

From: Cynthia Rodriguez [REDACTED]  
Subject: RE: DB New York Acct  
Date: March 6, 2018 at 4:39 PM  
To: Richard Kahn [REDACTED]  
Cc: Bella Klein [REDACTED]; Stewart Oldfield [REDACTED]



Hi Rich,

The attached form was not included in my original email. Please have both trustees sign the attached form along with the account opening documents. Feel free to reach out if you have any questions. Thank you.

Kind regards,

Cynthia Rodriguez



Cynthia Rodriguez  
Assistant Vice President

Deutsche Bank Trust Company Americas  
Deutsche Bank Wealth Management  
345 Park Avenue, 24th Fl 10154-0004 New York, NY, USA  
Tel. [REDACTED]  
Fax [REDACTED]  
Email [REDACTED]

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**From:** Cynthia Rodriguez  
**Sent:** Tuesday, March 06, 2018 11:49 AM  
**To:** 'Richard Kahn' <[REDACTED]>  
**Cc:** 'Bella Klein' <[REDACTED]>; Stewart Oldfield <[REDACTED]>  
**Subject:** DB New York Acct

Hi Rich,

As discussed with Stew, attached are the account opening documents for the DB New York account on the 2017 Caterpillar Trust. Please have Leslie and Daphne sign the documents and we will have it opened and linked to your online banking profile. Let us know if you have any questions. Thanks!

Kind regards,

Cynthia Rodriguez





Branch number | Customer number  
The 2017 Caterpillar Trust

Dear Customer,

With the following „Depositor Information Sheet“, we wish to inform you – pursuant to Section 23a (1) of the German Banking Act (Kreditwesengesetz [KWG]) – about the **statutory Deposit Guarantee Scheme**. Please note details of the **separate contractual Deposit Protection Fund** (Einlagensicherungsfonds) of the Association of German Banks (Bundesverband deutscher Banken) are available at [www.bankenverband.de/einlagensicherung](http://www.bankenverband.de/einlagensicherung). This information sheet provides detailed information on the statutory Deposit Guarantee Scheme only.

## Depositor Information Sheet

Deposits at the Deutsche Bank AG are protected by:	Entschädigungseinrichtung deutscher Banken GmbH <sup>1</sup>	
Limit of protection:	EUR 100 000 per depositor per credit institution <sup>2</sup>	
If you have more deposits at the same credit institution:	All your deposits at the same credit institution are ‘aggregated’ and the total is subject to the limit of EUR 100 000 <sup>2</sup>	
If you have a joint account with other person(s):	The limit of EUR 100 000 applies to each depositor separately <sup>3</sup>	
Reimbursement period in case of credit institution’s failure:	7 working days <sup>4</sup>	
Currency of reimbursement:	Euro	
Contact:	Entschädigungseinrichtung deutscher Banken GmbH Burgstraße 28 10178 Berlin Germany Telephone: +49 (0)30 59 00 11 960 Email: <a href="mailto:info@edb-banken.de">info@edb-banken.de</a>	Postal address: Postfach 11 04 48 10834 Berlin
More information:	<a href="http://www.edb-banken.de">www.edb-banken.de</a>	

Acknowledgement of receipt by the depositor: Company / Name of the Depositor: **The 2017 Caterpillar Trust**

**X**  
Lesley Groff, Trustee  
First signatory name and signature

Daphne Wallace, Trustee  
Second signatory name and signature

### Additional information

<sup>1</sup>Your deposit is covered by a statutory Deposit Guarantee Scheme and a contractual Deposit Guarantee Scheme. If insolvency of your credit institution should occur, your deposits would in any case be repaid up to EUR 100 000.

<sup>2</sup>If a deposit is unavailable because a credit institution is unable to meet its financial obligations, depositors are repaid by a Deposit Guarantee Scheme. This repayment covers at maximum EUR 100 000 per credit institution. This means that all deposits at the same credit institution are added up in order to determine the coverage level. If, for instance, a depositor holds a savings account with EUR 90 000 and a current account with EUR 20 000, he or she will only be repaid EUR 100 000.

<sup>3</sup>In case of joint accounts, the limit of EUR 100 000 applies to each depositor.

Deposits in an account to which two or more persons are entitled as members of a business partnership, association or grouping of a similar nature, without legal personality, are aggregated and treated as if made by a single depositor for the purpose of calculating the limit of EUR 100 000.

In the cases listed in Section 8 (2) to (4) of the German Deposit Guarantee Act (Einlagensicherungsgesetz), deposits are protected above EUR 100 000. More information can be obtained from the website of Entschädigungseinrichtung deutscher Banken GmbH at [www.edb-banken.de](http://www.edb-banken.de).

### \*Reimbursement

The responsible Deposit Guarantee Scheme is:

Entschädigungseinrichtung deutscher Banken GmbH  
Burgstraße 28                      Postal address:  
10178 Berlin                        Postfach 11 04 48  
Germany                            10834 Berlin

Telephone: +49 (0)30 59 00 11 960  
Email: [info@edb-banken.de](mailto:info@edb-banken.de)  
[www.edb-banken.de](http://www.edb-banken.de)

It will repay your deposits (up to EUR 100 000) within 7 working days.

If you have not been repaid within this deadline, you should contact the Deposit Guarantee Scheme since the time to claim reimbursement may be barred after a certain time limit. More information can be obtained from the website of Entschädigungseinrichtung deutscher Banken GmbH at [www.edb-banken.de](http://www.edb-banken.de).

### Other important information

In general, all retail depositors and businesses are covered by Deposit Guarantee Schemes. Exceptions for certain deposits are stated on the website of the responsible Deposit Guarantee Scheme. Your credit institution will also inform you on request whether certain products are covered or not. If deposits are covered, the credit institution shall also confirm this on the statement of account.

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Kind regards,

Cynthia Rodriguez



Cynthia Rodriguez  
Assistant Vice President

Deutsche Bank Trust Company Americas  
Deutsche Bank Wealth Management  
345 Park Avenue, 24th Fl 10154-0004 New York, NY, USA  
Tel. [REDACTED]  
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Email [REDACTED]

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This communication may contain confidential and/or privileged information. If you are not the intended recipient (or have received this communication in error) please notify the sender immediately and destroy this communication. Any unauthorized copying, disclosure or distribution of the material in this communication is strictly forbidden.

Please refer to [REDACTED] for additional  
FII corporate and regulatory disclosures



## Business Deposit Account Opening Application

<b>The 2017 Caterpillar Trust</b> Account Title	<b>01/03/2017</b> Date of Incorporation		
<b>The 2017 Caterpillar Trust</b> Entity/Company Name	<b>[REDACTED]</b> Taxpayer ID Number (TIN)		
<b>6100 Red Hook Quarter B3,</b> Mailing Address	<b>St Thomas</b> City	State	<b>00802</b> Zip
Business Telephone Number	Business Fax Number	Other Number	
Legal Address (if different from mailing address)	City	State	Zip

### Client Relationship

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> Corporation             | <input type="checkbox"/> Limited Liability Company (LLC)     | <input type="checkbox"/> Attorney Escrow Account  |
| <input type="checkbox"/> Foundation              | <input type="checkbox"/> Partnership                         | <input type="checkbox"/> Landlord Master Escrow   |
| <input type="checkbox"/> Non-Profit Organization | <input type="checkbox"/> Limited Liability Partnership (LLP) | <input checked="" type="checkbox"/> Trust Estates |

### Private Wealth Premium™

#### DBTCA Accounts

- Checking Account
- Checking with Interest
- Money Market Deposit
- DBTCA Certificate of Deposit
 

APY	Term
-----	------
- Cash Master Sweep Account
 

Target Amount	Trigger Amount
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#### Deutsche Bank AG NY Branch Accounts

- Deutsche Bank AG NY Preferred Banking Account
- Deutsche Bank AG NY Preferred Certificate of Deposit

APY	Term	Promo term
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(DBTCA deposit account required, along with a DB AG Preferred Terms and Conditions)

#### Banking Services

- Deluxe Checkbook
 

<input type="checkbox"/> Name Only	<input type="checkbox"/> Name and Address	
Style	Code	Color

- Debit Cards—Business Debit Card

#### Duplicate Statement

Name

Address

City State Zip Code

#### Internet Banking Services

- DB Private Wealth Online Plus
- Link to existing online relationship:

## Notice of Customer Identification Policy

### Important Information

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify and record information that identifies each person who establishes an account, investment or other business relationship with a financial institution. This means that we will ask for your name, address and other information that will allow us to identify you. We may also ask to see identifying documents such as a certificate of formation or good standing (legal entities) or a passport or other photo identification (individuals).

### Information Sharing

You authorize Deutsche Bank to share information about you and your Account as set forth in our Privacy Policy, including any disclosures that (1) Deutsche Bank believes are required by applicable law and regulations that apply to Deutsche Bank or others, including disclosure of information about you and your Account to any government agency or self-regulatory body on request, (2) is necessary or appropriate in connection with Deutsche Bank's provision of services under this Agreement, or (3) is requested by a financial institution, financial intermediary, or other third party in order to assist such person with compliance with law applicable to such person in connection with services provided to you or on your behalf.

### 3rd EU Notice

Governmental rules have also broadened the scope of the Bank's obligations to aid in the fight against money laundering and terrorist financing; these rules call for an active involvement of both asset management firms and their clients. For new and existing clients we currently have a legal obligation to ask our customers questions regarding their identities, addresses, source of funds and, if necessary, legal representatives, authorized signatories, beneficial owners or control structures and to collect requisite documentation to substantiate the information. Also, enhanced anti-money laundering requirements require that should any of the above personal or institutional information change, our clients would be obliged to immediately notify us of the change(s) and provide us with relevant documentation to verify these changes.

### ATM/Debit Service

You agree that the retention or use of the ATM/Debit card constitutes acceptance of the terms and conditions of the Cardholder Agreement contained in the Terms and Conditions of Deposit Accounts.

### Internet Banking Service

If you have selected to receive Internet Banking Services, you understand that you will be required to enter into a separate Internet Banking Services Agreement with DBTCA before you can access the Internet Banking Service.

### Acknowledgement of Receipt of Privacy Notice

By signing below, you acknowledge receipt of DBTCA's Privacy Notice included in the Application Package.

## Non-U.S. Organizations:

### Confirmation of Tax and Compliance Responsibilities

You confirm that it is your responsibility to fulfill any tax obligations and any other regulatory reporting duties applicable to it in any relevant jurisdictions that may arise in connection with assets, income or transactions in your account(s) and your business relationship with DBTCA. Furthermore, you confirm that the necessary information (to the best of your knowledge and capabilities) is made available no less than annually to the relevant beneficial owner(s), settlor(s), beneficiary(ies), partner(s), etc., to enable him/her/them to fulfill any respective tax obligations that may arise for him/her/them in connection with your business relationship with DBTCA.

Please complete and attach separate W-8 or W-9 documentation as applicable.

### Terms and Conditions and Representations

By signing below, you acknowledge receipt of the Terms and Conditions for Deposit Accounts attached to this Application and agree to be bound by them. In addition, you agree to notify us immediately of any material change to the information provided by you on this Application.

You represent and warrant that all of the information provided by you on this Application is accurate.

The Terms and Conditions for Deposit Accounts are subject to change.

# Acceptance

You understand that this application is subject to acceptance by DBTCA.

 Authorized Signer	 Authorized Signer
 Print Name	 Print Name
 Date	 Date

## For Bank Use Only

Reviewed by: \_\_\_\_\_

Signature \_\_\_\_\_

Name \_\_\_\_\_

Title \_\_\_\_\_

Date \_\_\_\_\_

Accepted by DBTCA:

Signature \_\_\_\_\_

Name \_\_\_\_\_

Title \_\_\_\_\_

Date \_\_\_\_\_

Account numbers:

DDA \_\_\_\_\_ NOW \_\_\_\_\_

MMDA \_\_\_\_\_ CD/DBAG \_\_\_\_\_

## Request for Taxpayer Identification Number and Certification

Give Form to the  
 requester. Do not  
 send to the IRS.

Print or type See Specific Instructions on page 2.	1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank. <b>The 2017 Caterpillar Trust</b>		
	2 Business name/disregarded entity name, if different from above		
	3 Check appropriate box for federal tax classification; check only one of the following seven boxes: <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input checked="" type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ Note. For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner. <input type="checkbox"/> Other (see instructions) ▶ _____		
	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ <small>(Applies to accounts maintained outside the U.S.)</small>		
	5 Address (number, street, and apt. or suite no.) <b>6100 Red Hook Quarter B3,</b>	Requester's name and address (optional)	
	6 City, state, and ZIP code <b>St Thomas 0 08002</b>		
	7 List account number(s) here (optional)		

### Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.

Social security number	
0 9 0 - 4 4 - 3 3 4 8	
OR	
Employer identification number	

### Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- I am a U.S. citizen or other U.S. person (defined below); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

<b>Sign Here</b>	Signature of U.S. person ▶	Date ▶
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### General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.  
**Future developments.** Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at [www.irs.gov/fw9](http://www.irs.gov/fw9).

#### Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)

- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See *What is backup withholding?* on page 2.

By signing the filled-out form, you:

- Certify that the TIN you are giving is correct (or you are waiting for a number to be issued).
- Certify that you are not subject to backup withholding, or
- Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
- Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting?* on page 2 for further information.

Deutsche Bank  
Wealth Management

### Signature Card

Deutsche Bank Trust Company Americas

#### The 2017 Caterpillar Trust

Account Holder Title \_\_\_\_\_ Account Number \_\_\_\_\_  
 Individual  ITF/POD/ATF\*  Corporate  Limited Liability Corporation  Number of Signatures Required: **1**  
 Joint, with Rights of Survivorship  Joint, Tenants in Common  Partnership  Other: **trust**

**Daphne Wallace**

Print Name

**Lesley Groff**

Print Name

Signature \_\_\_\_\_

Print Name

Signature \_\_\_\_\_

Print Name

Approved \_\_\_\_\_

Date

Power of Attorney \_\_\_\_\_

Specimen Signature \_\_\_\_\_

Date of Power of Attorney \_\_\_\_\_

\* For ITF/POD/ATF See Supplemental Terms and Conditions



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