

Change Domicile Checklist

Approval checklist to change domicile to a non-US country

Account Holder(s) Name: _____

EEA

Specific? Task Description

- 1 Yes Is it an EEA retain country (Austria, France, Germany, Italy, Spain, Portugal, Netherlands and UK) and meet or exceeds the financials criteria (relationship level: CBV>Eur2m or Annualized Rev Eur20k)
- 2 Yes Is it an EEA retain country (Austria, France, Germany, Italy, Spain, Portugal, Netherlands and UK) but fails to meet financials criteria (relationship level: CBV>Eur2m or Annualized Rev Eur20k), obtain COO approval to retain
- 3 Yes If Germany, customer to be transferred to GAT
- 4 Yes Was the client assigned to EEA dedicated banker team
- 5 Yes Is the new EEA country = Netherlands or Germany. If yes, brokerage acct is not permitted
- 6 Yes If country is not an EEA retain country, can EEA country be serviced on a reverse solicitation basis (US compliance to confirm)
- 7 Yes If country is not an EEA retain country, was COO approval to retain granted
- 8 Yes If country is not an EEA retain country, was additional EEA country communicated to Central DCO (Kim/Julie to facilitate)
- 9 No Was the client approved for non-target coverage (use non-target paper form)
- 10 Yes Was the client approved by EMEA legal & compliance
- 11 Yes Is the "Banker" attestation form confirming that reverse solicitation is not required on file
- 12 No Tax documents received and Tax approval obtained by ABR/Tax Team
- 13 Yes Client does not hold a non-discretionary DPM account
- 14 Yes Client does not hold a brokerage with ISG/IWP or if it does it has a HNW exemption or local exception approval
- 15 Yes Client classified as EEA in dbForce (EDR completed)

Business Manager Signature: _____

Date: _____

EEA country list: Austria, Belgium, Bulgaria, Czech Republic, Cyprus, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden & United Kingdom.
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