

## Super Access Coordinator Authorization Form for NSCC Mutual Fund Services

This Form reflects the acknowledgement by \_\_\_\_\_ (our "Organization") of its responsibilities, and of the roles and responsibilities of the Super Access Coordinators designated by our Organization below, related to use of DTCC Mutual Fund Services web systems.

NSCC Member Number:											
Please specify Super Access Coordinators below:											
Super Access Coordinator 1	Services Being Requested										
First Name:	<input type="checkbox"/> Production <input type="checkbox"/> PSE/TEST  <input type="checkbox"/> Mutual Fund - Fund/SERV <input type="checkbox"/> Mutual Fund - Networking <input type="checkbox"/> Mutual Fund - Profile II <input type="checkbox"/> Autoroute & Datatrak Utilities <input type="checkbox"/> PIER <input type="checkbox"/> ACATS <input type="checkbox"/> ACATS Transaction Inquiry <input type="checkbox"/> MF Info Xchange <input type="checkbox"/> API Marketplace <input type="checkbox"/> View Bill (vBill)										
Last Name:											
Phone:											
E-mail:											
Service Bureau/Provider Company Name (If Applicable):											
User ID (if applicable):	By default, all Funds and Distributors will be enabled for this service: <ul style="list-style-type: none"> <li>• <b>Connectivity Management</b></li> </ul>										
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%; text-align: center;">Super Access Coordinator 2</th> <th style="width: 50%; text-align: center;">Services Being Requested</th> </tr> </thead> <tbody> <tr> <td style="width: 50%;">First Name:</td> <td rowspan="5" style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Production   <input type="checkbox"/> PSE/TEST   <input type="checkbox"/> Mutual Fund - Fund/SERV  <input type="checkbox"/> Mutual Fund - Networking  <input type="checkbox"/> Mutual Fund - Profile II  <input type="checkbox"/> Autoroute &amp; Datatrak Utilities  <input type="checkbox"/> PIER  <input type="checkbox"/> ACATS  <input type="checkbox"/> ACATS Transaction Inquiry  <input type="checkbox"/> MF Info Xchange  <input type="checkbox"/> API Marketplace  <input type="checkbox"/> View Bill (vBill)                 </td> </tr> <tr> <td>Last Name:</td> </tr> <tr> <td>Phone:</td> </tr> <tr> <td>E-mail:</td> </tr> <tr> <td>Service Bureau/Provider Company Name (If Applicable):</td> </tr> <tr> <td>User ID (if applicable):</td> <td style="vertical-align: top;">                     By default, all Funds and Distributors will be enabled for this service:                     <ul style="list-style-type: none"> <li>• <b>Connectivity Management</b></li> </ul> </td> </tr> </tbody> </table>		Super Access Coordinator 2	Services Being Requested	First Name:	<input type="checkbox"/> Production <input type="checkbox"/> PSE/TEST  <input type="checkbox"/> Mutual Fund - Fund/SERV <input type="checkbox"/> Mutual Fund - Networking <input type="checkbox"/> Mutual Fund - Profile II <input type="checkbox"/> Autoroute & Datatrak Utilities <input type="checkbox"/> PIER <input type="checkbox"/> ACATS <input type="checkbox"/> ACATS Transaction Inquiry <input type="checkbox"/> MF Info Xchange <input type="checkbox"/> API Marketplace <input type="checkbox"/> View Bill (vBill)	Last Name:	Phone:	E-mail:	Service Bureau/Provider Company Name (If Applicable):	User ID (if applicable):	By default, all Funds and Distributors will be enabled for this service: <ul style="list-style-type: none"> <li>• <b>Connectivity Management</b></li> </ul>
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User ID (if applicable):	If you are an existing SAC with multiple log-in IDs, please specify which ID to link to above selections.										

## **Super Access Coordinator Authorization Form for NSCC Mutual Fund Services**

Super Access Coordinator 3		Services Being Requested
First Name:		<input type="checkbox"/> <b>Production</b> <input type="checkbox"/> <b>PSE/TEST</b>  <input type="checkbox"/> <b>Mutual Fund - Fund/SERV</b> <input type="checkbox"/> <b>Mutual Fund - Networking</b> <input type="checkbox"/> <b>Mutual Fund - Profile II</b> <input type="checkbox"/> <b>Autoroute &amp; Datatrak Utilities</b> <input type="checkbox"/> <b>PIER</b> <input type="checkbox"/> <b>ACATS</b> <input type="checkbox"/> <b>ACATS Transaction Inquiry</b> <input type="checkbox"/> <b>MF Info Xchange</b> <input type="checkbox"/> <b>API Marketplace</b> <input type="checkbox"/> <b>View Bill (vBill)</b>  <b>By default, all Funds and Distributors will be enabled for this service:</b>  <ul style="list-style-type: none"> <li>• <b>Connectivity Management</b></li> </ul>
Last Name:		
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E-mail:		
Service Bureau/Provider Company Name (If Applicable):		
User ID (if applicable):		<b>If you are an existing SAC with multiple log-in IDs, please specify which ID to link to above selections.</b>

These terms reflect our Organization's acknowledgement of its responsibilities, and of the roles and responsibilities of our Organization's Access Coordinators, 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, DTCC Solutions, and ITP).

Our Organization and its 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 eligibility) 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 Client Contact Center or 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 DTCC's Client Contact Center or Relationship Management of the same; and
- Providing DTCC with up-to-date information about themselves (e.g., name, mail & email addresses, telephone number).



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for NSCC Mutual Fund Services**

Our Organization will always have at least two designated Super Access Coordinators. 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 an 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 our Organization, and could be suspended or revoked at any time. 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.

Organization certifies that the individuals designated in the system have been informed that their personal contact information has been provided to DTCC, acting as the organization collecting or holding personal contact data or a data controller as defined in local data protection regulations (e.g., General Data Protection Regulation (EU) 2016/679, Personal Data Ordinance, Personal Data Protection Act, Data Protection Act of 2-12, etc.) for purposes in connection with their role as a Super Access Coordinator for the Organization and for the performance of a contract between Organization and DTCC. Individuals designated on this form have been informed that such information may be used by DTCC to (A) provide services for Organization, (B) as permitted under DTCC's privacy policy (available at www.dtcc.com), (C) as required to satisfy legal and regulatory obligations and (D) to market and offer related products and services to Organization and its affiliates. DTCC may transfer personal contact information to DTCC, its subsidiaries, its affiliates, and its joint ventures, in accordance with our internal data transfer agreements. DTCC may also transfer personal contact information to service providers who may store, process, and/or transfer data to countries outside of the individual's home country and which may have data protection standards different than those of the origin country. Other than these designated individuals, for all other purposes, DTCC is acting as a data processor on behalf of the Organization for any personal data processed under the relationship between the parties.

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

In addition to the role and responsibilities of an Access Coordinator 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 always have at least two designated Super Access Coordinators.

By signing the Super Access Coordinator form and/or acknowledging the terms and conditions, 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.

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 of 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.

Authorized Signer Name: \_\_\_\_\_ Authorized Signature: \_\_\_\_\_

Authorized Signer Email Address: \_\_\_\_\_

Authorized Signer Phone Number: \_\_\_\_\_

***Second Authorized Signer required if first Authorized Signer will be requesting Super Access Coordinator ability:***

Authorized Signer Name: \_\_\_\_\_ Authorized Signature: \_\_\_\_\_

Authorized Signer Email Address: \_\_\_\_\_

Authorized Signer Phone Number: \_\_\_\_\_

***Please return the document to your assigned DTCC Relationship Manager, Account Manager or WMS Integration Consultant.***