

A0 AM 1.1 (2)

London Equities - Account opening check list

2 Eye	4 Eye	SL NO	Check list for GED Imagine	2 Eye	4 Eye	
General Duplicate Check	Y	1	Customer name - Party Name			Y
General Mandatory info	Available in Req Notes		Email			
Y	2		Address & Code Field	Y		
General CASSIT ID Check -	Name Change	N	3	Account Type &		
Regulatory Agency	Y					
SL NO	Check list for eSpear application		2 Eye	4 Eye	4	
Account # & Ext Cust Code	Y					
1	Account Name - Less than or equal to 32 char		Y			
2	Sub Account Name - Less than or equal to 32 characters				Y	
3	Abbreviation - Less than or equal to 15 characters				Y	
SL NO	Check list for GBE	2 Eye	4 Eye			
4	Country Code - As per Db client /dbcar	Y	1	Account		
Maint Tab - Mandatory Info						
5	Codes- Input as per the procedure	Y	2	Account		
XRef Tab - Mandatory Info						
6	Product Area - Prime brokerage field updated					
7	FSA Firm Reference Number	CSGN	Client Tier	SL NO		
Checklist for CB Imagine	2 Eye	4 Eye				
8	Alert Acronym & Access code fields Updated		1	Name &		
Code (Abbreviation)	Y					
9	Confirmation-Email	Oasys	Fax			
Swift	Y	2	Account Type, Acc Number & ODC No	Y		
10	Option Account retained in closed status in eSpear			Y		
11	Signature, Screen prints of the applications		Y	SL NO		
Check list for DB Trader OTC FNO/IPB	2 Eye	4 Eye				
SL NO	Check list for Fidessa application	2 Eye	4 Eye	1		
Name and address as per dbcar	Y					
1	View Field - Abbreviation as per eSpear	2	codes(as per			
procedure)	Y					
2	Description - Sub account name as per dbcar		3	Agreement		
number	Y					
3	Fund / Gets - eSpear clim number	4	Approved	Y		
4	Parent Id , Country Code					
5	Popular account - Field populated to "Y"	SL NO	Checklist for			
G1	2 Eye	4 Eye				
6	French Tax Indicator	1	CP code(With fund name and address)			
7	Client side - Mandatory Info Updated	2	Currency and			
confirmation						
8	Customer control account - Mandatory Info updated			3		
status live/Fee at 100 'Y'						
9	Client code is "ACTIVE"	4	Zero consideration'Y'			
10	Confirmations-Email		Fax	5		
Margin updated as per templete						
6	Major and short code updated					
SL NO	Check list for EDI application	2 Eye	4 Eye	7		
Confirmations-Email		Fax	Swift			
1	Full name - Legal Name / Trading name or Trading name			Y		
2	Investment Manager name - Legal name as per db client			Y		

SL NO Checklist for XOL 2 Eye 4 Eye
 3 Full address - Standard Format Y 1 Abbreviation as per eSpear
 4 Update Trading Id/ sub a/c ID & Acc Number in Reference page
 Y 2 City as per DB Client
 5 Approved Y 3 Display label to be selected
 4 Counterparty field to be added
 SL NO Check list for Tracer application 2 Eye 4 Eye
 1 Create Temporary Clim
 2 Filter the Counterparty X Reference as per the Xpty Xref group
 General Db CAR Cross Reference Done Y
 3 Update the Tracer portal code under Client's Default A/c Code
 General Confirmation email sent to requestor Y
 London Equities - Account-Maintenance check list
 SL NO Check List For Amendments: 2 Eye 4 Eye
 1 Check for Authorized approver or Relevant approvals
 2 Re-confirmation from requestor by proving specific confirmation available in copy over A/c. Email Oasys Fax Swift
 3 Client mail or docs,S/S of the Client website,Original Bloomberg S/S,VP & above approval.Email Oasys Fax Swift
 4 Check the requested (Party Name/TR Name/TR Transfer/Address) name is reflecting in Db Car Db Client
 5 Amend the required fields in downstream systems
 6 Reopen the account in all the DSS as per the mail
 7 Take pre and post screen shots
 8 Update the activity in Process Tracker
 9 Confirmation email sent to requestor
 SL NO SYSTEMS 2 Eye 4 Eye SL NO SYSTEMS 2 Eye 4 Eye
 1 E - Spear 3 6 CB Imagine 1
 2 DB Trader OTC FNO / IPB 1 7 EDI 1
 3 Fidessa 8 Global1
 4 GBE 9 XOL 1
 5 Ged Imagine 2 10 Tracer
 SL NO New Updates 2 Eye 4 Eye Activity Type :-Convertible Bonds and GED
 1 Matching ID Type updated in eSpear - Swap Account ONB NUM :- ONB-1163623
 2 Valid for US Dollar Repo updated to N - External Non PB A/cs
 3 A/C NO : -102041841601 , 102041841602
 4
 5
 Client Static Comments
 Maker:- Soumya Devadiga Checker:-
 Date/Time:- 23/05/2018 21:48 Date/Time:-
 Signature:- Soumya Signature:-
 Version Control No - 1.2
 Approved By : Rajesh Kumar
 Date : 21-09-2017
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 Y

Field Wise

5

- SL NO Check list for eSpear application Input 4 Eye
- 1 Account Name – Less than or equal to 32 characters
 - 2 Sub Account Name -Less than or equal to 32 characters
 - 3 Abbreviation - Less than or equal to 15 characters
 - 4 Country Code - As per Db client
 - 5 Codes- As per procedure
 - 6 Prodcut Area - Prime brokerage field updated
 - 7 FSA Firm Reference Number - Field updated
 - 8 CSGN(Client Tier)
 - 9 Alert Acronym & Access code fields Updated
 - 10 Address- Registered address updated as Db client
 - 11 Confirmations - Email/Oasys/Fax confirmation field
 - 12 Option Account closed in eSpear
 - 13 Client Tier Updation as per CSGN Code
 - 14 Linkages
 - 15 Seal,Signature,Hard copies of the applications attached to request

SL NO Check list for Fidessa application Input 4 Eye

- 1 View Field - Abbreviation as per eSpear
- 2 Description - Sub account name as per Db client
- 3 Client code as per DB Client (ODC Number)
- 4 Fund / Gets - eSpear clim number
- 5 Parent Id - As per the request
- 6 Country Code - As per Db client
- 7 Popular account - Field populated to "Y",
- 8 French Tax Indicator

Client side

- 1 DB ID - DB Client Party ID
- 2 MGCO - 10109370017
- 3 GETS - 921000201
- 4 Description - Party Name
- 5 View & BIC Field
- 6 CTAC - Y

Customer control account

- 1 Description - Customer control account
- 2 Capacity - Customer control account
- 3 View & BIC Code - Client code endingwith CCA
- 4 Fund - CCA
- 5 Popular account - Field populated to "Y"

SL NO Check list for EDI application Input 4 Eye

- 1 Full name - Legal Name / Trading name or Trading name
- 2 Counterparty type - If requested
- 3 Domicile - As per db client
- 4 Investment Manager name - Legal name as per db client
- 5 Full address - As per db client & Format of the address as per the

Procedure

- 6 Change Entity - Update the entity
- 7 Trading Id - Update the trading ID in Reference page
- 8 Cross refer the account numbers in reference page of EDI
- 9 Approved

- SL NO Check list for GED Imagine
- 1 Customer name - Party Name
- 2 Address - Registered address
- 3 Code Field - DBS or DBO followed by Account number
- 4 Account Type(ACCT/CPTY) - Based in MIFID clasification
- 5 Regulatory Agency - GLOB / AUS
- 6 Account # - eSpear account abbreviation
- 7 Ext Cust Code - Account number
- 8 Customer type - XOL (If Required)

SL NO Check list for GBE

Account maintenance Tab

- 1 Legal entity - DBLON
- 2 Type - Client / Broker
- 3 Business - Cash
- 4 Bulk Type - None
- 5 Risk control Group - None
- 6 Client - Party Name
- 7 Sub Account - Abbreviation

Account XRef tab

- 8 External Type - DBTLDN & Fidessa
- 9 External Code - Abbreviation & Account number
- 10 Valid form - Date YYYY-MM-DD (Previous working day)

SL NO Checklist for CB Imagine

- 1 Code(Abbreviation)
- 2 name as per DB client
- 3 Account Type(C)
- 4 Account number and ODC number

SL NO Check list for DB Trader OTC FNO/IPB

- 1 Name and address as per DB client
- 2 codes(as per procedure)
- 3 Agreement number

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