



Securities Safekeeping Guide

General Description

SunCorp's Securities Safekeeping and Settlement Program is a convenient and dependable custody and settlement solution for your investment securities. Virtually any security is eligible for the program, regardless of its amount or maturity. Your securities are accepted and delivered based solely on your instructions, and you receive confirmations of all your transactions.

To ensure safety and soundness, the program is administered jointly through a partnership with highly rated, closely regulated, reputable financial institutions.

Program features include:

- You retain ownership and control of your securities at all times.
- Transactions are settled on a delivery versus payment (DVP) basis. DVP provides for simultaneous transfer of funds and securities, ensuring that you are always in possession of either the security or the funds.
- Principal and interest payments are collected for you and deposited directly into your corporate account – saving you time and effort.
- Thorough documentation of your securities inventory, timely market valuations, and results on all activity are provided.
- In case of needed liquidity, you may use your securities as collateral for borrowing needs.



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Requesting Safekeeping Services

Credit unions can request safekeeping services by reporting securities purchases or sales to our Member Services Department. We encourage credit unions to send requests as soon as the trade has been placed with your broker, but requests will be accepted up to 11 a.m. Mountain Time on the day of settlement.

NOTE: Trades made with SunCorp's CU Investment Solutions Inc. (ISI) brokers will be automatically reported to our Member Services Department for security safekeeping purposes. Credit unions do not need to make a separate request for safekeeping on these purchases.

Transaction details listed below can be sent to MSRs@suncorp.coop, faxed to 720-540-4652, or provided by telephone at 1-877-786-2677, option 1.

- ✓ Security Description and CUSIP Number
- ✓ Trade Date, Settlement Date, Maturity Date
- ✓ Stated Interest Rate
- ✓ Original Face Amount, Purchase/Sale Price, Settlement Amount
- ✓ Broker Name and Number

Our Member Services Department will also contact your credit union to verify the transaction, and request additional information if necessary.



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Transferring Custody of Securities

To transfer securities custody to SunCorp from your broker or another safekeeping agent, provide the following delivery instructions to them:

A list of the securities to be delivered, including the CUSIP number and the current par value for each security.

Fed Book Entry Delivery (All Federal Government or Agency securities):

JP Morgan ABA No. 021000021

JP Morgan NYC/CUST

Ref: SunCorp / *(Credit Union Name and Routing Number)*

DTC Delivery (All other types of securities);

JP Morgan Chase & Co / DTC Participant No 902

Ref: SunCorp / *(Credit Union Name and Routing Number)*

Agent Bank No 25787

Institution ID 26097

Physical Securities (FED and Clearinghouse)

JP Morgan Chase Bank, N.A.

4 Chase Metrotech Center, 1st Floor, Window 5

Brooklyn, New York 11245-0001

Attention: Physical Receive Department

(Use Willoughby Street Entrance)

Click [here](#) for a sample letter requesting transfer of securities custody from your current safekeeping agent to SunCorp's safekeeping program.

Safekeeping Reports

Securities holdings and market valuation reports are sent to credit unions on a monthly basis.