Capital and Risk Transformation (“CART”)

Deliverable Completion

Cover Sheet

| **Workstream** | **Sub-Workstream** | **Deliverable ID** | **Name** |
| --- | --- | --- | --- |
| Risk Transformation | Risk Appetite Statement | RT.A.1 | **Develop SHUSA (top-level), SBNA, and SCUSA RAS, and obtain approvals** |

| **Supporting Materials** | | |
| --- | --- | --- |
| **Document Name** | **Document Description** | **Document Link** |
| 1509111700SCUSA |  | [Link](http://provisioning.sov.gs.corp/sites/CART/RT/Deliverables/RAS/RT.A.1/150911%201700%20SCUSA%20RAS.pdf) |
| 201508051700CROcheck-inv2 |  | [Link](file://provisioning.sov.gs.corp/DavWWWRoot/sites/CART/RT/Deliverables/RAS/RT.A.1/20150805%201700%20CRO%20check-in%20v2.pdf) |
| 20150915RASBoarddeckforSHUSA |  | [Link](file://provisioning.sov.gs.corp/DavWWWRoot/sites/CART/RT/Deliverables/RAS/RT.A.1/20150915%20RAS%20Board%20deck%20for%20SHUSA.pdf) |
| 20150925SBNARAS |  | [Link](file://provisioning.sov.gs.corp/DavWWWRoot/sites/CART/RT/Deliverables/RAS/RT.A.1/20150925%20SBNA%20RAS.PDF) |
| 201510221900RASsupportingmaterialspack-DRAFT |  | [Link](file://provisioning.sov.gs.corp/DavWWWRoot/sites/CART/RT/Deliverables/RAS/RT.A.1/20151022%201900%20RAS%20supporting%20materials%20pack-DRAFT.pdf) |
| CARTIARequestList-RAS\_RP(5) |  | [Link](file://provisioning.sov.gs.corp/DavWWWRoot/sites/CART/RT/Deliverables/RAS/RT.A.1/CART%20IA%20Request%20List%20-%20RAS_RP%20(5).xlsx) |
| RASBOARDinformationpackappendix\_OWV1\_20\_07\_2015 |  | [Link](file://provisioning.sov.gs.corp/DavWWWRoot/sites/CART/RT/Deliverables/RAS/RT.A.1/RAS%20BOARD%20information%20pack%20appendix_OW%20V1_20_07_2015.pdf) |
| RASBOARDinformationpack\_OWV1\_20\_07\_2015 |  | [Link](file://provisioning.sov.gs.corp/DavWWWRoot/sites/CART/RT/Deliverables/RAS/RT.A.1/RAS%20BOARD%20information%20pack_OW%20V1_20_07_2015.pdf) |
| SCUSARiskAppetiteStatementFINALAPPROVED10-26-2015 |  | [Link](file://provisioning.sov.gs.corp/DavWWWRoot/sites/CART/RT/Deliverables/RAS/RT.A.1/SCUSA%20Risk%20Appetite%20Statement%20FINAL%20APPROVED%2010-26-2015.pdf) |
| SHUSARASMonthlyReport\_July2015 |  | [Link](file://provisioning.sov.gs.corp/DavWWWRoot/sites/CART/RT/Deliverables/RAS/RT.A.1/SHUSA%20RAS%20Monthly%20Report_July2015.pptx) |
| SHUSARiskAppetiteStatement\_ApprovedbyBoardSept\_25\_2015 |  | [Link](file://provisioning.sov.gs.corp/DavWWWRoot/sites/CART/RT/Deliverables/RAS/RT.A.1/SHUSA%20Risk%20Appetite%20Statement_Approved%20by%20Board%20Sept_25_2015.pdf) |
| ExecutiveSign-Off |  | [Link](http://provisioning.sov.gs.corp/sites/CART/RT/Deliverables/RAS/RT.A.1/Matt%20Burns_Accountable%20Executive%20Signoff_%20CART%20Risk%20Transformation.pdf) |

| **First Line of Defense** | | |
| --- | --- | --- |
| **Accountable Executive** | **Approval Date** | **Notes** |
| Matt Burns | 26-Jan-16 | Accountable Executive Sign-off acknowledges the completion of the deliverable based on work efforts of his predecessor. |

| **Second Line of Defense (CART Program Management Office)** | | |
| --- | --- | --- |
| **Applicable?** | **Approval Date** | **Notes** |
| Is the Second Line of Defense applicable? | Click here to enter the Approval Date. | Click here to enter notes. |

| **Internal Audit** |  |  |
| --- | --- | --- |
| **Applicable?** | **Approval Date** | **Notes** |
| Is Internal Audit applicable? | Click here to enter the Approval Date. | Click here to enter notes. |