YOUR GUIDE TO THE UNCLEARED MARGIN RULES

START

1 — AM I INCLUDED? ★

2 — CUSTODIAN SELECTION ★

BNY Mellon | Other

3 — SEGREGATION OPTIONS ★

Triparty | Third Party (Margin DIRECT)

COUNTERPARTY SCHEDULE ★

RULE

AGREE LEGAL DOCUMENTATION ★

SIMM TO SEG

4 — READY TO EXCHANGE

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MARGIN CALLS ★

Margin Calculator

COUNTERPARTY MATCHING ★

Dispute Resolution

COUNTERPARTY MATCHING ★

Portfolio Reconciliation

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SIMM TO SEG

COLLATERAL TRANSFORMATION

Fixed Income Sec. Trading (Buy)

COLLATERAL TRANSFORMATION

Securities Finance (Borrow, Lend)

8 COLLATERAL SELECTION

Allocation

7 ELIGIBILITY ANALYSIS

RULE

MARGIN INSTRUCTION ★

MarginConnect

COLLATERAL TRANSFORMATION

Liquidity DIRECT (Exchange Cash)

SIMM TO SEG

SIMM to Seg (S2S) is BNY Mellon's end-to-end collateral administration service. With S2S, we administer most elements of the NCMR workflow for you, from calculating margin, resolving disputes, instructing the movement and delivery of collateral and providing ongoing position maintenance and reporting.

SIMM TO SEG

DELIVER / RECEIVE ASSETS ★

BNYM Triparty | Third Party (Margin DIRECT)

SETTLEMENT

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POST-SETTLEMENT OBLIGATIONS ★

Reconciliation & Reporting | IM Monitoring/ Screening

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★ *Solutions relevant for a collateral receiver*