

**UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

**FORM SDR**

**APPLICATION OR AMENDMENT TO APPLICATION FOR REGISTRATION  
AS SECURITY-BASED SWAP DATA REPOSITORY UNDER  
THE SECURITIES EXCHANGE ACT OF 1934**

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(Exact Name of Applicant as Specified in Charter)

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(Address of Principal Executive Offices)

If this is an APPLICATION for registration, complete in full and check here .....

If this is an AMENDMENT to an application, or to an effective registration (including an annual amendment), list all items that are amended and check here .....

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**GENERAL INFORMATION**

1. Name under which business is conducted, if different than name specified herein: \_\_\_\_\_

2. If name of business is amended, state previous business name: \_\_\_\_\_

3. Mailing address, if different than address specified herein: \_\_\_\_\_

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(Number and Street)

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(City)

(State)

(Zip Code)

4. List of principal office(s) and address(es) where security-based swap data repository activities are conducted:

<u>Office</u>	<u>Address</u>
_____	_____
_____	_____
_____	_____
_____	_____

5. If the applicant is a successor (within the definition of Rule 12b-2 under the Exchange Act) to a previously registered security-based swap data repository, please complete the following:

a. Date of succession \_\_\_\_\_

b. Full name and address of predecessor security-based swap data repository \_\_\_\_\_

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Number and Street)

\_\_\_\_\_  
(City) (State) (Zip Code)

6. List all asset classes of security-based swaps for which the applicant is collecting and maintaining or for which it proposes to collect and maintain.

\_\_\_\_\_  
\_\_\_\_\_

7. Furnish a description of the function(s) that the applicant performs or proposes to perform. \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**BUSINESS ORGANIZATION**

8. Applicant is a:  Corporation  
 Partnership  
 Other Form of Organization (Specify) \_\_\_\_\_

9. If Applicant is a corporation:

a. Date of incorporation \_\_\_\_\_

b. Place of incorporation or state/country of formation \_\_\_\_\_

10. If Applicant is a partnership:

a. Date of filing of partnership articles \_\_\_\_\_

b. Place where partnership agreement was filed \_\_\_\_\_

11. Applicant understands and consents that any notice or service of process, pleadings, or other documents in connection with any action or proceeding against the applicant may be effectuated by certified mail to the officer specified or person named below at the U.S. address given. Such officer or person cannot be a Commission member, official, or employee.

\_\_\_\_\_  
(Name of Person or, if Applicant is a Corporation, Title of Officer)

\_\_\_\_\_  
(Name of Applicant or Applicable Entity)

\_\_\_\_\_  
(Number and Street)

\_\_\_\_\_  
(City)

\_\_\_\_\_  
(State)

\_\_\_\_\_  
(Zip Code)

\_\_\_\_\_  
(Area Code) (Telephone Number)

12. SIGNATURES: Applicant has duly caused this application or amendment to be signed on its behalf by the undersigned, hereunto duly authorized, this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_ Applicant and the undersigned hereby represent that all information contained herein is true, current, and complete. It is understood that all required items and exhibits are considered integral parts of this form and that the submission of any amendment represents that all unamended items and Exhibits remain true, current, and complete as previously filed. If the applicant is a non-resident security-based swap data repository, Applicant and the undersigned further represent that the applicant can, as a matter of law, provide the Commission with prompt access to the applicant's books and records and that the applicant can submit to an onsite inspection and examination by the Commission. For purposes of this certification, "non-resident security-based swap data repository" means (i) in the case of an individual, one who resides in or has his principal place of business in any place not in the United States; (ii) in the case of a corporation, one incorporated in or having its principal place of business in any place not in the United States; or (iii) in the case of a partnership or other unincorporated organization or association, one having its principal place of business in any place not in the United States.

\_\_\_\_\_  
(Name of Applicant)

\_\_\_\_\_  
(Signature of General Partner, Managing Agent or Principal Officer)

\_\_\_\_\_  
(Title)