

In case of buy, TAG verifies fund name, identifier if updated on global plus. Quantity of shares is used to calculate required pay to amount and Price of one security is checked under security tab on global plus.

- In case of Custody accounts : 1. For German clients, whenever EEA client type is retail, only Accommodation Sell trades are permitted via US WM moreover as an interim solution, the GAT banker will need to attach a copy of email with a call back stamp to reflect the required information was disclosed to the client.. If client has trading account in WM Germany, DVP trade can be executed.
- 2. For Non-German Client, whenever EEA client type is retail, Mutual/Hedge funds- Buy is not permissible, only Sell.

Free Receipt Security to Global plus

Free Receipt Mutual/Hedge Funds to Global plus

HRM Policy Apply: NO

Supporting Document - Not required.

If there is an attachment, we should check CUSIP# , name of the security , Units and other details with the attachment on the case.

Securities Information like Unit, Identifier, delivering Party should be mentioned in the case.

Statement from delivering broker is helpful to State Street as well as the firm name and DTC #, contact number and contact name.

Note: - For Custody accounts (Starting 26th Dec 2018): Since Custody accounts are not permitted to buy any mutual funds or ETFs, there is a possibility that some clients might transfer off shore funds into their custody account. As a control to prevent transferring in of offshore funds, GAT banker's will note in the TEAS ticket that they have "confirmed that the asset is not an off shore fund".

Free Delivery Mutual/Hedge Fund From Global plus to Another Institution

Free Delivery; Security From Global plus to Another Institution

Internal Security Transfers; Mutual/Hedge Funds Global plus

Internal Security Transfers Security - Global plus

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