

**Third Party Custodian Onboarding and Account Opening Implementation Checklist for UMR IM**

Item	Onboarding Activity	Custodian	Pledgor	Secured Party	Notes
	Custodian notified of new Custody of Collateral Account Pairing	X	X		
	KYC & AML Review	X	X	X	
	Cash Reinvestment Options/Discussion for Cash Balances	X	X	X	
	Master Custody Agreement finalized	X	X		
	Master Custody Agreement executed	X	X		
	Account Naming Conventions & Pairing Confirmed	X	X		
	Release Authorization Model; Confirm Instruction Workflow	X	X	X	Single vs. Dual; Utility
	Confirm Custodian Reporting/Reconciliation	X	X	X	MT535
	External Parties Release Authorization Model	X	X	X	Confirmation received from the Pledgor entity on the release model agreed upon with the Secured Party (single authorization or dual)
	Inbound/Outbound Trade Instruction/Confirmation/Reporting Testing	X	X	X	Pledging entities' delivery mechanism and format; Secured Party entities' delivery mechanism and format
	Account Control Agreement Finalized	X	X	X	Include language for authorization model, utility, and reporting requirements
	Account Control Agreements Executed	X	X	X	
	Account Opening	X			
	Confirmation of Reinvestment Vehicles to Setup		X	X	
	Complete Market Specific Documents to Open Document Markets, if any	X	X		Examples: tax docs for JGBs
	Custodian Accounts Opened for Counterparty Pairings	X			
	External Counterparty Access Authorization	X	X		
	Provide Operating Documents, such as FTTOP & Authorized Signers List, etc.		X	X	

*This document is intended as an information resource only; it does not contain legal advice and should not be considered a guide to or explanation of all relevant issues or considerations in connection with the impact of margin rules on derivative transactions. The information presented here is generic and summary information of current market practices, and the requirements for individual custodians or other parties may differ. The precise documentation, onboarding and account opening procedures for each custodial account remains the responsibility of the parties concerned. ISDA and SIMFA AMG assume no responsibility for any use to which any of these materials may be put.*

### Triparty Provider KYC Checklist and Account Opening for UMR IM

Item	Onboarding Activity	Pledgor	Secured Party	Notes
	Formation Documents (Articles of Incorporation, Certificate of Formation or LLC/LP Agreements, Extract from the business register) including physical address	X	X	
	Operating agreement, including list of officers and owners	X	X	
	Legal Entity Identifier	X	X	
	Countries of customer's significant business operations	X	X	
	Signature List (notarized in original if possible or a copy signed by a company secretary)	X	X	
	Financial Statements/Annual report	X	X	
	Tax Documents (W-8/W9/FATCA Self-Certification form)	X	X	
	Prospectus of Fund, if applicable	X	X	
	Investment management agreement, if applicable	X	X	
	Regulatory License (entry in the relevant regulator's website is sufficient, if regulated)	X	X	
	MIFID, as applicable	X	X	
	AML Policy, as applicable	X	X	
	AMLQ, as applicable	X	X	
	OFAC questionnaire	X	X	
	Counterparty Pairings	X	X	
	Profile Activation	X	X	
	Eligible Collateral Schedule	X	X	

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