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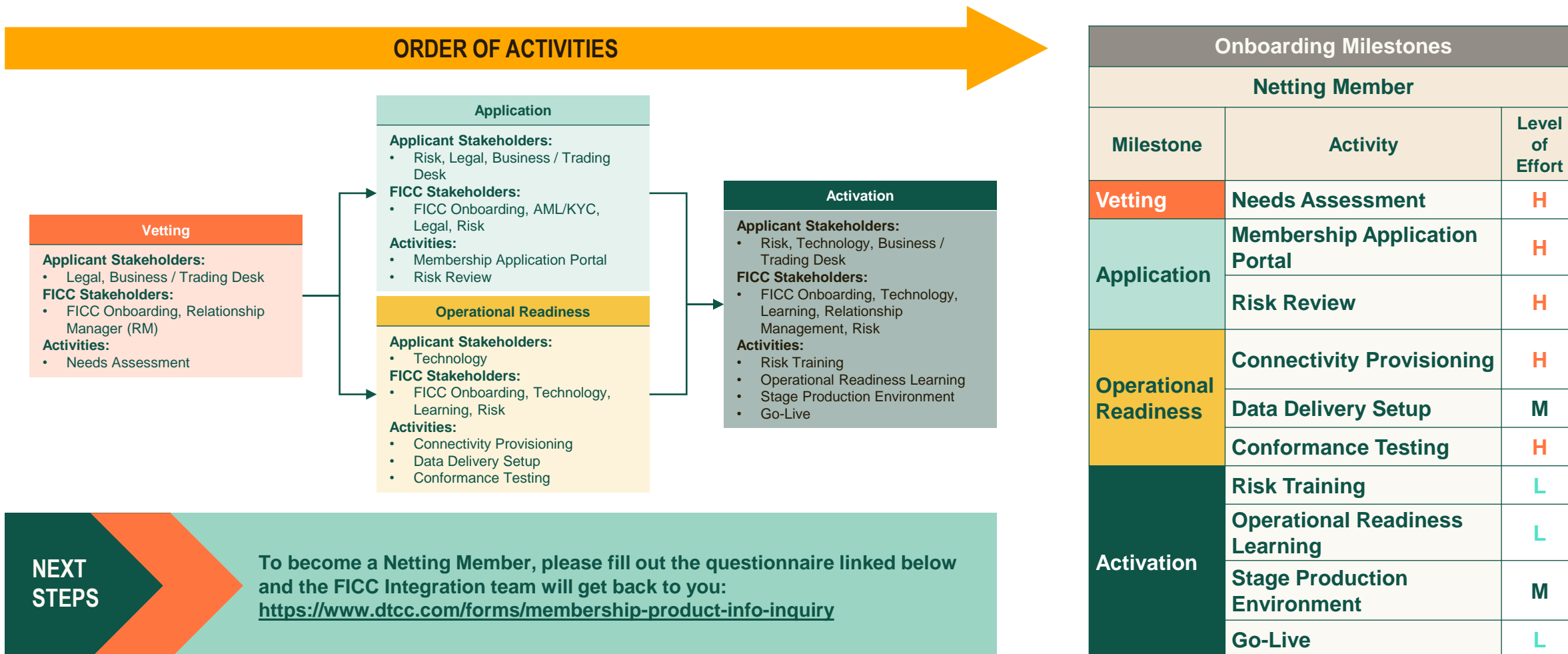
Participant Onboarding Guide

DATE: December 2024

NEW NETTING MEMBERSHIP ONBOARDING SUMMARY

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To become a Netting Member, applicants must work with FICC to complete milestones, each having varying levels of effort. These tasks can be accelerated by timely submission of documents and frequent collaboration by all relevant stakeholders.



NETTING MEMBER ONBOARDING - DETAILS (1/3)

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Activity	Dependency	Applicant Responsibilities	FICC Responsibilities	Accelerators / Best Practices
Needs Assessment	Needs Assessment completion	<p>Submit Needs Assessment: Review application expectations, timelines, and membership requirements.</p> <p>Treasury Clearing Mandate Walkthrough: Understand Treasury Clearing Mandate requirements.</p> <p>Meet with Integration Team: Discuss business model, application goals, and any initial questions on the application / onboarding process and minimum financial requirements.</p>	<p>Review Needs Assessment: Understand applicant needs for application and ensure membership requirements will be met.</p> <p>Treasury Clearing Mandate Walkthrough: Detailed discussion of the core requirements of the Treasury Clearing Mandate and how FICC enforces the mandate compliance.</p> <p>Meet with Applicant: Provide expectations / requirements on the application and onboarding process and answer any questions from the Applicant.</p> <p>Create Application: Once internally approved to start membership process, create Membership Application and provide access/walk through of Portal.</p>	<ul style="list-style-type: none"> Communicate objective, business case, and timelines to FICC integration. Applicant to align internally amongst team (Legal, Risk, Tech and Treasury Specialists) to prepare for next steps.
Membership Application Portal	Access to Membership Application Portal	<p>Membership Application: Application package inclusive of documentation that pertains to AML/KYC, Membership Questionnaire, Credit, Liquidity and Market Risk, Tax and Legal Documentation.</p> <p>Liquidity & Margin Plan: Provide activity details to generate estimated margin requirement and liquidity ("CCLF") obligation as part of the membership application documentation requirements. Following receipt of estimates, provide details of plan to support these figures.</p> <p>Provide Risk Controls: Submit risk operational controls and resiliency documentation as part of the membership application documentation requirements. Respond to additional questions including attending FICC due diligence call) that risk may have to better understand the applicants' proposed activity and financial condition.</p>	<p>Membership Application: Review application package and request additional and/or missing financial and other information as needed, including Legal, Tax, Credit & Market Risk.</p> <p>Market Risk Review of Trading Estimates: Update applicant profile with trading estimates and discuss trading volumes with the Applicant.</p> <p>Clearing Fund Requirement: Market Risk reviews trading estimates, assess, calculates, and communicates initial clearing fund requirements to firm.</p> <p>Liquidity & Market Risk: Estimate initial margin requirement & ("CCLF") obligation</p> <p>Review Risk Controls: Assess adequacy of risk controls and operational resiliency against FICC requirements. FICC may impose membership conditions (financial or other) on the applicant if FICC deems the applicant to pose additional risk to the clearing corp.</p>	<ul style="list-style-type: none"> Ongoing, timely submission of all requested documents. Provide regular updates to FICC team and attend reoccurring meetings with Integration to review progress and clarify any questions. Establish relationship with assigned Relationship Manager and engage when applicable. Ongoing timely submission of all requested documents and due diligence items. Coordinate risk specialist involvement on meetings and submissions
Risk Review	Documentation Submission. All forms in good order.	<p>Execute Approval Letter: Counter sign approval letter and be ready to go-live within dictated time frames.</p>	<p>Approval: Applicant must be approved by the appropriate approver determined by FICC's internal procedures</p> <p>Send Approval Letter: Relationship Manager to distribute approval letter to the applicant.</p>	<ul style="list-style-type: none"> Ongoing timely submission of all requested documents and due diligence items including inquiries from Risk and Legal Coordinate risk specialist involvement on meetings and submissions

NETTING MEMBER ONBOARDING - DETAILS (2/3)

Activity	Dependency	Applicant Responsibilities	FICC Responsibilities	Accelerators / Best Practices
Connectivity Provisioning	Connectivity Forms and Access to Connectivity Management Tile in MyDTCC Portal	Connectivity Requirements: Submit requirements across: - Connectivity requirements SMART, Cloud, BT Radianz, ANIRA and SFTI -Data transfer requirements RTTM Web Portal, API, MQ, Connect Direct (NDM) and SFTP -Complete Network Connectivity Forms	Requirements: Provide tech spec across network and data transfer requirements. Form Review and Storage: Review completed network connectivity forms and begin to process setups.	<ul style="list-style-type: none"> Participation by tech teams to determine needed tech requirements. Predefine connectivity options with pros and cons to expedite decision making process. Participation by tech teams to assist in testing and troubleshooting.
		Establish Network Connection: Work with FICC Connectivity, FICC technical teams, and extranet vendors to setup chosen connectivity option.	Establish Network Connection: Assist applicant with inquiries during setup and prepare FICC network for participant's access based upon information provided by participant on connectivity forms.	
		Establish Transfer Protocol(s): Work with FICC Connectivity to setup data transfer protocol(s), adhering to FICC's naming conventions and security requirements.	Establish Transfer Protocol(s): Configure data transfer setups (MQ objects, etc.) and provide participant with supporting documentation.	
		Test Network Connections: Work with FICC Connectivity to test network and application/service access.	Test Network Connections: Work with applicant to test network and application/service access.	
Data Delivery Setup	Connectivity Provisioning	Data Delivery Request: Work with FICC Integration to identify and request files/messages.	Application Setups: Configure Data Delivery setups based upon participant's selections on Data Delivery forms.	<ul style="list-style-type: none"> Confirm accuracy of Data Delivery form before submission to FICC.
Conformance Testing	Data Delivery Setup Complete	Complete Super Access Coordinator (SAC) Form: Work with identified COI signors to provision SAC access to the appropriate users.	Provision Participant Entitlements: Review SAC form signor's match COI and provision participant access to test account.	<ul style="list-style-type: none"> Identify Certificate of Incumbency (COI) officers to accelerate SAC form process. Prompt execution of all test scripts across products being tested. Frequent outreach to FICC on failed tests / testing outcomes.
		Complete Testing Prerequisites: Complete learning paths and training, confirm access to test environment.	Develop Testing Plan: Based on member needs and products develop testing plan.	
		Environment Testing: Conduct formal connectivity and conformance testing based on documented scenarios provided by FICC and provide signoff once completed.	Review Testing Completion: Review completion of provided test scripts.	

NETTING MEMBER ONBOARDING - DETAILS (3/3)

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Activity	Dependency	Applicant Responsibilities	FICC Responsibilities	Accelerators / Best Practices
Risk Training		Complete Risk Training: Complete mandatory risk training.	Conduct Risk Training: Host training session(s) with appropriate audience to ensure Clearing Fund and CCLF requirements are met by day 1.	<ul style="list-style-type: none"> Identify appropriate risk personnel to attend training session(s).
Operational Readiness Learning		Complete Account Training: Complete mandatory new account training.	Conduct New Account Training: Host training session(s) with appropriate audience to ensure proper use of FICC trading platforms by day 1.	<ul style="list-style-type: none"> Identify appropriate operational personnel to attend training session(s).
Stage Production Environment	Connectivity Established & Conformance Testing Completed	Production: Confirm production connectivity is set up properly.	Establish Production: Verify established connectivity and data delivery of accounts in production.	
Go-Live	Conformance Testing Sign-off Received and Production Staged	Pre Go-Live Requirements: Communicate activation date and complete Activation Letter. Initial Fund Deposit: Deposit initial account funding at least five days prior to go-live	Pre Go-Live Requirements: Review Activation Letter and partner internally with necessary stakeholders to ensure go-live readiness.	
		Go-Live Readiness: Adhere to production migration timeline and ensure no issues on day of activation.	Go-Live Readiness: Ensure no issues on day of activation.	



Sponsoring & Sponsored Onboarding Details

SPONSORING & SPONSORED MEMBERSHIP ONBOARDING SUMMARY

Sponsored Service applications can be submitted and processed at the same time as a Netting Membership application.

Next Steps:
Netting Member notifies FICC Integration of interest in Sponsoring Membership.

Sponsoring: Prepare onboarding documents that FICC has provisioned via the Membership Application Portal.

Sponsored: Complete Sponsored Membership Agreement (SMA) provisioned by Sponsoring Member.

Sponsoring Member (Direct Participant)
A Sponsoring Member is a direct participant of FICC/GSD that facilitates access to clearing and settlement services for their Sponsored Members.

Sponsored Member (Indirect Participant)
A Sponsored Member is an indirect participant and limited member of FICC/GSD that trades under the sponsorship of a Sponsoring Member.

Milestone	Activity	Sponsoring Member	Sponsored Members
Vetting	Needs Assessment	H	--
Application	Membership Application	H	L
	Risk Review	H	--
Operational Readiness	Connectivity Provisioning	H	--
	Data Delivery Setup	M	--
	Conformance Testing	H	--
Activation	Risk Training	L	--
	Operational Readiness Learning	L	--
	Stage Production Environment	M	--
	Go-Live	L	L

Sponsoring Member Omnibus Account(s)
Sponsoring Members must establish separate account(s) for their customer activity (and may designate such accounts as Segregated Indirect Participants Accounts).

Sponsoring Additional Account
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SPONSORING SERVICE ADD - DETAILS (1/2)

Activity	Dependency	Applicant Responsibilities	FICC Responsibilities	Accelerators / Best Practices
Assessment		<p>Submit Needs Assessment: Review application expectations, timelines, and membership requirements.</p> <p>Treasury Clearing Mandate Walkthrough: Understand Treasury Clearing Mandate requirements.</p>	<p>Create Membership Application Portal: Launch application for new participant and pre-populate the general information based on participant need request and discussions.</p> <p>Treasury Clearing Mandate Walkthrough: Detailed discussion of the core requirements of the new Treasury Clearing Mandate and how FICC enforces the mandate compliance.</p>	<ul style="list-style-type: none"> Communicate objective and desired timeline to FICC. Align internally amongst team (Legal, Risk, Tech, and Treasury Specialists) to prepare for next steps. Designate point of contact(s) for new Relationship Manager.
Membership Application		<p>Membership Application: Application package inclusive of documentation that pertains to AML/KYC, Membership Questionnaire, Credit, Liquidity and Market Risk, Tax and Legal Documentation.</p>	<p>Membership Application: Review application package and request additional and/or missing financial and other information as needed, including Legal, Tax, Credit & Market Risk.</p> <p>Market Risk Review of Trading Estimates: Update Applicant profile with trading estimates and discuss trading volumes with the Applicant.</p> <p>Clearing Fund Requirement: Market Risk reviews trading estimates, assess, calculates, and communicates initial clearing fund requirements to firm.</p>	<ul style="list-style-type: none"> Ongoing, timely submission of all requested documents. Provide regular updates to FICC team and attend reoccurring meetings with Integration to review progress and clarify any questions.
		<p>Liquidity & Margin Plan: Provide activity details to generate estimated margin requirement and liquidity ("CCLF") obligation as part of the membership application documentation requirements. Following receipt of estimates, provide details of plan to support these figures.</p>	<p>Liquidity & Market Risk: Estimate initial margin requirement & ("CCLF") obligation.</p>	<ul style="list-style-type: none"> Engage FICC risk team early to clarify expectations on risk controls and compliance. Ongoing timely submission of all requested documents. Coordinate risk specialist involvement on meetings and submissions.
Risk Review	Documentation Submission. All forms in good order.	<p>Provide Risk Controls: Submit risk operational controls and resiliency documentation as part of the membership application documentation requirements. Respond to additional questions including attending FICC due diligence call) that risk may have to better understand the applicants' proposed activity and financial condition.</p> <p>Execute Approval Letter: Counter sign approval letter and be ready to go-live within dictated time frames.</p>	<p>Review Risk Controls: Assess adequacy of risk controls and operational resiliency against FICC requirements. FICC may impose membership conditions (financial or other) on the applicant if FICC deems the applicant to pose additional risk to the clearing corp.</p> <p>Approval: Applicant must be approved by the appropriate approver determined by FICC's internal procedures</p> <p>Send Approval Letter: Relationship Manager to distribute approval letter to the applicant.</p>	<ul style="list-style-type: none"> Ongoing timely submission of all requested documents and due diligence items including inquiries from Risk and Legal Coordinate risk specialist involvement on meetings and submissions

SPONSORING SERVICE ADD - DETAILS (2/2)

Activity	Dependency	Applicant Responsibilities	FICC Responsibilities	Accelerators / Best Practices
Connectivity Provisioning	Connectivity Forms and Access to Connectivity Management Tile in MyDTCC Portal	Connectivity Requirements: Submit requirements across: - Connectivity requirements SMART, Cloud, BT Radianz, ANIRA and SFTI -Data transfer requirements RTTM Web Portal, API, MQ, Connect Direct (NDM) and SFTP -Complete Network Connectivity Forms	Requirements: Provide tech spec across network and data transfer requirements. Form Review and Storage: Review completed network connectivity forms and begin to process setups.	<ul style="list-style-type: none"> Ongoing timely submission of all requested documents and due diligence items. Coordinate risk specialist involvement on meetings and submissions.
		Establish Network Connection: Work with FICC Connectivity, FICC technical teams, and extranet vendors to setup chosen connectivity option.	Establish Network Connection: Assist participant with inquiries during setup and prepare FICC network for participant access based upon information provided by participant on connectivity forms	
		Establish Transfer Protocol(s): Work with FICC Connectivity to setup data transfer protocol(s), adhering to FICC's naming conventions and security requirements	Establish Transfer Protocol(s): Configure data transfer setups (CDTS, MQ objects, etc....) and provide participant with supporting documentation.	
		Test Network Connections: Work with FICC Connectivity to test network and application/service access	Test Network Connections: Work with participant to test network and application/service access.	
Data Delivery Setup	Connectivity Provisioning	Data Delivery Request: Work with FICC Integration to identify and request files/messages	Application Setups: Configure Data Delivery setups in CDTS based upon participant's selections on Data Delivery forms.	<ul style="list-style-type: none"> Integration checks forms for completeness and accuracy before submission to Connectivity.
Conformance Testing	Data Delivery Setup Complete	Complete Testing Prerequisites: Complete learning paths and training, confirm access to test environment	Develop Testing Plan: Based on member needs and products develop testing plan.	<ul style="list-style-type: none"> Prompt execution of all test scripts across products being tested. Frequent outreach to FICC on failed tests / testing outcomes.
		Environment Testing: Conduct formal connectivity and conformance testing based on documented scenarios provided by FICC and provide signoff once completed	Review Testing Completion: Review completion of provided test scripts.	
Risk Training		Complete Risk Training: Complete mandatory risk training	Conduct Risk Training: Host training session(s) with appropriate audience to ensure Clearing Fund and CCLF requirements are met by day 1.	<ul style="list-style-type: none"> Identify appropriate risk personnel to attend training session(s).
Operational Readiness Learning		Complete Account Training: Complete mandatory new account training	Conduct New Account Training: Host training session(s) with appropriate audience to ensure proper use of FICC trading platforms by day 1.	<ul style="list-style-type: none"> Identify appropriate operational personnel to attend training session(s).
Stage Production Environment	Connectivity Established & Conformance Testing Completed	Production: Confirm production connectivity is set up properly	Establish Production: Verify established connectivity and data delivery of accounts in production.	
Go-Live	Conformance Testing Sign-off Received and Production Staged	Pre Go-Live Requirements: Communicate activation date and complete Activation Letter. Initial Fund Deposit: Deposit initial account funding at least five days prior to go-live Go Live Readiness: Adhere to production migration timeline and ensure no issues on day of activation	Go Live Readiness Review: Define production migration timeline and ensure no issues on day of activation.	

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Application (Completed in MyDTCC)	GLEIF Check (Automated post CSV upload)	Sponsored Member Agreement (Schedule 1 and Forma Auto Generated)	Activation (Completed in MyDTCC)
<ul style="list-style-type: none"> • In MyDTCC complete the online application • Download Legal Entity Identifier (LEI) template • Complete the CSV file with the required info 	<ul style="list-style-type: none"> • Complete and upload LEI CSV file • Review LEIs and add case comments if applicable • FICC reviews & communicates further actions • Approve LEIs in MyDTCC 	<ul style="list-style-type: none"> • Download Sponsored Member Agreement template PDF and auto generate LEI Schedule 1 • Complete and sign the SMA • Upload the signed and executed SMA to MyDTCC 	<ul style="list-style-type: none"> • Approve proposed activation date

New Indirect Entity Onboarding				
Activity	Dependency	Sponsor Responsibilities	FICC Responsibilities	Accelerators / Best Practices
Membership Application Portal	Access to Membership Application Portal	MyDTCC Portal completion: Complete Questionnaire and Upload outlined supporting documentations	Membership Application Portal Review: Review questionnaire and initial documentation, request additional documentation if needed	<ul style="list-style-type: none">• Ongoing timely submission of all requested documents• Continued communication between Sponsor and Sponsored Members• Use Chat functionality to communicate as needed• Work with Integration to supply LEIs ahead of relationship build
Go-Live		Go-Live Readiness: Adhere to production migration timeline and ensure no issues on day of activation	Go-Live Readiness Review: Define production migration timeline and ensure no issues on day of activation	

New Relationship Onboarding				
Activity	Dependency	Sponsor Responsibilities	FICC Responsibilities	Accelerators / Best Practices
Membership Application Portal	Access to Membership Application Portal	MyDTCC Portal completion: Complete Questionnaire and Upload relationship information	Membership Application Portal Review: Review questionnaire and initial documentation, request additional documentation if needed	<ul style="list-style-type: none">Continued communication between Sponsor and Sponsored MembersUse Chat functionality to communicate as neededWork with Integration to supply LEIs ahead of relationship build
Go-Live		Go-Live Readiness: Adhere to production migration timeline and ensure no issues on day of activation	Go-Live Readiness Review: Define production migration timeline and ensure no issues on day of activation	

<https://dtcclearing.com/login.html?return=aHR0cHM6Ly9kdG9jbGVhcm5pbmcuY29tL3ZpZG9vcy1wYWdlLzgtcHJvZHVjdHMtYW5kLXNlcnZpY2YzLzE5ODUtZml4ZWQtaW5jb21lLWNsZWFyaW5nLzMwMzktZHIjYXN1c2ktY2x1YXJpbmcvMTI2MS10cmVhc3VyeS1jbGVhcmclucy5odG1s>

SPONSORING ADDITIONAL OMNIBUS ACCOUNT(S) SET-UP – DETAILS

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Activity	Dependency	Applicant Responsibilities	FICC Responsibilities	Accelerators / Best Practices
Membership Application		Membership Application Completion: Complete Questionnaire and submit outlined supporting documentations Treasury Clearing Mandate Walkthrough: Understand Treasury Clearing Mandate requirements.	Membership Application Review: Review questionnaire and initial documentation, request additional documentation if needed Treasury Clearing Mandate Walkthrough: Detailed discussion of the core requirements of the new Treasury Clearing Mandate and how FICC enforces the mandate compliance.	<ul style="list-style-type: none"> Communicate objective and desired timeline to FICC Align internally amongst team (Legal, Risk , Tech, and Treasury Specialists) to prepare for next steps Designate point of contact(s) for new Relationship Manager
Connectivity Provisioning	Connectivity Forms and Access to Connectivity Management Tile in MyDTCC Portal	Connectivity Requirements (If applicable): Submit requirements across - Connectivity requirements SMART, Cloud, BT Radianz, ANIRA and SFTI -Data transfer requirements RTTM Web Portal, API, MQ, Connect Direct (NDM) and SFTP -Complete Network Connectivity Forms	Requirements: Provide tech spec across network and data transfer requirements. Form Review and Storage: Review completed network connectivity forms and begin to process setups.	<ul style="list-style-type: none"> Ongoing timely submission of all requested documents and due diligence items Coordinate risk specialist involvement on meetings and submissions
		Establish Network Connection: Work with FICC Connectivity, FICC technical teams, and extranet vendors to setup chosen connectivity option	Establish Network Connection: Assist participant with inquiries during setup and prepare FICC network for participant's access based upon information provided by participant on connectivity forms.	
		Establish Transfer Protocol(s): Work with FICC Connectivity to setup data transfer protocol(s), adhering to FICC's naming conventions and security requirements	Establish Transfer Protocol(s): Configure data transfer setups (MQ objects, etc.) and provide participant with supporting documentation.	
		Test Network Connections: Work with FICC Connectivity to test network and application/service access	Test Network Connections: Work with participant to test network and application/service access.	
Data Delivery Setup	Connectivity Provisioning	Data Delivery Request: Work with FICC Integration to identify and request files/messages	Application Setups: Configure Data Delivery setups based upon participant's selections on Data Delivery forms.	<ul style="list-style-type: none"> Integration checks forms for completeness and accuracy before submission to Connectivity
Conformance Testing	Data Delivery Setup Complete	Complete Testing Prerequisites: Complete learning paths and training, confirm access to test environment	Develop Testing Plan: Based on member needs and products develop testing plan.	<ul style="list-style-type: none"> Prompt execution of all test scripts across products being tested Frequent outreach to FICC on failed tests / testing outcomes
		Environment Testing: Conduct formal connectivity and conformance testing based on documented scenarios provided by FICC and provide signoff once completed	Review Testing Completion: Review completion of provided test scripts.	
Stage Production Environment	Connectivity Established & Conformance Testing Completed	Production: Confirm production connectivity is set up properly	Establish Production: Verify established connectivity and data delivery of accounts in production.	
Go-Live	Conformance Testing Sign-off Received and Production Staged	Go Live Readiness: Adhere to production migration timeline and ensure no issues on day of activation	Go Live Readiness Review: Define production migration timeline and ensure no issues on day of activation.	
		Integration Team Hand Off: Engage Relationship Manager	RM Engagement: Participant relationship is handed over from Integration to Relationship Manager.	



ACM & EFC Onboarding Details

AGENT CLEARING MEMBER (ACM) & EXECUTING FIRM CUSTOMER (EFC) ONBOARDING SUMMARY

ACM applications* can be submitted and processed at the same time as a Netting Membership / Sponsoring Membership application.

Next Steps

Netting Member notifies FICC Integration of interest in Agent Clearing Service.

Agent Clearing Member*: Prepare onboarding documents that FICC provisions via Membership Application Portal.

Executing Firm Customers*: ACMs should provide EFCs with the Executing Firm Customer Authorization (with Legal Entity Identifier) and return the executed form to FICC.

Agent Clearing Member (Direct Participant)

Agent Clearing Members are direct participants FICC/GSD and have established a relationship with Executing Firm Customer(s) pursuant to the GSD Rules.

Executing Firm Customer

Executing Firm Customers are not members of FICC. An Agent Clearing Member must provide FICC with authorization from Executing Firm Customers.

Agent Clearing Member Omnibus Account(s)

Agent Clearing Members must establish separate account(s) for their customer activity (and may designate such accounts as Segregated Indirect Participants Accounts).

Agent Clearing Additional Account
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Milestone	Activity	Agent Clearing Member	Executing Firm Customer
Vetting	Needs Assessment	L	--
Application	Application / Letter***	L-M**	L-M
	Risk Review	M	--
Operational Readiness	Connectivity Provisioning	H	--
	Data Delivery Setup	M	--
	Conformance Testing	H	--
Activation	Risk Training	L	--
	Operational Readiness Learning	L	--
	Stage Production Environment	M	--
	Go-Live	L	L

* Agent Clearing Service Go-live is dependent on regulatory approval of filed rule changes.

** Indirect participant volume dependent.

***Leverage EFC Letter

ACM – SERVICE ADD - DETAILS (1/2)

Activity	Dependency	Applicant Responsibilities	FICC Responsibilities	Accelerators / Best Practices
Assessment		<p>Notify FICC Integration of interest in becoming an Agent Clearing Member. Confirm access to Membership Application Portal.</p> <p>Treasury Clearing Mandate Walkthrough: Understand Treasury Clearing Mandate purpose and firm's role.</p> <p>Receipt of Account Number: Catalog Account Number assignment to ensure identification tracking by FICC.</p>	<p>Set up application in Membership Application Portal: Launch Application Portal for new participant and pre-populate the general information based on participant need request and discussions.</p> <p>Treasury Clearing Mandate Walkthrough: Detailed discussion of the core parts of the new Treasury Clearing Mandate and how FICC enforces the mandate compliance.</p>	<ul style="list-style-type: none"> Communicate objective and desired timeline to FICC. Align internally amongst team (Legal, Risk, Tech, and Treasury Specialists) to prepare for next steps.
Application / Letter		<p>Membership Application: Application package inclusive of documentation that pertains to AML/KYC, Membership Questionnaire, Credit, Liquidity and Market Risk, Tax and Legal Documentation.</p>	<p>Membership Application: Review application package and request additional and/or missing financial and other information as needed, including Legal, Tax, Credit & Market Risk</p> <p>Market Risk Review of Trading Estimates: Update Applicant profile with trading estimates and discuss trading volumes with the Applicant.</p> <p>Clearing Fund Requirement: Market Risk reviews trading estimates, assess, calculates, and communicates initial clearing fund requirements to firm.</p>	<ul style="list-style-type: none"> Ongoing, timely submission of all requested documents. Provide regular updates to FICC team and attend reoccurring meetings with Integration to review progress and clarify any questions.
Risk Review	Documentation Submission. All forms in good order.	<p>Liquidity & Margin Plan: Provide activity details to generate estimated margin requirement and liquidity ("CCLF") obligation as part of the membership application documentation requirements. Following receipt of estimates, provide details of plan to support these figures.</p> <p>Provide Risk Controls: Submit risk operational controls and resiliency documentation as part of the membership application documentation requirements. Respond to additional questions including attending FICC due diligence call) that risk may have to better understand the applicants' proposed activity and financial condition.</p> <p>Execute Approval Letter: Counter sign approval letter and be ready to go-live within dictated time frames.</p>	<p>Liquidity & Market Risk: Estimate initial margin requirement & ("CCLF") obligation.</p> <p>Review Risk Controls: Assess adequacy of risk controls and operational resiliency against FICC requirements. FICC may impose membership conditions (financial or other) on the applicant if FICC deems the applicant to pose additional risk to the clearing corp.</p> <p>Approval: Applicant must be approved by the appropriate approver determined by FICC's internal procedures</p> <p>Send Approval Letter: Relationship Manager to distribute approval letter to the applicant.</p>	<ul style="list-style-type: none"> Engage FICC risk team early to clarify expectations on risk controls and compliance. Ongoing timely submission of all requested documents. Coordinate risk specialist involvement on meetings and submissions.

ACM – SERVICE ADD - DETAILS (2/2)

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Activity	Dependency	Applicant Responsibilities	FICC Responsibilities	Accelerators / Best Practices
Connectivity Provisioning	Connectivity Forms and Access to Connectivity Management Tile in MyDTCC Portal	Connectivity Requirements: Submit requirements across - Connectivity requirements SMART, Cloud, BT Radianz, ANIRA and SFTI -Data transfer requirements RTTM Web Portal, API, MQ, Connect Direct (NDM) and SFTP -Complete Network Connectivity Forms	Requirements: Provide tech spec across network and data transfer requirements Form Review and Storage: Review completed network connectivity forms and begin to process setups	<ul style="list-style-type: none"> Ongoing timely submission of all requested documents and due diligence items Coordinate risk specialist involvement on meetings and submissions
		Establish Network Connection: Work with FICC Connectivity, FICC technical teams, and extranet vendors to setup chosen connectivity option	Establish Network Connection: Assist participant with inquiries during setup and prepare FICC network for participant's access based upon information provided by participant on connectivity forms	
		Establish Transfer Protocol(s): Work with FICC Connectivity to setup data transfer protocol(s), adhering to FICC's naming conventions and security requirements	Establish Transfer Protocol(s): Configure data transfer setups (MQ objects, etc....) and provide participant with supporting documentation	
		Test Network Connections: Work with FICC Connectivity to test network and application/service access	Test Network Connections: Work with participant to test network and application/service access	
Data Delivery Setup	Connectivity Provisioning	Data Delivery Request: Work with FICC Integration to identify and request files/messages	Application Setups: Configure Data Delivery setups based upon participant's selections on Data Delivery forms	<ul style="list-style-type: none"> Integration checks forms for completeness and accuracy before submission to Connectivity
Conformance Testing	Data Delivery Setup Complete	Complete Testing Prerequisites: Complete learning paths and training, confirm access to test environment	Develop Testing Plan: Based on member needs and products develop testing plan	<ul style="list-style-type: none"> Prompt execution of all test scripts across products being tested Frequent outreach to FICC on failed tests / testing outcomes
		Environment Testing: Conduct formal connectivity and conformance testing based on documented scenarios provided by FICC and provide signoff once completed	Review Testing Completion: Review completion of provided test scripts	
Risk Training		Complete Training: Complete mandatory risk training	Provide access and guidance with Learning Center if needed	<ul style="list-style-type: none"> Identify appropriate risk personnel to attend training session(s)
Operational Readiness Learning		Complete Account Training: Complete mandatory new account training	Conduct New Account Training: Host training session(s) with appropriate audience to ensure proper use of FICC trading platforms by day 1	<ul style="list-style-type: none"> Identify appropriate operational personnel to attend training session(s)
Stage Production Environment	Connectivity Established & Conformance Testing Completed	Production: Confirm production connectivity is set up properly	Establish Production: Verify established connectivity and data delivery of accounts in production	
Go-Live	Conformance Testing Sign-off Received and Production Staged	Go Live Readiness: Adhere to production migration timeline and ensure no issues on day of activation	Go Live Readiness Review: Define production migration timeline and ensure no issues on day of activation	<ul style="list-style-type: none"> Designate point of contact(s) for new Relationship Manager

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EFC Authorization Form (Completed in MyDTCC)	GLEIF Check (Automated post CSV upload)	Activation (Completed in MyDTCC)
<ul style="list-style-type: none"> In MyDTCC complete the online EFC Authorization Form Download Legal Entity Identifier (LEI) template Complete the CSV file with the required info 	<ul style="list-style-type: none"> Complete and upload LEI CSV file Review LEIs and add case comments if applicable FICC reviews & communicates further actions Approve LEIs in MyDTCC 	<ul style="list-style-type: none"> Approve proposed activation date

Link to the Enhanced Onboarding Learning:
<https://dtcclearing.com/login.html?return=aHR0cHM6Ly9kdGNjbGVhcm5pbmcuY29tL3ZpZGVvYy1wYWdlLzgtcHJvZHVjdHMtYW5kLXNlcnZpY2VzLzE5ODUtZml4ZWQtaW5jb21lLWNsZWFyaW5nLzlwMzktZHVjYXN1cnktY2lyYXJpbmVMTi2MS10cmVhc3VyeS1jbGVhcm5odG1s>

ACM ADDITIONAL OMNIBUS ACCOUNT(S) SET-UP – DETAILS

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Activity	Dependency	Applicant Responsibilities	FICC Responsibilities	Accelerators / Best Practices
Application / Letter		Membership Application Completion: Complete Questionnaire and submit outlined supporting documentation Treasury Clearing Mandate Walkthrough: Understand Treasury Clearing Mandate requirements	Membership Application Review: Review questionnaire and initial documentation, request additional documentation if needed Treasury Clearing Mandate Walkthrough: Detailed discussion of the core requirements of the new Treasury Clearing Mandate and how FICC enforces the mandate compliance	<ul style="list-style-type: none"> Ongoing, timely submission of all requested documents Provide regular updates to FICC team and attend reoccurring meetings with Integration to review progress and clarify any questions
Connectivity Provisioning	Connectivity Forms and Access to Connectivity Management Tile in MyDTCC Portal	Connectivity Requirements (If applicable): Submit requirements across - Connectivity requirements SMART, Cloud, BT Radianz, ANIRA and SFTI -Data transfer requirements RTTM Web Portal, API, MQ, Connect Direct (NDM) and SFTP -Complete Network Connectivity Forms Establish Network Connection: Work with FICC Connectivity, FICC technical teams, and extranet vendors to setup chosen connectivity option Establish Transfer Protocol(s): Work with FICC Connectivity to setup data transfer protocol(s), adhering to FICC's naming conventions and security requirements Test Network Connections: Work with FICC Connectivity to test network and application/service access	Requirements: Provide tech spec across network and data transfer requirements Form Review and Storage: Review completed network connectivity forms and begin to process setups Establish Network Connection: Assist participant with inquiries during setup and prepare FICC network for participant's access based upon information provided by participant on connectivity forms Establish Transfer Protocol(s): Configure data transfer setups (MQ objects, etc....) and provide participant with supporting documentation Test Network Connections: Work with participant to test network and application/service access	<ul style="list-style-type: none"> Ongoing timely submission of all requested documents and due diligence items Coordinate risk specialist involvement on meetings and submissions
Data Delivery Setup	Connectivity Provisioning	Data Delivery Request: Work with FICC Integration to identify and request files/messages	Application Setups: Configure Data Delivery setups based upon participant's selections on Data Delivery forms	<ul style="list-style-type: none"> Integration checks forms for completeness and accuracy before submission to Connectivity
Conformance Testing	Data Delivery Setup Complete	Complete Testing Prerequisites: Complete learning paths and training, confirm access to test environment Environment Testing: Conduct formal connectivity and conformance testing based on documented scenarios provided by FICC and provide signoff once completed	Develop Testing Plan: Based on member needs and products develop testing plan Review Testing Completion: Review completion of provided test scripts	<ul style="list-style-type: none"> Prompt execution of all test scripts across products being tested Frequent outreach to FICC on failed tests / testing outcomes
Operational Readiness Learning		Complete Account Training: Complete mandatory new account training	Conduct New Account Training: Host training session(s) with appropriate audience to ensure proper use of FICC trading platforms by day 1	<ul style="list-style-type: none"> Identify appropriate operational personnel to attend training session(s)
Stage Production Environment	Connectivity Established & Conformance Testing Completed	Production: Confirm production connectivity is set up properly	Establish Production: Verify established connectivity and data delivery of accounts in production	
Go-Live	Conformance Testing Sign-off Received and Production Staged	Go Live Readiness: Adhere to production migration timeline and ensure no issues on day of activation	Go Live Readiness Review: Define production migration timeline and ensure no issues on day of activation	<ul style="list-style-type: none"> Designate point of contact(s) for new Relationship Manager

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