

CDS CLIENT CLEARING ONBOARDING

ICE CLEAR CREDIT & ICE CLEAR EUROPE 2017

JULY 07, 2017



CLIENT CLEARING ONBOARDING

REQUIRED LEGAL DOCUMENTS IN ADVANCE OF PROD GO LIVE

Clearing Broker (CB) or client informs ICE Link Account Management [IL AM] team that a client wants to be enabled to go live with ICE Clear Credit or ICE Clear Europe

▪ CLIENT LEGAL DOCUMENTS:

- There are (3) Three legal documents which a client may be required to sign in advance of Go Live: 1) Participation Agreement, 2) KYC/AML, 3) Clearing Addendum
 - New ICE Link clients must sign Participation Agreement, KYC/AML and Clearing Addendum
 - Existing ICE Link clients must sign the Clearing Addendum
- Clients using a Third Party Vendor:
 - Sign all ICE Link legal documents (Participation Agreement, Clearing Addendum and KYC/AML]

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REQUIRED LEGAL DOCUMENTS IN ADVANCE OF PROD GO LIVE

▪ CLIENT ONBOARDING FORMS:

- All new clients will be required to complete onboarding forms requesting general information:
 - Contact information
 - Institution and client legal entity details
 - Users requiring access
 - Authorized Third Parties (if applicable)

- For existing ICE Link clients, information on file (e.g. Institution, legal entity and user access details) will be leveraged for clearing setup requiring fewer onboarding documents

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WHAT HAPPENS NEXT?

■ HOW LONG DOES IL AM TYPICALLY TAKE TO ONBOARD A CLIENT?

- It typically takes about 48 hours to onboard a client, if a client has 10+ funds to setup it can take longer due to required data validation steps including LEI & Legal Name verification

■ WHAT HAPPENS AFTER A CLIENT HAS BEEN ONBOARDED?

- IL AM notifies the client that the onboarding has been completed and instructs client to reach out to their Clearing Broker(s) to have them enabled for client clearing
- How does a Clearing Broker enable a client fund for clearing (DESK ID enablement)?
 - From the ICE Link GUI select “Create Client Desks” from MENU options
 - Select relevant Clearing House, Client Institution, Client Legal Entities and Position Management Style
 - Clearing Broker/Legal Entity(ies) clearing relationships are enabled in real time
- For **ISOC model* clearing setup requests please reach out to ICELinkhelp@theice.com for further assistance, please do **NOT** enable the DESK IDs via the ICE Link GUI

CONTACTS

WHO SHOULD I CONTACT WITH ANY QUESTIONS?

■ OTC ACCOUNT MANAGEMENT

- Global Group Email: icelinkhelp@theice.com
- OTC Account Management US Main Number: +1 770-738-2101 (Option 3+1)
- OTC Account Management Europe Main Number: +44 (0) 20 7488 5100 (Option 3+1)
- Global Escalation: Clara Costa, Global Head of OTC Account Management
clara.costa@theice.com or 212-323-6032

■ OTC FINANCIAL SALES

- Global Group Email: icesales.otcfinancial@theice.com