

LONDON STOCK EXCHANGE – SIX X-CLEAR STATIC DATA FORM

This form should be completed by London Stock Exchange member firms to establish clearing and settlement arrangements for each Trader Group to be used for trading on a LSE market.

SETS

London Stock Exchange Member Details

Existing London Stock Exchange Member

New London Stock Exchange Member

Member Firm Name:

Member Firm ID:

Head Office Address:

Member Firm Contact:

Name:	
Position:	
Telephone:	
Email:	

Trader Group ID¹

Please tick the appropriate box to indicate your relationship with SIX X-Clear:

Non-clearing member (NCM)

General clearing member (GCM)

Individual clearing member (ICM)

If applying as an NCM, will settlement services be provided on a Model B basis?:

If yes, please enter the name of the Model B provider:

¹ Firms with multiple trader groups should complete additional Trader Group IDs in Appendix A. Multiple Trader Groups IDs should only be completed where the clearing and settlement arrangements are the same for all listed Trader Group IDs. Individual forms must be completed where this arrangement differs.



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SIX X-CLEAR

Settlement firm ID

Existing settlement firm ID New settlement firm ID

Settlement firm name:

Settlement firm ID:

Clearing arrangements²

Clearing member name:

Clearing member mnemonic:

Is member permitted to trade using Cross Orders and Block Trade Facility for exchange-traded funds (ETFs) & exchange-traded products (ETPs)?³:

Is member permitted to use Request for Quote (RFQ) functionality for ETFs & ETPs?³:

Please complete your clearing arrangements in the table below:

Dealing capacity specified on trade (DEAL/AOTC)	Clearing account required by clearing member (house/client)

² The GCM must complete these fields with their choice.

³ This selection only relates to SETS and will be applied to all Trader Group IDs and all related dealing capacities configured in this Static Data Form. A separate Static Data Form should be completed for any Trader Group IDs with alternative arrangements for the use of Cross Orders and Block Trade Facilities or for the use of RFQ functionality.



Settlement arrangements

Settlement provider:

Securities depository (CSD):

CREST

Participant ID/account no.:

Declaration**Confirmation by the non-clearing member:**

We declare that the information is complete and correct and we undertake to notify either SIX X-Clear or the Exchange immediately of any changes in the information provided in this form that occur after the date of submission of the form.

Firms are advised that the above static data is validated by the exchange at the point of order submission. In the event that you submit an order and receive a message advising that the order has been rejected, due to the incorrect set up of static data in your systems, the exchange is unable to make an intra day change to resolve this error. You will be required to resolve the issues with the static data on your systems before you will be able to trade

For and on behalf (name of NCM)	
Signature	
Name	
Position	
Date	



Please note that NCM applications must be countersigned by the General Clearing Member (GCM).

Confirmation by the clearing member.

For and on behalf (name of GCM/ICM)	
Signature	
Name	
Position	
Date	

Note to GCMs

GCMs are required to ensure that all information given by the non-clearing member whose business they are clearing are both accurate and a reflection of existing relationships set up at SIX X-Clear.

Appendix A – Member firm trader groups

Only to be completed by member firms with multiple Trader Group IDs – include any other trader groups not included on page one.

Multiple Trader Group IDs should only be completed where the clearing and settlement arrangements are the same for all listed Trader Group IDs. Individual forms must be completed where this arrangement differs.

Trader Group IDs:

Trader Group IDs:

Trader Group IDs:

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