DTCC DATA REPOSITORY (U.S.) LLC (DDR) - USER GUIDE This Form constitutes Annex I of the User Agreement and Annex I of the Third Party Submitter Authorization Supplement (where applicable) It is used to onboard Asset Manager and Multi-Managed Client Accounts to DDR Which tabs do I fill out?

Is your Asset Manager account already onboarded?

Yes and all information is the same

Yes but some information has changed

No

Are you using a Third Party to submit to DDR on your behalf?

Yes

No additional input required

Input required:

DDR Canada - Local Counterpart

No additional input required Are you onboarding for Canada Reporting?

When you have filled out the applicable tabs, you must complete the DDR Electronic Signature tab. The form will not be accepted without this. Below are examples of how the information should be input and why it is required. Please populate your information in the DDR Asset Manager Acct, DDR Multi-Managed Client Acct, and DDR Third Party Submitter tabs as applicable.

PLE DDR ASSET MANAGER ACCT INPUT. All information on the form below applies to the Asset Manager account, not the client accounts. Total Number of Accounts THIS IS THE TOTAL NUMBER OF ACCOUNTS BEING ONBOARDED. IT IS AUTOMATICALLY POPULATED FROM THE INPUT.

OPERATIONS CONTACT - Required to escalate any issues and to provide general communications BILLING CONTACT INFORMATION - Required to send invoices PRODUCTION AND TEST SET UP ENTITY INFORMATION REPORTING JURISDICTION ACCESS TO ENVIRONMENTS REPORTING JURISDICTION LEGAL ENTITY IDENTIFIER (LEI) LEGAL ENTITY NAME PRINCIPAL PLACE OF BUSINESS EXISTING DTCC ID OPERATIONS CONTACT NAME OPERATIONS EMAIL ADDRESS OPERATIONS TELEPHONE NUMBER BILLING CONTACT NAME BILLING EMAIL ADDRESS BILLING ZIP OR POSTAL CODE BILLING COUNTRY OR ORIGIN BILLING ASSET MANAGER FAMILY NAME BILLING MAILING ADDRESS BILLING PROVINCE Mandatory Mandatory Mandatory Mandatory Mandatory Mandatory Mandatory Mandatory Optional Mandatory Mandatory Mandatory Please select reporting jurisdiction from the drop down list Please enter the LEI for each legal entity being onboarded Please enter the legal entity name Please enter first and last name Please enter email address Please input with country dialling code Please enter first and last name Please enter email address Please enter mailing address Please enter city Please enter state or county Please enter Province Please enter ZIP or Postal Code Please select from drop down in Please select country from drop down menu Please enter if the account has an existing 8 character DTCC ID (e.g. onboarded, please enter the "Legal Entity Name" of ONE account. If only one account is being onboarded, this will default. THE LEI IS A REGULATOR-DRIVEN SDR REQUIREMENT. USUALLY, JUST ONE ACCOUNT IS ONBOARDED FOR AN ASSET MANAGER, BUT MULTIPLE ACCOUNTS CAN BE ONBOARDED. IF SO, PLEASE ENTER THE INFORMATION THIS ENSURES THE LEI MATCHES THE FULL THIS ALLOWS DDR TO SET UP PRODUCTION AND TEST ACCOUNTS AS THIS IS NEEDED TO IDENTIFY THE GROUP OF ACCOUNTS THIS IS USED TO ESCALATE ANY ISSUES AND TO PROVIDE GENERAL

THIS IS USED TO ESCALATE ANY ISSUES AND TO PROVIDE GENERAL THIS ALLOWS DDR TO SET UP THE SUBMISSION AND REPORTING PERMISSIONS AT THE APPROPRIATE JURISDICTION LEVEL THE MAXIMUM N THIS IS USED TO LINK A TRADE INFORMATION WAREHOUSE (TIW) ACCOUNT

THIS IS USED TO ESCALATE ANY ISSUES AND TO PROVIDE GENERAL ENTITY NAME AND WILL ELIMINATE ANY FOR BILLING PURPOSES. IF ONLY ONE ACCOUNT IS BEING THIS IS REQUIRED TO SEND INVOICES THIS IS NEEDED BY DDR FOR OFAC SCREENING CHECKS THIS IS REQUIRED TO SEND INVOICES THE MAXIMUM NUMBER OF TEST ACCOUNTS THAT CAN BE SET UP IS COMMUNICATIONS COMMUNICATIONS COMMUNICATIONS IF YOU DO NOT HAVE AN LEI, YOU CAN SIGN UP FOR ONE AT THE GLOBAL MARKETS ENTITY IDENTIFIER INPUT/TYPO ERRORS ONBOARDED, THIS FIELD WILL DEFAULT

19 IPLE DDR MULTI-MANAGED CLIENT ACCTS INPUT. All information on the form below applies to the Multi-Managed Client accounts, not the Asset Manager account. 1 THIS IS THE TOTAL NUMBER OF ACCOUNTS BEING ONBOARDED. IT IS AUTOMATICALLY POPULATED FROM THE INPUT.

THIS IS THE TOTAL NUMBER OF ACCOUNTS BEING ONBOARDED. IT IS AUTOMATICALLY POPULATED FROM THE INPUT.

Total Number of Accounts PRODUCTION AND TEST SET UP ENTITY INFORMATION EXECUTION AGENT REPORTING JURISDICTION ACCESS TO ENVIRONMENTS LEGAL ENTITY NAME EXECUTION AGENT LEI REPORTING JURISDICTION LEGAL ENTITY IDENTIFIER (LEI) ACCOUNT NAME PRINCIPAL PLACE OF BUSINESS Mandatory Mandatory Mandatory Mandatory Mandatory Please enter the legal entity name for each client account client client account client cl Please enter the LEI for each client account Please select country from drop down menu THE LEI IS A REGULATOR-DRIVEN SDR REQUIREMENT. PLEASE ENTER THE INFORMATION FOR EACH CLIENT THIS IS REQUIRED TO CONFIGURE THE CORRECT SUBMISSION AND THIS IS NEEDED IF MORE THAN ONE ACCOUNT SHARES AN LEI TO ENSURE IIS ENSURES THE LEI MATCHES THE FULL THIS ALLOWS DDR TO SET UP THE SUBMISSION AND REPORTING PERMISSIONS AT THE APPROPRIATE JURISDICTION LEVEL

THIS ALLOWS DDR TO SET UP PRODUCTION AND TEST ACCOUNTS AS REQUIRED

THIS ALLOWS DDR TO SET UP PRODUCTION AND TEST ACCOUNTS AS REQUIRED

IF YOU DO NOT HAVE AN LEI, YOU REPORTING PERMISSIONS. ASSET MANAGERS WILL SEE ONLY THOSE POSITIONS WITHIN MULTI-MANAGED CLIENT ACCOUNTS WHERE THEY ARE ENTITY NAME AND WILL ELIMINATE ANY

THERE IS A UNIQUE COMBINATION OF LEI AND ACCOUNT IN THE THIS IS NEEDED BY DDR FOR OFAC SCREENING CHECKS IF YOU DO NOT HAVE AN LEI, YOU CAN SIGN UP FOR ONE AT THE GLOBAL MARKETS ENTITY IDENTIFIER PUT/TYPO ERRORS (GMEI) WEBSITE: https://www.gmeiutility.org/ NAMED AS EXECUTION AGENT. Once this set up above is complete, the Asset Manager will be able to submit on behalf of the client accounts listed, and view the positions within those accounts where it is named as Execution Agent. If you require any other type of access to client positions (e.g. acting as a custodian), or require changes to any existing accounts, please contact your relationship manager directly.

THIRD PARTY SUBMITTER INFORMATION ENTITY INFORMATION Mandatory Mandatory Optional Optional Optional Please enter the LEI for each account Please enter the Legal Entity Name for each account Please enter the Legal Entity Name of the Third Party Submitter for Rates ase enter the Legal Entity Name of the Third Party Submitter for Equity Please enter the Legal Entity Name of the Third Party Submitter for FX Please enter the Legal Entity Name of the Third Party Submitter for FX Please enter the Legal Entity Name of the Commodity Third Party Submitter for Credit THIS IS NEEDED TO SET UP AND AUTHORIZE THE THIS IS NEEDED TO SET UP AND AUTHORIZE THE THIRD PARTY SUBMITTER TO EACH ACCOUNT

THIRD PARTY SUBMITTER TO EACH ACCOUNT

EACH ACCOUNT

THIS IS NEEDED TO SET UP AND AUTHORIZE THE THIRD PARTY SUBMITTER TO EACH ACCOUNT

EACH ACCOUNT

THIS IS NEEDED TO SET UP AND AUTHORIZE THE THIRD PARTY SUBMITTER TO EACH ACCOUNT THIS IS NEEDED TO SHOW WHICH ACCOUNT IS AUTHORIZED FOR A THIRD PARTY

THIS IS NEEDED TO SHOW WHICH ACCOUNT IS AUTHORIZED FOR A THIS IS NEEDED TO SET UP AND AUTHORIZE THE THIRD PARTY SUBMITTER TO EACH ACCOUNT THIRD PARTY SUBMITTER AMPLE DDR - CANADA ONLY - ADVICE OF LOCAL COUNTERPARTY STATUS

Please fill in this information if onboarding multi-managed client accounts for Canada. Local counterparty status is defined as per the Canadian Regulations. Please see Ontario Securities Commission, Autorité des Marchés Financiers and Manitoba Securities Commission Rule 91-507, Trade Repositories and Derivatives Data Reporting, for additional information. Please note that the ENTITY INFORMATION will be pre-populated if you have selected that you will be onboarding multi-managed client accounts for Canada or for USA and Canada in the REPORTING JURISDICTION column. The information applies to the Multi-Managed Client Accounts, not the Asset Manager Account.

MPLE DDR THIRD PARTY SUBMITTER AUTHORIZATION INPUT (only if using a third party to submit on your behalf)

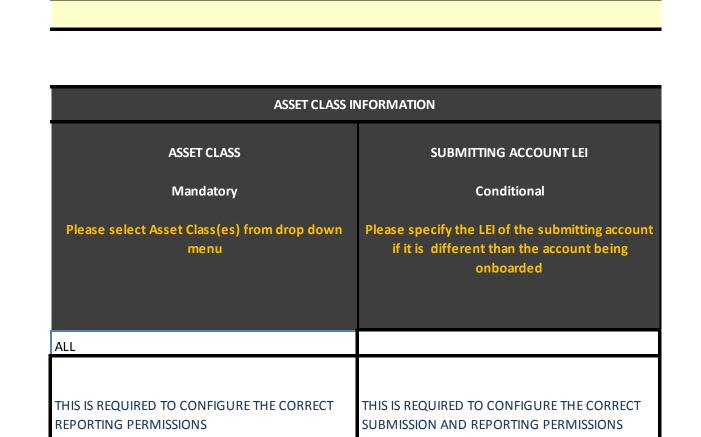
Total Number of Accounts

ENTITY INFORMATION CANADA LEGAL ENTITY IDENTIFIER (LEI) LEGAL ENTITY NAME ACCOUNT NAME PRINCIPAL PLACE OF BUSINESS CANADIAN PROVINCE / TERRITORY Mandatory Mandatory if Appliable Mandatory Mandatory Mandatory Mandatory if more than one account shares the same LEI. In this case, please enter the Account Name.

Otherwise, please leave blank.

Please select country from drop down menu
please select tountry from drop down menu
please select tountry from drop down menu
please select tountry from drop down menu Please enter the LEI for each legal entity being onboarded Please enter the legal entity name COUNTERPARTY, as defined by the Canadian Regulations. THE LEI IS A REGULATOR-DRIVEN SDR REQUIREMENT. THIS ENSURES THE LEI MATCHES THE FULL ENTITY NAME AND WILL

THIS IS NEEDED IF MORE THAN ONE ACCOUNT SHARES AN LEI TO ENSURE THERE IS A UNIQUE COMBINATION THIS IS NEEDED BY DDR FOR OFAC SCREENING COMMISSION, AUTORITE DES MARCHES FINANCIERS AND MANITOBA IF YOU DO NOT HAVE AN LEI, YOU CAN SIGN UP FOR ONE AT THE GLOBAL ELIMINATE ANY INPUT/TYPO ERRORS OF LEI AND ACCOUNT IN THE REPOSITORY SECURITIES COMMISSION RULE 91-507, TRADE REPOSITORIES AND MARKETS ENTITY IDENTIFIER (GMEI) WEBSITE: https://www.gmeiutility.org/ DERIVATIVES DATA REPORTING, FOR ADDITIONAL INFORMATION



DRASEF MANAGER ACCT IN PUT. All information on the form below applies to the Asset Manager accounts, not the Multi-Managed Client accounts. Prop. Note: Seek Seek Seek Will assess of Notice Seek Seek Will assess of Notice Will assess of Not	THIS FORM IS FOR DTCC DATA R	REPOSITORY (U.S.) LLC (DDR) - ANN	EX 1 OF THE USER AGREEMEN	NT																
From table already conducted your Asset Manage arready populated from the liquid populated from th					the Multi-Managed Clie	ent accounts.		I						1						
REPORTING JURSDICTION ACCESS TO ENVIRONMENTS REPORTING JURSDICTOR ACCE				1	8															
REPORTING JURISDICTION ACCESS TO ENVIRONMENTS LEGAL ENTITY IDENTIFIER [LEI) Mandatory Mandator	Total Number of Accounts	0	This is automatically populated from the inpu	ut.																
Mandatory Mandat	RPEORTING JURISDICTION	PRODUCTION AND TEST SET UP		ENTITY IN	NFORMATION		OPERATIONS CONTACT - Red	equired to escalate any issues and to provide	general communications		BILLING CONTACT INFORMAT	TION - Required to send invoices							ASSET CV	ASS INFORMATION
onboarded, please enter the "Legal Entity Name" of ONE onboarded name down menu character DTCC ID (e.g. 0000105X) Please note that a maximum of FIVE accounts can be set onboarded, this																				
		environments are required from the drop down list. <u>Please note</u> that a maximum of FIVE accounts can be set					Please enter first and last name	Please enter email address	Please input with country dialling code	onboarded, please enter the "Legal Entity Name" of ONE account. If only one account is being onboarded, this		Please enter email address	Please enter mailing address	Please enter city	Please enter state or county	Please enter Province	Please enter ZIP or Postal Code	Please select from drop down menu		if it is different than the account being
										0										

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

DDR MULTI-MANAGED CLIENT ACCTS INPUT. All information on the form below applies to the Multi-Managed Client accounts, not the Asset Manager account.

Total Number of Accounts

On This is automatically populated from the input.

Total Number of Accounts	0	This is automatically populated from the inpu	ut.			
RPEORTING JURISDICTION	PRODUCTION AND TEST SET UP		ENTITY INFO	DRMATION		EXECUTION AGENT
REPORTING JURISDICTION	ACCESS TO ENVIRONMENTS	LEGAL ENTITY IDENTIFIER (LEI)	LEGAL ENTITY NAME	ACCOUNT NAME	PRINCIPAL PLACE OF BUSINESS	EXECUTION AGENT LEI
Mandatory	Mandatory	Mandatory	Mandatory	Mandatory if Appliable	Mandatory	Mandatory
Please select reporting jurisdiction from the drop down list	Please select whether production, test or both environments are required from the drop down list. Please note that a maximum of FIVE accounts can be	Please enter the LEI for each client account	Please enter the legal entity name for each client account	Mandatory if more than one account shares the same LEI. In this case, please enter the	Please select country from drop down menu	Please enter the LEI of the Execution Agent for each client account.
	Please note that a maximum of FIVE accounts can be set up with a test environment			Account Name. Otherwise, please leave blank.		

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

DDR THIRD PARTY SUBMITTER AUTHORIZATION INPUT

Total Number of Accounts	a Third Party to submit on your behalf.	This is automatically populated from	the input.			
LEGAL ENTITY IDENTIFIER (LEI) Mandatory Please enter the LEI for each account	LEGAL ENTITY NAME Mandatory Please enter the Legal Entity Name for each account	RATES - THIRD PARTY SUBMITTER LEGAL NAME Optional Please enter the Legal Entity Name of	LEGAL NAME Optional Please enter the Legal Entity Name of	THIRD PARTY SUBMITTER INFORMATION FOR THE PARTY SUBMITTER LEGAL NAME Optional Please enter the Legal Entity Name of	FX - THIRD PARTY SUBMITTER LEGAL NAME Optional Please enter the Legal Entity Name of the	COMMODITY - THIRD PARTY SUBMITTER LEGAL NAME Optional Please enter the Legal Entity Name of the
		the Third Party Submitter for Rates	the Third Party Submitter for Credit	the Third Party Submitter for Equity	Third Party Submitter for FX	Third Party Submitter for Commodity

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

DDR - CANADA ONLY - ADVICE OF LOCAL COUNTERPARTY STATUS

Only complete this tab if you are onobarding for Canadian Regulators

The Entity Information applies to the Multi-Managed Client Accounts and will be prepopulated. Please fill in the CANADA column only.

LEGAL ENTITY IDENTIFIER (LEI) Mandatory	LEGAL ENTITY NAME Mandatory	ACCOUNT NAME Mandatory if Appliable	PRINCIPAL PLACE OF BUSINESS Mandatory	CANADA CANADIAN PROVINCE / TERRITORY Mandatory
Please enter the LEI for each legal entity being onboarded	Please enter the legal entity name	Mandatory if more than one account shares the same LEI. In this case, please enter the Account Name. Otherwise, please leave blank.	Please select country from drop down menu	If you are onboarding the account for Canadian Regulatory Reporting, please select the province(s) / territory(ies) for which you are a LOCAL COUNTERPARTY, as defined by the Canadian Regulations.
I/A	N/A I	N/A	N/A N/A N/A	
I/A I/A I/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A N/A	N/A	N/A	N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A N/A	
N/A N/A	N/A	N/A	N/A N/A N/A	
N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A N/A	N/A	N/A N/A	N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A	N/A N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A N/A	N/A		N/A N/A N/A	
N/A N/A	N/A r N/A r N/A r	N/A N/A	N/A N/A N/A	
N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A N/A	
N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A N/A	N/A r N/A r N/A r	N/A N/A	N/A N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A N/A	
N/A N/A	N/A	N/A N/A N/A	N/A N/A N/A	
N/A N/A N/A	N/A	N/A N/A	N/A N/A N/A	
N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A	N/A	N/A N/A N/A N/A	N/A N/A N/A	
N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A N/A	N/A r N/A r N/A r	N/A N/A	N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A N/A	N/A	N/A N/A N/A N/A	N/A N/A N/A	
N/A N/A	N/A r N/A r N/A r	N/A N/A	N/A N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A N/A	N/A	N/A	N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A N/A	N/A	N/A	N/A N/A N/A	
N/A N/A	N/A	N/A	N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A N/A	N/A	N/A	N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A	N/A N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A	N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r N/A r	N/A N/A N/A N/A	N/A N/A N/A	
N/A N/A	N/A r N/A r N/A r	N/A N/A	N/A N/A N/A	
N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A	N/A N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A	N/A N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A N/A	
N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A	N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A	N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A N/A N/A	N/A r N/A r N/A r	N/A N/A N/A	N/A N/A N/A	
N/A	N/A		N/A N/A	

Legal Notice: Populating the "Name of person submitting this form" field below creates a signature as described in Section 11 (Signatures) of the Important Legal Information section of the Company's Operating Procedures. In addition, by executing and submitting this form, the undersigned agrees that all entities named in this Annex 1 are subject to and bound by the terms of any existing Long Term Commitment, as that term is defined on the applicable fee schedule, in effect for the billing parent named in column L as of the date such Long Term Commitment commenced.

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