

An aerial, black and white photograph of a city street, likely Wall Street in New York City, showing tall buildings on either side and a street with traffic. The image is used as a background for the cover page.

Goldman Sachs

ISDA August 2012  
Dodd-Frank Protocol  
Guide

October 2012

## Table of Contents

<b>Executive Summary</b> .....	<b>3</b>
<b>Background</b> .....	<b>3</b>
<b>Disclaimer</b> .....	<b>3</b>
<b>1 Adhering to the August 2012 DF Protocol</b> .....	<b>4</b>
1.1 Navigate to ISDA Dodd-Frank Documentation Initiative .....	4
1.2 Select 'Adhere to this Protocol' .....	4
1.3 Select 'ISDA August 2012 DF Protocol' from the drop-down menu .....	5
1.4 Enter Contact Details and Logo .....	6
1.5 Enter Preferred Method(s) of Receipt of Protocol Questionnaires .....	6
1.6 Select Adherence Type and Signatory .....	7
<b>2 Registering for a LEI/CICI</b> .....	<b>8</b>
2.1 Register an Entity with the CICI Utility .....	8
2.2 Register as the 'Primary Party' or 'Third Party' .....	8
2.3 Register the Entity .....	9
<b>3 Sign-Up to Markit Document Exchange</b> .....	<b>10</b>
3.1 Markit sign-up page .....	10
<b>4 Add Entity/Entities to Markit Document Exchange and Select Counterparties</b> .....	<b>11</b>
4.1 Under the "Manage" Tab in ISDA Amend → Select "Entities" .....	11
4.2 Create or Edit an Entity via "Add Entry" or "Edit" Button .....	11
4.3 Click on the "ISDA Information" chevron after "Basic Information" details are complete .....	11
4.4 Complete PCA Principal, Third party and Guarantor Details .....	11
4.5 Complete ISDA Information Page .....	12
<b>5 Complete Protocol Questionnaire</b> .....	<b>13</b>
5.1 Select Markit 'ISDA Amend' .....	13
5.2 Add a Protocol Questionnaire .....	13
5.3 Select PCA Principal Type .....	13
5.4 Complete Protocol Information .....	14
5.5 Oral Disclosures of Pre-Trade Mark Election .....	15
5.6 Schedule Selections .....	15
5.7 DF Terms Agreement .....	15
5.8 Complete Protocol Signature Block Electronically .....	15
5.9 Complete Protocol Signature Block 'Separately' .....	16
<b>6 Link Entity Information to the Protocol Questionnaire</b> .....	<b>20</b>
6.1 Map Entities to Your Protocol Questionnaire(s) .....	20
<b>7 General Inquiries and Email Protocol Questionnaires</b> .....	<b>21</b>
7.1 General Inquires .....	21
7.2 Email Protocol Questionnaires .....	21
<b>8 Glossary of Terms</b> .....	<b>22</b>

## Executive Summary

ISDA published the ISDA August 2012 DF Protocol (“DF Protocol”) relating to the implementation of certain Business Conduct and other rules finalized by the CFTC pursuant to the Dodd-Frank Wall Street Reform and Consumer Protection Act.

Goldman Sachs will register six legal entities as swap dealers by December 31, 2012. These entities have adhered to the DF Protocol and are seeking to exchange protocol questionnaires.

As indicated in our adherence letter, we have selected two methods of exchange:

- Submission via ISDA Amend (**preferred method**)
- Submission via email (to [GoldmanSachsEBCSRULECommunication@gs.com](mailto:GoldmanSachsEBCSRULECommunication@gs.com))

This document provides end-to-end guidance on registering for the Protocol and completing via ISDA Amend or email. The Protocol is available for download at <http://www2.isda.org/functional-areas/protocol-management/protocol/8>.

## Background

The Dodd-Frank Wall Street Reform and Consumer Protection Act (the “Act”) was enacted on July 21, 2010. Title VII of the Act delegated authority to the Commodity Futures Trading Commission (“CFTC”) and Securities and Exchange Commission to regulate the OTC derivatives market. Under the Act, the CFTC has mandated that certain entities register as swap dealers and comply with certain rules upon the earlier of registration or January 1, 2013 including but not limited to External Business Conduct Standards and Swap Data Recordkeeping and Reporting Requirements.

The following six Goldman Sachs legal entities plan to register as swap dealers by December 31, 2012:

- Goldman Sachs Bank USA
- Goldman Sachs Financial Markets, LP
- Goldman Sachs International
- Goldman Sachs Mitsui Marine Derivative Products, LP
- Goldman, Sachs & Co.
- J. Aron & Company

The DF Protocol amends existing written trading agreements governing derivatives and certain foreign exchange transactions (including master agreements and long-form confirmations) between adhering parties that exchange protocol questionnaires to add notices, representations and covenants required to satisfy CFTC rule requirements.

## Disclaimer

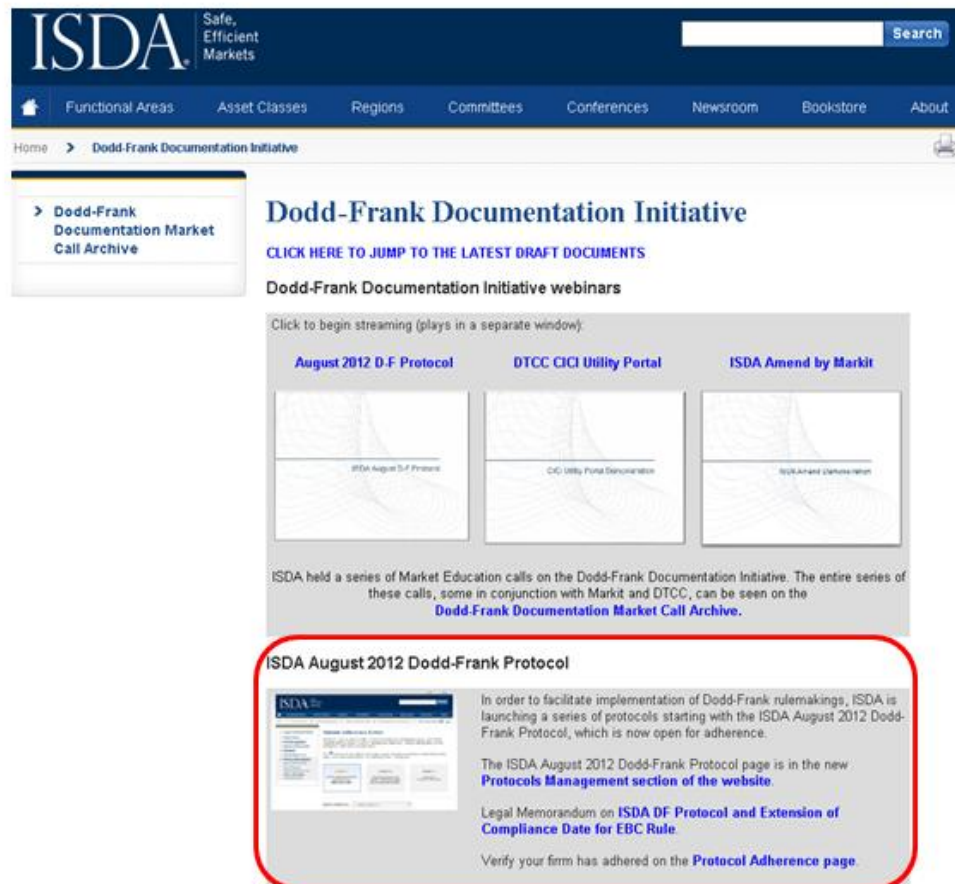
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# 1 Adhering to the August 2012 DF Protocol

*This section explains how to complete the Adherence Letter. In order to exchange counterparty information via the ISDA August 2012 DF Protocol, completion of an Adherence Letter is a pre-requisite for all counterparties.*

## 1.1 Navigate to ISDA Dodd-Frank Documentation Initiative

- Navigate to <http://www2.isda.org/dodd-frank-documentation-initiative/>
- Select “Protocol Adherence page” under the “ISDA August 2012 Dodd-Frank Protocol” heading



**ISDA August 2012 Dodd-Frank Protocol**

In order to facilitate implementation of Dodd-Frank rulemakings, ISDA is launching a series of protocols starting with the ISDA August 2012 Dodd-Frank Protocol, which is now open for adherence.

The ISDA August 2012 Dodd-Frank Protocol page is in the new **Protocols Management section of the website**.

Legal Memorandum on **ISDA DF Protocol and Extension of Compliance Date for EBC Rule**

Verify your firm has adhered on the **Protocol Adherence page**

## 1.2 Select ‘Adhere to this Protocol’

- The main page shows the organizations who have completed the ISDA Adherence Letter for ISDA August 2012 DF Protocol
- Select the “Adhere to this Protocol” button to complete the form

### **NOTE**

- This step is a pre-requisite for submitting a protocol questionnaire via ISDA Amend or any other method, such as email

ISDA Safe, Efficient Markets

Sign In | Create Account

Search

Home > Functional Areas > Protocol Management > ISDA August 2012 DF Protocol > Adhering Parties

**Adhering Parties**

Protocol Name: ISDA August 2012 DF Protocol  
 Last Updated: October 17, 2012  
 Number of Parties: 526

**Adhere to this Protocol**

\* A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

#	Participant	Method 1	Method 2	Method 3	Method 4	Last Submission	Acceptance Date
1	CIREP One Mortgage Securities Ltd	✓			✓	October 12, 2012	October 12, 2012
2	1st Source Bank	✓			✓	October 01, 2012	October 01, 2012
3	RM Asset Management S A R L	✓			✓	September 17,	September 17,

### 1.3 Select 'ISDA August 2012 DF Protocol' from the drop-down menu

- ISDA allows organizations to complete protocols for a range of services and regulations. Ensure that "ISDA August 2012 DF Protocol" is selected from the drop-down menu

**SELECT A PROTOCOL:** --- select a protocol ---

--- select a protocol ---  
 -- Recent Protocols --  
 ISDA 2012 FATCA Protocol  
**ISDA August 2012 DF Protocol**  
 Close-Out Amount Protocol  
 -- All Protocols --  
 2010 Short Form Hire Act Protocol  
 Close-Out Amount Protocol  
 Collateral Settlement Timing Protocol  
 Equity MCA Protocol  
 Illegality/Force Majeure Protocol  
 ISDA 2012 FATCA Protocol  
 ISDA August 2012 DF Protocol  
 Master FX Novation and Cancellation Protocol  
 Novation Protocol

**PROTOCOL:** ISDA August 2012 DF Protocol

**PROTOCOL FEE:** \$500.00

**CONTACT DETAILS** (as it appears)

**NOTE**

- There is a \$500 fee payable to ISDA to submit an Adherence Letter

## 1.4 Enter Contact Details and Logo

**CONTACT DETAILS** (as it will appear in the Adherence Letter):

**First Name \***       **Last Name \***  
 **Company Name \***       **Email \***  
 **Phone \***       **Fax**  
 **Country \***       **State \***       **Zip/Postal Code \***  
 [-- select --      |      |  
 **Street Address \***       **City \***  
 **Street Address 2**

---

**POINT OF CONTACT** (recipient of status updates from ISDA – note: your contact details will not display on the ISDA website):

Same as above

**Name \***       **Email \***       **Phone \***

## 1.5 Enter Preferred Method(s) of Receipt of Protocol Questionnaires

- The ISDA DF Protocol may be exchanged between counterparties via the methods below. Select those methods relevant to your organization from the following:
  - Method 1 – ISDA Amend (via the Markit online portal covered in Section 3-5 of this document)
  - Method 2 – Courier
  - Method 3 – Facsimile
  - Method 4 – Email

**METHOD OF RECEIPT OF INCOMING QUESTIONNAIRES:** (Note: you can choose more than one method of delivery)

**Method 1**  
submitted via ISDA Amend in accordance with the terms thereof.

**Method 2**  
submitted in writing and delivered in person or by courier, or by certified or registered mail (airmail, if overseas) or the equivalent (return receipt requested) to:  
Address:  
  
Attention:

**Method 3**  
submitted by facsimile transmission, to:  
Fax Number:  
  
Attention:

**Method 4**  
submitted by e-mail or other electronic messaging system, to:  
E-mail:

## 1.6 Select Adherence Type and Signatory

- Adherence Letters can be completed for a single entity, or by an investment/asset manager (or other agent) on behalf of multiple funds
- If you are an investment/asset manager completing the Protocol on behalf of multiple funds, select this option to complete an 'umbrella' adherence letter covering all relationships

**ADHERENCE TYPE :**

-- select --  
-- select --  
Single Entity Adherence  
Investment/Asset Manager/other agent on behalf of a fund/multiple funds/other principal  
Investment/Asset Manager/other agent on behalf of some but not all funds/other principal

**AUTHORIZED SIGNATORY \*** (Authorized Firm / Institution signature as it appears on the signature line of your letter):

Name	Title
<input type="text"/>	<input type="text"/>

[Add Another Authorized Signature](#)

Agree with Term of services and conditions

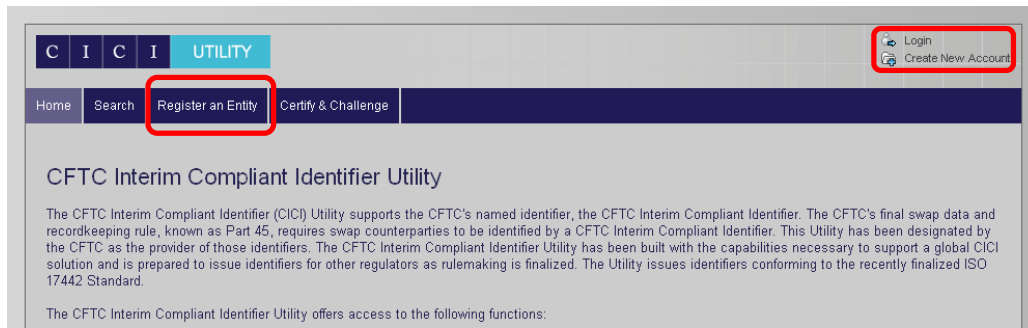
## 2 Registering for a LEI/CICI

*This section explains how to register for a Legal Entity Identifier (LEI) (or CFTC Interim Compliant Identifier (CICI)), a pre-requisite to completing the ISDA August 2012 DF Protocol Questionnaire via ISDA Amend.*

- The Legal Entity Identifier (LEI) (known as CFTC Interim Compliant Identifiers (CICI) until global LEIs are established) is an industry-standard, 20 character identifier used by market participants in order to comply with the CFTC's swap data reporting regulations
- In order to register with ISDA Amend, all counterparties are required to obtain a CICI from the CICI Utility Portal at [www.ciciutility.org](http://www.ciciutility.org)

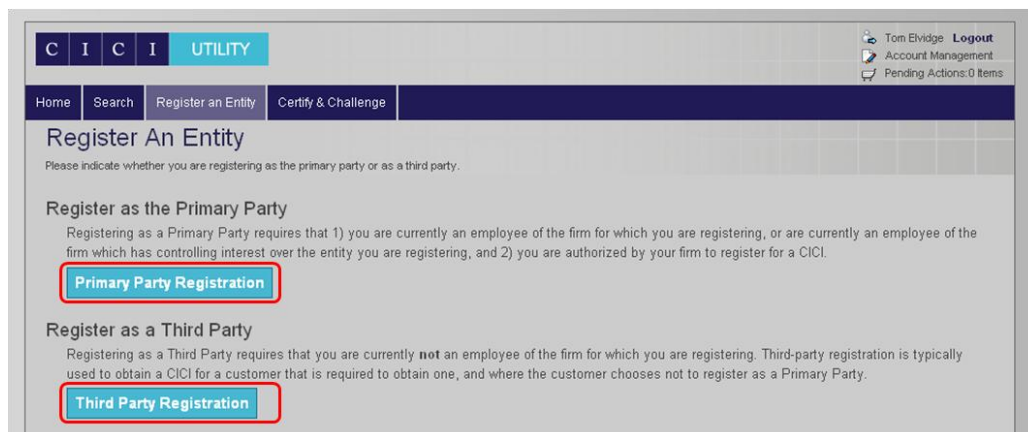
### 2.1 Register an Entity with the CICI Utility

- Navigate to <https://www.ciciutility.org/>
- Search the database for the entity. If the legal name appears, follow the instructions on the homepage to certify the entity. Otherwise, you will need to start the registration process
- To register an entity log in or create an account



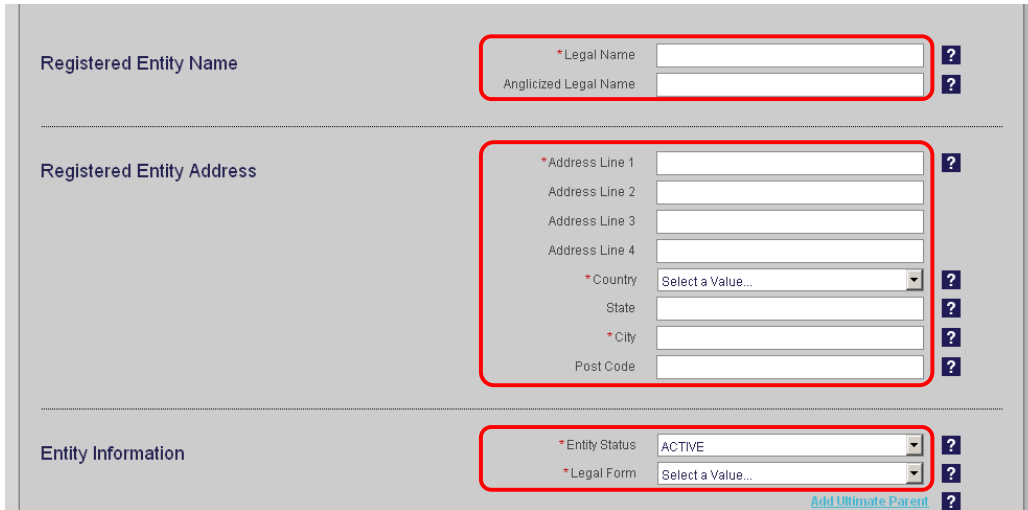
### 2.2 Register as the 'Primary Party' or 'Third Party'

- Select whether you are electing to register an entity as the "Primary Party" or "Third Party"
  - "Primary Party" requires that you are an employee of the firm and authorized to register your firm's CICI
  - "Third Party" requires that you are not a current employee of the firm for which you are registering





## 2.3 Register the Entity



The screenshot shows a registration form with three main sections: Registered Entity Name, Registered Entity Address, and Entity Information. Each section contains several input fields, some of which are highlighted with red boxes. The 'Registered Entity Name' section includes fields for '\*Legal Name' and 'Anglicized Legal Name'. The 'Registered Entity Address' section includes fields for '\*Address Line 1' through 'Address Line 4', '\*Country', 'State', '\*City', and 'Post Code'. The 'Entity Information' section includes fields for '\*Entity Status' (set to 'ACTIVE') and '\*Legal Form' (set to 'Select a Value...'). There are also help icons (question marks) next to several fields. A link 'Add Ultimate Parent' is visible at the bottom right of the form.

- LEI/CICIs for the six Goldman Sachs entities to be registered as swap dealers are:

Goldman Sachs Mitsui Marine Derivative Products, L.P.	X1H61UOUXUPKXR51OV18
Goldman Sachs Bank USA	KD3XUN7C6T14HNAYLU02
Goldman Sachs Financial Markets, L.P.	VF1AUT09OCSW5Y7OE568
Goldman Sachs International	W22LROWP2IHZNBB6K528
Goldman, Sachs & Co.	FOR8UP27PHTHYVLBNG30
J Aron & Company	MXKQVM4U1OHBQWFPG196

### **NOTE**

- There is a charge of \$200 for registering for a CICI from [www.ciciutility.org](http://www.ciciutility.org)
- Individuals, branch offices and operating divisions should not register for a CICI

### 3 Sign-Up to Markit Document Exchange

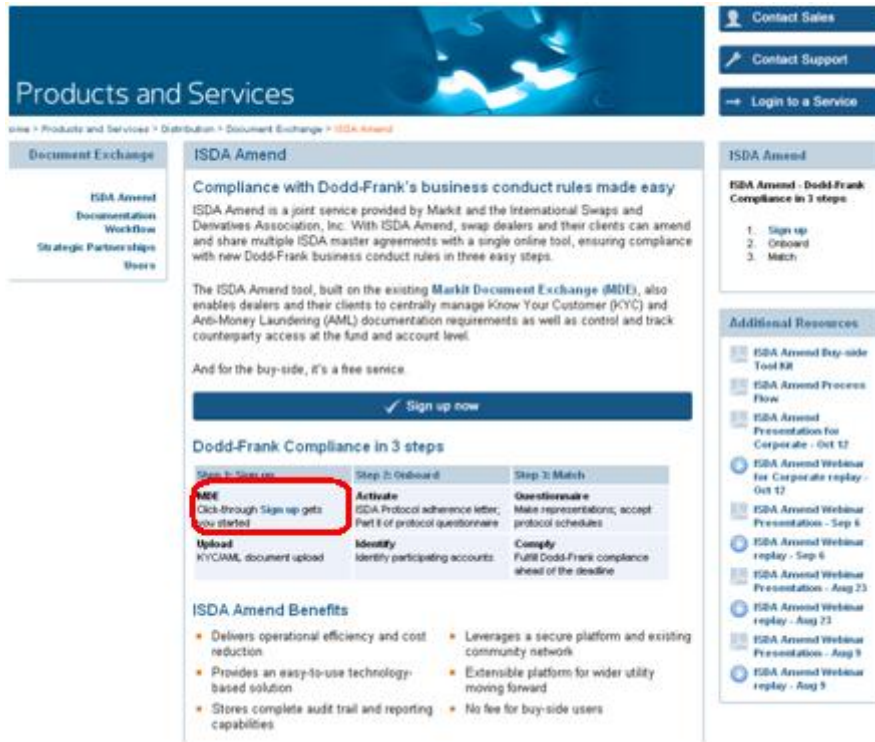
*This section explains how to sign-up entities to Markit Document Exchange (MDE). ISDA Amend is a service within the MDE platform.*

#### 3.1 Markit sign-up page

- Once you have Adhered on the ISDA Website, and received your LEI, follow the link below to sign up to MDE <http://www.markit.com/en/products/distribution/document-exchange/isda-amend.page>
- Click the “Sign-up” link on step 1 to open the Markit Document Exchange sign-up form. ISDA Amend is by default included in the application. Complete the form and submit the application

**NOTE**

- ISDA Amend is provided to buy-side users on a no-fee basis



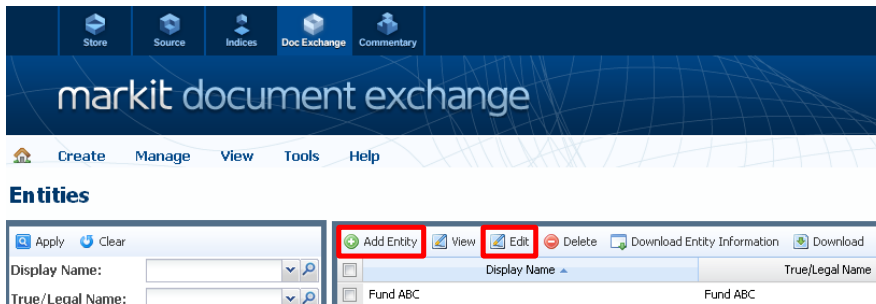
## 4 Add Entity/Entities to Markit Document Exchange and Select Counterparties

*This section explains how to load your entities on to Markit Document Exchange (MDE) in order to complete the ISDA Protocol. This step corresponds with completing questions 1-5 of 'Part II: PCA Principal Information' of the ISDA August 2012 DF Protocol Questionnaire.*

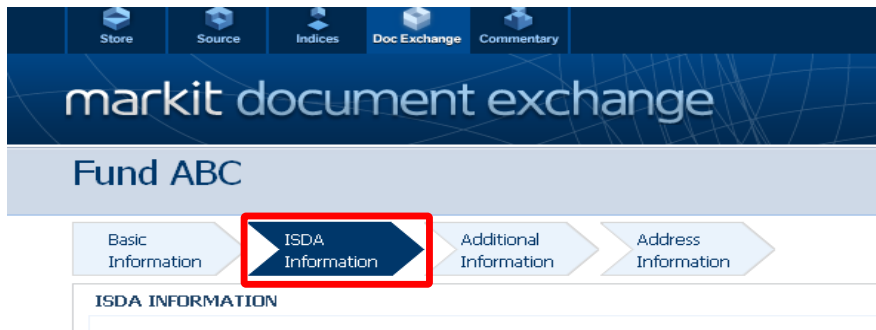
### 4.1 Under the “Manage” Tab in ISDA Amend → Select “Entities”



### 4.2 Create or Edit an Entity via “Add Entry” or “Edit” Button



### 4.3 Click on the “ISDA Information” chevron after “Basic Information” details are complete



### 4.4 Complete PCA Principal, Third party and Guarantor Details

- Scroll down the ISDA Information page and complete applicable details for the PCA Principal(s), Third Party(s) and Guarantor(s) for the entity

**THIRD PARTY DETAILS**

Add Edit Delete

---

**GUARANTOR DETAILS**

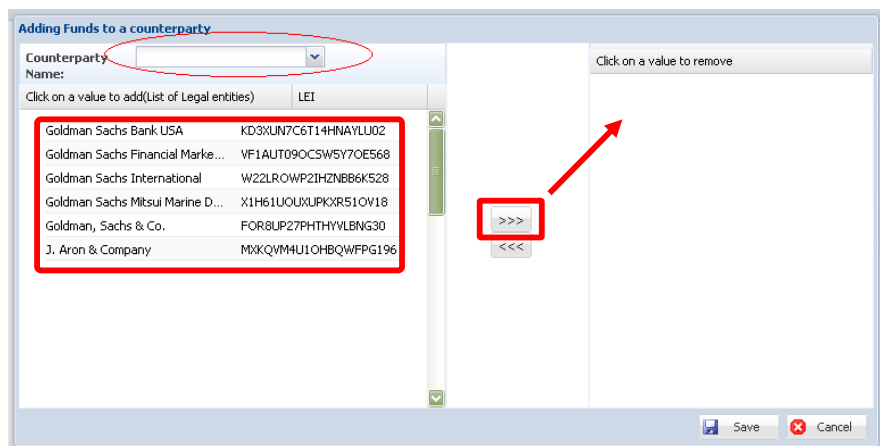
Add Edit Delete

#### 4.5 Complete ISDA Information Page

- Add/Edit your Counterparty details in the ISDA Information Page
- Select the appropriate Goldman Sachs legal entities as your Counterparties
- Toward the bottom of the page is the option to edit your “ISDA Counterparty Relationship”
- Select “Add/Edit” and the relevant Goldman Sachs legal entities will appear in the counterparty drop down



- Select the Goldman Sachs legal entities with which you wish to exchange a protocol
- Goldman Sachs has registered six swap dealer entities (as below)
- Select the appropriate entity(ies), click the ‘right arrow’ button and save after the counterparties have been moved to the box on the right of the page



#### **IMPORTANT NOTE**

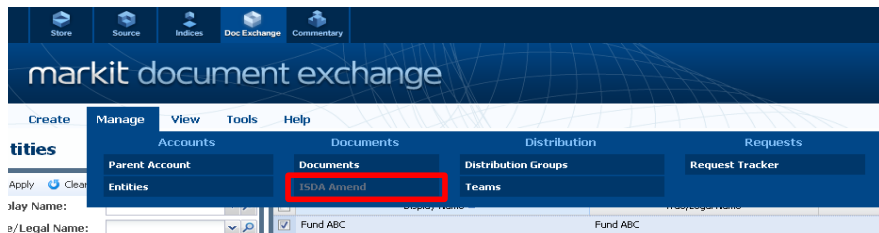
- After completing this step Goldman Sachs will have visibility into which PCA Principals will be providing protocol questionnaires, however the status of the protocol will appear as “missing” until Step 5 and 6 are complete

## 5 Complete Protocol Questionnaire

*This section explains how to answer the remaining questions from the DF Protocol. This step corresponds with completing questions 6-11 of 'Part II: PCA Principal Information' and questions 1-10 of 'Part III: PCA Principal Status Representations and Elections' of the ISDA August 2012 DF Protocol Questionnaire.*

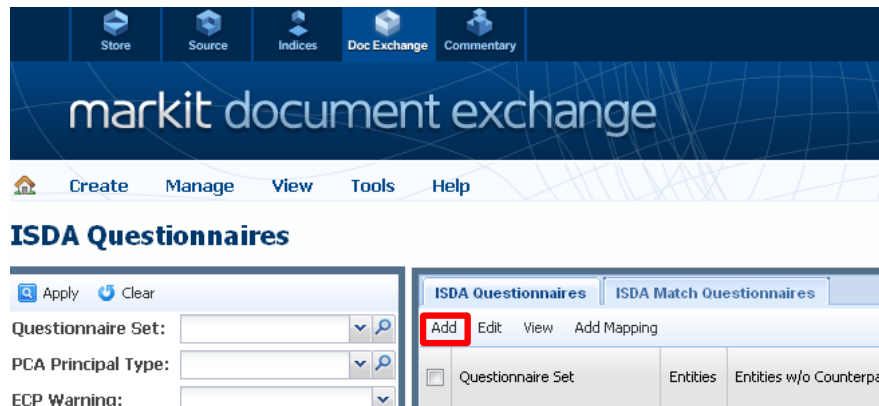
### 5.1 Select Markit 'ISDA Amend'

- Under "Manage" tab click "ISDA Amend"
- As part of Markit Document Exchange, "ISDA Amend" has been created to manage the collection and exchange of protocol questionnaire data



### 5.2 Add a Protocol Questionnaire

- Under the "ISDA Questionnaires" tab, click "Add"



### 5.3 Select PCA Principal Type

- Select the appropriate PCA Principal Type from the drop-down menu



### ISDA Questionnaire

Note: Instructions and relevant details applicable to each section of the Questionnaire below can be found by clicking on the hyperlinked text. Users should review all of the instructions and/or details applicable to a section below before completing such section of the Questionnaire.

<b>PCA PRINCIPAL TYPE</b> <input type="text"/> Both Major Swap Participant and Security Based Major Swap Participant Both Major Swap Participant and Security Based Swap Dealer Both Swap dealer and Security Based Major Swap Participant Both Swap Dealer and Security-Based Swap Dealer ERISA Special Entity Major Swap Participant Other - none of the others apply Security-Based Major Swap Participant Security-Based Swap Dealer Special Entity Not ERISA Swap Dealer	<b>REFERENCE NAME</b> <input type="text" value="ABC FUND"/>
---	--

- Depending on the PCA Principal Type selected, relevant questions will appear on the next page. The sample below is the questionnaire for an entity that is **“Other – None of the Others Apply”**

### 5.4 Complete Protocol Information

- Fields that are required on the protocol questionnaire are highlighted on the Markit site in red
- It is important to note three of the fields on the questionnaire are not required (regardless of your PCA Principal Type selected). These have been highlighted in green below:
  - Oral Disclosures of Pre-Trade Mark Election
  - Schedule Selections
  - The DF Terms Agreement
- Each of these non-mandatory sections is covered in more detail below

The screenshot shows the ISDA Questionnaire interface. Key elements include:

- PCA PRINCIPAL TYPE:** Set to "Other - none of the others apply".
- Are you a Commodity Pool?** and **Are you a Financial Entity?** dropdowns.
- ELIGIBLE CONTRACT PARTICIPANT TYPE(S):** A list of 22 options with checkboxes. The entire section is highlighted in red.
- Do you agree to receive oral disclosure of pre-trade marks?** Radio buttons for Yes/No. This section is highlighted in green.
- SCHEDULE SELECTIONS:** Radio buttons for "Agree to Schedule 1", "Agree to Schedule 2", and "Agree to Schedule 3". This section is highlighted in green.
- PCA Signature Block:** Fields for Name, Title, and Date. A checkbox for agreement to terms is present. This section is highlighted in red.
- DF Terms Agreement:** A checkbox at the bottom left, highlighted in red.
- Footer:** Copyright © 2012 Markit Group Limited. ALL DATA PROVIDED AS IS, WITH NO WARRANTIES. All rights reserved. Includes links for Privacy and Cookie Policy, Terms Of Use, Disclaimer, and Contact Us. The Markit logo is in the bottom right.

### 5.5 Oral Disclosures of Pre-Trade Mark Election

- By answering “Yes” to this question, the PCA Principal is consenting to receive oral disclosures (with written confirmation to follow post-trade) of any pre-trade mid-market marks and basic material economic terms, pursuant to CFTC Regulation 23.431(a)(2) and (3)(i)

**IMPORTANT NOTE**

- Not selecting this option may significantly change your trading experience if you are accustomed to conducting trades by phone, as your swap dealers will be required to deliver the pre-trade disclosures (including price) to you in writing prior to every trade

Do you agree to receive oral disclosure of pre-trade marks?  Y  N

### 5.6 Schedule Selections

- If the requisite schedules are not selected, the applicable suitability safe harbor will not be adhered to and the swap dealer will be required to reach out to PCA Principal for additional information

PLEASE MAKE YOUR **SCHEDULE** SELECTIONS

Agree to Schedule 1:  Y  N    Agree to Schedule 2:  Y  N

Agree to Schedule 3:  Y  N

### 5.7 DF Terms Agreement

- The DF Term Agreement is required whenever a Protocol Covered Agreement does not exist between the parties in connection with their derivative and certain foreign exchange transactions (e.g., give-up transactions with an executing dealer). Accordingly, the DF Term Agreement must be filled out whenever a PCA Principal wishes for the Protocol to cover a transaction that is not currently governed by a Protocol Covered Agreement

DF Terms Agreement

Do you agree to DF Terms Agreement?  Y  N

Name:  Zip:

Address 1:  Phone:

Address 2:  Fax:

City:  Email:

State:  Electronic Message System Details:

Country:  Specific Instructions:

### 5.8 Complete Protocol Signature Block Electronically

- When a Designated Evaluation Agent (DEA), Qualified Independent Representative (QIR) or Fiduciary (FID) is submitted as part of the Protocol, a signature from the advisor is required
- If an advisor is completing the protocol questionnaire on behalf of a fund or funds, the electronic signature block within ISDA Amend may be completed directly by the advisor. In this case providing ‘separately’ is not required and may be selected as ‘N’

EVALUATION AGENT DETAILS

Will you provide [\[Designated Evaluation Agent\]](#) details separately for the DF Protocol questionnaire?  Y  N ⓘ

If Yes, then complete signature block(s).  
If No, please fill out information below:

Add Edit Delete

- Where the signature is NOT provided separately (i.e. 'N' is selected per the above step) click "Add" and complete the electronic signature form

### 5.9 Complete Protocol Signature Block 'Separately'

- Providing signature details 'separately' is required when an entity is completing the questionnaire on behalf of itself and its Designated Evaluation Agent (DEA), Qualified Independent Representative (QIR) or Fiduciary (FID) entities
- In this case the option to provide details 'separately' may be selected as 'Y'

EVALUATION AGENT DETAILS

Will you provide [\[Designated Evaluation Agent\]](#) details separately for the DF Protocol questionnaire?  Y  N ⓘ

If Yes, then complete signature block(s).  
If No, please fill out information below:

Add Edit Delete

- Click on the highlighted Designated Evaluation Agent link (please note this link will be different depending upon the advisor type relevant to the PCA Principal)

EVALUATION AGENT DETAILS

Will you provide [\[Designated Evaluation Agent\]](#) details separately for the DF Protocol questionnaire?  Y  N ⓘ

- The DEA/QIR/FID separate signature form PDF will appear (depending on the PCA Principal Type)



**Designated Evaluation Agent Signature Page**

**Identification of PCA Principal and Designated Evaluation Agent**

*The following must be completed by the PCA Principal:*

**PCA Principal:** (INSERT FULL LEGAL NAME OF PCA PRINCIPAL)

**Designated Evaluation Agent:** (INSERT FULL LEGAL NAME OF DESIGNATED Evaluation Agent)

**Designated Evaluation Agent Information**

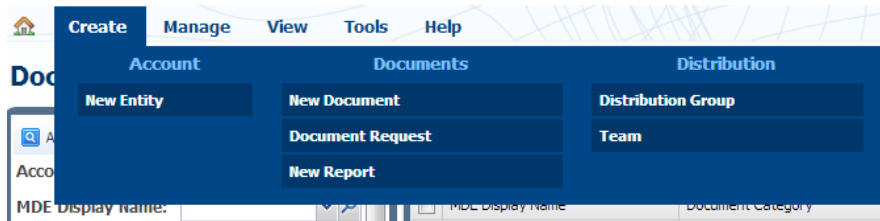
*The following must be completed by the Designated Evaluation Agent:*

Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Phone: \_\_\_\_\_  
 Fax: \_\_\_\_\_  
 E-mail: \_\_\_\_\_

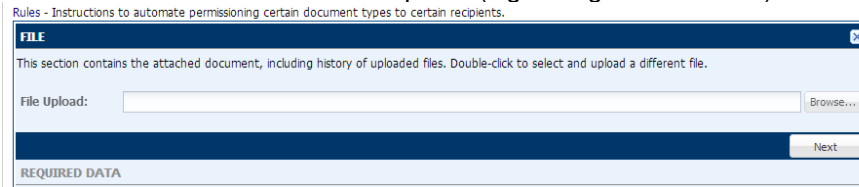
**Designated Evaluation Agent Signature**

*The following must be completed and executed by the Designating Evaluation Agent:*

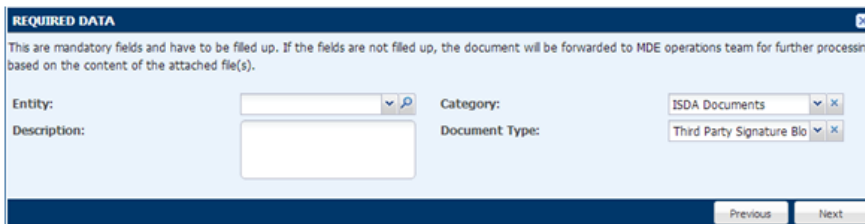
- The signature page must be sent to the PCA Principal’s appropriate DEA/QIR/FID for completion and subsequent upload by the PCA Principal to MDE
- Once the PCA Principal receives the signed agent document back and saves onto its PC, **go to MDE**
- On MDE - Click Create > Documents > New Document from the navigation menu




- Click on the Browse button to select a file to upload (signed agent document)

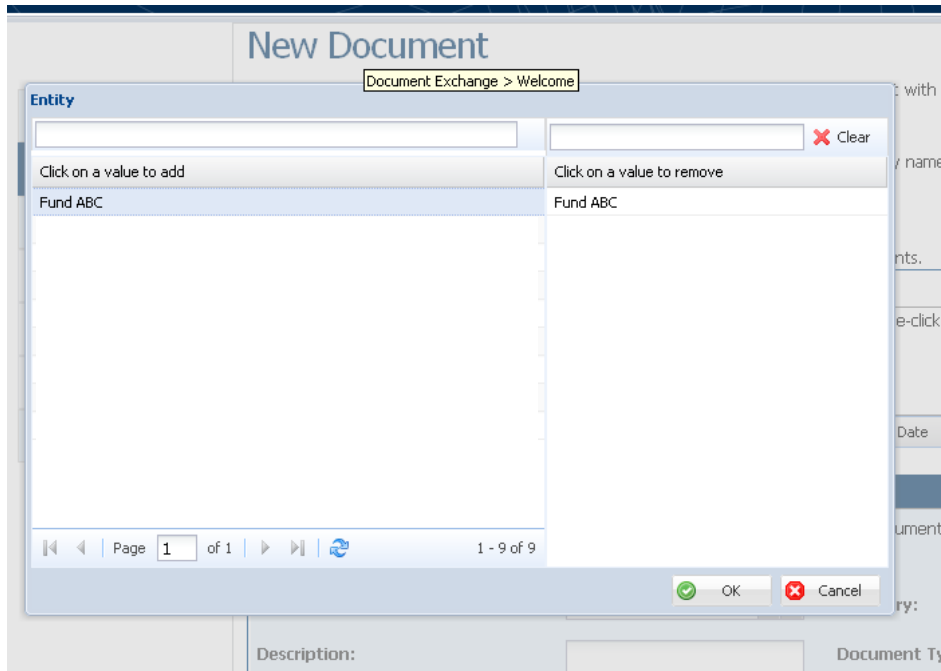


- Click on the Next button to continue
- Choose a Category of ISDA Document and a Document Type of Third Party Signature Block



- In the Description field provide LEI/CICI and related document description (FID, QIR or DEA)

- Relate the signed document to the relevant PCA Principal by clicking on the spyglass 
- Select the entities by double clicking on them so they appear in the right hand side of the pop up box



- Click on Next button to continue
- Select “Complete” for Status under “Additional Data” and click “Save”

**REQUIRED DATA**  
 These are mandatory fields and have to be filled up. If the fields are not filled up, the document will be forwarded to MDE operations team for further processing based on the content of the attached file(s).

Entity: Fund ABC      Category: ISDA Documents  
 Description: LEI and DEA      Document Type: ISDA Documents (Third Party Signature Block)

**ADDITIONAL DATA**

Status: **Complete**      Expiration Date:   
 Region:       As of Date:   
 Counterparty:       Signature Date:   
 Product Type:

Buttons: Save and Continue, **Save**, Previous

- Click on Exit – this will take you to the Documents library screen (alternatively, go to “Manage” and select “Documents” in MDE)
- Select the document and click on “Email”

MDE Display Name	Document Category	Document Type	Description	Distribution	View
<input checked="" type="checkbox"/> Fund ABC	ISDA Documents	Third Party Signature Block	DEA =LEI		

- A pop up dialogue box appears – change Type to Team and click on Advance Filter
- Type in your counterparty name (e.g., Goldman Sachs) and click “search”

- A list of teams at the counterparty will appear – select “The Goldman Sachs Group, Inc ISDA Amend Team” by double clicking on it

The screenshot shows a software interface with a search window titled "GLOBAL ADDRESS LIST". The search criteria include "Company Name: the goldman" and "Type: Team". The results table lists several teams from "The Goldman Sachs Group, Inc". The team "The Goldman Sachs Group, Inc ISDA Amend Team" is selected and highlighted in blue.

Company	Name	Team Owner
The Goldman Sachs Group, Inc	GSI - Credit Risk Management & Advisory E...	Stephanie.newcom@gs.com
The Goldman Sachs Group, Inc	GSI Futures Requests	louise.shaw@gs.com
The Goldman Sachs Group, Inc	GSI – FX French Team	Aurelien.Narminio@gs.com
The Goldman Sachs Group, Inc	GSI- Credit Derivatives Settlements	Lisa.Su@gs.com
The Goldman Sachs Group, Inc	The Goldman Sachs Group, Inc ISDA Amend...	cindy.dishmey@gs.com

At the bottom of the window, the "SELECTED MEMBER(S)" section shows "The Goldman Sachs Group, Inc ISDA Amend Team(The Goldman Sachs Group, Inc)" selected. The "OK" button is highlighted in green.

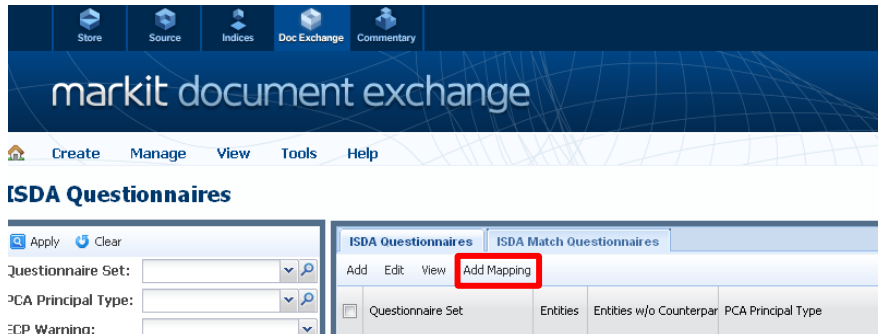
- Repeat the search process for all of your counterparties
- Once complete click “OK”
- You can add a message in the body of the email template if you wish
- Click on “Send”

## 6 Link Entity Information to the Protocol Questionnaire

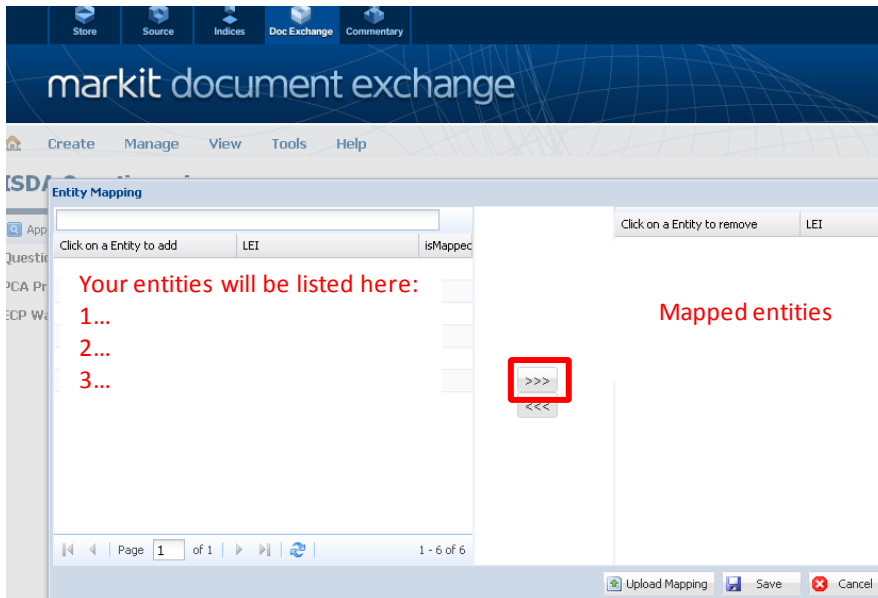
*This section explains how to make your complete protocol visible to Goldman Sachs by connecting all of your responses to 'Part II: PCA Principal Information' and 'Part III: PCA Principal Status Representations and Elections' of the August 2012 DF Protocol Questionnaire.*

### 6.1 Map Entities to Your Protocol Questionnaire(s)

- Click on "ISDA Questionnaires"
- Select the questionnaire by checking the box beside the entity questionnaire under "Questionnaire Set" you would like to map to one of your entities
- Click "Add Mapping" which will finalize the mapping of the Questionnaire selected to the entity



- The below screen will appear listing all of the PCA Principals for which you added entity information pursuant to Step 1 of the Markit Process. Select the entities to which you would like to map the questionnaire



#### **IMPORTANT NOTE:**

- Mapping functionality can be leveraged for mapping several entities on whose behalf an Institution fills out entity information to one questionnaire
- For example, a large investment advisor with several funds that are Special Entities may be able to leverage the same questionnaire due the fact the same PCA Principal Types would likely have the same answers to their questionnaire

## 7 General Inquiries and Email Protocol Questionnaires

### 7.1 General Inquires

- Please direct any questions related to Goldman Sachs protocols or this process to:  
GoldmanSachsEBCSRuleCommunication@gs.com
- For Markit Document Exchange issues, please call the Markit support line and ask for an ISDA Amend specialist:  
USA ..... +1 877 762 7548  
Europe..... .00800 6275 4800  
Asia Pacific – Singapore.....+65 6922 4210  
Asia Pacific – Japan.....+81 3 6402 0127

### 7.2 Email Protocol Questionnaires

- If you have adhered to the ISDA August 2012 DF protocol and are not using ISDA Amend, please email your completed questionnaire to:  
GoldmanSachsEBCSRuleCommunication@gs.com
- Goldman Sachs will reply with the questionnaires for the entities to which you have addressed your questionnaire
- The Protocol Questionnaire and Answer Sheet can be found on the ISDA website:  
<http://www2.isda.org/functional-areas/protocol-management/protocol/8>

## 8 Glossary of Terms

“**CFTC**” means the U.S. Commodity Futures Trading Commission

“**DF Terms Agreement**” means the ISDA August 2012 DF Terms Agreement published by ISDA on August 13, 2012.

“**LEI/CICI**” means a “legal entity identifier” satisfying the requirements of CFTC Regulation 45.6 or such other entity identifier as shall be provided by the CFTC pending the availability of such legal entity identifiers

“**PCA Agent**” means a party who has executed a Protocol Covered Agreement on behalf of one or more PCA Principals

“**PCA Principal**” means a person who is or may become a principal to one or more Swaps under a Protocol Covered Agreement and who is identified as such in column 1 of the PCA Principal Answer Sheet

“**Protocol Agreement**” means the ISDA August 2012 DF Protocol Agreement published on August 13, 2012 by the International Swaps and Derivatives Association, Inc. This is available for download at <http://www2.isda.org/functional-areas/protocol-management/protocol/8>

“**Protocol Covered Agreement**” means a DF Terms Agreement or an existing written agreement between two parties that governs the terms and conditions of one or more transactions in Swaps that each such party has or may enter into as principal

“**Swap Dealer**” means a person registered (fully or provisionally) with the CFTC as a “swap dealer” as defined in Section 1a(49) of the Commodity Exchange Act and CFTC Regulation 1.3(ggg)

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