

Subject: FW: returned funds to Caterpillar
From: Brigid Macias <[REDACTED]>
Date: Tue, 02 Apr 2019 17:07:47 -0400
To: Stewart Oldfield <[REDACTED]>,
Natalie Barak <[REDACTED]>

Hi,

Please see below.

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

Suggestions?

Kind regards,
Brigid Macias

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: Sunil-F Kumar
Sent: Tuesday, April 02, 2019 5:03 PM
To: Brigid Macias <[REDACTED]>
Cc: [REDACTED] <[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

{cid:image001.png@01D1D7AA.4A648990}
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 [mailto: [REDACTED]]
Sent: Wednesday, April 03, 2019 2:14 AM
To: Ruchi Lohani < [REDACTED] >
Cc: [REDACTED] < [REDACTED] >; Natalie Barak
< [REDACTED] >
Subject: RE: returned funds to Caterpillar

Good Afternoon,

Following up on the below please.

Kind regards,
Brigid Macias

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

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: Ruchi Lohani
Sent: Friday, March 29, 2019 4:27 PM
To: Brigid Macias <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>; Natalie Barak
<[REDACTED]>; [REDACTED], <[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

{cid:image005.png@01D06267.1A754170}

Ruchi Lohani
PWM US Operations
Tel. +44207 3382858
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. + 44207 3382108
Email [REDACTED]

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

From: Brigid Macias [mailto: [REDACTED]]
Sent: Saturday, March 30, 2019 1:26 AM
To: [REDACTED] <[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

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.

EFTA01432047

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: [REDACTED]

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

<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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