

Subject: Re: returned funds to Caterpillar  
From: Stewart Oldfield <[REDACTED]>  
Date: Tue, 02 Apr 2019 19:33:31 -0400  
To: Natalie Barak [REDACTED]  
Cc: Brigid Macias [REDACTED]

Ok. I remediated most of these last year. I land at 1:30pm tmw. Thanks  
Stewart Oldfield, CFA, CAIA

Deutsche Bank Trust Company Americas  
Deutsche Bank Wealth Management  
345 Park Avenue, New York, NY 10154  
Tel. [REDACTED]  
Mobil [REDACTED]  
Email [REDACTED]

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On Apr 3, 2019, at 1:10 AM, Natalie Barak <[REDACTED]> wrote:

We should escalate. Let's discuss tomorrow

Natalie Barak

On Apr 2, 2019, at 6:06 PM, Stewart Oldfield <[REDACTED]> wrote:

No. Doesn't work. Although, we may have done it just last year. Double check. This is being done to exit the relationship.

Stewart Oldfield, CFA, CAIA

Deutsche Bank Trust Company Americas  
Deutsche Bank Wealth Management  
345 Park Avenue, New York, NY 10154  
Tel. [REDACTED]  
Mobil [REDACTED]  
Email [REDACTED]

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On Apr 2, 2019, at 11:07 PM, Brigid Macias [REDACTED] wrote:

> Hi,

Please see below.

We are now being asked to process an updated KYC to re-open this account.

Suggestions?

Kind regards,  
Brigid Macias

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<image004.png>

Brigid Macias  
Assistant Vice President

Deutsche Bank Trust Company Americas  
Deutsche Bank Wealth Management  
345 Park Avenue

24th Floor  
New York, NY 10154  
Tel. [REDACTED]  
Fax + [REDACTED]  
Email [REDACTED]

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From: Sunil-F Kumar

Sent: Tuesday, April 02, 2019 5:03 PM

To: Brigid Macias <[REDACTED]>

Cc: [REDACTED]; Natalie Barak  
[REDACTED]

Subject: RE: returned funds to Caterpillar

Hi Brigid,

In the review stage we identified that approved KYC for the client is not valid as, this KYC#01898372 was valid till 13th Feb 2019 as this is a high risk client.

Please provide a valid KYC in order to approve this request.

Kind regards,  
Sunil Kumar

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<image001.png>  
PWM US Operations

DBOI Global Services Private Limited

COO Wealth Management Operations

A-1 & A-2, Evolve - Mahindra Technology Park, Inside Mahindra World City -  
SEZ, 302029 Jaipur, India

Tel. [REDACTED]

Mobil [REDACTED]

Email [REDACTED]

Please send all the PWM AOG- COB mail related Queires to our new Group E-mail ID [REDACTED]

From: Brigid Macias [REDACTED]  
Sent: Wednesday, April 03, 2019 2:14 AM  
To: Ruchi Lohani [REDACTED]  
Cc: [REDACTED]; Natalie Barak  
[REDACTED]  
Subject: RE: returned funds to Caterpillar

Good Afternoon,

Following up on the below please.

Kind regards,  
Brigid Macias

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<image002.png>

Brigid Macias  
Assistant Vice President

Deutsche Bank Trust Company Americas  
Deutsche Bank Wealth Management  
345 Park Avenue

24th Floor  
New York, NY 10154  
Tel. [REDACTED]  
Fax + [REDACTED]  
Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Brigid Macias  
Sent: Tuesday, April 02, 2019 11:09 AM  
To: Ruchi Lohani <[REDACTED]>  
Cc: Natalie Barak <[REDACTED]>; [REDACTED]  
<[REDACTED]>  
Subject: RE: returned funds to Caterpillar  
Importance: High

Good Morning,

Please see attached.

Please provide approval so we can get this account opened today.

Kind regards,  
Brigid Macias

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<image002.png>

Brigid Macias  
Assistant Vice President

Deutsche Bank Trust Company Americas  
Deutsche Bank Wealth Management  
345 Park Avenue

24th Floor  
New York, NY 10154  
Tel. [REDACTED]  
Fax + [REDACTED]  
Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Ruchi Lohani  
Sent: Friday, March 29, 2019 4:27 PM  
To: Brigid Macias [REDACTED]  
Cc: Bradley Gillin [REDACTED]; Natalie Barak  
[REDACTED]  
Subject: RE: returned funds to Caterpillar

Hi Brigid,

We would need client letter confirmation as the account is closed by customer request.

Kind regards,  
Ruchi Lohani

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<image003.png>

Ruchi Lohani  
PWM US Operations  
Tel. [REDACTED]  
DBOI Global Services Private Limited  
COO Wealth Management Operations

A-1 & A-2, Evolve - Mahindra Technology Park, Inside Mahindra World City -  
SEZ, 302029 Jaipur, India  
Tel. + [REDACTED]  
Email [REDACTED]

Please send all the PWM AOG- COB related Queires to our new Group E-mail ID  
pwmaog@list.db.com

From: Brigid Macias [REDACTED]  
Sent: Saturday, March 30, 2019 1:26 AM  
To: [REDACTED] >  
Cc: Bradley Gillin [REDACTED]; Natalie Barak  
[REDACTED] >  
Subject: FW: returned funds to Caterpillar

Good Afternoon,

RE: 42969987 - THE 2017 CATERPILLAR TRUST

Can you please approve to reopen the above account so we can credit back a returned wire?

Kind regards,  
Brigid Macias

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<image002.png>

Brigid Macias  
Assistant Vice President

Deutsche Bank Trust Company Americas  
Deutsche Bank Wealth Management  
345 Park Avenue

24th Floor  
New York, NY 10154  
[REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Natalie Barak  
Sent: Friday, March 29, 2019 3:52 PM  
To: Brigid Macias <[REDACTED]>  
Cc: Bradley Gillin <[REDACTED]>  
Subject: Fwd: returned funds to Caterpillar

Hi Brigid. Can we reopen the account? What would we need?

Natalie Barak

Begin forwarded message:

From: Richard Kahn <[REDACTED]>  
Date: March 29, 2019 at 3:35:01 PM EDT  
To: Natalie Barak <[REDACTED]>  
Cc: Bella Klein <[REDACTED]>, Stewart Oldfield  
<[REDACTED]>, Bradley Gillin <[REDACTED]>  
Subject: Re: returned funds to Caterpillar

this is a trust with limited ability on where funds can go..

trust does not allow for any of the entities that remain at DB to receive a distribution

thank you

Richard Kahn  
HBRK Associates Inc.  
575 Lexington Avenue 4th Floor  
New York, NY 10022  
tel [REDACTED]  
fax [REDACTED]  
cell [REDACTED]

On Mar 29, 2019, at 3:17 PM, Natalie Barak [REDACTED] wrote:

Hi Bella

The first step is to credit the returned funds to an existing account. Can you let me know which one?

Step two will be to initiate another wire. Kindly provide a signed letter of instruction and be sure to make note of the debit account number and dollar amount.

Please let me know if you have any questions.

Natalie Barak

On Mar 29, 2019, at 3:08 PM, Bella Klein <[REDACTED]> wrote:

Natalie,

As Trustee of The 2013 Butterfly Trust I would like to send this money to HBRK Associates for accounting fees. Wire instructions below:

Bank Name: TD Bank

Routing No: 026013673

Account Name: HBRK Associates Inc

Account No: [REDACTED]

Thank you,

Bella

[REDACTED]

Tel: [REDACTED]

On Mar 29, 2019, at 10:35 AM, Natalie Barak [REDACTED] wrote:

Hi Bella – Stewart is travelling for work so I wanted to touch base on the below. Kindly advise.

Regards,

Natalie

<image002.gif>

Natalie Barak  
Vice President | Relationship Officer

Deutsche Bank Wealth Management

Deutsche Bank Trust Company Americas  
345 Park Avenue, New York, NY 10154

Tel. [REDACTED]

Fax [REDACTED]

Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc

From: Stewart Oldfield  
Sent: Thursday, March 28, 2019 11:29 AM  
To: Bella Klein <[REDACTED]>  
Cc: Richard Kahn <[REDACTED]>; Bradley Gillin  
<[REDACTED]>; Natalie Barak <[REDACTED]>  
Subject: returned funds to Caterpillar

We had an \$8723.23 wire returned that was sent to Caterpillar. Since that account is now closed, we need to credit the funds to a different account. What's the best one to use? Thanks

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<image003.png>

Stewart Oldfield, CFA, CAIA

Deutsche Bank Trust Company Americas  
Deutsche Bank Wealth Management  
345 Park Avenue, New York, NY 10154  
Tel. [REDACTED]  
Mobile [REDACTED]  
Email [REDACTED]

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