

List of Documents Required to be Submitted upon Commencement of Client Clearing

As of May 17,2021

No	Document Title	Submission Requirement		To be Submitted To	Submission Method (Seal Impression of Representative is Required When Submitted in Hard Copy)	Submission Timing	Remarks
		Mandatory	When Relevant				
1	Notification of Execution of Interest Rate Swap Clearing Brokerage Agreement	○		Risk Monitoring Division, Risk Management Department	Target	Before the date of execution of Interest Rate Swap Clearing Brokerage Agreement, in principle (3 business days before desired notification/publication date at the latest)	<ul style="list-style-type: none"> Need to be submitted in advance when actually handling Client Clearing. When the desired date of notification and publication has yet to be fixed, it should be re-submitted after it is fixed (Client's participation will be publicly announced via JSCC website and other method on the desired date of notification / publication).
1-1	Interest Rate Swap Clearing Brokerage Agreement (Copy) ※English Original Version may be submitted	○		Risk Monitoring Division, Risk Management Department	Target	Without delay after execution of Interest Rate Swap Clearing Brokerage Agreement	<ul style="list-style-type: none"> (Attachment to No.1) May be submitted ex-post facto To be executed with Client
1-2	Letter of Undertaking ※English Original Version may be submitted	○		Risk Monitoring Division, Risk Management Department	Hard Copy (*Original must be submitted)	Without delay after execution of Interest Rate Swap Clearing Brokerage Agreement	<ul style="list-style-type: none"> (Attachment to No.1) May be submitted ex-post facto Clearing Broker to submit "Letter of Undertaking" submitted by Client.
2	Notification of Account Type related to Customer Account	○		Risk Monitoring Division, Risk Management Department	Target	By the business day before the date the Client actually starts using JSCC clearing	<ul style="list-style-type: none"> Whether client account is hedge account or non-hedge account needs to be notified in advance.
3	Notification of Designation of Backup Clearing Broker		○	Risk Monitoring Division, Risk Management Department	Target	By the business day before the date it is designated as Backup Clearing Broker	<ul style="list-style-type: none"> Need to be submitted when it is designated by Client as Backup Clearing Broker. Document listed on No.1 needs to be submitted when it is designated as Backup Clearing Broker (not necessary if it has already been submitted).
4	Report concerning Agreement related to Position Transfer		○	Risk Monitoring Division, Risk Management Department	Target	Without delay after agreement is reached	<ul style="list-style-type: none"> Need to be submitted when the Clearing Broker reached an agreement set forth in Article 26-2.1 of the Handling Procedures of Interest Rate Swap Business Rules for Position Transfer of Cleared Contracts, etc. with the Client (optional). Draft needs to be submitted to JSCC in advance.
5	Notification Form of Member Information (IRS) for Production Environment	○		OTC Derivatives Clearing Service	Target	3 weeks in advance	<ul style="list-style-type: none"> When actually handling Client Clearing, this form containing information of Clearing Broker and Client needs to be submitted.
6	JSCC Client Clearing Mapping Form		○	OTC Derivatives Clearing Service	Target	3 weeks in advance	<ul style="list-style-type: none"> Need to be submitted when Client uses MarkitWire. When Client starts to use MarkitWire, the Client needs to go through contract process related to new registration with MarkitSERV before submission of JSCC Client Clearing Mapping Form.
7	Notification Form of Foreign Currency-Denominated IRS Usage for Production Environment		○	OTC Derivatives Clearing Service	Target	3 weeks in advance	<ul style="list-style-type: none"> Need to be submitted when Client uses clearing of foreign currency denominated IRS.
8	Circuit Information Application Form (For production)		○	JPX Service Desk, IT Development Dept., Tokyo Stock Exchange	E-mail	3 weeks in advance	<ul style="list-style-type: none"> Need to be submitted when the Client directly uses WebPortal.
9	List of Contact Persons(IRS)(Affiliate・Client)		○	OTC Derivatives Clearing Service	Target	3 weeks in advance	<ul style="list-style-type: none"> Need to be submitted when the Client directly uses WebPortal.
10	Notification concerning Treatment of Withholding for Customer		○	Risk Monitoring Division, Risk Management Department	Target	Before Clearing has started	<ul style="list-style-type: none"> Submission is required only when the Customer is a nonresident prescribed under the Income Tax Act (Act No.33 of 1965) or a foreign corporation. When submitting notifications, etc. related to Tax Treaty, these notification should also be submitted before commencement of clearing.
11	Notification concerning Special Provisions for Client Clearing Fee		○	OTC Derivatives Clearing Service	Target	By the business day before the date of Customer Account opening	<ul style="list-style-type: none"> Need to be submitted when special provisions for Client Clearing Fee is to be applied to the Client.
12	Notification concerning Cash Collateral (except Customer Buffer) Custody in Current Account with Bank of Japan (IRS)		○	OTC Derivatives Clearing Service	Target	By the business day before the date of Customer Account opening	<ul style="list-style-type: none"> Need to be submitted when the Client desires its Cash Collateral to be deposited in current account at Bank of Japan.
13	Notification Related to Usage of Client Additional Margin Framework		○	OTC Derivatives Clearing Service	Target	By 10th business day before the date of Customer Account opening	<ul style="list-style-type: none"> Need to be submitted, according to the agreement between the Clearing Broker and the Client, when starting utilization of the Client Additional Margin framework or when changing multiplier to apply.

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