

Investments Including AIG Treasury
2016 SOX Program
SOC1 Testing Tracker

Service Organization Name	Nature of Activities/Process Significant to Financial Reporting	Business Group Responsible for Assessment of SOC1 Report	FCU Contact	FCU Tester	Received SOC1?	Period Covered by SOC1 Report	Clean Opinion?	Received Bridge Letter?	Period Covered by Bridge Letter	Received Management's Assessment Template?	FCU Testing Completed?	Comments
Navigant	Calculation of accretion (03-3) for purchased credit impaired securities	Investment Accounting	Gene Rizzolo	Gene Rizzolo	1/11/2017	1/1/2016 - 9/30/2016	Yes	Yes	10/1/2016 - 12/31/2016	1/15/2017	Yes	No exceptions noted
Citibank	Custodian	Dublin Portfolio Administration	James Hanrahan	James Hanrahan	1/12/2017	10/01/2015 to 09/30/2016	Yes	Yes	10/01/2016 to 12/31/2016	1/12/2017	Yes	No exceptions noted
Deutsche Bank	Custodian	Dublin Portfolio Administration	James Hanrahan	James Hanrahan	N/A	N/A	N/A	N/A	N/A	1/12/2017	Yes	Deutsche Bank SOC1 Report for 2016 will not be available until March 2017. Management has provided a completed SOC1 checklist to indicate existing AIG controls mitigate potential risks. No exceptions noted.
Bank of New York Mellon	Custodian	Dublin Portfolio Administration	James Hanrahan	James Hanrahan	1/12/2017	10/01/2015 to 09/30/2016	Yes	No		1/12/2017	No	Pending Bridge Letter
Royal Bank of Canada	Custodian	Dublin Portfolio Administration	James Hanrahan	James Hanrahan	1/12/2017	01/01/2016 - 6/30/2016	Yes	No		1/12/2017	No	Pending Bridge Letter
State Street Bank	Custodian	Dublin Portfolio Administration	James Hanrahan	James Hanrahan	1/12/2017	10/01/2015 to 09/30/2016	Yes	No		1/12/2017	No	Pending Bridge Letter
JP Morgan	Custodian	Dublin Portfolio Administration	James Hanrahan	James Hanrahan	1/12/2017	10/01/2015 to 09/30/2016	Yes	No		1/12/2017	No	Pending Bridge Letter
U.S. Bank	Custodian	Dublin Portfolio Administration	James Hanrahan	James Hanrahan	1/12/2017	10/01/2015 to 09/30/2016	Yes	No		1/12/2017	No	Pending Bridge Letter
Federal Home Loan	Custodian	Dublin Portfolio Administration	James Hanrahan	James Hanrahan	No			No			No	
Invesco	Syndicated Investments	Wilton Middle Office	James Hanrahan	James Hanrahan	1/12/2017	10/1/2015 - 9/30/2016	Yes	Yes	10/1/2016 - 12/31/2016	1/20/2017	Yes	No exceptions noted
Cenlar FSB	RML Loan Servicing	Residential Mortgage Lending	James Hanrahan	James Hanrahan	1/23/2017	10/1/2015 - 9/30/2016	Yes	No		1/23/2017	No	Pending Bridge Letter
DMI	RML Loan Servicing	Residential Mortgage Lending	James Hanrahan	James Hanrahan	1/19/2017	1/1/2016 - 9/30/2016	Yes	Yes	10/1/2016 - 12/31/2016	1/19/2017	Yes	No exceptions noted
Citibank (CitiDirect)	SAME CITIBANK (CITIDIREC BE)											
Citibank (CitiDirect BE)	EBS-ITGC	Wilton Houston Treasury	Jasmin Mathew	Allen Lum	1/13/2017	10/01/2015 to 09/30/2016	Yes	Yes	10/01/2016 to 12/31/2016	1/13/2017	Yes	No exceptions noted
JP Morgan Chase- - U.S. Dollar Clearing (Treasury Services) - Access Online - Information Technology (Corporate & Investment Bank)	EBS-ITGC	Houston Treasury	Jasmin Mathew	Allen Lum	1/20/2017	10/01/2015 to 09/30/2016		No		1/20/2017	No	There is no Assessment Provided with signature for Type of Service Information Technology (Corporate & Investment Bank
JP Morgan - BDAS	EBS-ITGC	GCM Operations	Paul Lowenberg	Allen Lum	1/25/2017	10/01/2015 to 9/30/2016		No		1/25/2017		There is no bridge letter for period 10/01/2016 to 12/31/2016
Wells - CEO - Treasury Management Services - Enterprise Technology and Information Security	EBS-ITGC	Houston Treasury	Jasmin Mathew	Allen Lum	1/13/2017	10/01/2015 to 09/30/2016	Yes	No		Yes- Treasury Management Services	No	There is no bridge letter for period There is no Assessment Provided for Enterprise Technology and Information Security
State Street Bank - SSCM/Castle Oak	EBS-ITGC	Houston Treasury / Dublin Portfolio Administration	Jasmin Mathew / Kevin McCall	Allen Lum	1/25/2017			No		1/25/2017	No	Testing in progress
Bank of America-Cash Pro	EBS-ITGC	Houston Treasury	Jasmin Mathew	Allen Lum	1/13/2017	10/14/2015 to 11/15/2015		No	11/1/2015 to 11/30/2016	1/13/2017		There is no bridge Letter for period 12/01/2016 to 12/31/2016
Bank of New York Mellon -TreasuryEdge - Connect and -Liquidity Direct	EBS-ITGC	Houston Treasury	Jasmin Mathew	Allen Lum	1/13/2017	10/01/2015 to 09/30/2016	Yes	Yes	10/01/2016 to 12/31/2016	1/13/2017	Yes	
Bank of New York Mellon - Workbench	EBS-ITGC	Dublin Portfolio Administration	Kevin McCall	Allen Lum	1/25/2017	10/01/2015 to 09/30/2016	Yes	Yes	11/1/2015 to 11/30/2016	1/25/2017	Yes	
Emdeon	Third Party Service (Check Printing)	Houston Treasury	Jasmin Mathew	Allen Lum	1/17/2017	1/1/2015 to 12/31/2015		No		1/17/2017	No	There is no bridge letter for period 10/01/2016 to 12/31/2016 There is no bridge letter for period 01/01/2016 to 02/29/2106