# OTC Clearing Hong Kong Limited（＂OTC Clear＂） <br> Information related to Regulatory Reporting 

To：OTC Clear Clearing Operations
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8 Connaught Place
（Full name of Clearing Member）
Central，Hong Kong
Tel： 22116508
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OCASS Clearing Member ID：
Contact Person：
$|\perp|$

Tel：
Fax：

## Part I－Request Details

With reference to OTC Clear Clearing Rule 409，please provide the following information to facilitate OTC Clear compliance with its reporting obligations with the regulators：

1．Your Legal Entity Identifier（＂LEI＂）is

2．OTC Clear uses Unique Trade Identifier（＂UTI＂）as trade identifier for HKTR reporting．Clearing Member should use UTI to avoid mismatch．Please advise the reason if you are unable to use UTI and indicate the value you are using for trade identifier：

3．Are you or your affiliate／Branch（that submitted trades for registration with OTC Clear），pursuant to CFTC rules and regulations，either voluntarily reports or is required to report，to a swap data repository registered with the CFTC？$\square$ Yes，$\square$ No

4．Please advise if you are
$\square$ US Person；
$\square$ Major Swap Participant；
$\square$ Swap Dealer；or
$\square$ None of the above
as that terms are defined by the CFTC．

5．Please confirm if you are submitting CFTC reportable transactions to DTCC＇s Global Trade Repository．
$\square$ Yes
$\square$ No（We use：
）
$\square$ Not Applicable

Authorised Signature（s）and Company Chop
Date
（Name of Signatories：）

| Received Date： | Verified by： <br> Date： | Approved by： <br> Date： | Effective Date： |
| :--- | :--- | :--- | :--- |

