



**Security-Based Swap Data Repository
Execution Agent Onboarding Process**

September 27, 2016

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LEGAL AGREEMENTS

Execution Agents including Investment Managers, or entities professionally undertaking investment decisions on behalf of its customers in accordance with investment objectives and parameters agreed between Investment Managers and its customers, may enroll in ICE Trade Vault to report for their identified entities/assets/funds. Execution Agents who are interested in enrolling in ICE Trade Vault may review the User Agreement via the links on the ICE Trade Vault website at www.icetradevault.com and should send an email indicating such interest to tradevaultsupport@theice.com. A member of the ICE Trade Vault team will electronically forward a copy of the ICE Trade Vault User Agreement via DocuSign and will email a copy of the Company Information, and Ultimate Parent forms required to complete set-up. To enroll in ICE Trade Vault for Security-Based Swap Data Reporting a new User will sign where indicated within the ICE Trade Vault User Agreement and identify a company administrator (defined below) and company contact. Note: The ICE Trade Vault User Agreement is based on the ICE Participant Agreement for trading platform access and is a standard, non-negotiable document.

The new Execution Agent User will also need to complete and sign Annex I. Within Annex I, where noted, the Execution Agent must provide a list of customer entities for which they will trade and then report on their behalf as well as signing where indicated. Annex I governs access to ICE Trade Vault SEC as an Execution Agent.

User's Company Administrator

Company Administrator: A User's designated system user that will have read/write access to ICE Trade Vault SEC. This person will monitor and maintain company information and other user access according to his or her company security access policies, including new user set-up and password re-sets. This ensures the company, remains responsible for any and all access to its trade data. The User has the option to select a second Administrator for backup coverage.

ICE Trade Vault User Agreement

For the User representation check boxes, the Execution Agent should check the first box.

User represents that it is (select one option):

- A counterparty (either a U.S. person, a registered security-based swap dealer or a registered major security-based swap participant) of a security-based swap that is reported to ICE Trade Vault to satisfy an obligation under Exchange Act Rule 901(a).
- A platform (either a national securities exchange or a security-based swap execution facility that is registered or exempt from registration) that reports a security-based swap to ICE Trade Vault to satisfy an obligation under Exchange Act Rule 901(a).
- A registered clearing agency (pursuant to Exchange Act Section 17A and any rules or regulations thereunder) that is required to report to ICE Trade Vault whether or not it has accepted a security-based swap for clearing pursuant to Exchange Act Rule 901(e)(1)(ii).

[Insert User's Full Legal Company Name Below]

ICE Trade Vault, LLC
5660 New Northside Drive NW, 3rd Floor
Atlanta, Georgia 30328, USA

Address: _____

Signature: *To be completed by ICE*
Name: *To be completed by ICE*
Title: *To be completed by ICE*

Signature: _____
Name: _____
Title: _____

User Administrator for ICE Trade Vault:
(Required to gain access to the ICE Trade Vault Service)

Name: _____
Title: _____
Address: _____

Telephone: _____
Fax: _____
Email: _____

Annex I

Please populate the companies which you have been granted rights to trade and then report on behalf of including their full legal entity name and LEI. As access levels need to be amended this annex will need to be reexecuted and submitted to TradeVaultSupport@theice.com to update User access. Note that as many lines may be added as needed.

FULL LEGAL NAME OF CLIENT	LEGAL ENTITY IDENTIFIER	ACCOUNT NUMBER

ICE Trade Vault Ultimate Parent & Affiliate Information Notification

The new User must also fill out and sign the ICE Trade Vault Ultimate Parent & Affiliate Information Notification form for the Execution Agent company. On this form the User will indicate their ultimate parent(s) or any affiliate(s) that are also Users of the registered SDR.

Company Information Form

Lastly, the new User will fill out the Company Information Form. This form will be used to create the company, contacts, and Administrator user in all system environments, including Production and User Acceptance Testing (“UAT”) environments. All information must be completed. Production access will not be granted until completion of the forms. If requested by the User, in such cases UAT environment access will be granted and Production access will be granted at a later date upon Users written request. Once the forms have been completed the new User will email a copy of the forms to the designated ICE Trade Vault support box: tradevaultsupport@theice.com.

New User Set-Up

An ICE Trade Vault team member will finalize the new User set-up in all UAT and production environments and create the Company Administrator(s) User ID(s) and contact(s).

The Company Administrator is the user identified on the ICE Trade Vault User Agreement signed by the company. As per the terms of the agreement the Company Administrator manages all user set up and user access levels. Company Administrators are required to regularly review and verify all users are set up or deactivated as needed with the correct level or permissions. If a company requests to assign a new Company Administrator the request must be in writing.

New User Communication

Once set-up in all environments has been completed, the new user will receive an email from the ICE Trade Vault support team with log in instructions and detailed guidelines to follow:

- Create additional user IDs for team.
- Create Accounting, Legal and Operations contacts.
- Quarterly reviews of user access
- Invoice and payment instructions

New User Access

Once a user is set up and based on user access, he or she will be able to:

- Submit and/or edit trades to which they are the Execution Agent on the trade for a company that is the Reporting Side to a trade
- Dispute and update UIC information for trades to which they are the Execution Agent on the trade for a company that is the Non-Reporting Side to a trade
- View all Security-based swap data to which they are the Execution Agent on the trade for a company that is the a direct counterparty to a trade

New User Support & Training

Once the User administrator receives his or her login credentials and welcome email, he or she will be able to access the system and will have the following guides and assistance available as needed:

- SBSDR User Guide - this document describes how a user interfaces with the ICE Trade Vault SEC website.
- Support via email and telephone
- Training demos via web-ex or in office, where available

The following documents are available publically on www.icetradevault.com

- SBSDR Guidebook - this document covers how ICE Trade Vault has implemented its SBSDR system according to the SEC Rules, including the rules applicable for all Users of the system.
- SBSDR Public Dissimination Guide - this document describes how someone can interact with and interpret the Public Dissimination ticker.
- ICETV Fields and Validations - this document provides detailed instructions on how to submit data to ICE Trade Vault SEC including FpML tags, validations, and submission requirements.