

Two days Advisory Services – Engagement Plan

The two-day advisory services, part of the IMEM work order, provides quick, direct access to AcadiaSoft's industry knowledge base covering various aspects of the Uncleared Margin Rules (UMR) compliance process.

The timings and the topics covered during this 2-day engagement will be defined in advance between client and AcadiaSoft. There are two options for clients to select:

- A. **Default Approach:** Tailored for clients that have not started their compliance process. Based on AcadiaSoft's experience in working with all clients in prior phases, the two-day engagement focusses on the planning/scoping/strategy of the first few steps in the compliance. The client will receive a list of items that they will need to compile ahead of the 2-day exercise to maximize efficiency:
 - I. Trade in-scope identification process
 - II. Aggregate Average Notional Amount (AANA) calculation process
 - III. SIMM or Schedule (quick and dirty analysis)
 - IV. Client outreach approach and considerations
 - V. Scoping of IM CSA agreements that must be negotiated
 - VI. Treatment of House IA
 - VII. Quick check for all core steps to UMR Compliance

- B. **Client defined:** We recommend this option when the client requires specific assistance and guidance on a particular aspect of their UMR process and has typically already started their compliance journey. For guidance purpose the client can choose an aspect from any of the following core areas:
 - I. Define overall scope of the compliance process
 - II. Roles and Responsibilities for working groups involved along with detailed requirements
 - III. Regulatory Model Validation
 - IV. IM Calculation strategy
 - V. End to End daily operational, control and governance framework
 - VI. Guidance during the IM CSA agreements negotiation process
 - VII. Go live testing.

At the end of the 2-day advisory engagement, client and AcadiaSoft will have the opportunity to jointly explore a longer-term advisory engagement to cover any of the core areas mentioned above.