



## **Security-Based Swap Data Repository User Onboarding Process**

**February 2023**

---

This material may not be reproduced or redistributed in whole or in part without the express, prior written consent of IntercontinentalExchange, Inc.

© Copyright Intercontinental Exchange, Inc. 2021. All Rights Reserved.

**Table of Contents**

**SECURITY BASED SDR USER ONBOARDING PROCESS .....3**  
    USER’S COMPANY ADMINISTRATOR.....3

**ICE TRADE VAULT USER AGREEMENT & REQUIRED FORMS .....3**  
    ICE TRADE VAULT SECURITY BASED SDR USER AGREEMENT .....3  
    ANNEX D - ADDITIONAL TERMS FOR EXECUTION AGENTS .....4  
    ANNEX F - ADDITIONAL TERMS FOR THIRD PARTY REPORTERS.....4  
    COMPANY INFORMATION FORM.....4

**NEW USER SET-UP .....4**  
    NEW USER COMMUNICATION .....4  
    NEW USER ACCESS.....4

**NEW USER SUPPORT & TRAINING .....5**

## **Security Based SDR User Onboarding Process**

---

New Users who are interested in enrolling in ICE Trade Vault Security-Based SDR may review the User Agreement via the links on the ICE Trade Vault website at [www.icetradevault.com](http://www.icetradevault.com) and should send an email indicating interest to [tradevaultsupport@theice.com](mailto:tradevaultsupport@theice.com). A member of the ICE Trade Vault team will electronically forward a copy of the ICE Trade Vault User Agreement and will email a copy of the Company Information form required to complete set-up. To enroll in ICE Trade Vault for Security-Based Swap Data Reporting, a new User will sign where indicated within the ICE Trade Vault User Agreement and identify a company administrator (defined below) and company contact. Note: The ICE Trade Vault User Agreement is based on the ICE Participant Agreement for trading platform access and is a standard, non-negotiable document.

### **User's Company Administrator**

---

A User's company administrator is required to appoint a designated system user that will have read/write access to all aspects of ICE Trade Vault SEC. This person will monitor and maintain company information and other user access according to his or her company security access policies, including new user set-up and password resets. This ensures the company remains responsible for any and all access to its trade data. The User is encouraged to select a second Administrator for backup coverage.

## **ICE Trade Vault User Agreement & Required Forms**

---

### **ICE Trade Vault Security Based SDR User Agreement**

---

The ICE Trade Vault User Agreement provides access to the following types of Users. Upon the review and acceptance of the agreement, User should complete, sign, date, and select the appropriate representation that applies to his or her company:

- A counterparty (either a U.S. person, a registered security-based swap dealer or a registered major security-based swap participant) of a security-based swap that is reported to ICE Trade Vault to satisfy an obligation under Exchange Act Rule 901(a).
- A platform (either a national securities exchange or a security-based swap execution facility that is registered or exempt from registration) that reports a security-based swap to ICE Trade Vault to satisfy an obligation under Exchange Act Rule 901(a).
- A registered clearing agency (pursuant to Exchange Act Section 17A and any rules or regulations thereunder) that is required to report to ICE Trade Vault whether or not it has accepted a security-based swap for clearing pursuant to Exchange Act Rule 901(e)(1)(ii).
- An Execution Agent (as defined in Annex D) that reports a security-based swap to ICE Trade Vault on behalf of one or more counterparties to satisfy an obligation under Exchange Act Rule 901(a).
- A Third Party Reporter (as defined in Annex F) that reports a security-based swap to ICE Trade Vault on behalf of a counterparty or a platform to satisfy an obligation under Exchange Act Rule 901(a).

### Annex D - Additional Terms for Execution Agents

If the User identifies as an Execution Agent based on the representation above, please provide the companies for which you have been granted rights to trade and subsequently report to a security-based SDR. This should include each company's full legal entity name and LEI. As access levels need to be amended, this annex will need to be re-executed and submitted to [TradeVaultSupport@theice.com](mailto:TradeVaultSupport@theice.com) to update User access. Note that as many lines may be added as needed.

### Annex F - Additional Terms for Third Party Reporters

If the User identifies as a Third Party Reporter based on the representation above, please provide the companies for which you have been granted rights to report to a security-based SDR. This should include each company's full legal entity name and LEI. As access levels need to be amended this annex will need to be re-executed and submitted to [TradeVaultSupport@theice.com](mailto:TradeVaultSupport@theice.com) to update User access. Note that as many lines may be added as needed.

### Company Information Form

All new Users will also fill out the Company Information Form. This form will be used to create the company, contacts, and Administrator user in all system environments, including Production and User Acceptance Testing ("UAT") environments. All information must be completed to perform required compliance checks and accurately set-up a User within the security-based SDR. Production access will not be granted until completion of all forms. If requested by the User, in such cases UAT environment access will be granted and Production access will be granted at a later date upon Users written request. Once the forms have been completed, the new User will email a copy of the forms to [tradevaultsupport@theice.com](mailto:tradevaultsupport@theice.com).

### New User Set-up

An ICE Trade Vault team member will finalize the new user set-up in all UAT and production environments and create the Company Administrator(s) user ID(s) and contact(s).

The Company Administrator is the user identified on the ICE Trade Vault User Agreement signed by the company. As per the terms of the agreement the Company Administrator manages all user set up and user access levels. Company Administrators are required to regularly review and verify all users are set up or deactivated as needed with the correct level or permissions. If a company requests to assign a new Company Administrator the request must be in writing.

### New User Communication

Once set-up in all environments has been completed, the new user will receive an email from the ICE Trade Vault support team with log in instructions and detailed guidelines to follow:

- Create additional user IDs for team.
- Create Accounting, Legal and Operations contacts.
- Quarterly reviews of user access
- Invoice and payment instructions

### New User Access

---

Once a user is set up and based on user access, he or she will be able to:

- Submit and/or edit trades to which they are the reporting side
- Dispute and update UIC information for trades to which they are the non reporting side
- View all Security-based swap data to which they are a direct or indirect counterparty

### **New User Support & Training**

---

Once the User administrator receives his or her login credentials and welcome email, he or she will be able to access the system and will have the following guides and assistance available as needed:

- SBSDR User Guide - this document describes how a user interfaces with the ICE Trade Vault SEC website.
- Support via email and telephone
- Training demos via web-ex or in office, where available

The following documents are available publically on [www.icetradevault.com](http://www.icetradevault.com)

- SBSDR Guidebook - this document covers how ICE Trade Vault has implemented its SBSDR system according to the SEC Rules, including the rules applicable for all Users of the system. Note that the SEC Rules are modified by the No-Action Relief, which allows an SBSDR and Users to comply with certain rules of the Commodity Futures Trading Commission rather than the SEC rules with respect to the reporting of SBSDR Information.
- SBSDR Public Dissimination Guide - this document describes how someone can interact with and interpret the Public Dissimination ticker.
- ICETV Fields and Validations - this document provides detailed instructions on how to submit data to ICE Trade Vault SEC including FpML tags, validations, and submission requirements.