

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) ※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 ※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	1 week (5 business days) 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	1 week (5 business days) 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	1 week (5 business days) in advance	<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	Netting Synchronization Utilization Request Sheet (for Production)		○	OTC Derivatives Clearing Service	Target	1 week (5 business days) in advance	<ul style="list-style-type: none"> <li>Need to be submitted when the Client desires to use Netting Synchronization.</li> </ul>
14	Cross Margining Utilization Notification		○	OTC Derivatives Clearing Service	Target	10 business days in advance	<ul style="list-style-type: none"> <li>Need to be submitted when the Client desires to use the cross-margining.</li> </ul>
15	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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