REFINITIV SWAP EXECUTION FACILITY (SEF)

SEF PROVIDER ONBOARDING FORM

The information requested in this document is required for onboarding to the Refinitiv SEF. The information provided shall be considered part of your application for participation on the Refinitiv SEF. You are providing this information pursuant to your Swap Execution Facility Addendum, and it will be relied upon to govern your access to the SEF. Please complete all 3 sections of this document and return to SEFOnboarding@lseg.com.

Please refer to the glossary at the end of this form for an explanation of any terms. If you have any questions about the form, please email SEFOnboarding@lseg.com or contact your Relationship Manager.

Entity/Organization Information

1. **Organization Information**

   Legal Name:
   Legal Entity Identifier (LEI):
   Address:
   City:
   State:
   Postal Code:
   Country:
   Telephone Number:

2. **FXall Trading ID:**

3. **Are you a US Person? (Select only one checkbox)**

   ☐ Yes   ☐ No

4. **Are you a Federal Entity? (Select only one checkbox)**

   ☐ Yes   ☐ No

5. **DFA status of your organization: (Select only one checkbox)**

   ☐ Swap Dealer (SD)
   ☐ Major Swap Participant (MSP)
   ☐ Eligible Contract Participant (ECP)

6. **Are you a Financial Entity? (Select only one checkbox)**

   ☐ Yes   ☐ No

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7.　Legal/Compliance representative SEF contact details

Name:
Address:
City:
State:
Postal Code:
Country:
Telephone Number:
E-mail address:

8.　Additional SEF contacts (Optional)

Contact Type	Finance
Full Name	
Address	
City	
State	
Postal Code	
Country	
Telephone Number	
E-mail address	

Contact Type	IT
Full Name	
Address	
City	
State	
Postal Code	
Country	
Telephone Number	
E-mail address	

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Contact Type	Other
Full Name	
Address	
City	
State	
Postal Code	
Country	
Telephone Number	
E-mail address	

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Branch/Subsidiary Information

Please provide the following information if you intend to map clients to branch/subsidiary accounts on FXall. If you have more branch/subsidiary information than will fit on this form, please provide information in XLS format.

Branch/Subsidiary	LEI	US Person	Federal Entity	SEF Member
…	…	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No
…	…	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No
…	…	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No
…	…	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No
…	…	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No
…	…	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No
…	…	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No
…	…	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No
…	…	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No
…	…	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No
…	…	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No
…	…	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No
…	…	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No
…	…	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No
…	…	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No	☐ Use Provider default ☐ Yes ☐ No

Authorized Person Information

Please provide the following information for all FXall user IDs corresponding to Authorized Persons who are designated to trade on the SEF. This includes both GUI and API user IDs. If you have more IDs than will fit on this form, please provide information for all FXall users in XLS format.

User ID	…..	…..	…..
Full Name	…..	…..	…..
Address	…..	…..	…..
City	…..	…..	…..
State	…..	…..	…..
Postal Code	…..	…..	…..
Country	…..	…..	…..
Telephone Number	…..	…..	…..
E-mail address	…..	…..	…..
Trading type	ATS NATS	ATS NATS	ATS NATS

User ID	…..	…..	…..
Full Name	…..	…..	…..
Address	…..	…..	…..
City	…..	…..	…..
State	…..	…..	…..
Postal Code	…..	…..	…..

User ID	…..		…..	…..
Country	…..		…..	…..
Telephone Number	…..		…..	…..
E-mail address	…..		…..	…..
Trading type	ATS	NATS	ATS NATS	ATS NATS

User ID	…..		…..	…..
Full Name	…..		…..	…..
Address	…..		…..	…..
City	…..		…..	…..
State	…..		…..	…..
Postal Code	…..		…..	…..
Country	…..		…..	…..
Telephone Number	…..		…..	…..
E-mail address	…..		…..	…..
Trading type	ATS	NATS	ATS NATS	ATS NATS

Glossary

Term	Definition
Agency (Trading Capacity)	Means trading on behalf of a customer (i.e., for a customer's account).
Automated Trading System (**ATS**)	Means an Automated Trading System. This generally includes APIs to pricing engines, algorithmic engines, etc. If a GUI is used occasionally to troubleshoot/adjust pricing parameters, this could still be considered an ATS.
CFTC	Means the U.S. Commodity Futures Trading Commission.
Commodity Exchange Act (**CEA**)	Means the U.S. Commodity Exchange Act, 7 U.S.C. §§ 1 et seq.
Dodd-Frank Act (**DFA**)	The Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010. The Dodd-Frank is one of several regulatory responses to the 2008 global financial crisis.
Eligible Contract Participant (**ECP**)	Financial or non-financial entities that do not qualify as SDs or MSPs. Non-financial entities and small banks (less than $10b in assets), among others, can qualify for an exemption from clearing and trading mandates.
Federal Entity	Federal Entities are: (1) One of the following entities: (a) An entity established pursuant to federal law, including, but not limited to the following: 　　i. An "agency" as defined in 5 U.S.C. § 551(1), a federal instrumentality, or a federal authority; 　　ii A government corporation (i.e., as such term is defined in 5 U.S.C. § 103(1) or in 31 U.S.C. 9101); 　　iii A government-sponsored enterprise (i.e., as such term is defined in 2 U.S.C. § 622(8); 　　iv A federally funded research and development center on the master list referenced in 48 CFR §§ 35.017-6; and 　　v An executive department listed in 5 U.S.C. § 101; or (b) An entity chartered pursuant to federal law after formation (i.e. an organization listed in title 36 of the U.S. Code; or (2) An entity that was established by, or at the direction of, one or more of the entities listed in clause (1), or has an ultimate parent listed in its LEI reference data that is an entity listed in clause (1) or in the first part of this clause (2).
Financial Entity	Means any of the following: - Swap Dealers, - Major Swap Participants, - commodity pools as defined in CEA Section 1a(10) and the CFTC Regulations promulgated thereunder, - private funds as defined in the Investment Advisers Act of 1940, - employee benefit plans as defined in the Employee Retirement Income Security Act of 1974, and - persons predominantly engaged in activities that are in the business of banking, or in activities that are financial in nature, as defined in the Bank Holding Company Act of 1956. Corporate treasurers may or may not meet the definition of financial end user. For more information, see CEA Sections 2(h)(7)(C)-(D).
Major Swap Participant (**MSP**)	Has the meaning ascribed to that term in CEA Section 1a(33) and the CFTC Regulations promulgated thereunder.

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Non-Automated Trading System (NATS)	A user accessing the SEF that is not an ATS. This could include: • Automated Trade Recommendation/Signal system that prompts GUI order entry • GUI order entry which uses algorithmic execution • Trades using Voice Broker • An individual using only GUI (Pure Manual Entry)
Principal (Trading Capacity)	Means trading for your own (proprietary) account.
SEF Authorized	A SEF-Authorized account is associated with an entity that holds SEF membership and is permitted to access the SEF to execute trades.
Swap Dealer (**SD**)	Has the meaning ascribed to that term in CEA Section 1a(49) and the CFTC Regulations promulgated thereunder.

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Term	Definition

US Person	If your organization can be described as any of the following, it meets the definition of US Person:
	
	1. Any natural person who is a resident of the United States
	2. Any estate of a decedent who was a resident of the United States at the time of death
	3. Any corporation, partnership, limited liability company (LLC), business or other trust, association, joint-stock company, fund or any similar form of enterprise that:
	   ○ is organized or incorporated under the laws of a state or other jurisdiction in the United States; or
	   ○ has its principal place of business in the United States
	4. Any pension plan for the employees, officers or principals of a legal entity described in prong (3), unless the pension plan is primarily for foreign employees of such entity
	5. Any trust governed by the laws of a state or other jurisdiction in the United States, if a court within the United States is able to exercise primary supervision over the administration of the trust
	6. Any commodity pool, pooled account, investment fund, or other collective investment vehicle that is not described in prong (3) and that is majority-owned by one or more persons described in prong (1), (2), (3), (4), or (5), except any commodity pool, pooled account, investment fund, or other collective investment vehicle that is publicly offered only to non-U.S. persons and not offered to U.S. persons
	7. Any legal entity (other than a limited liability company, limited liability partnership or similar entity where all of the owners of the entity have limited liability) that is directly or indirectly majority-owned by one or more persons described in prong (1), (2), (3), (4), or (5) and in which such person(s) bears unlimited responsibility for the obligations and liabilities of the legal entity, and
	8. Any individual account or joint account (discretionary or not) where the beneficial owner (or one of the beneficial owners in the case of a joint account) is a person described in prong (1), (2), (3), (4), (5), (6), or (7)
	9. A foreign branch or agency of a U.S. person (including a bank or any other legal entity)
	
	For further information, *see* Interpretive Guidance and Policy Statement Regarding Compliance with Certain Swap Regulations; Rule, 78 Fed. Reg. 45292 (July 26, 2013).

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