



Form to request a proposal from the clearing service provider

This form is prepared in accordance with the fair, reasonable, non-discriminatory and transparent requirements for offering OTC clearing services (FRANDT) pursuant to the Commission Delegated Regulation (EU) 2021/1456 supplementing Regulation (EU) No 648/2012 of the European Parliament and of the Council.

Information about the prospective client	
Legal Name	
Legal Client Identifier (LEI)	
Are you a financial or non-financial counterparty	
Are you subject to the clearing obligation in accordance with Articles 4a or 10 of Regulation (EU) No 648/2012	
Your sector of activity	
Information about the OTC derivative contracts concerned, including whether those contracts are subject to the clearing obligation in accordance with Article 4 of Regulation (EU) No 648/2012	
Do you require the ability to use non-cash collateral to cover Initial Margin? If so, please provide details/examples	
Do you have any specific IT or reporting requirements, if so, please specify.	

UBS requires at a minimum the following documentation in order to assess clients for onboarding. Further details will be provided through the completion of our interactive KYC Requirements form ⁱ

Proof of existence dated within the last 6 months (i.e. Company Register or certificate of good standing).
Copy of Articles of Association/Constitutional Document/Partnership Agreement
Latest Audited Financial Statements (or provide name of auditor/ if no audited financials are available)
Evidence of Authority (e.g. Letter of authority/POA or authorised signatory list) to confirm authority to act.
Certified copy of Government issued ID/Passport for each Authorized Representative
Certified copy of the authorized representative list (including signing rules) as evidence of authority
Sample Portfolio of positions to be cleared
ISA/OSA account requirement
Counterparty domicile and type of counterparty
Fund prospectus, detailing investment strategy (if applicable)
Latest fund AUM figure (if applicable)
Fund Manager Investment Mandate (if applicable)

Further Information

Except as otherwise specified herein, these materials are for the use of professional clients only and are not suitable for retail clients.

- For further details on the UBS Terms of Business, Regulatory Information and Disclosures & Risk Warnings, please see the following link: www.ubs.com/global/en/investment-bank/regulatory.html
- For further Regulatory information, please see the following link: www.ubs.com/global/en/investment-bank/clearing-and-execution.html
- For further information on Financing Legal Documentation, Regulatory Information and Disclosures & Risk Warnings, please see the following link: <https://www.ubs.com/global/en/investment-bank/ib/global-financing-services-terms.html>
- For further important country-specific information, please see the following link: www.ubs.com/sales-and-trading-country-information

ⁱ This is not an exhaustive list and requirements will differ entity to entity, depending on your responses in the UBS KYC Requirements form.