

Subject: FW: Case #01353080 :Gratitude America [I]  
From: Amanda Kirby <[REDACTED]>  
Date: Tue, 03 Mar 2015 10:52:04 -0500  
To: Yoonsun Chung <[REDACTED]>  
Cc: PWM AOG <[REDACTED]>, <[REDACTED]>  
Gaurav Bhargava <[REDACTED]>

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

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{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 +000(1-[REDACTED])  
Mobile +91 [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. 1 [REDACTED]  
Fax 1 [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

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{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

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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 [REDACTED]

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

To:

{cid:image019.png@01D054F9.C68E2A60}  
PWM [REDACTED], "G. Hill o" <G... [REDACTED]>, Yoonsun Chung/-  
[REDACTED],

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

Cc:

{cid:image019.png@01D054F9.C68E2A60}  
Amanda [REDACTED], Navin-Kumar Pankaj/[REDACTED]

{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]

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Classification: For internal use only  
Hi Prashant,

What advise are you requesting from ABR?

Kind regards,  
Pema Sherpa

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{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

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

{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 [REDACTED]

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

To:

{cid:image005.png@01D054F2.41CF5530}  
PWM [REDACTED],

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

Cc:

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

{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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Classification: For internal use only  
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]

Classification: For internal use only

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

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

Thanks,

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