 Jaipur, India
Tel. [REDACTED]
Fax + [REDACTED]
Mobile + [REDACTED]
Email [REDACTED]

{cid:image018.png@01D0560E.586E9F40}

From: Amanda Kirby
Sent: Wednesday, March 04, 2015 12:00 AM
To: Gaurav Bhargava
Subject: RE: Case #01353080 :Gratitude America [I]

Classification: For internal use only

Am I able to make a case comment? Or must it be someone from KYC?

From: Gaurav Bhargava
Sent: Tuesday, March 03, 2015 1:28 PM
To: Amanda Kirby; Yoonsun Chung
Cc: PWM AOG
Subject: RE: Case #01353080 :Gratitude America [I]

Classification: For internal use only

Hi Amanda,

Still awaiting for the case comments.

Thank you.

Kind regards,
Gaurav Bhargava

{cid:image001.png@01D0560D.E1253520}

Gaurav Bhargava
Process Supervisor | PWM US Operations

DBOI Global Services Private Limited
Global Business Services
A-1 & A-2, Evolve - Mahindra Technology Park, Inside Mahindra World City -
SEZ, 302029 Jaipur, India
Tel. [REDACTED]
Fax + [REDACTED]
Mobile + [REDACTED]
Email [REDACTED]

{cid:image004.png@01D0560D.E1253520}

From: Amanda Kirby
Sent: Tuesday, March 03, 2015 9:22 PM
To: Yoonsun Chung
Cc: PWM AOG; Gaurav Bhargava
Subject: FW: Case #01353080 :Gratitude America [I]

Classification: For internal use only

Hi Yoonsun,

Yes. It seems that a case comment is needed.

From: Gaurav Bhargava
Sent: Tuesday, March 03, 2015 10:47 AM
To: Amanda Kirby
Cc: PWM AOG
Subject: RE: Case #01353080 :Gratitude America [I]

Classification: For internal use only

Hi Amanda,

Yes, will require the case comments, As from the below email chain, the title is still not clear.

Thank you.

Kind regards,
Gaurav Bhargava

{cid:image002.png@01D055F7.56CFB3C0}

Gaurav Bhargava
Process Supervisor | PWM US Operations

DBOI Global Services Private Limited
Global Business Services
A-1 & A-2, Evolve - Mahindra Technology Park, Inside Mahindra World City -
SEZ, 302029 Jaipur, India
Tel. [REDACTED]
Fax + [REDACTED]
Mobile + [REDACTED]
Email [REDACTED]

{cid:image003.png@01D055F7.56CFB3C0}

From: Amanda Kirby
Sent: Tuesday, March 03, 2015 9:14 PM
To: Gaurav Bhargava
Subject: FW: Case #01353080 :Gratitude America [I]

Classification: For internal use only

Hi Gaurav,

Yoonsun thought it had been cleared. Do you still need a case comment?

From: Yoonsun Chung
Sent: Tuesday, March 03, 2015 10:42 AM
To: Amanda Kirby
Subject: RE: Case #01353080 :Gratitude America [I]

Classification: For internal use only

I thought they said they cleared that issue. See email below.

{cid:image001.gif@01D0559E.A370D960}

Yoonsun Chung
Vice President | AML Compliance

Deutsche Bank Trust Company Americas
Legal, Risk & Capital
60 Wall Street, 10005-2836 New York, NY, USA
Tel. [REDACTED]
Fax [REDACTED]
Email [REDACTED]

{cid:image005.png@01D0559E.A4C9B2A0}

From: Amanda Kirby
Sent: Tuesday, March 03, 2015 10:39 AM
To: Yoonsun Chung; PWM AOG
Subject: FW: Case #01353080 :Gratitude America [I]

Classification: For internal use only

Hi Yoonsun,

Gaurav just called and told me that there needs to be a case comment from KYC to confirm that the account title should be Gratitude America, Ltd and not just Gratitude America. Would you be able to do that?

Let me know.

Thank you

From: Pema Sherpa
Sent: Monday, March 02, 2015 3:02 PM
To: PWM AOG; Amanda Kirby; Yoonsun Chung
Subject: RE: Case #01353080 :Gratitude America [I]

Classification: For internal use only

Hi PWM AOG,

When you are preparing the manual EDF to upload in dbTops, you are taking the information from the account opening application and not from the KYC.

Hi Yoonsun,

Should a comment on the KYC reflecting the correct address suffice here or does the KYC have to be updated with the address?

Kind regards,
Pema Sherpa

{cid:image016.png@01D054F9.C68E2A60}

Pema Sherpa
Deutsche Bank Trust Company Americas
60 Wall Street, New York, NY 10005-2836, USA
Tel. [REDACTED]
Fax [REDACTED]
Mobile [REDACTED]
Email [REDACTED]

{cid:image017.png@01D054F9.C68E2A60}

From: Navin-Kumar Pankaj On Behalf Of PWM AOG
Sent: Monday, March 02, 2015 2:44 PM
To: Pema Sherpa
Cc: Amanda Kirby; G. Hill o; PWM AOG; Yoonsun Chung
Subject: RE: Case #01353080 :Gratitude America [I]

Classification: For internal use only

Hi Pema,

We are clearing on Point 2 & 3 however on point 1, Legal address which is given W-9 is not matching With KYC# address.

We need to put the legal address while Preparing EDF in MD3 for post ABR Approval. Can we move further with the same?

Thanks,
Navin

PWM AOG
DBOI Global Services Private Limited
Email : [REDACTED]

{Inactive hide details for Pema Sherpa---03/02/2015 02:07:51 PM---
Classification: For internal use only Hi Prashant,}Pema Sherpa---03/02/2015
02:07:51 PM---Classification: For internal use only Hi Prashant,

{cid:image018.png@01D054F9.C68E2A60}

From:

{cid:image019.png@01D054F9.C68E2A60}
Pema Sherpa/█/dbcom@DBC0EX

{cid:image018.png@01D054F9.C68E2A60}

To:

{cid:image019.png@01D054F9.C68E2A60}
PWM AOG/█/dbcom@DBAMERICAS, "G. Hill o" <G...█>, Yoonsun Chung/-
█/dbcom,

{cid:image018.png@01D054F9.C68E2A60}

Cc:

{cid:image019.png@01D054F9.C68E2A60}
Amanda Kirby/█/dbcom, Navin-Kumar Pankaj/█/dbcom

{cid:image018.png@01D054F9.C68E2A60}

Date:

{cid:image019.png@01D054F9.C68E2A60}
03/02/2015 02:07 PM

{cid:image018.png@01D054F9.C68E2A60}

Subject:

{cid:image019.png@01D054F9.C68E2A60}
RE: Case #01353080 :Gratitude America [I]

Classification: For internal use only
Hi Prashant,

What advise are you requesting from ABR?

Kind regards,
Pema Sherpa

{cid:image001.png@01D054F2.41CF5530}

Pema Sherpa
Deutsche Bank Trust Company Americas
60 Wall Street, New York, NY 10005-2836, USA
Tel. [REDACTED]
Fax [REDACTED]
Mobile [REDACTED]
Email [REDACTED]

{cid:image002.png@01D054F2.41CF5530}

From: Prashant Mahendru On Behalf Of PWM AOG
Sent: Monday, March 02, 2015 2:00 PM
To: G. Hill o; Pema Sherpa; PWM AOG; Yoonsun Chung
Cc: Amanda Kirby; Navin-Kumar Pankaj
Subject: RE: Case #01353080 :Gratitude America [I]

Classification: For internal use only

Dear ABR Team,

Appreciate if you can advise on the below issue.

Thanks,
Prashant Mahendru

PWM AOG
DBOI Global Services Private Limited
Email : ██████████

{Inactive hide details for Amanda Kirby---02/03/2015 13:35:41---
Classification: For internal use only I apologize for the confus}Amanda
Kirby---02/03/2015 13:35:41---Classification: For internal use only I
apologize for the confusion with the docs and the KYC. I submitted the KYC
with the in

{cid:image004.png@01D054F2.41CF5530}

From:

{cid:image005.png@01D054F2.41CF5530}
Amanda Kirby/█████/dbcom@DBC0EX

{cid:image004.png@01D054F2.41CF5530}

To:

{cid:image005.png@01D054F2.41CF5530}
PWM AOG/█████/dbcom@DBAMERICAS,

{cid:image004.png@01D054F2.41CF5530}

Cc:

{cid:image005.png@01D054F2.41CF5530}
Navin-Kumar Pankaj/█████/dbcom, Yoonsun Chung/█████/dbcom, "G. Hill o"
<G...████████████████████>, Pema Sherpa/█████/dbcom

{cid:image004.png@01D054F2.41CF5530}

Date:

{cid:image005.png@01D054F2.41CF5530}
02/03/2015 13:35

{cid:image004.png@01D054F2.41CF5530}

Subject:

{cid:image005.png@01D054F2.41CF5530}
RE: Case #01353080 :Gratitude America [I]

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I apologize for the confusion with the docs and the KYC. I submitted the KYC with the information they had sent me via email. I was only made aware of the official name "Gratitude America, Ltd." and that the legal and mailing address were not the same when they sent me the filled and signed account opening docs. Please let me know how I can go about updating the KYC.

Thank you,
Amanda

From: Navin-Kumar Pankaj On Behalf Of PWM AOG

Sent: Monday, March 02, 2015 1:13 PM

To: Amanda Kirby

Cc: Navin-Kumar Pankaj; Yoonsun Chung; G. Hill o; PWM AOG; Pema Sherpa

Subject: Case #01353080 :Gratitude America [I]

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Hi Amanda,

While reviewing the docs we have below issues.

1.As per account opening docs,Tax form and online form legal address is

give as 9100 Port of sale Mall, Ste 15, St Thomas,USVI 00802 however in KYC# it is given as

6100 Red Hook Quarter, B3 St. Thomas 00802 USVI. Please confirm us correct legal address and Provide us updated doc(Account opening form,tax form,Online form)/KYC# accordingly.

2.As per docs(signature card,account opening form,tax form,online form,non-Profit organisation resolution) Account Title is given as Gratitude America Ltd.

however in KYC# entity name and Account holder is givan as Gratitude America

Entity Name

{cid:image001.gif@01D054ED.C3040FB0}

Account Holder

{cid:image002.gif@01D054ED.C3040FB0}

3.On W-9Tax form box other is blank under federal tax classification grid

{cid:image003.gif@01D054ED.C3040FB0}

Please provide usabove updated docs or make correction in KYC# accordingly.

Thanks,

PWM AOG
DBOI Global Services Private Limited
Email : ██████████