

## 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"> <li>Need to be submitted in advance when actually handling Client Clearing.</li> <li>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).</li> </ul> |
| 1-1 | Interest Rate Swap Clearing Brokerage Agreement (Copy)<br>※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"> <li>(Attachment to No.1)</li> <li>May be submitted ex-post facto</li> <li>To be executed with Client</li> </ul>   |
| 1-2 | Letter of Undertaking<br>※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"> <li>(Attachment to No.1)</li> <li>May be submitted ex-post facto</li> <li>Clearing Broker to submit "Letter of Undertaking" submitted by Client.</li> </ul>   |
| 2   | Notification of Account Type related to Customer Account   | ○                      |               | OTC Derivatives Clearing Service                             | Target  | By the business day before the date the Client actually starts using JSCC clearing   | <ul style="list-style-type: none"> <li>Whether client account is hedge account or non-hedge account needs to be notified in advance.</li> </ul>  |
| 3   | Notification of Designation of Backup Clearing Broker  |                        | ○             | OTC Derivatives Clearing Service                             | Target  | By the business day before the date it is designated as Backup Clearing Broker   | <ul style="list-style-type: none"> <li>Need to be submitted when it is designated by Client as Backup Clearing Broker.</li> <li>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).</li> </ul>   |
| 4   | Report concerning Agreement related to Position Transfer   |                        | ○             | OTC Derivatives Clearing Service                             | Target  | Without delay after agreement is reached   | <ul style="list-style-type: none"> <li>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).</li> <li>Draft needs to be submitted to JSCC in advance.</li> </ul>   |
| 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"> <li>When actually handling Client Clearing, this form containing information of Clearing Broker and Client needs to be submitted.</li> </ul>  |
| 6   | JSCC Client Clearing Mapping Form  |                        | ○             | OTC Derivatives Clearing Service                             | Target  | 3 weeks in advance   | <ul style="list-style-type: none"> <li>Need to be submitted when Client uses MarkitWire.</li> <li>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.</li> </ul>   |
| 7   | 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"> <li>Need to be submitted when the Client directly uses WebPortal.</li> </ul>  |
| 8   | List of Contact Persons(IRS)(Affiliate·Client)   |                        | ○             | OTC Derivatives Clearing Service                             | Target  | 3 weeks in advance   | <ul style="list-style-type: none"> <li>Need to be submitted when the Client directly uses WebPortal.</li> </ul>  |
| 9   | Notification concerning Treatment of Withholding for Customer  |                        | ○             | OTC Derivatives Clearing Service                             | Target  | Before Clearing has started  | <ul style="list-style-type: none"> <li>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.</li> <li>When submitting notifications, etc. related to Tax Treaty, these notification should also be submitted before commencement of clearing.</li> </ul>  |
| 10  | 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"> <li>Need to be submitted when special provisions for Client Clearing Fee is to be applied to the Client.</li> </ul>   |
| 11  | Notification concerning Cash Collateral Custody in Current Account at Bank of Japan                  |                        | ○             | OTC Derivatives Clearing Service                             | Target  | By the business day before the date of Customer Account opening  | <ul style="list-style-type: none"> <li>Need to be submitted when the Client desires its Cash Collateral to be deposited in current account at Bank of Japan.</li> </ul>  |
| 12  | 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"> <li>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.</li> </ul>   |
| 13  | Request Form related to Accounts Trades subject to VM Settlement                                     |                        | ○             | OTC Derivatives Clearing Service                             | Target  | By the business day before the last business day of the month of using   | <ul style="list-style-type: none"> <li>Need to be submitted when the Client uses VM Settlement.</li> </ul>   |

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