

APPLICATION TO TRADE IN A SUSPENDED SECURITY

London Stock Exchange Rule 1513

A member firm may apply to the Exchange for permission to effect trades in a security in which trading is suspended by the Exchange. Permission must be obtained in respect of each proposed on-Exchange trade.

1. Member firm making the application

Name of firm:	
Contact:	
Address:	
Email:	
Phone/fax:	

2. Details of the security

Name of security:	
ISIN:	
SEDOL:	
TIDM:	
Number of shares in proposed transaction:	
Price of proposed transaction:	

3. Reason for the application

(Please tick appropriate box)

(i) Fill a short position which was acquired before the suspension or prohibition was imposed:	
(ii) Complete a derivative contract:	
(iii) Wind up a deceased persons estate:	
(iv) Create or redeem shares in an exchange-traded fund:	



(i) Short position

Size of the short position:	
Counterparty name:	
Address:	
Telephone/fax:	
Breakdown of the trades that created the short position (If there are a number of trades, please provide a spreadsheet):	

(ii) Derivative contract

(Prior permission is not necessary in order to exercise an existing derivative contract. However, permission is required to purchase shares in order to deliver against a derivative contract, to the extent that this creates a short position).

Series (If Exchange traded):	
Type of trade (e.g., sold call):	
Date of trade:	

If the derivative position is as agent for a client

Name and reference:	
Address:	
Telephone/fax:	

(iii) Deceased person's estate:

Name of deceased person:	
Executor:	
Name:	
Address:	
Telephone/fax:	

If the executor is a bank or other professional, give any reference number which has been assigned to the estate

Counterparty name:	
Counterparty address:	
Counterparty telephone/fax:	

4. Settlement

(Please provide details of how the trade would be settled):

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Declaration

Permission is hereby sought under rule 1513 to trade in a suspended security in accordance with the details in this application.

(One signature must be a compliance officer)

Signed:	
Date:	
Name and job title:	
Signed:	
Date:	
Name and job title:	

Please email the completed form to Market Supervision: MktSrvsMarketMonitoring@lseg.com

London Stock Exchange decision

Permission granted/refused:	
Signed:	
Date:	
Name and job title:	



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