## Issue #:

IS-001425

## Issue Name:

Controls over key end-to-end processes and critical tools utilized to administer the legacy GAS block are insufficient.

## Root Cause Explanation:

The root cause is primarily attributed to ownership of key processes transferring multiple times with insufficient resources to execute key controls consistently at the time of the transition.

## Issue Rating:

Medium Repeat Issue: No  
Status: Open Issue Target Date: 02/29/2024

## Operating Division:

## Risk Category:

12. Product, Operations and Trading

## Risk Sub-Category:

12.1.6 Client Documentation and Reporting

## Root Cause Category:

People