

HRM Policy applies - NO

Check Points

- a. **For IA accounts** - Jennifer Barker/ Mary Keaveney or Robert Deffense approval is necessary (only e-mail is acceptable) for IA accounts for both Maintenance and FEE Setup cases.
- b. **For GIM Accounts**- Kevin Brodbeck and Oliver Esslinger (Deepak puri backup approver) approval is necessary for GIM accounts for both Fee set-ups and Fee maintenance cases.
- c. **For GAT accounts**-ORM Approval approval is necessary for GAT accounts for both Fee set-ups and Fee maintenance cases.

Exception: For Trust accounts No approval is required however, in case of Maintence fee case type if it is fee reversal case then David Wolkenbrod, Edward Golden or Paul Bett approval is required.

Special Points: _____

- a. For IA accounts -TAG will check that charge date for new monthly fees is the 3rd Friday of the following month and all income and principal portfolios are included.
- b. For Trust Accounts Trust can take any date as charge date of the fees.
- c. For Custody account Charge date should be 1st Business day + 3 Business days.
- d. AOG is authorized to create final fees without any documentation.

Notes:

- a. TAG verifies that the Fields in ticket is updated as per approval Email.
- b. For Final Fees : account should be in Termination status.
- c. If Adhoc Fees is charged then need to verify the balance in Global plus.
- d. When ATNT Team creates "Maintenance Fee Gplus" case to charge final fees and "AIF" status of the account is "Yes" then TAG supposed to check balance in the account from GBSA perspective otherwise case will be rejected.

Checkbook Order Banking:

For internal use only