



MarkitSERV Membership  
Documents Instruction  
Sheet for  
New Clients

May 10, 2012



markitSERV™

*A joint service from DTCC and Markit*

# Overview

- Purpose

This document will provide a standard list of forms that are required for new account activation. Additional forms will be provided based on the request. It also provides key instructions and helpful hints on filling out the forms.

- Activation Cycle

MarkitSERV account activations occur after the KYC Questionnaire is approved and the original paperwork is received in good order.

- MarkitSERV Onboarding

The MarkitSERV Membership team will assist applicants throughout the membership process. They will provide general information about the products, assist in filling out the forms, conduct the KYC risk review, coordinate product training, coordinate testing (if necessary), and address any issues during the process.

# MarkitSERV membership document - New Client

DTCC Deriv/SERV, The Warehouse Trust Company, Repository and MarkitSERV Membership Documents <http://www.dtcc.com/customer/membership/derivserv/derivserv.php>

- Customers should always download forms from the website to obtain the latest versions.
- The Company Name must always be typed in full and be consistent across all forms.
- All information provided must be legible.
- Leave Account ID/O-Code blank on the Super Access Coordinator Form. These IDs will be assigned by DTCC.

Customer Center  
**Membership**

**DTCC Deriv/SERV, Global Trade Repository, The Warehouse Trust Company, DTCC Derivatives Repository and MarkitSERV**

This page provides information and requirements on becoming a user of DTCC Deriv/SERV, The Global Trade Repository, The Warehouse Trust Company, Repository and MarkitSERV. Details and forms for becoming a user of AffirmXpress are available in the [Deriv/SERV - AffirmXpress Membership section](#). Please contact your MarkitSERV Account Manager at [CAG@markitserv.com](mailto:CAG@markitserv.com) for individual assistance with the membership process.

Please submit your documents via email to [DSMatch-Implementation@markitserv.com](mailto:DSMatch-Implementation@markitserv.com).

**Membership Documents - New Clients**

- Multifund User Agreement Form & Key Contacts  
(MS-Word .doc, 160KB, Updated 05/2012)
- Super Access Coordinator Form  
(MS-Word .doc, 104KB, Updated 05/2012)
- MarkitSERV Membership Documents Instruction Sheet  
(Acrobat .pdf, 629KB, Updated 03/2012)

## MarkitSERV membership documents- New Client (continued)

- A Super Access Coordinator cannot be the same person as the authorized officer who signs the Super Access Coordinator Form on page 2.
- Select only the required DTCC Deriv/SERV, The Warehouse Trust Company, Repository and MarkitSERV products and system environments. For some setups, you may be required to complete additional forms which may extend the activation process.

# 1. User Agreement Form

<p>markitSERV <b>DTCC</b></p> <p>MARKITSERV, DERIV/SERV, WAREHOUSE TRUST AND REPOSITORY USER AGREEMENT ("User Agreement")</p> <p>The undersigned user ("User") wishes to participate in one or more services or systems to be operated by any or each of MarkitSERV, LLC, a Delaware limited liability company ("MarkitSERV"), DTCC Deriv/SERV LLC, a New York limited liability company ("Deriv/SERV"), The Warehouse Trust Company LLC, a New York limited liability trust company (the "Warehouse Trust"), or DTCC Derivatives Repository Ltd, a company organized under the laws of England and Wales (the "Repository"). By signing this User Agreement, effective as of the date entered below (the "Effective Date"): (i) each of User and MarkitSERV agrees to be bound by the MarkitSERV Operating Procedures and the Applicable Publications (as defined therein) issued thereunder, as each may be amended, supplemented or modified from time to time (the "MarkitSERV Procedures") with respect to the services or systems provided or operated by MarkitSERV; (ii) each of User and Deriv/SERV agrees to be bound by the DTCC Deriv/SERV Operating Procedures and the Applicable Publications (as defined therein) issued thereunder, as each may be amended, supplemented or modified from time to time (the "Deriv/SERV Procedures") with respect to the services or systems provided or operated by Deriv/SERV; (iii) each of User and the Warehouse Trust agrees to be bound by the Warehouse Trust Operating Procedures and the Applicable Publications (as defined therein) issued thereunder, as each may be amended, supplemented or modified from time to time (the "Warehouse Trust Procedures") with respect to the services or systems provided or operated by the Warehouse Trust; and (iv) each of User and the Repository agrees to be bound by the Repository Operating Procedures and the Applicable Publications (as defined therein) issued thereunder, as each may be amended, supplemented or modified from time to time (the "Repository Procedures") (and together with the MarkitSERV Procedures, the Deriv/SERV Procedures and the Warehouse Trust Procedures, the "Applicable Operating Procedures") with respect to the services or systems provided or operated by the Repository. For the avoidance of doubt, each of MarkitSERV, Deriv/SERV, the Warehouse Trust and the Repository shall have no obligation in respect of each other's Operating Procedures and Applicable Publications, and are obligated solely in respect of their own Operating Procedures and Applicable Publications.</p> <p>The User will pay to MarkitSERV, Deriv/SERV, the Warehouse Trust or the Repository, as applicable, such fees and charges for the services provided as shall be specified from time to time in a pricing schedule to the Applicable Operating Procedures.</p> <p>The User hereby acknowledges receipt of the most current version, as of the Effective Date, of the Operating Procedures of each of MarkitSERV, Deriv/SERV, the Warehouse Trust and the Repository.</p> <p>This User Agreement and the Applicable Operating Procedures to the extent that they govern or relate to the relationship between the undersigned and MarkitSERV, Deriv/SERV, the Warehouse Trust or the Repository, as the case may be, will be governed by the law of the State of New York, without regard to the conflicts of law provisions thereof.</p>	<p>It is understood and agreed that this document shall constitute a separate agreement between MarkitSERV, Deriv/SERV, the Warehouse Trust and the Repository, on the one hand, and each entity/fund that is listed in Annex I hereto as amended from time to time, on the other hand, as if each such entity/fund has executed a separate document naming only itself as the User, and that no entity/fund that is listed in Annex I as amended from time to time shall have any liability under this document for the obligations of any other entity/fund that is listed in Annex I as amended from time to time solely by reason of being listed in Annex I as amended from time to time. Annex I shall be amended by attaching an additional sheet thereto, dated, and executed by each of MarkitSERV, Deriv/SERV, the Warehouse Trust and the Repository and on behalf of each entity/fund listed on such additional sheet in the same manner that this User Agreement is executed. Unless otherwise instructed in writing, each of MarkitSERV, Deriv/SERV, the Warehouse Trust and the Repository will treat each entity/fund listed in Annex I hereto as part of the same Family for purposes of the Applicable Operating Procedures.</p> <p>Each entity/fund that is listed in Annex I (each such entity/fund individually, the "User")</p> <p>By: <u>ABC &amp; Company</u> <i>[Print the name of the company signing on behalf of the entity/fund (i.e., the name of Investment Company)]</i></p> <p>as <u>Investment Manager</u> <i>[Insert authorized role/capacity of the company above (i.e., Investment Manager or Asset Manager)]</i></p> <p>with an address at</p> <p><u>123 State Street, 4<sup>th</sup> Floor, New York, NY 10022</u> <i>[Insert address including the Country]</i></p> <p>By: <u>John Doe</u> <i>[Signature]</i></p> <p>Name: John Doe Title: Managing Director</p> <p>[Additional internal signatures follow]</p>
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The User Agreement Form is a contract between DTCC Deriv/SERV, The Warehouse Trust Company, Repository and MarkitSERV and the Entities listed in the Annex I.

This agreement is typically signed by the Investment Manager, which is signing on behalf of the Entities on the Annex I.

Sample of User Agreement Form.

Instructions are provided on the next page.

All information must be legible.

## 2. User Agreement Form - Continued

Type or print the company/  
entity name. Must be exactly  
the same as in all of the other  
Membership Forms.

Type or print the company/entity  
full address.

**Note:** The proceeding page is intended  
for MarkitSERV/DTCC/TIW and  
Repository INTERNAL USE ONLY.

It is understood and agreed that this document shall constitute a separate agreement between MarkitSERV, DerivSERV, the Warehouse Trust and the Repository, on the one hand, and each entity/fund that is listed in Annex I hereto as amended from time to time, on the other hand, as if each such entity/fund has executed a separate document naming only itself as the User, and that no entity/fund that is listed in Annex I as amended from time to time shall have any liability under this document for the obligations of any other entity/fund that is listed in Annex I as amended from time to time solely by reason of being listed in Annex I as amended from time to time. Annex I shall be amended by attaching an additional sheet thereto, dated, and executed by each of MarkitSERV, DerivSERV, the Warehouse Trust and the Repository and on behalf of each entity/fund listed on such additional sheet in the same manner that this User Agreement is executed. Unless otherwise instructed in writing, each of MarkitSERV, DerivSERV, the Warehouse Trust and the Repository will treat each entity/fund listed in Annex I hereto as part of the same Family for purposes of the Applicable Operating Procedures.

Each entity/fund that is listed in Annex I (each such entity/fund individually, the "User")

By: ABC & Company  
*[Print the name of the company signing on behalf of the entity/fund (i.e., the name of Investment Company)]*

as Investment Manager  
*[Insert authorized role/capacity of the company above (i.e., Investment Manager or Asset Manager)]*

with an address at

123 State Street, 4<sup>th</sup> Floor, New York, NY 10022  
*[Insert address including the Country]*

By: John Doe  
*[Signature]*

Name: John Doe  
Title: Managing Director

*[Additional internal signatures follow]*

**Type or print company/entity title or role.**

- Examples of acceptable roles are: Investment Manager, Fund Manager, Asset Manager and Bank.
- Depending on the company relationship, other roles may be submitted for approval.

Authorized officer **signature**.

Type or print full name of authorized  
officer and job title.

# 3. Annex I Form

**Annex I Form** lists the entities who are bound by the User Agreement.

## Annex I

(List the entities/funds joining on the Effective Date of the User Agreement. Information is gathered for purposes of regulatory reporting.)

**Global Reporting Regulator(s)**

Field must be filled in. If regulated, please specify Global Reporting Regulator, i.e., regulator for overall parent entity. Please note that multiple regulators can be included in this one text box. If unregulated, please indicate "unregulated" in the field.

External ID (DSMatch)	MarkitWire BIC (if applicable)	Short Name	Legal Name	Primary/Prudential Regulator(s)/ Unregulated	Registered Office Location (City, Province/State, Country)	US Registered (Applies Only to Swaps Execution Facilities, Designated Contract Markets and Derivatives Clearing Organizations)
1			ABC Asset Fund Limited	SEC	New York, US	SEF <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/>
2						SEF <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/>
3						SEF <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/>
4						SEF <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/>
5						SEF <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/>
6						SEF <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/>
7						SEF <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/>
8						SEF <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/>
9						SEF <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/>
10						SEF <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFTC <input type="checkbox"/> SEC <input type="checkbox"/>

**Sample Annex I Form.** See data column descriptions [below](#).

Type or print information. All information must be legible.

# 4. Annex I Form - Continued

MarkitSERV assigns an 8-digit account ID unless otherwise requested in the External ID column.

When 10 or more funds are being requested, the Annex I Form must be provided electronically (in a MS Word format).

**Annex I**

(List the entities/funds joining on the Effective Date of the User Agreement. Information is gathered for purposes of regulatory reporting.)

**Global Reporting Regulator(s)** The US Securities and Exchange Commission (SEC)

Field must be filled in. If regulated, please specify Global Reporting Regulator, i.e., regulator for overall parent entity. Please note that multiple regulators can be included in this one text box. If unregulated, please indicate "unregulated" in the field.

External ID (DS/Match)	MarkitWire BIC (if applicable)	Short Name	Legal Name	Primary/Prudential Regulator(s)/ Unregulated	Registered Office Location (City, Province/State, Country)	US Registered (Applies Only to Swaps Execution Facilities, Designated Contract Markets and Derivatives Clearing Organizations)
1			ABC Asset Fund Limited	SEC	New York, US	SEF <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/>
2						SEF <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/>
3						SEF <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/>
4						SEF <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/>
5						SEF <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/>
6						SEF <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/>
7						SEF <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/>
8						SEF <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/>
9						SEF <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/>
10						SEF <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCM <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/> DCO <input type="checkbox"/> CFYC <input type="checkbox"/> SEC <input type="checkbox"/>

**Information Data Sheet**

Heading	Description
EXTERNAL ID	If you wish to assign your own ID for each account (e.g., ticker symbol).
MARKITWIRE BIC	Unique identifier for each account in MarkitWire.
SHORT NAME	Used for OUI display purposes only (limited to 40 characters).
LEGAL NAME	Field must be completed. Must specify full legal name of the entity or fund. If you do not wish this information to be displayed on OUI, please ensure that you complete the short name field.
PRIMARY PRUDENTIAL REGULATOR(S) UNREGULATED	Field must be completed. If regulated, please specify Primary Prudential Regulator(s), i.e. regulator with direct statutory authority to supervise and regulate the entity. Please note that multiple regulators can be included in this one text box. If unregulated, please indicate "unregulated" in the field.
REGISTERED OFFICE LOCATION	This refers to place of organization of the legal entity, i.e. as stated in Corporate seal, Articles of Incorporation. (E.g. New York, US or Toronto, Ontario, Canada)
US REGISTERED SEF, DCM OR DCO	Field must be completed for any entity that is registered as a swap execution facility, designated contract market or derivatives clearing organization at either or both of the U.S. Commodity Futures Trading Commission or U.S. Securities and Exchange Commission.

- Reason for data collection**
  - Due to consultation with the Over the Counter Derivatives Regulators Forum (ODRF) along with US regulators and in compliance with pending European regulations, DerivSERV, Warehouse Trust and the Repository will provide regulators with data reporting on the OTC derivatives market.
  - Information collected above is needed to enable regulatory access to data on transactions/positions of regulated entities and the underlying instruments traded.
  - Global, Primary, Prudential regulator information is needed to provide appropriate access to regulators.
- Regulator Information**
  - Entity can have one or more prudential supervisors/regulators that have regulatory authority over the legal entity.
- Registered Office Location**
  - Describes place of organization of the legal entity listed (e.g. London, United Kingdom).

Note: the fund is the legal entity and contractual entity from whom this information is requested.

# 5. Member's Key Contact List

## Sample Member's Key Contact List.

It is used to identify the contacts at the firm.

**Dealers** must complete the Key Billing Contacts.

<b>Member's Key Contact List</b>	
<b>MarkitSERV - DerivSERV - The Warehouse Trust - Derivatives Repository</b>	
The Member's Key Contact List should be filled out for (a) any new entity or fund being added as a User to the system, (b) any new entity or fund being added to the system by a User whose contact information is different than that already provided to MarkitSERV or (c) to update the contact information previously provided to MarkitSERV for an existing User.	
Firm Name (i.e. Company, Organization, Investment Manager acting on behalf of the fund(s)/entity(ies)):	<b>ABC &amp; Company</b>
Address of firm:	123 State Street
	4 <sup>th</sup> Floor
City, State, Zip:	New York, NY 10022
Country of Origin of Firm:	United States
<b>KEY PRIMARY CONTACT:</b>	
Name:	Ron Smith
Title:	Director of Operations
Work Telephone #:	212 123 4567
Alternate Telephone # (optional):	646 555 1234
E-mail Address:	rsmith@abc.com
<b>KEY BILLING CONTACT: (Dealer/Banks/Brokers)</b>	
Company Name:	ABC & Company
Billing Contact Name:	Jane Revere
Title:	Billing Coordinator
Work Telephone #:	212 123 8980
Mobile #:	N/A
Fax #:	212 123 8981
E-mail Address:	jrevere@abc.com
Billing Mailing Address:	123 State Street, 2 <sup>nd</sup> Fl
City, State, Zip:	New York, NY 10022
Country or Origin:	United States
Participant VAT number:	N/A
<b>KEY CONTACT(S) FOR LEGAL NOTICES AND OTHER IMPORTANT NOTICES</b>	
Company Name:	ABC & Company
Contact Name for notices:	Patricia Mapp
Work Telephone #:	+44 (0) 207 124 5678
E-mail Address:	pmapp@abc.co.uk
Additional Contact Name:	John Doe
Work Telephone #:	212-123-9292
E-mail Address:	jdoe@abc.com

Mailing address for legal notices:	123 State Street
	4 <sup>th</sup> Floor
City, State, Zip:	New York, NY 10022
Country or Origin:	United States

When required by applicable law, the firm named above shall procure the consent of any of its representatives from time to time to:


- (i) the processing of personal data by DTCC; and
- (ii) the transfer of personal data out of the European Economic Area (the "EEA")

in each case for purposes in connection with the firm's use of DTCC's services on behalf of the User. We may use the information about representatives in conducting our business with the User, including determining individuals authorized to access DTCC's services on behalf of the User and to provide instructions on behalf of the User, and as contact information. With respect to the transfer of personal data outside of the EEA, the data may be transferred to offices of DTCC or its subsidiaries or to third parties (selected service providers who provide services in connection with DTCC's products or services) located in countries that do not have such protective data protection legislation when compared to European law; by submitting personal data as set forth in this and similar forms related to the services of DTCC, the firm named above acting on behalf of the User and the User agree to the transfer, storing or processing of personal data outside of the EEA. If the Data Protection Act 1998 (the "Act") applies, the firm named above acting on behalf of the User and the User hereby warrant that the transfer of personal data of any of its representatives to DTCC for the purposes of processing personal data as is specified herein is in compliance with the Act. Please refer to DTCC's privacy policy at [www.dtcc.com](http://www.dtcc.com) (or for MarkitSERV privacy policy, at [www.markitserv.com](http://www.markitserv.com)) for additional information.

Please assist us to comply with the legal obligation to ensure that your information is kept accurate and up-to-date by ensuring that you inform us of any changes to your information.


References to DTCC in this Member's Key Contact List refer, as the circumstances dictate, either to (a) The Depository Trust & Clearing Corporation; and/or (b) the applicable DTCC subsidiary or other DTCC affiliate (including, without limitation, DTCC DerivSERV LLC, MarkitSERV LLC, The Warehouse Trust LLC and DTCC Derivatives Repository Ltd.).

# 6. Super Access Coordinator Authorization Form



**Super Access Coordinator Authorization Form**  
for DTCC Systems & Applications

MarkitSERV, Deriv/SERV, Warehouse Trust and DTCC derivatives Repository Products



This Form reflects ABC & Company's ("Organization") acknowledgement of its responsibilities, and of the roles and responsibilities of our Organization's Super Access Coordinators designated below, related to use of DTCC systems and applications.

References to DTCC in this Form refer, as the circumstances dictate, either to: (a) The Depository Trust & Clearing Corporation; and/or (b) the applicable DTCC subsidiary or other DTCC affiliate (including, without limitation, DTC, NSCC, FICC, EMCC, DTCC Deriv/SERV LLC, MarkitSERV, LLC, The Warehouse Trust LLC, DTCC Solutions, DTCC Derivatives Repository Ltd and Omgeo).

Our Organization and its Super Access Coordinators (and those Access Coordinators duly authorized by its Super Access Coordinators) are responsible for:

- **Authorizing access** by workers of our Organization to DTCC systems;
- **Administering** (including without limitation establishing, protecting maintaining, and revoking), the **credentials** (e.g., user IDs, passwords, digital certificates, and SecurIDs) issued to workers of our Organization that may be required by DTCC for authentication purposes;
- **Administering** (including without limitation establishing, protecting maintaining, and revoking) the associated **entitlements** (i.e., function eligibilities) in connection with the workers' communications with DTCC relating to use of DTCC products and services;
- **Monitoring** and reviewing credentials, entitlements, security breaches, access violations, and inactive accounts to ensure accuracy, and taking any appropriate follow-up action (e.g., notifying DTCC's Corporate Information Security Office and Relationship Management if potential security exposures are identified);
- **Overseeing** our Organization's workers' use of DTCC's systems, and ensuring that each worker appropriately protects his/her access privileges (e.g., by safeguarding his/her credentials) and provides up-to-date accurate information to DTCC that can be used to verify his/her identity (e.g., in the event that a password must be reset);
- **Informing all workers of changes**, such as modifications to password syntax rules, that affect access or that may impact their ability to access DTCC systems;
- **Immediately modifying or disabling/revoking access privileges** where appropriate (e.g., for any worker who leaves our Organization or changes responsibilities), and initiating the deletion and/or deactivation of associated credentials, and promptly notifying the Corporate Information Security Office of DTCC and MarkitSERV and Relationship Management of the same; and
- **Providing DTCC with up-to-date information about themselves** (e.g., name, mail & email addresses, telephone number).

Our Organization will have at least two designated Super Access Coordinators at all times. A submitted Form purporting to be signed by an authorized officer of the Organization will be conclusively presumed to have been signed by an authorized officer of Organization. If a Super Access Coordinator leaves our Organization or changes responsibilities, our Organization will notify DTCC immediately following the standard procedures which can be obtained from the contact person listed below. Our Organization recognizes that access to DTCC systems and applications is further subject to the applicable DTCC Rules and procedures, and DTCC agreements with Users of the applicable DTCC systems, and could be suspended or revoked at any time. To the extent liability is not governed by such rules or agreements, the following shall apply: In no event shall DTCC be liable for: (1) any loss resulting directly or indirectly from mistakes, errors or omissions, other than those caused directly by DTCC's gross negligence or willful misconduct; and/or (2) any special, consequential, exemplary incidental or punitive damages.

When required by applicable law, our Organization shall procure the consent of any of its representatives from time to time to:

(I) the processing of personal data by DTCC; and

(II) the transfer of personal data out of the European Economic Area (the "EEA")

In each case for purposes in connection with our Organization's use of DTCC's services. DTCC may use the information about representatives in conducting its business with our Organization, including determining individuals authorized to access DTCC's services on behalf of our Organization and to provide instructions on behalf of our Organization, and as contact information. With respect to the transfer of personal data outside of the EEA, the data may be transferred to offices of DTCC or its subsidiaries or to third parties (selected service providers who provide services in connection with DTCC's products or services) located in countries that do not have such protective data protection legislation when compared to European law; by submitting personal data as set forth in this and similar forms related to the services of the Corporation, our Organization agrees to the transfer, storing or processing of personal data outside of the EEA. If the Data Protection Act 1998 (the "Act") applies, our Organization hereby warrants that the transfer of personal data of any of its representatives to DTCC for the purposes of processing personal data as is specified herein is in compliance with the Act. Please refer to DTCC's privacy policy at [www.dtcc.com](http://www.dtcc.com) (or for MarkitSERV privacy policy at [www.markitserv.com](http://www.markitserv.com)) for additional information.

Our Organization must ensure that our information is kept accurate and up-to-date and inform DTCC of any changes to our information.

By signing this document, the Organization represents and warrants to DTCC that the signatory to this document is vested with actual authority to sign this document on behalf of the Organization and the Users.

Authorized Signor's Handwritten Initials - JD

The Super Access Coordinator Authorization Form is used to assign Super Access Coordinators for the firm, along with the product entitlements and system environment access on the web application.

Type/print company name. Must be exactly the same as in all of the other Membership Forms.

Handwritten authorized signors initials.

# 7. Super AC Form p2 - Continued

**In addition to the roles and responsibilities outlined above, a Super Access Coordinator will also be able to authorize new Access Coordinators and dually authorize new Super Access Coordinators. Our Organization will have at least two designated Super Access Coordinators at all times.**

Super Access Coordinators:	Telephone #:	E-Mail Address:	Street Address:	Access Required	System (Product) being accessed
NAME: Ron Smith	212-123-4564	rsmith@abc.com	123 State Street, 4 <sup>th</sup> Fl, New York, NY 10022	Test <input type="checkbox"/> Production <input checked="" type="checkbox"/> Backload <sup>1</sup> <input type="checkbox"/>	<b>MarkitSERV</b> <input checked="" type="checkbox"/> DSMatch Credit <input checked="" type="checkbox"/> MarkitSERV Credit Novation Consent <input checked="" type="checkbox"/> MarkitSERV Portal <input type="checkbox"/> DSMatch Equities <sup>2</sup> <input type="checkbox"/> DSMatch Rates <sup>2</sup> <input type="checkbox"/> MarkitSERV Trade Manager (MTM)/MPR <b>DTCC Derivative Repository (GTR)</b> <input type="checkbox"/> Repository Reports all asset classes <input type="checkbox"/> Credit Default Swaps products <input type="checkbox"/> Interest Rate products <input type="checkbox"/> Equity Derivative products <input type="checkbox"/> Equity Repository (EDRR) <input type="checkbox"/> Foreign Exchange products <b>Warehouse Trust</b> <input type="checkbox"/> Warehouse Copper Service <input checked="" type="checkbox"/> Warehouse Trust Event Processing <input type="checkbox"/> Warehouse Trust Payment Reconciliation <input type="checkbox"/> Credit Restructuring - Triggering <b>DTCC Deriv/SERV</b> <input type="checkbox"/> Equity Cashflow Matching (ECFM) <b>Warehouse Trust Central Settlement</b> <input type="checkbox"/> Custodian GUI Access <input type="checkbox"/> Settlement Member GUI Access <sup>3</sup>
NAME: Patricia Mapp	44(0)207 124 5678	pmapp@abc.co.uk	123 Cotton Centre, Cotton Lane, UK SE 12QG	Test <input type="checkbox"/> Production <input checked="" type="checkbox"/> Backload <sup>1</sup> <input type="checkbox"/>	<b>MarkitSERV</b> <input checked="" type="checkbox"/> DSMatch Credit <input checked="" type="checkbox"/> MarkitSERV Credit Novation Consent <input checked="" type="checkbox"/> MarkitSERV Portal <input type="checkbox"/> DSMatch Equities <sup>2</sup> <input type="checkbox"/> DSMatch Rates <sup>2</sup> <input type="checkbox"/> MarkitSERV Trade Manager (MTM)/MPR <b>DTCC Derivative Repository (GTR)</b> <input type="checkbox"/> Repository Reports all asset classes <input type="checkbox"/> Credit Default Swaps products <input type="checkbox"/> Interest Rate products <input type="checkbox"/> Equity Derivative products <input type="checkbox"/> Equity Repository (EDRR) <input type="checkbox"/> Foreign Exchange products <b>Warehouse Trust</b> <input type="checkbox"/> Warehouse Copper Service <input checked="" type="checkbox"/> Warehouse Trust Event Processing <input type="checkbox"/> Warehouse Trust Payment Reconciliation <input type="checkbox"/> Credit Restructuring - Triggering <b>DTCC Deriv/SERV</b> <input type="checkbox"/> Equity Cashflow Matching (ECFM) <b>Warehouse Trust Central Settlement</b> <input type="checkbox"/> Custodian GUI Access <input type="checkbox"/> Settlement Member GUI Access <sup>3</sup>

<sup>1</sup> for Credit derivatives only; <sup>2</sup> for existing DSMatch Equity and Rates users only; <sup>3</sup> for central settlement only, see also required User signature below.

DTCC may rely on this document, which we are providing to DTCC so that DTCC will afford our Organization the contemplated systems and applications access. If an Access Coordinator or a Super Access Coordinator or our Organization fails to fulfill any of the above responsibilities, DTCC shall not have any liability or other responsibility for any related losses, costs, or causes of action that may arise. The signer of this Form represents he/she is an officer authorized to sign this form on behalf of the Organization and the Users, and is not an Access Coordinator or a Super Access Coordinator.

Organization Name: ABC & Company Account Number(s) and/or O-code: \_\_\_\_\_  Request New O-code

Print Signing Authorized Officer's Name: John Doe Print Signing Authorized Officer's Title: Managing Director

Signer's Street Address: 123 State Street, 4<sup>th</sup> Floor, New York, NY 10022 Phone Number: 212-123-9292

By (signature): John Doe Date: May 09, 2012 E-mail Address: jd@abc.com

For Funds: It is understood that this Form shall constitute a separate authorization form by each fund listed in Annex I of the applicable MarkitSERV, Deriv/SERV, Warehouse Trust and Repository User Agreement, MarkitSERV and Deriv/SERV User Agreement, MarkitSERV, Deriv/SERV and Warehouse Trust User Agreement, MarkitSERV and Deriv/SERV User Agreement or the OTC Derivatives Automated Confirmation and Matching System User Agreement as amended from time to time ("User Agreement Annex I"), as if each fund has executed a separate Form naming only itself as the undersigned, and that no fund listed in User Agreement Annex I shall have any liability under this Form for the obligations of any other fund listed in User Agreement Annex I solely by reason of being so listed.

By: ABC & Company \_\_\_\_\_ : signing on behalf of itself and each fund listed on the User Agreement Annex I.

Sample of the Super Access Coordinator Authorization Form. Additional instructions are on the following pages.

## 8. Super AC Form p2 - Continued

**In addition to the roles and responsibilities outlined above, a Super Access Coordinator will also be able to authorize new Access Coordinators and dually authorize new Super Access Coordinators. Our Organization will have at least two designated Super Access Coordinators at all times.**

Super Access Coordinators:	Telephone #:	E-Mail Address:	Street Address:	Access Required	System (Product) being accessed	
NAME: Ron Smith	212-123-4564	rsmith@abc.com	123 State Street, 4 <sup>th</sup> Fl, New York, NY 10022	Test <input type="checkbox"/> Production <input checked="" type="checkbox"/> Backload <sup>1</sup> <input type="checkbox"/>	<b>MarkitSERV</b> <input checked="" type="checkbox"/> DSMatch Credit <input checked="" type="checkbox"/> MarkitSERV Credit Novation Consent <input checked="" type="checkbox"/> MarkitSERV Portal <input type="checkbox"/> DSMatch Equities <sup>2</sup> <input type="checkbox"/> DSMatch Rates <sup>2</sup> <input type="checkbox"/> MarkitSERV Trade Manager (MTM)/MPF <b>DTCC Derivative Repository (GTR)</b> <input type="checkbox"/> Repository Reports all asset classes <input type="checkbox"/> Credit Default Swaps products <input type="checkbox"/> Interest Rate products <input type="checkbox"/> Equity Derivative products <input type="checkbox"/> Equity Repository (EDRR) <input type="checkbox"/> Foreign Exchange products	<b>Warehouse Trust</b> <input type="checkbox"/> Warehouse Copper Service <input checked="" type="checkbox"/> Warehouse Trust Event Processing <input type="checkbox"/> Warehouse Trust Payment Reconciliation <input type="checkbox"/> Credit Restructuring - Triggering  <b>DTCC Deriv/SERV</b> <input type="checkbox"/> Equity Cashflow Matching (ECFM)  <b>Warehouse Trust Central Settlement</b> <input type="checkbox"/> Custodian GUI Access <input type="checkbox"/> Settlement Member GUI Access <sup>3</sup>
NAME: Patrica Mapp	44(0)207 124 5678	pmapp@abc.co.uk	123 Cotton Centre, Cotton Lane, UK SE 12QG	Test <input type="checkbox"/> Production <input checked="" type="checkbox"/> Backload <sup>1</sup> <input type="checkbox"/>	<b>MarkitSERV</b> <input checked="" type="checkbox"/> DSMatch Credit <input checked="" type="checkbox"/> MarkitSERV Credit Novation Consent <input checked="" type="checkbox"/> MarkitSERV Portal <input type="checkbox"/> DSMatch Equities <sup>2</sup> <input type="checkbox"/> DSMatch Rates <sup>2</sup> <input type="checkbox"/> MarkitSERV Trade Manager (MTM)/MPF <b>DTCC Derivative Repository (GTR)</b> <input type="checkbox"/> Repository Reports all asset classes <input type="checkbox"/> Credit Default Swaps products <input type="checkbox"/> Interest Rate products <input type="checkbox"/> Equity Derivative products <input type="checkbox"/> Equity Repository (EDRR) <input type="checkbox"/> Foreign Exchange products	<b>Warehouse Trust</b> <input type="checkbox"/> Warehouse Copper Service <input checked="" type="checkbox"/> Warehouse Trust Event Processing <input type="checkbox"/> Warehouse Trust Payment Reconciliation <input type="checkbox"/> Credit Restructuring - Triggering  <b>DTCC Deriv/SERV</b> <input type="checkbox"/> Equity Cashflow Matching (ECFM)  <b>Warehouse Trust Central Settlement</b> <input type="checkbox"/> Custodian GUI Access <input type="checkbox"/> Settlement Member GUI Access <sup>3</sup>

<sup>1</sup> for Credit derivatives only; <sup>2</sup> for existing DSMatch Equity and Rates users only; <sup>3</sup> for central settlement only, see also required User signature below.

Type/print names of two assigned Super Access Coordinators, along with phone number, individual email address, and street address.

The Super AC individual email address must be legible.

Group email addresses are not allowed.

Check off access to the appropriate system environments, i.e., Production, Test, Backload and MarkitSERV Portal.

Check off only the products that are required.

- Equity Cashflow Matching, Copper Service, Equity Repository and Central Settlement Members will require **additional** setups and membership forms.

- Payment Reconciliation should not be confused with Warehouse Payments Processing, and Central Settlement in Credit Confirmation.

# 9. AC Form p2 - Continued

Type/print company name. Must be exactly the same as in all of the other Membership Forms.

The Organization's Account Number(s) and O-Code line should be left blank. This will be assigned by MarkitSERV. Check off Request New O-Code.

Type/print full name and title of authorized officer, along with street address, phone number, and valid email address.

**Signature** of authorized officer and date must also be provided.

**Note:** The authorized officer on this form cannot be assigned as a Super Access Coordinator.

DTCC may rely on this document, which we are providing to DTCC so that DTCC will afford our Organization the contemplated systems and applications access. If an Access Coordinator or a Super Access Coordinator or our Organization fails to fulfill any of the above responsibilities, DTCC shall not have any liability or other responsibility for any related losses, costs, or causes of action that may arise. The signer of this Form represents he/she is an officer authorized to sign this form on behalf of the Organization and the Users, and is not an Access Coordinator or a Super Access Coordinator.

Organization Name: ABC & Company Account Number(s) and/or O-code: \_\_\_\_\_  Request New O-code

Print Signing Authorized Officer's Name: John Doe Print Signing Authorized Officer's Title: Managing Director

Signer's Street Address: 123 State Street, 4<sup>th</sup> Floor, New York, NY 10022 Phone Number: 212-123-9292

By (signature): John Doe Date: May 09, 2012 E-mail Address: jdoe@abc.com

For Funds: It is understood that this Form shall constitute a separate authorization form by each fund listed in Annex I of the applicable MarkitSERV, Deriv/SERV, Warehouse Trust and Repository User Agreement, MarkitSERV and Deriv/SERV User Agreement, MarkitSERV, Deriv/SERV and Warehouse Trust User Agreement, MarkitSERV and Deriv/SERV User Agreement or the OTC Derivatives Automated Confirmation and Matching System User Agreement as amended from time to time ("User Agreement Annex I"), as if each fund has executed a separate Form naming only itself as the undersigned, and that no fund listed in User Agreement Annex I shall have any liability under this Form for the obligations of any other fund listed in User Agreement Annex I solely by reason of being so listed.

By: ABC & Company ; signing on behalf of itself and each fund listed on the User Agreement Annex I.

Type/print company name. Must be exactly the same as in all of the other Membership Forms.

This following page/section is applicable only if firm will be participating in the Central Settlement Service.

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