



## Third Party Supplier Management Summary As of 28 July 2014

TPS Life-cycle Phases	Planning	Due Diligence	Contract Negotiation	Ongoing Monitoring	Oversight & Accountability	Termination	Documentation and Reporting	Independent Review	Supervisory Review of TSPs	Other
<b>OCC Bulletin 2013-29</b>	√	√	√	-	√	√	√	√	√	√
<b>Federal Reserve - Guidance on Managing Outsourcing Risk (12/5/13)</b>	√	√	√	-	√	√	√	√	√	√
<b>CFPB Bulletin on Service Providers</b>	√	√	√	-	√	√	-	-	√	√
<b>CPSS 115</b>	√	-	-	√	-	-	√	√	√	√
<b>FCA Outsourcing In Asset Mgmt. Industry</b>	-	√	-	-	√	√	-	-	-	√
<b>FFIEC - Supervision of TSP (10/2012)</b>	√	√	√	-	√	√	√	√	√	-
<b>FINRA - Notice to Members 11-14 (proposed reg 3190) - 5/11</b>	√	√	√	-	√	-	√	-	-	√
<b>NASD NTM 05-48</b>	√	√	√	-	√	-	-	-	-	√
<b>ICI - FICCA Engagements</b>	√	-	-	-	√	-	-	√	-	-
<b>IIROC - Notice 14-0012</b>	√	√	√	-	√	√	√	√	√	√
<b>IOSCOPD187</b>	√	√	√	-	√	√	√	-	√	-
<b>IOSCOPD432</b>	√	√	-	-	√	-	√	√	√	-
<b>GLB / Reg S-P - Privacy of Customer Information</b>	-	-	-	-	-	-	-	-	-	-
<b>Senior Mgmt Arrangements, Systems and Controls (FRA-FCA)</b>	√	√	√	-	√	-	√	-	√	√
<b>Outsourcing Working Group - Industry Response To FSA Dear CEO Letter On Outsourcing</b>	-	-	-	-	-	-	-	√	√	-
<b>NIST Framework On Cybersecurity</b>	-	-	-	-	√	-	-	-	-	√
<b>Federal Reserve SR 14-1/14-1At*</b>	-	√	-	-	√	√	√	-	-	√

\* As per the text of the rule, the financial companies in scope are: Bank of America Corporation, Bank of New York Mellon Corporation, PLC, Citigroup Inc., Goldman Sachs Group, Inc., JPMorgan Chase & Co., Morgan Stanley, State Street Corporation, and Wells Fargo & Company.