

# MEMBER FIRM APPLICATION FOR RECOGNITION AS AN INTERMEDIARY FOR THE PURPOSES OF UK STAMP DUTY AND STAMP DUTY RESERVE TAX RELIEF

Membership – Intermediary recognition

## Type of application

A. New application for intermediary recognition

B. Notification of change of intermediary name

Current intermediary name:

C. Notification of new CREST participant code

### Company name:

(If (B) is selected above, please declare the new company name)

### Registered address:

### CREST participant code:

(If (C) is selected above, please declare the new CREST code)

### UK address where records may be inspected<sup>1</sup>

(If different from registered address)

We have checked the relevant legislation in sections 80A and 88A of the UK Finance Act 1986 and confirm that we qualify as an intermediary under the statutory definition. We hereby apply for recognition as an intermediary on London Stock Exchange and AIM and confirm that we:

- Carry on a bona fide business of dealing in shares
- Do not carry on an 'excluded business' as defined in Finance Act 1986

We accept that to qualify for relief from stamp duty and Stamp Duty Reserve Tax (SDRT) under the sections listed above, it is our responsibility to check that the process for recognition as an intermediary for stamp duty and SDRT relief has been successfully completed before we undertake any trading activity. Further, we undertake to promptly notify London Stock Exchange if any of the information on this form changes by sending a new application.

<sup>1</sup> Member firms must provide a UK address where HM Revenue & Customs may inspect the firm's records – this may be the address of the member firm's clearing agent where the clearing agent has agreed to provide this service.



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Further, while London Stock Exchange may carry out certain administrative tasks or filings or comply with other formalities in connection with this application for recognition as an intermediary, we acknowledge that London Stock Exchange does so only for purposes of administrative convenience, and we agree that it remains at all times our responsibility to ensure that all such administrative tasks and filings have been carried out and that all such formalities have been complied with, including any administrative tasks, filings or other formalities which may be carried out by London Stock Exchange. We agree that London Stock Exchange shall have no liability whatsoever to us or to any other person, whether in contract, tort or otherwise, in respect of any amount of any payment of tax, interest, penalty or other payment which we may be required to make as a result of any failure to carry out any administrative tasks or filings or to comply with any other formalities or applicable rules or provisions of law in connection with this application, whether as a result of the negligence of London Stock Exchange or otherwise. We hereby accept all risks associated with any failure by any party to carry out any administrative tasks or filings or to comply with any other formalities or applicable rules or provisions of law in connection with this application. We also hereby agree that we will indemnify London Stock Exchange in respect of any liability it incurs to any third party as a result of any failure to carry out any administrative tasks or filings or to comply with any other formalities or applicable rules or provisions of law in connection with this application.

In the event that the CREST participant code nominated in this application is registered to another company, we have received confirmation that the CREST participant agrees to the use of this code in our application for recognition as an Intermediary.

<b>Signature</b>	
<b>Name (print)</b>	
<b>Position</b>	
<b>Date</b>	

