DTCC DATA REPOSITORY (U.S.) LLC (DDR) - USER GUIDE

This Form constitutes Annex I of the User Agreement and Annex I of the Third Party Submitter Authorization Supplement (where applicable)
It is used to onboard accounts to DDR

Which tabs do I fill out?

DDR Account Input	Mandatory: For all accounts being onboarded
DDR MQ Input	Conditional: Please populate this tab if you are connecting to DDR via an MQ Channel. If you are using the web GUI, please leave blank
DDR Third Party Submitter	Conditional: Please populate this tab if a Third Party is submitting to DDR on your behalf. If not, please leave blank.
DDR Canada - Local Counterpart	Conditional: Please populate this tab if you are onboarding for Canada
DDR Electronic Signature	Mandatory: For all accounts being onboarded

Please note: If you are an Asset Manager, do not fill out this form. Please request the separate Asset Manager form instead.

Below are examples of how the information should be input and why it is required. Please populate your information in the DDR Account Input, DDR MQ Input, and DDR Third Party Submitter tabs as applicable.

EXAMPLE DDR ACCOUNT INPUT

Total Number of Accounts 1 — THIS IS THE TOTAL NUMBER OF ACCOUNTS BEING ONBOARDED. IT IS AUTOMATICALLY POPULATED FROM THE INPUT.

REPORTING JURISDICTION	PRODUCTION AND TEST SET UP	ENTITY INFORMATION								OPERATIONS CONTACT - Required to escalate any issues and to provide general communications			BILLING CONTACT INFORMATION - Required to send invoices					
REPORTING JURISDICTION Mandatory Please select reporting jurisdiction from the drop down list	ACCESS TO ENVIRONMENTS Mandatory Please select whether production, test or both environments are required from the drop down list. Please note that a maximum of FIVE accounts can be set up with a test environment	REQUEST TYPE Mandatory Please select a request type for each legal entity being onboarded	LEGAL ENTITY IDENTIFIER (LEI) Mandatory Please enter the LEI for each legal entity being onboarded	LEGAL ENTITY NAME Mandatory Please enter the legal entity name	ACCOUNT SHORT NAME Mandatory if Appliable If more than one account shares the same LEI, this is Mandatory. Please enter the Account Short Name. For example, if the account is a branch, insert Branch Name.	Ultimate Parent (Holding Company) Mandatory for SEC Please enter the Ultimate Parent LEI for each legal entity being onboarded	ALTERNATE ID Mandatory if Applicable If more than one account shares the same LEI, this is Mandatory. Please enter an alternate ID (e.g. SWIFTBIC, AVOX ID) for submissions	PRINCIPAL PLACE OF BUSINESS Mandatory Please select country from drop down menu	EXISTING DTCC ID Optional Please enter if the account has an existing 8 character DTCC ID (e.g. 0000105X)	OPERATIONS CONTACT NAME Mandatory Please enter first and last name	OPERATIONS EMAIL ADDRESS Mandatory Please enter email address	OPERATIONS TELEPHONE NUMBER Mandatory Please input with country dialling code	BILLING FAMILY NAME Mandatory If more than one account is being onboarded, please enter the "Legal Entity Name" of ONE account. If only one account is being onboarded, this will default.	BILLING CONTACT NAME Mandatory Please enter first and last name	BILLING EMAIL ADDRESS Mandatory Please enter email address	BILLING MAILING ADDRESS Mandatory Please enter mailing address	BILLING CITY Mandatory Please enter city	BILLING STATE OR COUNTY Mandatory if applicable Please enter state or county
USA (CFTC)	Production	New	12345467890123400000	Corp123	Branch A	12345467890123400000	XXXXUS33	UNITED STATES OF AMERICA	0000547P	John Smith	john.smith@Corp123	12128554000	Corp123	John Jones	billing@corp123.com	55 Water Street	New York	NY
THIS ALLOWS DDR TO SET UP THE SUBMISSION AND REPORTING PERMISSIONS AT THE APPROPRIATE JURISDICTION LEVEL	THIS ALLOWS DDR TO SET UP PRODUCTION AND TEST ACCOUNTS AS REQUIRED. THE MAXIMUM NUMBER OF TEST ACCOUNTS THAT CAN BE SET UP IS FIVE.	THIS IS REQUIRED TO IDENTIFY THE TYPE OF REQUEST NEEDED.	THE LEI IS A REGULATOR-DRIVEN SDR REQUIREMENT. IF YOU DO NOT HAVE AN LEI, YOU CAN SIGN UP FOR ONE AT THE GLOBAL MARKETS ENTITY IDENTIFIER (GMEI) WEBSITE: https://www.gmeiutility.org/	THIS ENSURES THE LEI MATCHES THE FULL ENTITY NAME AND WILL ELIMINATE ANY INPUT/TYPO ERRORS	THIS IS NEEDED IF MORE THAN ONE ACCOUNT SHARES AN LEI TO ENSURE THERE IS A UNIQUE COMBINATION OF LEI AND ACCOUNT IN THE REPOSITORY	THE ULTIMATE PARENT LEI IS AN SEC-DRIVEN SDR REQUIREMENT. IF YOU DO NOT HAVE AN LEI, YOU CAN SIGN UP FOR ONE AT THE GLOBAL MARKETS ENTITY IDENTIFIER (GMEI) WEBSITE: https://www.gmeiutility.org/	THIS IS NEEDED IF MORE THAN ONE ACCOUNT SHARES AN LEI TO ENSURE SUBMISSIONS ARE CONFIGURED CORRECTLY	THIS IS NEEDED BY DDR FOR OFAC SCREENING CHECKS	THIS IS USED TO LINK A TRADE INFORMATION WAREHOUSE (TIW) ACCOUNT WITH DDR	THIS IS USED TO ESCALATE ANY ISSUES AND TO PROVIDE GENERAL COMMUNICATIONS	THIS IS USED TO ESCALATE ANY ISSUES AND TO PROVIDE GENERAL COMMUNICATIONS	THIS IS USED TO ESCALATE ANY ISSUES AND TO PROVIDE GENERAL COMMUNICATIONS	THIS IS NEEDED TO IDENTIFY THE GROUP OF ACCOUNTS FOR BILLING PURPOSES. IF ONLY ONE ACCOUNT IS BEING ONBOARDED, THIS FIELD WILL DEFAULT	THIS IS REQUIRED TO SEND INVOICES	THIS IS REQUIRED TO SEND INVOICES	THIS IS REQUIRED TO SEND INVOICES	THIS IS REQUIRED TO SEND INVOICES	THIS IS REQUIRED TO SEND INVOICES

EXAMPLE DDR ACCOUNT INPUT - MQ INPUT (only if connecting to DDR via an MQ channel)

The Channel and Local Queue names input here will apply to **ALL** accounts being onboarded.
Please input for each asset class that requires an MQ Channel
The ACK/NACK messaging will apply to **ALL** message types: RT, PET, CONFIRM, SNAPSHOT, VALUATION, DOCUMENT, VERIFICATION and EVENT NOTIFICATION.

ASSET CLASS	PRODUCTION		TEST	
	MQ CHANNEL Mandatory if using MQ Please input the MQ Channel where ACKS/NACKS will be received. This is outbound from DDR to the client	CUSTOMER LOCAL QUEUE NAME Mandatory if using MQ Please input the Customer Local Queue Name where ACKS/NACKS will be received. This is outbound from DDR to the client	MQ CHANNEL Mandatory if using MQ Please input the MQ Channel where ACKS/NACKS will be received. This is outbound from DDR to the client	CUSTOMER LOCAL QUEUE NAME Mandatory if using MQ Please input the Customer Local Queue Name where ACKS/NACKS will be received. This is outbound from DDR to the client
	THIS IS NEEDED BY DDR TO CONFIGURE AND CONNECT THE OUTBOUND MESSAGES BEING SENT TO THE CLIENT	THIS IS NEEDED BY DDR TO CONFIGURE AND CONNECT THE OUTBOUND MESSAGES BEING SENT TO THE CLIENT	THIS IS NEEDED BY DDR TO CONFIGURE AND CONNECT THE OUTBOUND MESSAGES BEING SENT TO THE CLIENT	THIS IS NEEDED BY DDR TO CONFIGURE AND CONNECT THE OUTBOUND MESSAGES BEING SENT TO THE CLIENT
RATES	01abc100	RatesMessages.From.DDR.To.Corp123	01xyz100	RatesMessages.From.DDR.To.Corp123
CREDIT	11def111	CreditMessages.From.DDR.To.Corp123	11uvw111	CreditMessages.From.DDR.To.Corp123
EQUITY				
FX				
COMMODITY				

EXAMPLE DDR THIRD PARTY SUBMITTER AUTHORIZATION INPUT (ONLY IF USING A THIRD PARTY TO SUBMIT ON YOUR BEHALF)

Total Number of Accounts 1 — THIS IS THE TOTAL NUMBER OF ACCOUNTS BEING ONBOARDED. IT IS AUTOMATICALLY POPULATED FROM THE INPUT.

ENTITY INFORMATION					THIRD PARTY SUBMITTER INFORMATION				
REQUEST TYPE Mandatory Please select a request type for each legal entity being onboarded	LEGAL ENTITY IDENTIFIER (LEI) Mandatory Please enter the LEI for each account	LEGAL ENTITY NAME Mandatory Please enter the Legal Entity Name for each account	ACCOUNT SHORT NAME Mandatory if Appliable If more than one account shares the same LEI, this is Mandatory. Please enter the Account Short Name. For example, if the account is a branch, insert Branch Name.	ALTERNATE ID Mandatory if Applicable If more than one account shares the same LEI, this is Mandatory. Please enter an alternate ID (e.g. SWIFTBIC, AVOX ID) for submissions	RATES - THIRD PARTY SUBMITTER LEGAL NAME Optional Please enter the Legal Entity Name of the Third Party Submitter for Rates	CREDIT - THIRD PARTY SUBMITTER LEGAL NAME Optional Please enter the Legal Entity Name of the Third Party Submitter for Credit	EQUITY - THIRD PARTY SUBMITTER LEGAL NAME Optional Please enter the Legal Entity Name of the Third Party Submitter for Equity	FX - THIRD PARTY SUBMITTER LEGAL NAME Optional Please enter the Legal Entity Name of the Third Party Submitter for FX	COMMODITY - THIRD PARTY SUBMITTER LEGAL NAME Optional Please enter the Legal Entity Name of the Third Party Submitter for Commodity
New	98765432109876500000	Corp123	Branch A	XXXXUS33	Submitter123	Submitter456			
THIS IS REQUIRED TO IDENTIFY THE TYPE OF REQUEST NEEDED.	THIS IS NEEDED TO SHOW WHICH ACCOUNT IS AUTHORIZED FOR A THIRD PARTY SUBMITTER	THIS IS NEEDED TO SHOW WHICH ACCOUNT IS AUTHORIZED FOR A THIRD PARTY SUBMITTER	THIS IS NEEDED IF MORE THAN ONE ACCOUNT SHARES AN LEI TO ENSURE THERE IS A UNIQUE COMBINATION OF LEI AND ACCOUNT IN THE REPOSITORY	THIS IS NEEDED IF MORE THAN ONE ACCOUNT SHARES AN LEI TO ENSURE SUBMISSIONS ARE CONFIGURED CORRECTLY	THIS IS NEEDED TO SET UP AND AUTHORIZE THE THIRD PARTY SUBMITTER TO EACH ACCOUNT	THIS IS NEEDED TO SET UP AND AUTHORIZE THE THIRD PARTY SUBMITTER TO EACH ACCOUNT	THIS IS NEEDED TO SET UP AND AUTHORIZE THE THIRD PARTY SUBMITTER TO EACH ACCOUNT	THIS IS NEEDED TO SET UP AND AUTHORIZE THE THIRD PARTY SUBMITTER TO EACH ACCOUNT	THIS IS NEEDED TO SET UP AND AUTHORIZE THE THIRD PARTY SUBMITTER TO EACH ACCOUNT

EXAMPLE DDR - CANADA ONLY - ADVICE OF LOCAL COUNTERPARTY STATUS

Please fill in this information if onboarding for Canada. Local counterparty status is defined as per the Canadian Regulations.
Please see Ontario Securities Commission, Autorité des Marchés Financiers and Manitoba Securities Commission Rule 91-507, Trade Repositories and Derivatives Data Reporting, for additional information.
Please note that the ENTITY INFORMATION will be pre-populated if you have selected that you will be onboarding accounts for Canada or for USA and Canada in the REPORTING JURISDICTION column.

ENTITY INFORMATION						CANADA
LEGAL ENTITY IDENTIFIER (LEI) Mandatory Please enter the LEI for each legal entity being onboarded	LEGAL ENTITY NAME Mandatory Please enter the legal entity name	ACCOUNT SHORT NAME Mandatory if Appliable If more than one account shares the same LEI, this is Mandatory. Please enter the Account Short Name. For example, if the account is a branch, insert Branch Name.	ALTERNATE ID Mandatory if Applicable If more than one account shares the same LEI, this is Mandatory. Please enter an alternate ID (e.g. SWIFTBIC, AVOX ID) for submissions	PRINCIPAL PLACE OF BUSINESS Mandatory Please select country from drop down menu	EXISTING DTCC ID Optional Please enter if the account has an existing 8 character DTCC ID (e.g. 0000105X)	CANADIAN PROVINCE / TERRITORY Mandatory If you are onboarding the account for Canadian Regulatory Reporting, please select the province(s) / territory(ies) for which you are a LOCAL COUNTERPARTY, as defined by the Canadian Regulations.
32145467890123400000	Corp789	Branch A	XXXXCAM3	CANADA	0000123C	Quebec
THE LEI IS A REGULATOR-DRIVEN SDR REQUIREMENT. IF YOU DO NOT HAVE AN LEI, YOU CAN SIGN UP FOR ONE AT THE GLOBAL MARKETS ENTITY IDENTIFIER (GMEI) WEBSITE: https://www.gmeiutility.org/	THIS ENSURES THE LEI MATCHES THE FULL ENTITY NAME AND WILL ELIMINATE ANY INPUT/TYPO ERRORS	THIS IS NEEDED IF MORE THAN ONE ACCOUNT SHARES AN LEI TO ENSURE THERE IS A UNIQUE COMBINATION OF LEI AND ACCOUNT IN THE REPOSITORY	THIS IS NEEDED IF MORE THAN ONE ACCOUNT SHARES AN LEI TO ENSURE SUBMISSIONS ARE CONFIGURED CORRECTLY	THIS IS NEEDED BY DDR FOR OFAC SCREENING CHECKS	THIS IS USED TO LINK A TRADE INFORMATION WAREHOUSE (TIW) ACCOUNT WITH DDR	THIS IS A REGULATORY REQUIREMENT. PLEASE SEE ONTARIO SECURITIES COMMISSION, AUTORITE DES MARCHES FINANCIERS AND MANITOBA SECURITIES COMMISSION RULE 91-507, TRADE REPOSITORIES AND DERIVATIVES DATA REPORTING, FOR ADDITIONAL INFORMATION

			ASSET CLASS INFORMATION – ONLY ACCOUNTS WITH ASSETS ARE ALLOWED	
BILLING PROVINCE Mandatory if applicable Please enter Province	BILLING ZIP OR POSTAL CODE Mandatory Please enter ZIP or Postal Code	BILLING COUNTRY OR ORIGIN Mandatory Please select from drop down menu	ROLE Mandatory Please select the role from the drop down list	SUBMITTING ACCOUNT UID Conditional Please specify the UID of the submitting account if it is different than the account being onboarded
	10041	UNITED STATES OF AMERICA	SP Swaps Dealer	
THIS IS REQUIRED TO SEND INVOICES	THIS IS REQUIRED TO SEND INVOICES	THIS IS REQUIRED TO SEND INVOICES	THIS IS REQUIRED TO CONFIGURE THE CORRECT REPORTING PERMISSIONS	THIS IS REQUIRED TO CONFIGURE THE CORRECT SUBMISSION AND REPORTING PERMISSIONS

THIS FORM IS FOR DTCC DATA REPOSITORY (U.S.) LLC (DDR) - ANNEX 1 OF THE USER AGREEMENT

DDR ACCOUNT INPUT

If you are connecting to DDR via an MQ Channel, please also complete the DDR MQ Channel Input tab
If you are using a Third Party to submit on your behalf, please also complete the DDR Third Party Submitter tab

Total Number of Accounts 0 This is automatically populated from the Input.

REPORTING JURISDICTION	PRODUCTION AND TEST SET UP	ENTITY INFORMATION								OPERATIONS CONTACT - Required to escalate any issues and to provide general communications			BILLING CONTACT INFORMATION - Required to send invoices					
REPORTING JURISDICTION	ACCESS TO ENVIRONMENTS	REQUEST TYPE	LEGAL ENTITY IDENTIFIER (LEI)	LEGAL ENTITY NAME	ACCOUNT SHORT NAME	Ultimate Parent (Holding Company)	ALTERNATE ID	PRINCIPAL PLACE OF BUSINESS	EXISTING DTCC ID	OPERATIONS CONTACT NAME	OPERATIONS EMAIL ADDRESS	OPERATIONS TELEPHONE NUMBER	BILLING FAMILY NAME	BILLING CONTACT NAME	BILLING EMAIL ADDRESS	BILLING MAILING ADDRESS	BILLING CITY	BILLING STATE OR COUNTY
Mandatory	Mandatory	Mandatory	Mandatory	Mandatory	Mandatory if Applicable	Mandatory for SEC	Mandatory if Applicable	Mandatory	Optional	Mandatory	Mandatory	Mandatory	Mandatory	Mandatory	Mandatory	Mandatory	Mandatory	Mandatory if applicable
Please select reporting jurisdiction from the drop down list	Please select whether production, test or both environments are required from the drop down list. Please note that a maximum of **FIVE** accounts can be set up with a test environment	Please select a request type for each legal entity being onboarded	Please enter the LEI for each legal entity being onboarded	Please enter the legal entity name	If more than one account shares the same LEI, this is **Mandatory**. Please enter the Account Short Name. For example, if the account is a branch, insert Branch Name.	Please enter the Ultimate Parent LEI for each legal entity being onboarded	If more than one account shares the same LEI, this is **Mandatory**. Please enter an alternate ID (e.g. SWIFTBIC, AVOID ID) for submissions	Please select country from drop down menu	Please enter if the account has an existing 8 character DTCC ID (e.g. 0000101SA)	Please enter first and last name	Please enter email address	Please input with country dialling code	If more than one account is being onboarded, please enter the "Legal Entity Name" of ONE account. If only one account is being onboarded, this will default.	Please enter first and last name	Please enter email address	Please enter mailing address	Please enter city	Please enter state or county

			ASSET CLASSES - RATES		ASSET CLASSES - CREDIT		ASSET CLASSES - EQUITY		ASSET CLASSES - FX		ASSET CLASSES - COMMODITY	
BILLING PROVINCE	BILLING ZIP OR POSTAL CODE	BILLING COUNTRY OR ORIGIN	ROLE	SUBMITTING ACCOUNT LEI	ROLE	SUBMITTING ACCOUNT LEI	ROLE	SUBMITTING ACCOUNT LEI	ROLE	SUBMITTING ACCOUNT LEI	ROLE	SUBMITTING ACCOUNT LEI
Mandatory if applicable	Mandatory	Mandatory	Mandatory	Conditional	Mandatory	Conditional	Mandatory	Conditional	Mandatory	Conditional	Mandatory	Conditional
Please enter Province	Please enter ZIP or Postal Code	Please select from drop down menu	Please select the role from the drop down list	Please specify the LEI of the submitting account if it is different than the account being onboarded	Please select the role from the drop down list	Please specify the LEI of the submitting account if it is different than the account being onboarded	Please select the role from the drop down list	Please specify the LEI of the submitting account if it is different than the account being onboarded	Please select the role from the drop down list	Please specify the LEI of the submitting account if it is different than the account being onboarded	Please select the role from the drop down list	Please specify the LEI of the submitting account if it is different than the account being onboarded

THIS FORM IS FOR DTCC DATA REPOSITORY (U.S.) LLC (DDR) - ANNEX 1 OF THE USER AGREEMENT

DDR ACCOUNT INPUT - MQ CHANNEL SET UP

If you are NOT connecting to DDR via an MQ Channel, you do not need to complete this tab.
The Channel and Local Queue names input here will apply to ALL accounts being onboarded.
Please input for each asset class that requires an MQ Channel.
The ACK/NACK messaging will apply to ALL message types: RT, PET, CONFIRM, SNAPSHOT, VALUATION, DOCUMENT, VERIFICATION and EVENT NOTIFICATION.

	PRODUCTION		TEST	
ASSET CLASS	MQ CHANNEL Mandatory if using MQ Please input the MQ Channel where ACKS/NACKS will be received. This is outbound from DDR to the client	CUSTOMER LOCAL QUEUE NAME Mandatory if using MQ Please input the Customer Local Queue Name where ACKS/NACKS will be received. This is outbound from DDR to the client	MQ CHANNEL Mandatory if using MQ Please input the MQ Channel where ACKS/NACKS will be received. This is outbound from DDR to the client	CUSTOMER LOCAL QUEUE NAME Mandatory if using MQ Please input the Customer Local Queue Name where ACKS/NACKS will be received. This is outbound from DDR to the client
RATES				
CREDIT				
EQUITY				
FX				
COMMODITY				

THIS FORM IS FOR DTCC DATA REPOSITORY (U.S.) LLC (DDR) - ANNEX 1 OF THE THIRD PARTY SUBMITTER AUTHORIZATION SUPPLEMENT

DDR THIRD PARTY SUBMITTER AUTHORIZATION INPUT

Only complete this tab if you are using a Third Party to submit on your behalf.

Total Number of Accounts 0 This is automatically populated from the input.

REQUEST TYPE Mandatory Please select a request type for each legal entity being onboarded	LEGAL ENTITY IDENTIFIER (LEI) Mandatory Please enter the LEI for each account	LEGAL ENTITY NAME Mandatory Please enter the Legal Entity Name for each account	ACCOUNT SHORT NAME Mandatory if Appliable If more than one account shares the same LEI, this is Mandatory. Please enter the Account Short Name. For example, if the account is a branch, insert Branch Name.	ALTERNATE ID Mandatory If Applicable If more than one account shares the same LEI, this is Mandatory. Please enter an alternate ID (e.g. SWIFTBIC, AVOX ID) for submissions	RATES - THIRD PARTY SUBMITTER LEGAL NAME Optional Please enter the Legal Entity Name of the Third Party Submitter for Rates	CREDIT - THIRD PARTY SUBMITTER LEGAL NAME Optional Please enter the Legal Entity Name of the Third Party Submitter for Credit	EQUITY - THIRD PARTY SUBMITTER LEGAL NAME Optional Please enter the Legal Entity Name of the Third Party Submitter for Equity	FX - THIRD PARTY SUBMITTER LEGAL NAME Optional Please enter the Legal Entity Name of the Third Party Submitter for FX	COMMODITY - THIRD PARTY SUBMITTER LEGAL NAME Optional Please enter the Legal Entity Name of the Third Party Submitter for Commodity

YES	AFGHANISTAN	ALL
NO	ALBANIA	Rates
	ALGERIA	FX
	AMERICAN SAMOA	Credit
	ANDORRA	Equity
	ANGOLA	Commodity
	ANGUILLA	Rates, FX
	ANTARCTICA	Rates, Credit
	ANTIGUA AND BARBUDA	Rates, Equity
	ARGENTINA	Rates, Commodity
	ARMENIA	FX, Credit
	ARUBA	FX, Equity
	AUSTRALIA	FX, Commodity
	AUSTRIA	Credit, Equity
	AZERBAIJAN	Credit, Commodity
	BAHAMAS	Equity, Commodity
	BAHRAIN	Rates, FX, Credit
	BANGLADESH	Rates, FX, Equity
	BARBADOS	Rates, FX, Commodity
	BELARUS	Rates, Equity, Commodity
	BELGIUM	Rates, Equity, Credit
	BELIZE	Rates, Credit, Commodity
	BENIN	FX, Credit, Equity
	BERMUDA	FX, Credit, Commodity
	BHUTAN	FX, Equity, Commodity
	BOLIVIA	Credit, Equity, Commodity
	BOSNIA-HERZEGOVINA	Rates, FX, Credit, Equity
	BOTSWANA	Rates, FX, Credit, Commodity
	BOUVET ISLAND	Rates, Credit, Equity, Commodit
	BRAZIL	FX, Credit, Equity, Commodity
	BRITISH INDIAN OCEAN TERRITORY	Equity, Commodity, Rates, FX
	BRUNEI DARUSSALAM	
	BULGARIA	
	BURKINA FASO	
	BURUNDI	
	CAMBODIA	
	CAMEROON	
	CANADA	
	CAPE VERDE	
	CAYMAN ISLANDS	
	CENTRAL AFRICAN REPUBLIC	
	CHAD	
	CHILE	
	CHINA	
	CHRISTMAS ISLAND	
	COCOS(KEELING)ISLANDS	

COLOMBIA
COMOROS
CONGO
CONGO, THE DEMOCRATIC
REPUBLIC OF THE
COOK ISLANDS
COSTA RICA
COTE D'IVOIRE
CROATIA
CUBA
CYPRUS
CZECH REPUBLIC
DENMARK
DJIBOUTI
DOMINICA
DOMINICAN REPUBLIC
EAST TIMOR
ECUADOR
EGYPT
EL SALVADOR
EQUATORIAL GUINEA
ERITREA
ESTONIA
ETHIOPIA
EUROCLEAR
EUROCLEAR A
EUROCLEAR B
EUROPEAN UNION
FAEROE ISLANDS

FALKLAND ISLANDS(MALVINAS)

FIJI
FINLAND
FRANCE
FRENCH GUIANA
FRENCH POLYNESIA

FRENCH SOUTHERN TERRITORIES

GABON
GAMBIA
GEORGIA
GERMANY
GHANA
GIBRALTAR
GREECE
GREENLAND
GRENADA

GUADELOUPE
GUAM
GUATEMALA
GUERNSEY, C.I.
GUINEA
GUINEA-BISSAU
GUYANA
HAITI

HEARD AND MCDONALD ISLANDS

HOLY SEE(VATICAN CITY STATE)

HONDURAS
HONG KONG
HUNGARY
ICELAND
INDIA
INDONESIA
IRAN (ISLAMIC REPUBLIC OF)
IRAQ
IRAQ TEST GARBAGE
IRELAND
ISLE OF MAN
ISRAEL
ITALY
JAMAICA
JAPAN
JERSEY, C.I.
JORDAN
KAZAKHSTAN
KENYA
KIRIBATI
KOREA, DEMOCRATIC PEOPLE'S
REPUBLIC
KOREA, REPUBLIC OF
KUWAIT
KYRGYZSTAN
LAO PEOPLE'S DEMOCRATIC
REPUBLIC
LATVIA
LEBANON
LESOTHO
LIBERIA
LIBYAN ARAB JAMAHIRIYA
LIECHTENSTEIN
LITHUANIA
LUXEMBOURG

MACAU
MACEDONIA, THE FORMER
YUGOSLAVIA
MADAGASCAR
MALAWI
MALAYSIA
MALDIVES
MALI
MALTA
MARSHALL ISLANDS
MARTINIQUE
MAURITANIA
MAURITIUS
MAYOTTE
MEXICO
MICRONESIA (FEDERATESD
STATES)
MOLDOVA, REPUBLIC OF
MONACO
MONGOLIA
MONTSERRAT
MOROCCO
MOZAMBIQUE
MYANMAR
NAMIBIA
NAURU
NEPAL
NETHERLAND ANTILLES
NETHERLANDS
NEW CALEDONIA
NEW ZEALAND
NICARAGUA
NIGER
NIGERIA
NIUE
NORFOLK ISLAND
NORTHERN MARIANA ISLANDS
NORWAY
OMAN
PAKISTAN
PALAU
PANAMA
PANAMA CANAL ZONE
PAPUA NEW GUINEA
PARAGUAY
PERU

PHILIPPINES
PITCAIRN
POLAND
PORTUGAL
PUERTO RICO
QATAR
REUNION
ROMANIA
RUSSIAN FEDERATION
RWANDA
SAINT HELENA
SAINT KITTS AND NEVIS
SAINT LUCIA
SAINT VINCENT AND THE
GRENADINES
SAMOA
SAN MARINO
SAO TOME AND PRINCIPE
SAUDI ARABIA
SENEGAL
SERBIA AND MONTENEGRO
SEYCHELLES
SIERRA LEONE
SINGAPORE
SLOVAKIA
SLOVENIA
SOLOMON ISLANDS
SOMALIA
SOUTH AFRICA
SOUTH GEORGIA AN SOUTH
SANDWICH ISLANDS
SPAIN
SRI LANKA
ST. PIERRE AND MIQUELON
SUDAN
SURINAME
SVALBARD AND JAN MAYEN
ISLANDS
SWAZILAND
SWEDEN
SWITZERLAND
SYRIAN ARAB REPUBLIC
TAIWAN
TAJIKSTAN

TANZANIA, UNITED REPUBLIC OF

THAILAND

TOGO
TOKELAU
TONGA
TRINIDAD AND TOBAGO
TUNISIA
TURKEY
TURKMENISTAN
TURKS AND CAICOS ISLANDS
TUVALU
U.A.E.
UGANDA
UKRAINE
UNITED KINGDOM
UNITED STATES MINOR
OUTLYING ISLANDS
UNITED STATES OF AMERICA
URUGUAY
UZBEKISTAN
VANUATU
VENEZUELA
VIET NAM
VIRGIN ISLANDS (BRITISH)
VIRGIN ISLANDS, U.S.

WALLIS AND FUTUNA ISLANDS

WESTERN SAHARA
YEMEN
YUGOSLAVIA
ZAMBIA
ZIMBABWE

USA (CFTC)
USA (SEC)
Canada (All Regulators)
USA (CFTC and SEC)
USA (CFTC) and Canada (All Regulators)
USA (SEC) and Canada (All Regulators)
USA (CFTC and SEC) and Canada (All Regulators)

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Asset Service Provider
Buyside
Central Counterparty Clearing House (CCP)
Clearing Broker
Confirmation Service Provider
Custodian
DF Derivatives Clearing Organization (DF DCO)
DF Designated Contract Market (DF DCM)
DF MSP
DF Non-SD/MSP
DF Swaps Dealer
DF Swaps Execution Facility (DF SEF)
Dealer
Electronic Commerce Network (ECN)
FCM
Fund Administrator
Individual
Other Intermediary
Prime Broker
Third Party Service Provider

DELTA	Production
FULL	Test
	Production and Test

All	New
Manitoba	Amendment
Ontario	Termination
Quebec	
Manitoba and Ontario	
Manitoba and Quebec	
Ontario and Quebec	
None	

THIS FORM IS FOR DTCC DATA REPOSITORY (U.S.) LLC

DDR - CANADA ONLY - ADVICE OF LOCAL COUNTERPAI

Only complete this tab if you are onobarding for Canadian Regulators

The Entity Information will be prepopulated. Please fill in the CANADA column or

LEGAL ENTITY IDENTIFIER (LEI) Mandatory Please enter the LEI for each legal entity being onboarded	LEGAL ENTITY NAME Mandatory Please enter the legal entity name
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
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N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A

N/A	N/A
N/A	N/A
N/A	N/A

N/A	N/A
N/A	N/A
N/A	N/A

N/A	N/A
N/A	N/A
N/A	N/A

N/A	N/A
N/A	N/A
N/A	N/A

(DDR) - ANNEX 1 OF THE USER AGREEMENT

RTY STATUS

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ENTITY INFORMATION	
ACCOUNT SHORT NAME Mandatory if Appliable If more than one account shares the same LEI, this is Mandatory. Please enter the Account Short Name. For example, if the account is a branch, insert Branch Name.	ALTERNATE ID Mandatory If Applicable If more than one account shares the same LEI, this is Mandatory. Please enter an alternate ID (e.g. SWIFTBIC, AVOX ID) for submissions
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A

N/A	N/A
N/A	N/A
N/A	N/A

N/A	N/A
N/A	N/A
N/A	N/A

N/A	N/A
N/A	N/A
N/A	N/A

N/A	N/A
N/A	N/A
N/A	N/A

PRINCIPAL PLACE OF BUSINESS Mandatory Please select country from drop down menu	EXISTING DTCC ID Optional Please enter if the account has an existing 8 character DTCC ID (e.g. 0000105X)
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A

N/A	N/A
N/A	N/A
N/A	N/A

N/A	N/A
N/A	N/A
N/A	N/A

N/A	N/A
N/A	N/A
N/A	N/A

N/A	N/A
N/A	N/A
N/A	N/A

CANADA
CANADIAN PROVINCE / TERRITORY **Mandatory** **If you are onboarding the account for Canadian Regulatory Reporting, please select the province(s) / territory(ies) for which you are a LOCAL COUNTERPARTY, as defined by the Canadian Regulations.**

Legal Notice: Populating the "Name of person submitting this form" field below creates a signature as described in Section 11 (Signatures) of the Important Legal Information section of the Company's Operating Procedures.

Total Number of accounts being onboarded	
Total number of accounts with Third Party Submitters	
Name of company, partnership etc. who has executed the User Agreement	
Authorized role/capacity of the company who has executed the User Agreement	
Address of company, including country, who has executed the User Agreement	
Name of person submitting this form	
Title of person submitting this form	
Date of this form submission	