Derivatives Service Bureau (DSB)

SUBSCRIPTION FORM – UPI

|  |  |  |
| --- | --- | --- |
| **SUBSCRIPTION FORM DATE** | | The date the last party signing the Subscription Form signed it (as specified next to its signature) |
| **VERSION NUMBER** | | [INSERT] |
| **PARTIES** | | |
| (1) | **Derivatives Service Bureau (DSB) Ltd** (Company No. 10542063), a company incorporated under the laws of England and Wales whose registered office is at Suite 21-23, 107 Cheapside, London, EC2V 6DN, United Kingdom (**“DSB”**);and | |
| (2) | the entity identified in section B (“**User**”)  each a “**party**” and together being the “**parties**.” | |

SECTION A – INTRODUCTION

1. The DSB provides DSB Services enabling access to: (i) Unique Product Identifiers (“UPIs”) for OTC Derivatives; and (ii) the set of attributes and values associated with a particular UPI (or set of UPIs) (“Reference Data”) (collectively “UPI Services”).
2. The User wishes to access and use UPI Services and Data on behalf of itself and, subject to paragraph 5, its Affiliates and/or End Users (if any).
3. In relation to all UPI Services:
   * 1. “**Data**” means any data transferred to and from the DSB pertaining to UPIs and their associated UPI Reference Data and other data elements (including data fields and functionality) provided by the DSB to the User in connection with UPIs.
     2. “**Fee-Paying User**” means a User categorised as one of the following user types:
        1. Infrequent User;
        2. Standard User;
        3. Search-only API User;
        4. Intermediary; or
        5. Power User,

but shall not include a Registered User.

* + 1. “**Redistribute**” means to send UPI Reference Data or other data elements (including data fields and functionality, but excluding the UPI) to any third party, other than as permitted under paragraph 6.1 of the DSB User Policy.

1. This Subscription Form sets out the details of all Subscriptions held by the User for UPI Services. Each Subscription is a separate agreement between the parties, comprising:
   * 1. the Main Terms, available via the [DSB website](https://www.anna-dsb.com/download/dsb-main-terms-and-policies-2023-final-clean/),
     2. the Policies, available via the [DSB website](https://www.anna-dsb.com/download/dsb-main-terms-and-policies-2023-final-clean/),
     3. sections A and B of this Subscription Form; and
     4. the details of the relevant Subscription in section C of this Subscription Form.
2. Notwithstanding paragraph 1.2 of the DSB User Policy, Fee-Paying Users are not permitted to Redistribute to any third party within 24 hours of the creation of the UPI snapshots for the respective UPI Services (the “File Download Time +1”).
3. The User must specify their organisation type from the list provided in section B of this Subscription Form. Only those User Affiliates that are of the same organisation type as a Category 2 User and are listed in section B shall be entitled to the benefit of the Subscriptions. Affiliates of a Category 1 User are not entitled to the benefit of the Subscriptions.
4. Capitalised terms used in this Subscription Form have the meanings given to them in the Main Terms or Policies.
5. Any changes to this Subscription Form (including changes to the User details in section B or any of the Subscription Details in section C) shall be made by the parties signing a version containing the changes. Each new version of this Subscription Form supersedes any previous versions signed by the parties and constitutes an amendment to the terms of all relevant Subscriptions for the purposes of clause 1.5 of the Main Terms. Section D contains a record of all changes to this Subscription Form for reference purposes but does not form part of any Agreement.

SECTION B - USER DETAILS

|  |  |
| --- | --- |
| **User name** | [INSERT NAME] |
| **Jurisdiction of incorporation** | [COUNTRY SELECTION FIELD] |
| **Company number** | [INSERT NUMBER] |
| **Registered address** | [INSERT ADDRESS] |
| **User’s Legal Entity Identifier (LEI)** | [INSERT NUMBER] |
| **User’s organisation type** | **CATEGORY 1** – Brokerage / Trade Execution Platform – MTF / Trade Execution Platform – OTF / Trade Execution Platform – Other / Trade Execution Platform – SEF / Trade Repository  [OR]  **CATEGORY 2** – Authority / Bank / Clearing House / Commodity Trading Advisor / Custodian / Data Management Provider / Institutional Asset Management Services / Non-financial / Other Financial / Pension Fund Manager / Technology Service Provider / Trade Association / Wealth Management Services |
| **Address for Notices** (see Main Terms, clause [18.1]) | **FAO**: [INSERT NAME], [INSERT POSITION]  (or their successor in this role)  **Physical address**: [INSERT ADDRESS]  **E-mail**: [INSERT E-MAIL]  [DELETE IF NOT APPLICABLE –  **Alternative contact**  **FAO**: [INSERT NAME], [INSERT POSITION]  (or their successor in this role)  **Physical address**: [INSERT ADDRESS]  **E-mail**: [INSERT E-MAIL]] |
| **Address for Breach Notices** (see Main Terms, clause [18.3]) | **FAO**: [INSERT NAME], [INSERT POSITION]  (or their successor in this role)  **Physical address**: [INSERT ADDRESS]  **E-mail**: [INSERT E-MAIL]  [DELETE IF NOT APPLICABLE –  **Alternative contact**  **FAO**: [INSERT NAME], [INSERT POSITION]  (or their successor in this role)  **Physical address**: [INSERT ADDRESS]  **E-mail**: [INSERT E-MAIL]] |
| **Affiliate(s)** | [N/A IF NOT APPLICABLE] |
|  |  |
|  |  |

|  |  |  |
| --- | --- | --- |
| **Name** | **Legal Entity Identifier (LEI)** | **Category 2 Organisation Type** |
| [INSERT NAME] | [INSERT LEI] | [TO BE PRE-POPULATED BASED ON USER ORGANISATION TYPE] |
|  |  |  |
|  |  |  |
|  |  |  |

SECTION C - SUBSCRIPTION DETAILS

|  |  |
| --- | --- |
| **DSB Service type** | UPI Services |
| **User type** | [SELECT TYPE – Infrequent User / Standard User / Search-only API User / Power User / Intermediary / Authority] |
| **Commencement Date** | [INSERT DATE] |
| **Additional terms** | The Initial Invoicing Period will end on 31 December 2024.  Section 2.5(c) of the DSB Charges Policy will apply. |
| **Status** | [SELECT – Current / Terminated] |
| **Termination effective date** | [SELECT – Not applicable / [INSERT DATE] |

[ADD ADDITIONAL SUBSCRIPTIONS IF APPLICABLE WITH THE SAME DETAILS AS ABOVE]

SECTION D – FORM OF RECORD OF AMENDMENT

| Version | Subscription Form Date | Change Details |
| --- | --- | --- |
|  |  |  |
|  |  |  |
|  |  |  |

**THIS SUBSCRIPTION FORM HAS BEEN ENTERED INTO ON THE SUBSCRIPTION FORM DATE.**

Signed by ………………………………….:

For and on behalf of

**DSB**

Position: DSB Board Member

Date:

Signed by ………………………………….:

For and on behalf of

**[USER NAME]**

Position:

Date: