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FAL Online

User overview and glossary of terms for IMs and other Interested Parties

14th July 2021

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Background

The new Funds at Lloyd's (FAL) Online portal provides a central location to view and download FAL Member portfolio data. There is also additional functionality to exchange secure information via a document upload application and secure messaging service.

Please note, FAL Online does not support any robotic or web scraping activities, as detailed in our terms and conditions.

Please see FAQs for details of how to sign up.

Accessing the Portal

To access the portal, navigate to www.lloyds.com and select 'Log in' from the navigation bar at the top right hand side of the screen.


Sign in using your username and password. Once your account profile area has loaded, select the 'FAL Online' link from the Lloyd's Tools menu.

Navigation Menu

Upon login, you will land on a central dashboard, where you can navigate to any page.

The main navigation menu is populated at the top left of the page, along with the secure messaging feature, which is located to the top right of your screen (denoted by the email envelope icon).
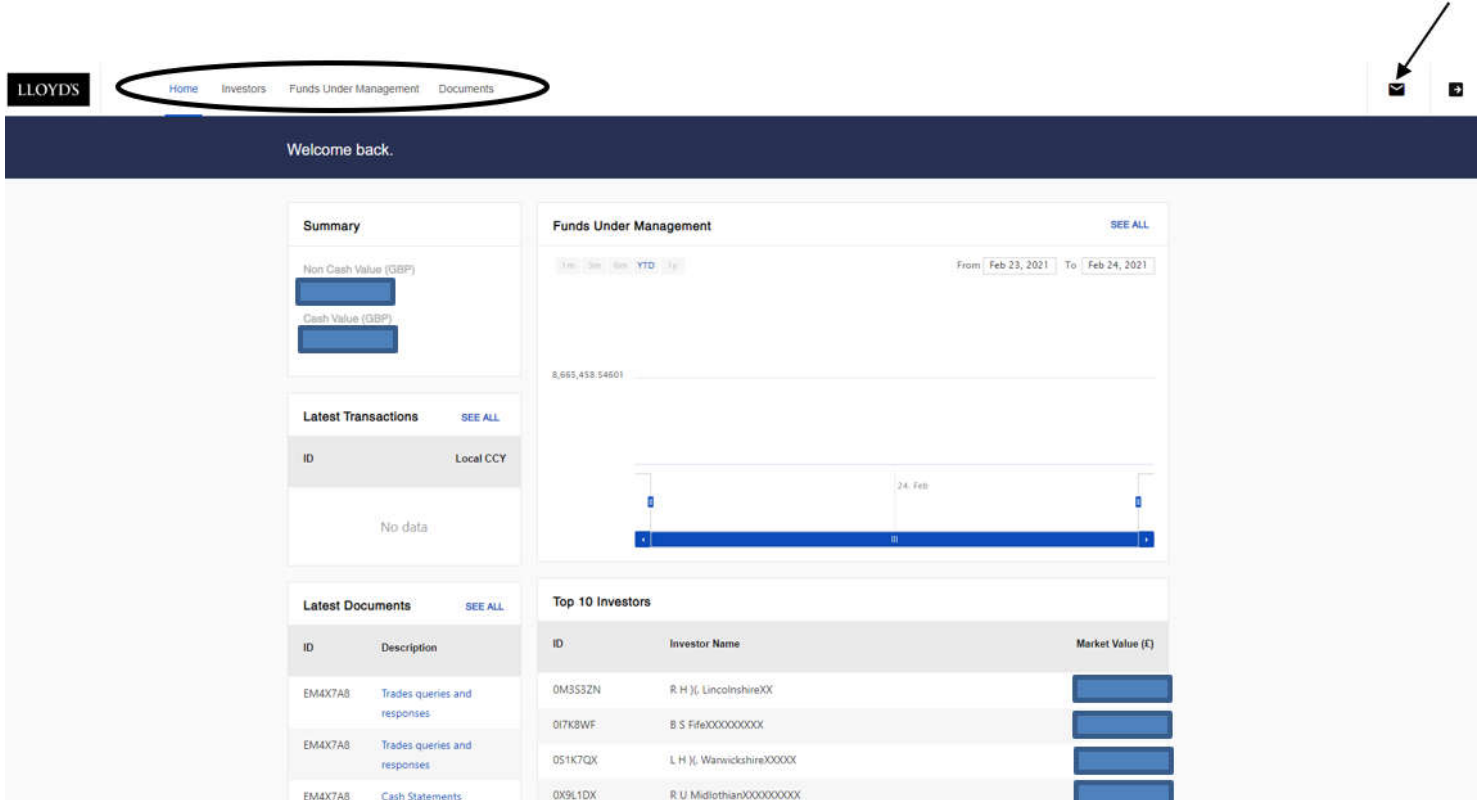
Home Dashboard

Below the navigation menu, is the home dashboard, which contains the following features:

Summary

A combined GBP total FAL value (cash and non-cash) for all the clients who have provided you with access. Please note that any non-GBP cash or assets have been converted to reflect a GBP value.

Latest Transactions

These are the most recent cash and stock movements, transacted for clients who have provided you with access. Click 'SEE ALL' for a full breakdown of transactions.

Latest Documents

The latest documents which have been uploaded to the portal by either you or Lloyd's, which are attributed to any of the clients who have provided you with access. Click 'SEE ALL' to see a full breakdown of document uploads.

Funds Under Management

A graph representation of the total GBP value of FAL holdings (cash and non-cash), for all the clients who have provided you with access. The date period can be amended as per your requirements.

Funds Under Management   SEE ALL

| 1m | 3m | 6m | YTD | 1y | From | Apr 10, 2021 | To | May 10, 2021 |

9,000k

8,900k

8,800k

8,700k

8,600k

24. Feb   10. May

Insights from Lloyd's

Links to Lloyds.com articles, which may be of interest to you.

Insights from Lloyd's

Complex Risk Platform

A digital, end-to-end platform that complements face-to-face negotiation to submit, quote, bind, issue, endorse and renew complex risks for insurance and reinsurance business. This will evolve over time from a 'document-plus-data' to a 'data-first' solution.

Future at Lloyd's blueprint

The Future at Lloyd's will support this new way of working by continuing the digitalisation of the market.

Services hub

The services hub is at the heart of Lloyd's future value proposition, building on existing capabilities and providing new, innovative services that offer value to market participants, customers and a competitive advantage for Lloyd's.

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Investors

This page displays a list of Lloyd's clients and corresponding fund and profile information. If you are an Investment Manager (IM) or dealing broker, the list will contain all the Investor portfolios, for which you have been appointed by the client. If you are not an IM or dealing broker, the list will contain all the client portfolios you have been granted access to.

The search options at the top of each column, allow you to search for a particular member, using either the Investor ID (Member Number), Investor Name (Member Name), Fund code/name or member Status (e.g. Active, Resigned).

A full list can be downloaded by clicking the arrow ⬇ download icon.

The 'Broker Agreements' link will take you to a page displaying the type of agreement that is currently in place between the appointed IM/broker and client e.g. Advisory, Discretionary, Execution Only, split by fund/fund code. It will also contain the date the agreement commenced.

From the Investors page, you can also access transaction and holdings data for each client or portfolio directly, by selecting the relevant Investor Name or Fund code. Alternatively, you can access the same screens using the main navigation menu, by selecting 'Funds Under Management.'

Funds Under Management

The Funds Under Management page shows asset information.

Assets can be viewed by Asset Class, Sub Asset class or Currency (GBP equivalent value), by selecting the relevant tab.

You can also backdate the graph and holdings view to any previous date, using the 'As of' field at the top of the page.

********IMPORTANT INFORMATION RELATING TO VALUATIONS *************

Valuations for a given day may change if Member Services backdate transactions.

When you first access the asset holdings page, you will be presented with a default view, which is fully customisable. Additional field headings can be applied by clicking on the cog ⚙ icon and dragging and dropping the headings back and forth between the transaction data table and the cog headings list.

Please note, you will only be able to view around 8 field headings at a time within the portal view, to ensure data is still readable. After this, any additional headings will begin disappearing out of view, however data from the additional fields can still be accessed within the portal view by selecting the 3 dots to the far right of the table. Please note, if you drag additional fields to the right, they will maintain the order you have dragged them in. You can confirm the order, by clicking on the three dots. The full table of data can also be extracted to an Excel workbook (.xlsx format).

Holdings can be 'grouped' by any of the available field headings (unless there is no data populated within that column).


Groupings can be made by dragging and dropping the relevant field heading from the existing valuation table or from any of the headings listed against the ⚙ icon, to the bar above the valuation data table. In the above example, holdings have been grouped by Investor.

Once you have customised the table, as per your requirements, click 'save' in the cog ⚙ menu to retain this view for subsequent logins. Click on 'Reset' to remove the saved settings and reset it back to the default view.

To extract the valuation data to an Excel workbook (.xlsx format), click on the download icon ⬇ at the top of the data table.

Transactions
To access the transactions page, click on the 'Funds Under Management' link on the main navigation menu.
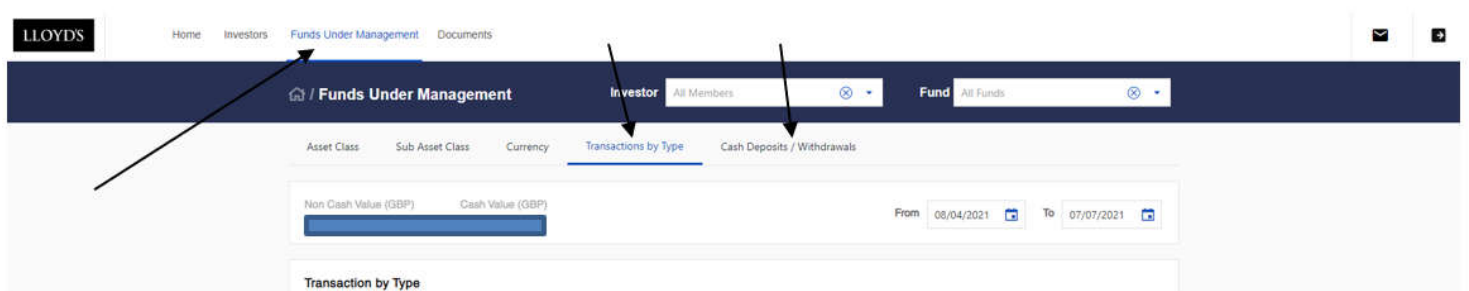
From here, you can view either 'Transactions by Type' (the default view) or you can click on 'Cash Deposits/Withdrawals' to view cash portfolio movements only.

You can also change different variables to fit your viewing requirements, for example you can filter on a specified fund using the drop down feature (default option to display 'All Funds') and alter the 'From' and 'To' dates according to the date period you select.

Below the date period menu, you will be presented with the table of transactions, according to the variables you have selected.

When you first access the transactions page, you will be shown a default view, which is fully customisable. Additional field headings can be applied by selecting the cog ⚙ icon and dragging and dropping the headings back and forth between the transaction data table and the cog headings list.

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In the below example, 'Asset Code' is being dragged from the additional heading options which are listed against the cog ⚙ icon and dropped into the current transaction table.

Please note, you will only be able to view around 8 field headings at a time within the portal view, before any additional headings will begin disappearing out of view. Please note, if you drag additional fields to the right, they will maintain the order you have dragged them in. You can confirm the order, by clicking on the three dots. however the full table of data can be extracted to an Excel workbook (.xlsx format).

Transactions can be 'grouped' by any of the available field headings (unless there is no data populated within that column). For example, you cannot group your transaction view by exchange rate, if all your transactions have been processed in GBP, as no data will be present in this column.

Groupings can be made by dragging and dropping the relevant field heading from the existing transactions table or from any of the headings listed against the ⚙ icon, to the bar above the transaction data table. In the case of the below example, transactions have been grouped by Transaction Type e.g. Capital Events, Deposits/Payments, Asset Trading etc.

It is not compulsory to select a 'grouping' option. If you wish to view all data without a 'grouping', you just need to ensure all field headers are dragged into the main table, as per the below example.

Once you have customised the table, as per your desired field headings, you can click 'save' in the cog ⚙ menu to retain this view for subsequent logins.

To extract the transactions data to an Excel workbook (.xlsx format), click on the download icon ⬇ at the top of the data table.

<u>Notes on Transactions</u>

- Rounded Figures – within the portal view, transaction data is rounded to two decimal places. If reconciling transactions, please ensure that the data is extracted to Excel. The Excel workbook will display 2 decimal places by default; however, you can click into each cell to see the true number of decimal places.

Interavailable Funds
Definition from the Glossary of Terms

*Also known as IA - Interavailable Arrangement. This is an arrangement whereby the Lloyd's deposit for general insurance business supports the underwriting of two or more different members (investors). Parties to the arrangement are defined as either the **donor** member (investor) or the **recipient** member (investor).*

As an appointed Investment Manager (IM) or interested party, you may look after a client who is party to an Interavailable Arrangement. You may have clients who are either a donor or a recipient or you may look after clients on both sides of the arrangement.

It is important to note that IA positions are now visible to you in the FAL Online portal.

********IMPORTANT INFORMATION RELATING TO IA*************

Please note that although IA received assets are considered for certain FAL business practices, assets are only available for trading purposes from the <u>donor</u> client's portfolio.

To illustrate the FAL Online IA data, we are going to look at views for two clients – a donor and a recipient. In the examples provided, the IM or interested party has access to both the donor and recipient client:

DONOR / <u>M S Denbighshire</u>

RECIPIENT / <u>L B Radnorshir</u>

1) **Function: Viewing within the portal (<u>individual</u> Investor view)**

Portal Page: Investors

DONOR / <u>M S Denbighshire</u>

If you are the appointed IM for a donor, any funds being donated by means of an interavailable arrangement will be marked as 'IA' within the 'Fund' name on the 'Investors' page.

This is because the Broker Agreement is in place against the donor client, whose assets are available for trading.

To distinguish between the client's 'own funds' and funds which have been made available under IA, the fund will be displayed across two investor lines, shown in the below screenshot for IA donor **M S Denbighshire** - '00101 General Deposit' (client's own funds) and '00101 General Deposit IA' (the IA funds).

RECIPIENT / L B Radnorshir

If you are the appointed IM for a recipient, the IA funds will only be marked against the donor's portfolio, as in the above donor example.

This is because the Broker Agreement is in place against the donor client and assets are therefore not available for trading from the recipient client's side.

In the below screenshot, you will see that IA recipient **L B Radnorshir** has no marked IA funds on the Investors page.

2) **Function: Viewing within the portal (individual Investor view)**

Portal Page: Funds Under Management (*Asset Class, Sub Asset Class and Currency' views*)

DONOR / M S Denbighshire

Any funds which have been made IA under the donor view, will be displayed across two investor lines – firstly, the client's IA funds line, for any assets which have been donated to a recipient and secondly, the client's 'Own Funds.'

Please note - The IA funds line will always display the name of the donor first and the recipient second, so when validating any data, please check this formatting to establish if the client portfolio you are viewing is the donor or recipient.

e.g. 0G5K5GD M S Denbighshire IA Funds for 0P5N1QK L B Radnorshir

In the below screenshot example, donor **M S Denbighshire** has donated an IShares position as part of an interavailable arrangement. This is therefore visible within the client's 'Own Funds', but also marked under 'IA Funds' for the recipient, L B Radnorshir.

Although the position is displayed twice, IA positions are only valued once across the IA line, to avoid any double counting.
Should you wish to sell a donor's position, the 'Total Quantity' of the holding will be populated within the IA line and the

value of the asset will be populated in the 'Total Value GBP' column. Both columns will be blank in the client's 'Own Funds' line. In the client's 'Own Funds' lines, any positions which have been made interavailable, will contain a value in the 'IA Value Local Ccy' field.

Below screenshot displays portfolio view when selecting the donor investor from the drop-down menu – M S Denbighshire:

RECIPIENT / L B Radnorshir

Any funds which have been made interavailable to a recipient will be displayed within an 'IA Funds' line in the 'Investor' column. This may be in addition to the client's Own Funds.

Please note - The IA funds line will always display the name of the donor first and the recipient second, so when validating any data, please check this formatting to establish if the client portfolio you are viewing is the donor or recipient.

e.g. 0G5K5GD M S Denbighshire IA Funds for 0P5N1QK L B Radnorshir

As assets cannot be traded from the recipient portfolio, it is advised that when viewing a recipient member, to 'minimise' any 'IA Funds' from the recipient view. You can do this by selecting the down arrow marked against the IA line.

Below screenshot displays portfolio view when selecting the recipient investor from the drop-down menu – L B Radnorshir

In the screenshot, you can see the Ishares position, which has been donated from donor M S Denbighshire to recipient L B Radnorshir.

3) Function: Viewing within the portal (all Investors view)

Portal Page: Funds Under Management (*Asset Class, Sub Asset Class and Currency' views*)

DONOR / M S Denbighshire & RECIPIENT / L B Radnorshir

If the portal view you have selected is for 'all investors,' the IA Funds line will only be displayed once, plus any applicable 'Own Funds' lines.
Please note - The IA funds line will always display the name of the donor first and the recipient second, so when validating any data, please check this formatting to establish which client is the donor and which is the recipient.

e.g. 0G5K5GD M S Denbighshire IA Funds for 0P5N1QK L B Radnorshir

As with the individual view examples, the 'Total Value GBP' and 'Total Quantity' values have only been counted once. Assets are only available for trading, where values appear in these two columns. Therefore, there is no need to make any changes to your portal view in order to establish which assets are available for trading, however you may wish to 'minimise' any zero value 'Investor' lines from the table, to reduce the amount of data rows visible. You can do this by selecting the down arrow marked against any zero value lines – see arrow below.

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Below screenshot displays an all Investors view - All Members & All Funds selected against the drop-down Investor menu.

⌂ / **Funds Under Management**		Investor	All Members	⊗ ▾	Fund	All Funds	⊗ ▾

Investor ▾	Fund Description ▾				⬇ ⚙

Asset Description	ISIN	Total Qty	Total Value GBP	IA Value Local Ccy	Local Ccy
🔍	🔍				🔍
▾ 0G5K5GD M S Denbighshire IA Funds for 0P5N1QK L B . Radnorshir			59,931,164.18		
▾ 00101 General Deposit IA			59,931,164.18		
			3,959,304.01	-	USD
			4,807,726.30	-	USD
			5,656,148.59	-	USD
			6,787,378.30	-	USD
			66,749.26	-	USD
ISHARES USD ACC		3,230,000.00	12,891,317.10	-	USD
			25,762,540.62	-	USD
▸ ▸ 0G5K5GD M S Denbighshire Own Funds			-		
▾ 0P5N1QK L B . Radnorshir Own Funds			157,217,948.09		
▾ 00101 General Deposit			157,217,948.09		
			29,298,849.68	-	USD
			35,577,174.61	-	USD
			41,855,499.54	-	USD
			50,226,599.45	-	USD
			259,824.81	-	USD

4)   Function: Extracting from the portal (**all** Investors view)

Portal Page: Funds Under Management (*Asset Class, Sub Asset Class and Currency' views*)

DONOR / M S Denbighshire & RECIPIENT / L B Radnorshir

When extracting data against an all Investors view, the data formatting will be replicated from the all Investors portal view, therefore please see function 3 for details on the formatting.

As the IA line will only be displayed once, you do not need to make any changes to the download file, as the quantities and values will not be double counted. Alternatively, if you do wish to remove any zero-value data, then if the following fields are blank, the entire row(s) can be discarded as unavailable for trading:

- Total Quantity
- Total Value GBP

Documents

Viewing Documents
Recent document uploads can be accessed from the Home dashboard or you can select 'Documents' from the main navigation menu.

Who can view uploaded documents?

When a document is uploaded for or by Lloyd's, the following access criteria applies:

		Who can see the document				
		Uploader/Lloyd's	Member	Entity	IM	Agent
Uploaded for	Member	X	X			X
	Entity	X		X		
	IM	X			X	
	Agent	X				X

To view a document upload from the Document page, click on the name of the file. Multiple files can be downloaded as a ZIP file by ticking the boxes to the left of the table, then clicking 'Download Selected.'

The search bar above the document table will find a specific document that has been uploaded by category or date range.
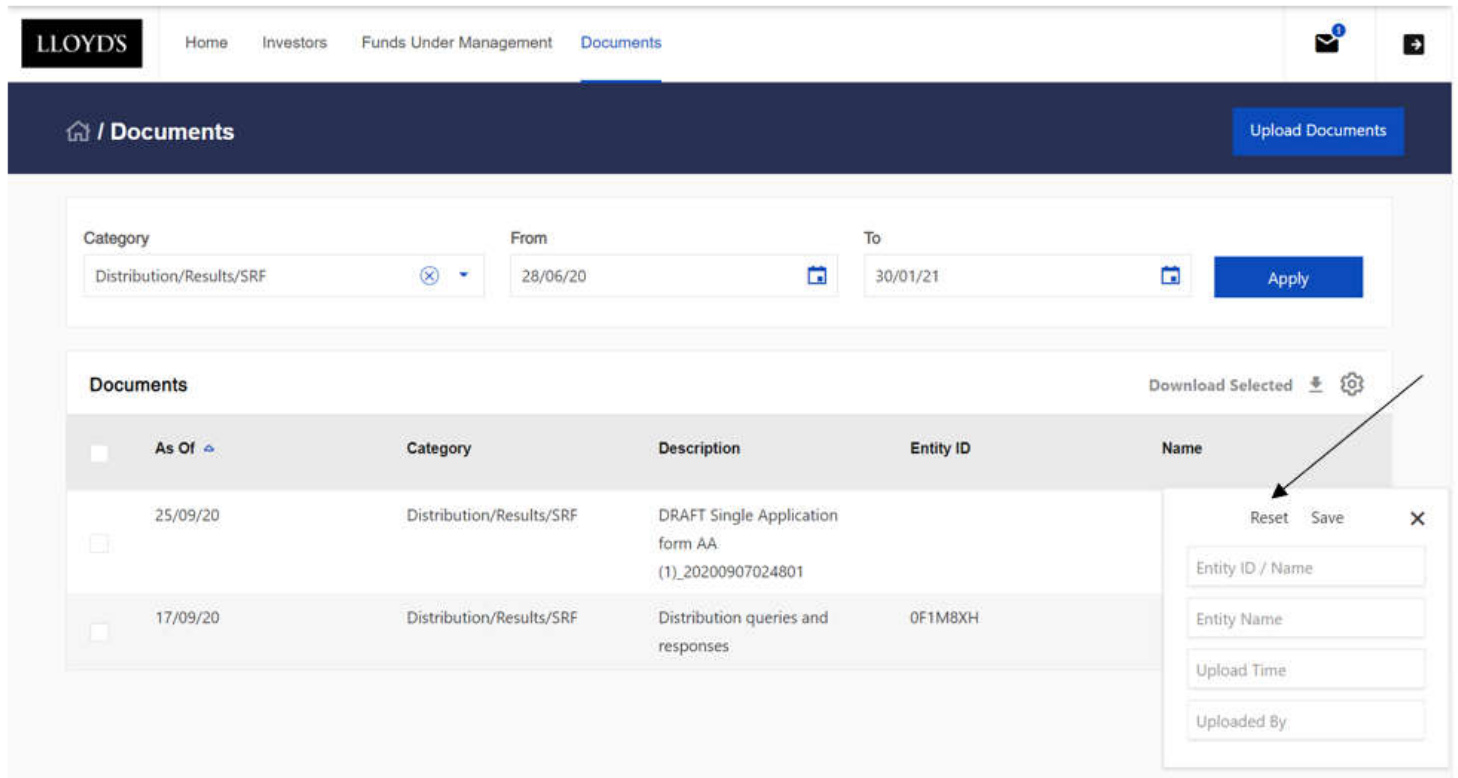
As with the asset holdings and transactions screens, clicking on the Settings Cog ⚙ will allow you to remove or add field headings by clicking and dragging them into the Documents table.
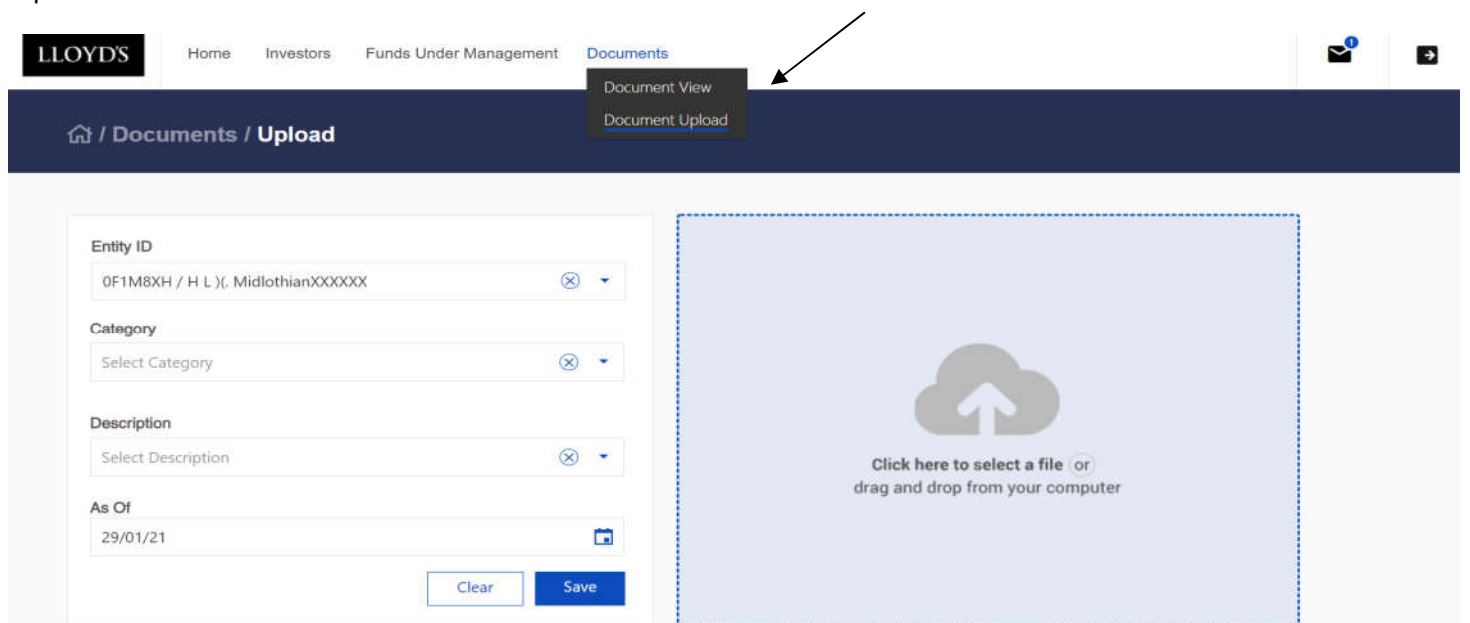
Within the cog menu, click on 'Save' to retain the current configuration. Click on 'Reset' to remove the saved settings and reset it back to the default view.

Uploading a Document

To upload a document, click on 'Documents' from the navigation menu, followed by Document Upload. There is also an 'Upload Documents' button available in the 'Document View' screen.

To upload, choose a category and description from the drop-down menus. The category chosen will ensure the document goes to the correct team.

Please ensure that the document you are uploading contains the Investor ID (Member Number) or designation within the title. Enter a date by manually typing or selecting from the calendar. The date can be in the past or future.

Click on 'Click here to select a file' or drag and drop a file directly into the blue box. A preview of the file type and name will be displayed. Only one file can be uploaded at a time, however multiple files can be uploaded within a ZIP file.

Supported document types are .jpg .png .gif .doc .docx .xlsx .ppt .pptx .mdb .pdf .zip .wav and .mp3.
Microsoft Excel 97-2003 .xls documents are not supported.

Click on Save to upload the document. A pop-up confirmation message will confirm if the upload has been successful. The document will now be visible in the Document View screen.

Please note, Lloyd's will not be notified that a document has been uploaded. If it is urgent, please email the relevant team to advise it's there.

Secure Messaging

Viewing messages

To access the secure messaging feature, select the envelope ✉ icon on the top right-hand side of the navigation menu. This will open the 'Received' messages page, which will display in order of the most recent.

Clicking on a message will display the message history and an option to reply to the message.

Clicking on the 'Sent' tab will display previously sent messages and 'Drafts' will display any messages saved as a draft. Any draft messages which have been sent will move to the "Sent" area once actioned.

Sending messages

Messages will be sent directly to the relevant team at Lloyd's.

To send a message, click on the New Message button on the top right of the screen. This will open a pop-up window, where you will be prompted to enter the message details. All fields must be entered, otherwise the message will not send. A team can be selected from the drop-down box under the 'To' field.

To add an attachment, click 'Add Attachment' and locate the relevant file from your desktop, or drag and drop your file in to the blue box. Click Save to add the attachment to the message.

The supported file types are .jpg .png .gif .doc .docx .xlsx .ppt .pptx .mdb .pdf .zip .wav and .mp3. Microsoft Excel 97-2003 .xls documents are not supported.

Please note - unfortunately, there is currently no search functionality in the secure messaging application, therefore if uploading a document, it is advisable to use the Document Upload page, rather than attaching via a secure message.

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Document Upload   ✕

File

| Test_20201102084248.xlsx | ✖ |

Save   Cancel

Once uploaded, the attachment file name should be viewable underneath the message.

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Click on 'Send' to send the message or 'Save Draft' if you wish to send the message at a later date or time.

A pop-up message will confirm it has been successfully sent.
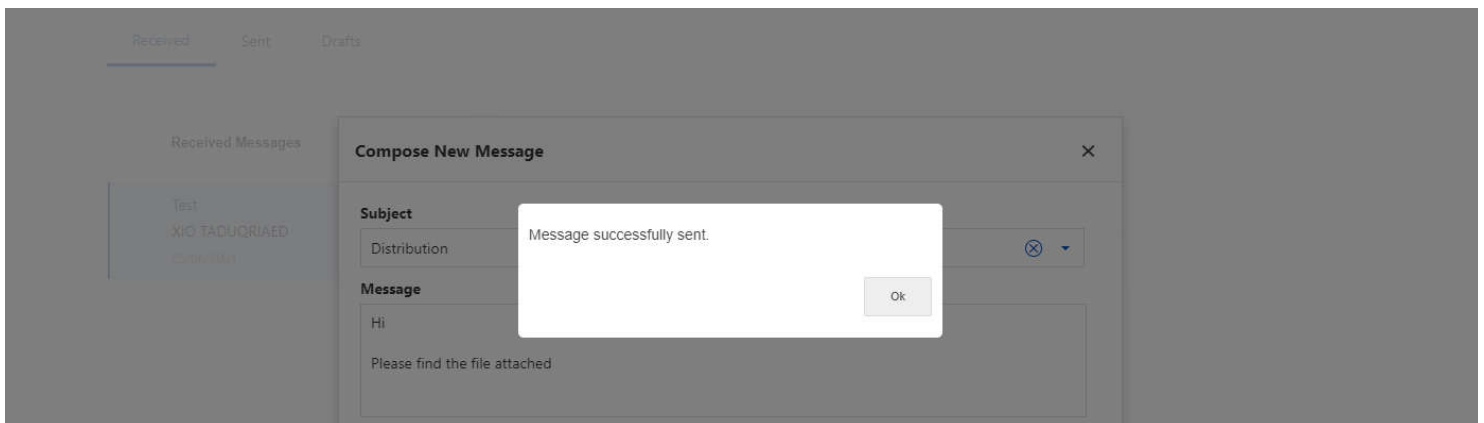
Replying to a message

A reply can be sent to any received message by clicking into the message and entering text into the text box underneath the message display.
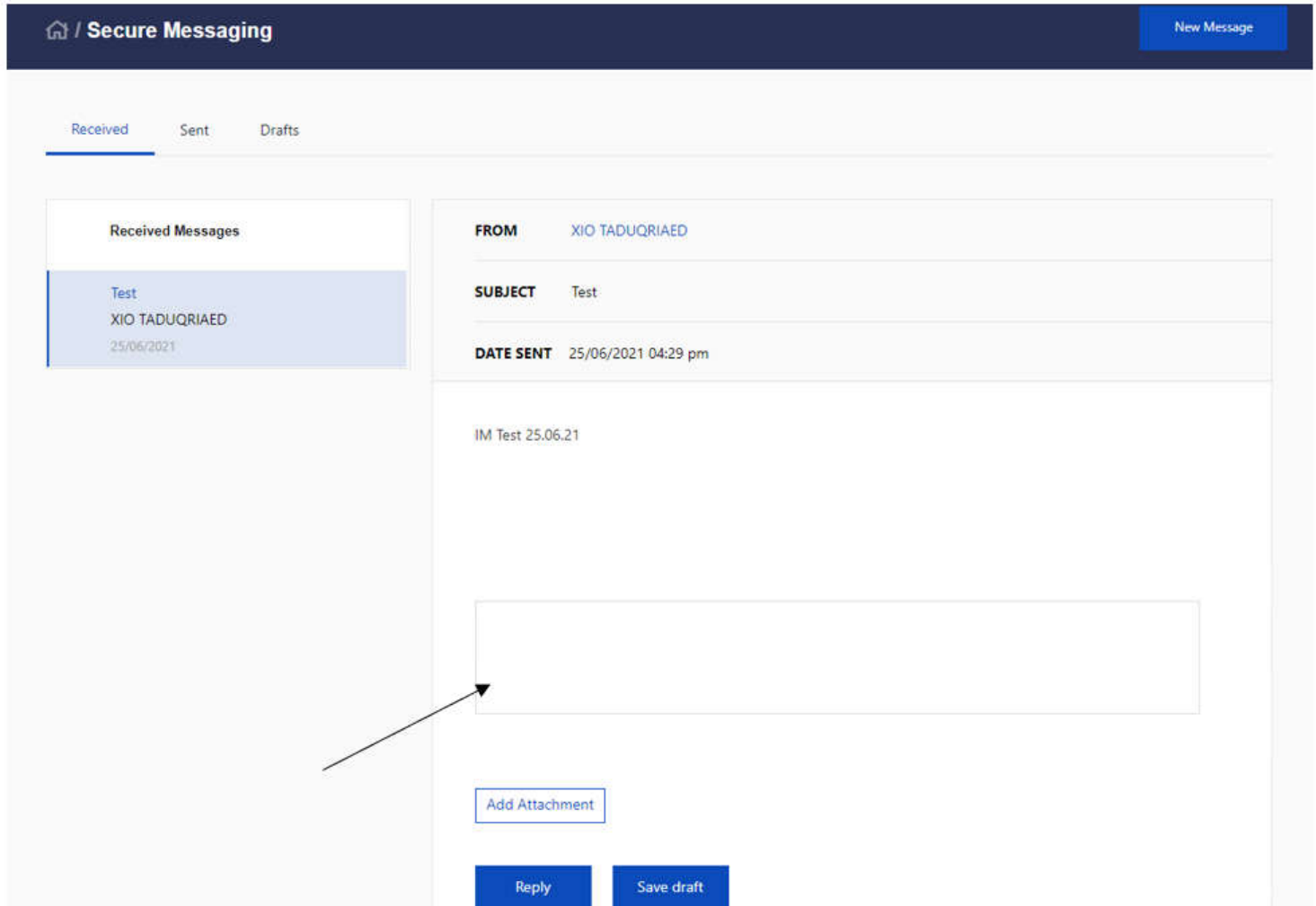
Clicking on the 'Add Attachment' button will open the usual attachment box to add a file.

Once the message is ready to send, click on the 'Reply' button underneath the message history. If there are two or more messages within a chain, the Message History will be displayed when accessing the message.

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Glossary of Terms

Advisor	This could be an Investment Manager, Solicitor, accountant etc.
Asset Class	The Asset category of a holding or transaction e.g. Members Fund Cash, Investment Funds etc.
Asset Code	Also known as a Stock Code or Sedol. This is the code to define the asset held
Asset Description	The public description of the asset held
C&C	Covenant and Charge. A type of arrangement that is no longer used
Cancellation Indicator	This shows if a Policy is under notice of cancellation
Clearing Date	The value date or settlement date of a transaction
CUSIP	Another version of a Stock Code, primarily used for the identification of USA Securities
Donor Member	The originating member who donates their funds to a recipient member
Exchange Rate	FX rate applied to a transaction or holding
FAL	Funds at Lloyd's. A Members Funds or Assets held under trust at Lloyd's
Fund Description	Fund Number and Name (see Fund)
Fund Ref	Member Number & Fund a holding or transaction relates to
Interavailable	Also known as IA - Interavailable Arrangement. This is an arrangement whereby the Lloyd's deposit for general insurance business supports the underwriting of two or more different members (investors). Parties to the arrangement are defined as either the **donor** member (investor) or the **recipient** member (investor).
Investment Manager	A company that provides Investment advice and trading services as well as other wealth-based services
ISIN	International Securities Identification Number. A 12-digit identifier usually set at a company issuer level.
LAF	Lloyd's Access Framework. This is the security framework by which Lloyd's controls all applications
Local CCY	The currency a transaction has been processed in or an asset is held in
Member	The member account at Lloyd's
Member Code	The unique 7-digit number to identify the Member
Narrative	Description of the transaction
Post Date	The date a transaction has been processed
Product	Also known as a Fund. This is a five-character figure, with the first three characters resulting in the type of fund. E.g. Personal Reserve Fund, Special Reserve Fund, General Deposit Fund, these can be further split by a Life or Non-Life fund.
Recipient Member	The member receiving donated funds

Sub-Asset Class	The sub-category of an asset holding or transaction e.g. Cash – Transferable Deposits, Investment Funds – Equity Funds etc.
Total Qty	Number of shares/units held or transacted
Total Value Local CCY	Value of the holding or transaction in the transacted currency
TPO	Known as a Third Party FAL provider. A company or individual who provides assets to and forms part of a larger member
Transaction Code	Abbreviated code for the type of transaction posted. Please see 'Transaction Code List' below for a full list
Transaction Date	The trade date of a transaction
Transaction Type	The category of a transaction e.g. Deposits/Payment, Dividend Income etc.
Transaction Value GBP	The GBP value of a transaction
W8/W9	These are Tax relevant forms required by Members to be able to trade. W9 forms are for US residents with W8 forms for the rest of the world

Transaction Code List

ACC	Additional Credit Chargeable
ACNC	Additional Credit Non-Chargeable
ADC	Additional Debit Chargeable
ADJ	Adjustment
ADNC	Additional Debit Non-Chargeable
APPD	Application of interest payable
APPIGC	Credit Interest - Gross
APRD	Debit interest
B	Purchase
BI	Bonus Issue
BRI	Bonus Rights Issue Stk Ent
BVA	Book Value Apportionment
CAI	Corp Action Transfer In
CAO	Corp Action Transfer Out
CCT	Credit Chargeable Transaction
CNCT	Credit Non-Chargeable Transaction
CND	Converted
CNV	Conversion
CON	Consolidation
CRED	Credit Redesignation
CRJN	Credit journal
CRJNR	Credit Journal Reversal
CSHTFRC	Cash Transfer Credit

CSHTFRCR	Cash Transfer Credit Reversal
CSHTFRD	Cash Transfer Debit
CSHTFRDR	Cash Transfer Debit Reversal
CT	Client Transfer
DCT	Debit Chargeable Transaction
DNCT	Debit Non-Chargeable Transaction
DRJN	Debit journal
DRW	Drawdown
DVSWCR	Dividend Sweep Credit
DVSWDR	Dividend Sweep Debit
EB	Purchase (External)
ES	Sale (External)
EXT	Line Extinct
F60I	Fund 60 Transfer In
F60O	Fund 60 Transfer Out
F60P	Fund 60 Purchase
F60S	Fund 60 Sale
IAJC	Credit interest adjustment
IAJD	Debit interest adjustment
ICORC	Interest recalculation
ICORD	Interest recalculation
ID	Incoming Dematerialised
LTFC	Losses Transfer Credit
LTFD	Losses Transfer Debit
MLCD	Merrill Lynch Holdings Clear-down
MLCM	Merrill Lynch Credit Movement
MLCR	Merrill Lynch Credit Trans
MLDM	Merrill Lynch Debit Movement
MLDR	Merrill Lynch Debit Trans
OBCR	OPENING BALANCE CR
OBDR	OPENING BALANCE DR
OD	Outgoing Dematerialised
OO	Open Offer
OPCR	Opening Proposed Credit
OPDR	Opening Proposed Debit
PAR	PAR Value Change
PPI	Pari Passu Issue
PPO	Pari Passu
PRSWCR	Half Yearly Interest Payment
PRSWDR	Half Yearly Interest Payment
RA	Rights Call
RDM	Redeemed
RI	Rights Issue
S	Sale
SC	Scrip Dividend

SCC	Solvency Credit Chargeable
SCNC	Solvency Credit Non-Chargeable
SDC	Solvency Debit Chargeable
SDNC	Solvency Debit Non-Chargeable
SI	Scrip Issue
SOLV	SOLVENCY CR
SPL	Stock Split
SPO	Stock Split Out
SUB	Subdivision
TFI	Transfer In
TFIR	Rev PEP Tfr From Plan Mgr
TFO	Transfer Out
TI	Takeover Issue
TO	Taken Over
TOD	Dematerialised Converted Out
UAPRD	Debit Interest
UCAC	Product Corporate Action Credit
UCAD	Product Corporate Action Debit
UCARC	Product Corporate Action Credit Reversal
UCARD	Product Corporate Action Debit Reversal
UCRJN	Credit Journals
UCRJNR	Credit Journal Reversal
UDRJN	Debit Journals
UDRJNR	Debit Journal Reversal
UDVCR	Dividend Credit
UDVRC	Dividend Credit - Reversal
UIAJC	Credit Interest Adjustment
UIAJD	Debit Interest Adjustment
UICJD	Product Interest Correction Journal Dr
UPTCR	Credit Payment
UPTDR	Debit Payment
UPTRC	Credit Payment Reversal
UPTRD	Debit Payment Reversal

Document Upload Categories and Descriptions

Category	Description
Acceptabilities	Acceptabilities
Audit	Auditors valuation request
	Bank Audit correspondence
Corporate actions	Corporate Action acceptances
	Corporate Action beneficial owner details
	Corporate Action queries and responses
	Corporate Actions event advices

	Corporate Actions instructions
	Proxy voting
DCP trades	Blanket Counter Indemnities
	Bloomberg Customer Agreements
	Citibank Account Opening Documentation
	Contract Notes
	DCP trades queries and responses
	UT Account Opening - beneficial owner/controlling persons required
	UT Account Opening - Application Forms & Prospectuses
	UT Account Opening - Dealing Authorities/UT Application Forms
Distribution/Results/SRF	Consolidated Person Accounts (CPAs)
	Distribution data
	Distribution queries and responses
	SRF Inland Revenue valuations
Funds at Lloyd's - DCPs	Comfort Letters
	DCP queries and responses
	FAL Files (Additional assets/releases/substitutions etc)
	FX requests
	LOC Collateral Return forms
	LOC notice of cancellation
	PLDs and Appendix 5's
	Regulating Trustee Directions (RTDs) for Distribution
Funds at Lloyd's - Non DCPs	Comfort Letters
	Custody FAL queries and responses
	FAL Files (Additional assets/releases/substitutions etc)
	FX requests
	LOC Collateral Return forms
	LOC notice of cancellation
	PLDs and Appendix 5's
	Total Release reports
	Weekly Agent Reports
Gateway Team	Gateway Team
Income and Dividends	DCP/Investment manager income report
	Dividend mandates
	Dividend queries and responses
	Interest queries and responses
	Interest statements
Legal documents	Change of coordinating agent
	Delegated authority request
	Grant of Probate/Letters of administration
	Individual or Company name change
	Notification of Death (Death certificate)
	OPOA/USPOA
	POA - enduring/lasting or General POA

	PTF Trustee changes
MS Charges	MS Charge queries and responses
MS Complaints	MS Complaints queries and responses
Onboarding/New Clients	Change of Controller/Director
	FAL Online applications
	HRR
	Lloyd's forms of appointment
	Master and customer agreements
	Onboarding - third parties/new members and new entities
	Onboarding queries and responses
	Onboarding/Declaration of Compliance
Remediation	Documents requested
	Remediation queries
Resigning membership	Perpetuity process
	Resignations
	Terminations
Statements	Capital Test Statement/data
	Cash Statements
	FAL Valuation
	Solvency Statements/Report
Tax Documents	BEAT Reports
	Canadian Income Tax Return
	CTA1/CTA2 Forms
	Expense Declaration Forms (EDF)
	FATCA
	Japan Income Tax Return
	Member Level Reinsurance (FET)
	Tax Retention
	UK Tax Residency Declaration Forms
	US FIT Schedules – 1st Level
	US FIT Schedules – 2nd Level
Tax Operations	Tax queries and responses
Trades	Blanket Counter Indemnities
	Bloomberg Customer Agreements
	Citibank Account Opening Documentation
	Contract Notes
	Trades queries and responses
	UT Account Opening - beneficial owner/controlling persons required
	UT Account Opening - Application Forms & Prospectuses
	UT Account Opening - Dealing Authorities/UT Application Forms
Verification Documents	Bank account evidence
	Change of address (individual/corporate/TPFP and directors/controllers)
	ID evidence