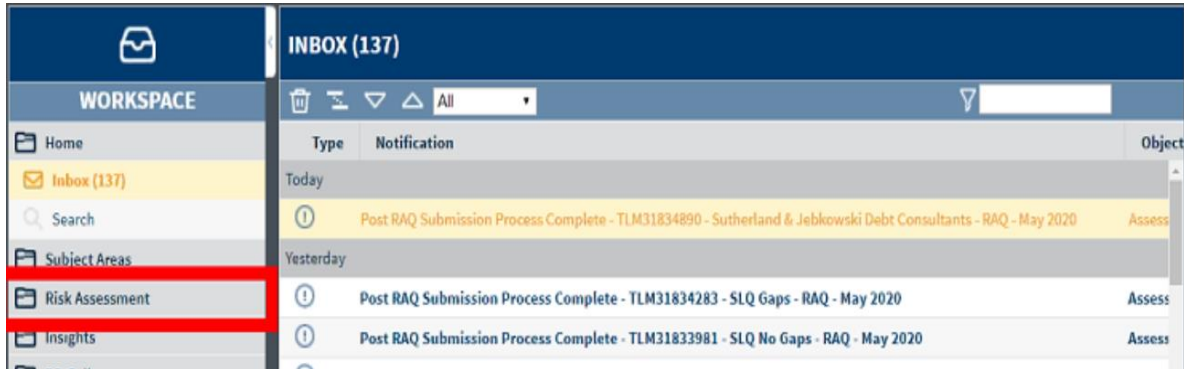


STEP-BY-STEP PROCESS-GUIDE FOR TRM LEADER (TRML) APPROVAL OF RAQ

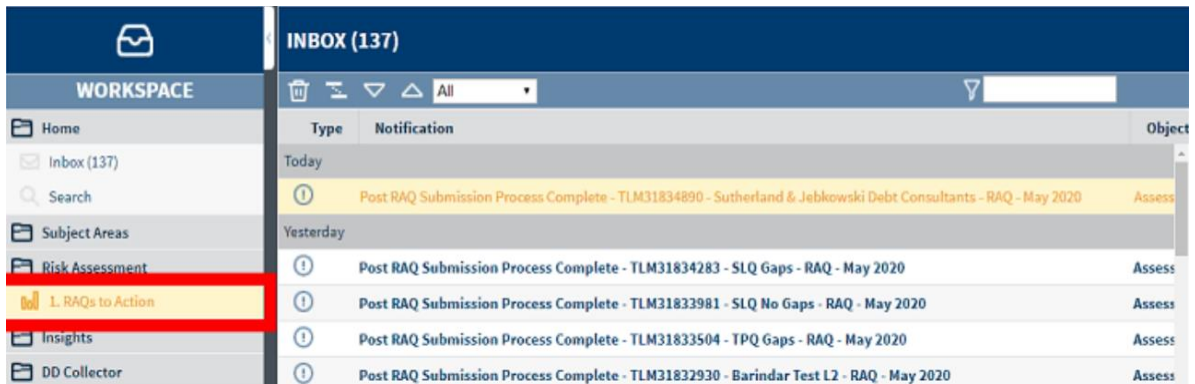
A new TRM action-item in ProcessUnity

Step 1: Click on the link provided in the ProcessUnityNotifier email to be redirected to ProcessUnity

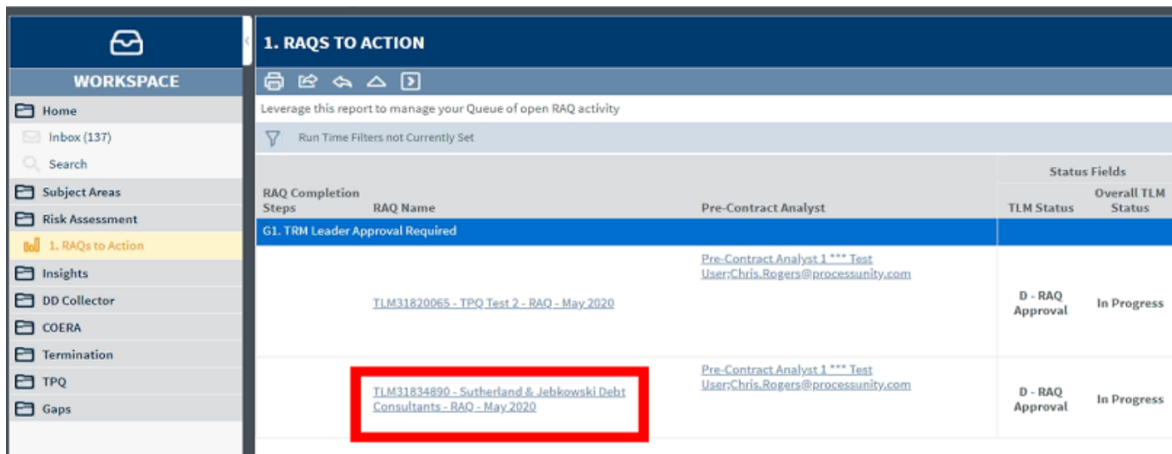
Step 2: Click on 'Risk Assessment'



Step 3: Click on 'RAQs to Action'



Step 4: Select the relevant engagement from the list



Step 5: Click on 'viewdetail'

The screenshot shows the '1. RAQS TO ACTION' interface. On the left is a table with columns: RAQ Completion Steps, RAQ Name, Pre-Contract Analyst, and TLM Status. The first row is 'G1. TRM Leader Approval Required'. The second row shows 'TLM31820055 - TPO Test 2 - RAQ - May 2020' with analyst 'Pre-Contract Analyst 1 *** Test User;Chris.Rogers@processunity.com' and status 'D - RAQ Approval'. The third row shows 'TLM31834890 - Sutherland & Jebkowsky Debt Consultants - RAQ - May 2020' with the same analyst and status. On the right, the 'view detail' panel for TLM31834890 is shown, including completion steps (RAQ, DD, Review, QA, COERA), TRM details, and assessment details.

Step 6: Click on 'print'

The screenshot shows the 'QUESTIONNAIRE' print interface. A 'print' button is highlighted in the top left. Below it is the 'Questionnaire Summary' section, which includes a green checkmark icon and text: 'Questionnaire Response submitted by Pre-Contract Analyst 1 *** Test User;Chris.Rogers@processunity.com 5/9/2020 6:37:31 AM.' Under 'Reference Materials', there are four links: 'DD - AC 3.xlsx', 'DD - AC 4.xlsx', 'DD - AC 11.xlsx', and 'DD - AC 2.xlsx'. At the bottom, a table shows the progress of questions answered.

Section	Questions Answered / Total
0. Initial Questions	4 / 4
A. Privacy Pillar	9 / 9

Step 7: Once the 'Print' dialogue box appears, save in **Landscape** layout and in **pdf**. format

The screenshot shows a print settings dialog box. The 'Layout' dropdown menu is open, and 'Landscape' is selected. Other options visible include 'Portrait', 'Wide', and 'Extra Wide'. The 'Pages' dropdown is set to 'All'. A 'More settings' link is at the bottom.

Step 8: Naming convention for the saved file:

"3rd Party Name_TLMID_SRF and IRA_MM.DD.YY" *

**MM.DD.YY should reflect the date on which you download the file from ProcessUnity*

Step 9: Share with TRML for validation and approval via email.

Step 10: Once the TRM Leader's approval email is received, save it in **pdf**. format using the below mentioned naming convention.

"3rd Party Name_TLMID_TRML RAQ Approval_MM.DD.YY"

UPLOADING TRML APPROVAL IN ProcessUnity:

Step 11: Go back to your engagement (by following Steps 1 through 4 above)

Step 12: Click on 'ATTACHMENTS'

The screenshot shows the 'ATTACHMENTS' tab selected in the ProcessUnity interface. The engagement title is 'TLM31834890 - Sutherland & Jebkowski Debt Consultants - RAQ - May 2020'. The 'Completion Steps' section shows a progress bar with icons for RAQ, DD, Review, QA, and COERA. The 'Assessment Details' section includes fields for Third Party Name, TLM ID, Assessment Type, and IS Critical.

Step 13: Click on the title of your engagement

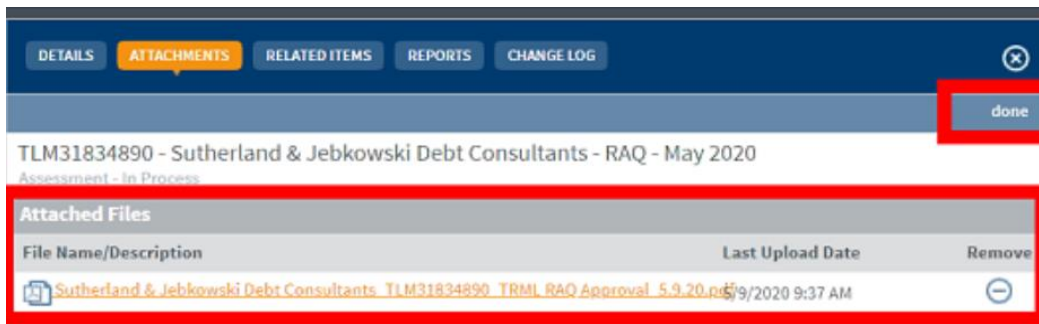


The screenshot shows the 'ATTACHMENTS' tab selected in the ProcessUnity interface. The engagement title is 'TLM31834890 - Sutherland & Jebkowski Debt Consultants - RAQ - May 2020'. The 'Attached Files' and 'Attached Links' sections are visible, both showing 'No items to display'.

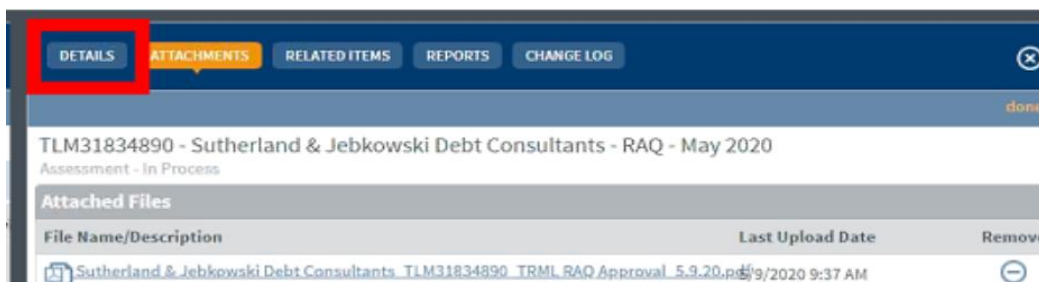
Step 14: Click on 'Select File...' to select your file and upload

The screenshot shows the 'ATTACHMENTS' tab selected in the ProcessUnity interface. The engagement title is 'TLM31834890 - Sutherland & Jebkowski Debt Consultants - RAQ - May 2020'. The 'Attached Files' section is visible, showing a table with columns for File Name/Description, Last Upload Date, and Remove. The 'Select File...' button is highlighted.

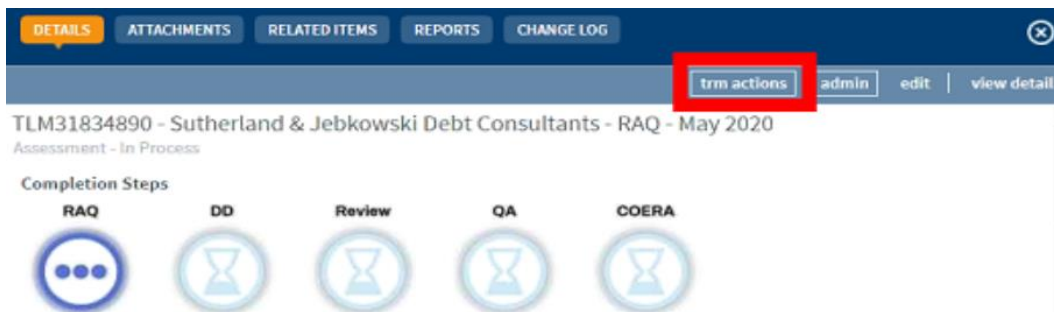
Step 15: Once the file has been uploaded, click on **'done'**



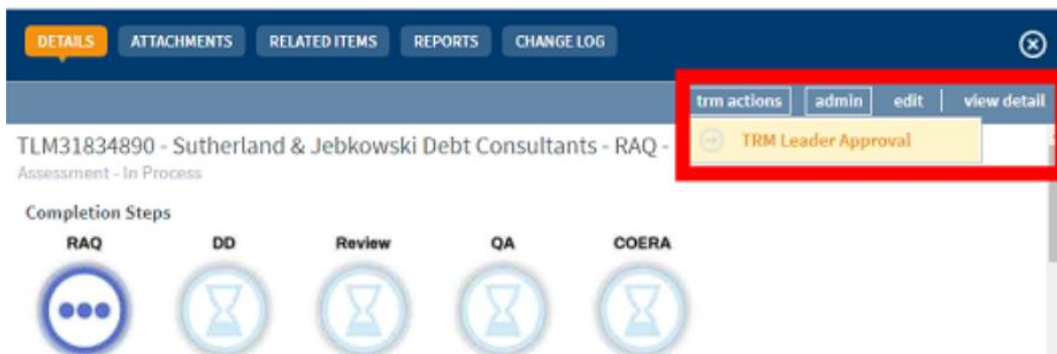
Step 16: Click on **'DETAILS'**



Step 17: Click on **'trm actions'**



Step 18: Click on **'TRM Leader Approval'**



Step 19: Select the upload date and click on **'OK'** (select the date on which the TRML Approval is being uploaded in ProcessUnity)

The screenshot shows the 'TRM LEADER APPROVAL' form. The title bar is green with the text 'TRM LEADER APPROVAL' and a close button. Below the title bar, there is a instruction: 'Select the TRM Leader who provided the approval along with the date the approval was granted. Also provide the Business Unit Tactical contact'. The main form area has a section titled 'TRM Leader Approval Date*' with a date picker set to '5/9/2020'. Below the date picker is a calendar view for May and June 2020. The date '5/9/2020' is highlighted in yellow. At the bottom of the form, there are two buttons: 'OK' and 'Cancel'.

Step 20: BU Tactical Contact, TRM DD Collector and TLM DD Collector names are auto-populated – edit if required and click on **'OK'**; if no edits are required, click on **'OK'**

The screenshot shows the 'TRM LEADER APPROVAL' form. The title bar is green with the text 'TRM LEADER APPROVAL' and a close button. Below the title bar, there is a instruction: 'Select the TRM Leader who provided the approval along with the date the approval was granted. Also provide the Business Unit Tactical contact'. The main form area has a section titled 'TRM Leader Approval Date*' with a date picker set to '5/9/2020'. Below the date picker is a section titled 'Business Unit Tactical*' with a dropdown menu showing 'BU Tactical Contact *** Test User:girlst'. Below this are two sections: 'TRM DD Collector*' with a dropdown menu showing 'Pre-Contract Analyst 1 *** Test User:Cl' and 'TLM DD Collector*' with a dropdown menu showing 'Pre-Contract Analyst 1 *** Test User:Cl'. At the bottom of the form, there are two buttons: 'OK' and 'Cancel'.

Step 21: Confirm by clicking on **'OK'**

The screenshot shows a green dialog box titled 'CONFIRM'. The text inside the dialog box reads: 'By performing this action the system will analyze all provided RAQ assessment responses in conjunction with previously collected Due Diligence items and scope in the appropriate items to be collected. Are you sure you want to continue?'. At the bottom of the dialog box, there are two buttons: 'OK' and 'Cancel'.

Once this is completed, ProcessUnity will generate a due-diligence work-order. This is basically a list of documents that the TRM needs to collect from the 3rd Party in furtherance of the TLM Assessment of the concerned engagement. The TRM will be able to download this work-order and it will be emailed to the TRM via Outlook.