



LSEG

Membership Application Form

Trading Venue Membership:

- London Stock Exchange
- Turquoise Global Holdings Limited
- Turquoise Global Holdings Europe B.V.



**LONDON
STOCK
EXCHANGE**

TURQUOISE

Introduction

This form should be completed by applicants seeking membership of one or more of the following trading venues:

- London Stock Exchange
- Turquoise Global Holdings Limited ('TGHL' or 'Turquoise')
- Turquoise Global Holdings Europe B.V. ('TGHE' or 'Turquoise Europe')

Before completing the form, please contact the Membership Team who will explain the application process and advise you on other key considerations. London Stock Exchange, Turquoise, and Turquoise Europe reserve the right to request further information or supporting documentation from applicants to determine their suitability for membership.

Rulebooks

All member firms are bound by the relevant rules of the venues that they are admitted as a member of and must ensure compliance with these rules. For further information on each of the venue rules and obligations applicant should refer to venue Rulebooks available via the links below.

[London Stock Exchange Rulebook](#)

[Turquoise Rulebook](#)

[Turquoise Europe Rulebook](#)

London Stock Exchange trading services, Turquoise and Turquoise Europe Member Agreements

Details of London Stock Exchange trading services, including Service Descriptions, security details, Price Lists and Contract Specifications are available for review on the LSE website. Firms wishing to become a London Stock Exchange member firm must agree to be bound by the terms of the Trading Services Agreement. The Trading Services Terms & Conditions are available on the London Stock Exchange website [here](#).

Firms applying for membership of Turquoise, and/ or Turquoise Europe in completing this application agree to be bound by the terms of their respective Member Agreements. Both Turquoise and Turquoise Europe Member Agreements are available in the Document Library on the Turquoise website [here](#).

Member Portal

Submission of the supporting information for a membership application is made through an online portal (the 'Member Portal'). The Member Portal is used on an ongoing basis for a member firm to co-ordinate its profile with London Stock Exchange, Turquoise and Turquoise Europe and administer certain arrangements regarding third party service providers. In order to access the Member Portal, applicants are required to agree to be bound by the terms of the Member Portal Agreement. The London Stock Exchange Member Portal Terms & Conditions are available on the London Stock Exchange website [here](#).

If you require assistance in completing this form, please contact the Membership Team on +44 (0) 20 7797 1900.

Please return the completed form to the Membership Team. Scanned copies of the form and supporting documents can be emailed to membership@lseg.com, but an original signed copy of the application form must be sent to:

Membership Team
Capital Markets London Stock Exchange Group
10 Paternoster Square
London
EC4M 7LS
United Kingdom

1. Applicant details

1a. Name of Legal Entity

Country of Incorporation

Company Number

Legal Entity Identifier (LEI code)

Registered Office Address

Telephone

Web address/URL

Copy of certificate of incorporation enclosed

1b. Head Office Address

(if different from Registered Office Address)

1c. Regulatory Authorisation

All applicants should ensure that they have the appropriate regulatory authorisation to conduct business as a member firm and are advised to inform their home state regulator of this application.

Authorisation Status

UK Investment Firm/Credit Institution

EEA Investment Firm/Credit Institution

Other*

*Please check with Membership Team before applying

Name of Home State Regulator

Regulator Reference Number

1d. Trading Venue Selection

Please indicate below the trading venues for which you wish to apply for membership

London Stock Exchange

Category of Membership:

Full Member Firm

Non-trading Member Firm

General Clearing Member only

Registered Auction Agent only

**Turquoise Global
Holdings Limited
(Turquoise)**

Trading access required:

Turquoise Order Books

Non-trading member firm

**Turquoise Global
Holdings Europe B.V.
(Turquoise Europe)**

Trading access required:

Turquoise Order Books

Non-trading Member Firm

1e. Rules Compliance

All member firms have specific obligations under the rules of the venues for which they are admitted to membership.

[London Stock Exchange Rulebook](#)

[Turquoise Rulebook](#)

[Turquoise Europe Rulebook](#)

The applicant must confirm that it understands its obligations under the relevant rules it will be subject to and will update its procedures and controls to reflect these.

- The applicant understands its obligations under the rules of the venues for which it is applying and will update its procedures and controls accordingly.
-

1f. Disciplinary history

The questions below relate to the applicant and to all its group undertakings, as defined in Section 1161 of the Companies Act 2006 (each a "Relevant Party"). Your replies should set out material events which occurred in the past 6 years and should include events that have occurred anywhere in the world. If in doubt as to the materiality or relevance of the event, please disclose the event.

1. Has any Relevant Party been convicted of any criminal offence?
2. Has any Relevant Party been the subject of an adverse finding by, or settlement with, any government agency, court, securities exchange, regulatory body, or tribunal (each an "Authority")?
3. Has any Relevant Party been a director, partner or otherwise concerned in the management of a business which has gone into insolvency, liquidation or administration or the equivalent proceedings in a non-UK jurisdiction while the Relevant Party has been connected with such organisation or within one year of that connection?
4. Has any Relevant Party been declared bankrupt or entered into any compromise arrangements with creditors related to bankruptcy or insolvency?
5. Has any Relevant Party been the subject of any disciplinary or criminal proceedings or been the subject of any investigation by any Authority which may lead to such proceedings?
6. Has any Relevant Party been:
 - refused authorisation or license to carry on a trade, business or profession or to be a member of a securities exchange
 - had any such authorisation, membership or license revoked or terminated
 - or been disqualified from acting as a director?

No

Yes – please provide full details on a separate sheet

2. Member Portal Super User (see Member Portal Terms and Conditions)

Name

Job Title

Telephone Number

Mobile Number

Email Address

By completion of the above table the Applicant represents that it has the consent of the proposed Super User to provide their personal details. The proposed Super User will, at the time of being accepted by the trading venues selected under Section 1d of this application, be authorised to make changes to the Applicant's profile on its behalf. The Applicant accepts that further verification checks may be required before the trading venues selected under Section 1d of this application accepts the proposed Super User and the Applicant will make reasonable efforts to assist in any such process.

The Applicant may nominate further Super Users for each trading venue by completing a Super User Request Form. This can be requested from the Membership Team.

Marketing Consent

By ticking the box(s) below, the Applicant explicitly agrees to being contacted in the following circumstances:

- Applicant agrees to receiving messages from the trading venues selected under Section 1d of this application about similar products and services.
- Applicant agrees to receiving messages from London Stock Exchange Group companies about their products and services.
- Applicant agrees to receiving messages from on behalf of carefully selected third parties that offer goods or services related to financial services.

3. Membership Applicant Declaration

The Applicant applies for membership of the trading venues where requested in Section 1d of this application. The Applicant declares that the information it will provide in connection with this application for trading venue membership and via the Member Portal is and will be complete and accurate. The Applicant understands that the application process will not be completed until a complete application has been submitted through the Member Portal.

The Applicant undertakes that it will update its procedures and controls to reflect the rules of the trading venues requested in Section 1d. The Applicant will notify the trading venues of any other information that is relevant to the application and will immediately notify London Stock Exchange, Turquoise and/or Turquoise Europe (as relevant) of any significant changes in the information provided in this application form or any information submitted to the Member Portal which occur after the date of submission of the application and prior to receiving notification of the decision of the trading venues requested in Section 1d.

The Applicant also understands that misleading or attempting to mislead London Stock Exchange, Turquoise and/or Turquoise Europe during the application process will be deemed an act of misconduct and may render the Applicant liable to disciplinary proceedings.

The Applicant agrees, if approved, to comply with and be bound by the rules of the trading venues for which it has applied in section 1d which may be in force from time to time. Membership and member firm status will allow access to the facilities of London Stock Exchange, Turquoise and/or Turquoise Europe on the terms specified in the Rules.

Where membership of a trading venue is requested under Section 1d, the Applicant authorises the trading venue(s) to obtain information from, and pass information (including certain personal data) to, regulatory authorities in the United Kingdom, the Netherlands and elsewhere where requested by such regulatory authorities.

The Applicant confirms that it shall only provide a person in Singapore with such access to the trading venues requested under Section 1d if that person is an accredited investor, expert investor or professional investor as detailed in the *Singapore Investor Definitions for Member Firms* document published on the London Stock Exchange website (see [here](#)) and the Turquoise website (see [here](#)). Before providing access to an accredited investor, the applicant will procure the client's consent to be classified in this way in the format set out in the *Member Firm Singapore Accredited Client Consents* document published on the London Stock Exchange website (see [here](#)) and the Turquoise website (see [here](#)).

4. Agreement to Trading Services, Membership and Member Portal Agreements

For Applicants applying for membership of London Stock Exchange, this application form forms part of:

1. the Agreement for Trading Services, together with the Trading Services Terms and Conditions, any Configuration Form, any Request Form, the Technical Specifications, the Price List and the Rules (the “Trading Services Agreement”); and
2. the Agreement for use of the Member Portal, together with the Member Portal Terms and Conditions – Member (the “**Member Portal Agreement**”).

The Applicant confirms that it has read and understood the Trading Services Agreement and Member Portal Agreement and that it has had an opportunity to discuss the same with London Stock Exchange. By executing this application form below, the Applicant, hereby unequivocally offers and agrees to be bound by the terms of the Trading Services Agreement and Member Portal Agreement – LSE Member.

If London Stock Exchange accepts the Applicant’s offer, it will provide notification of its acceptance to the Applicant via the Member Portal and the Trading Services Agreement and Member Portal Agreement will be binding on and between the London Stock Exchange and the Applicant on and from the effective date of acceptance as applicable. Once the Trading Services Agreement and Member Portal Agreement are agreed between the parties, London Stock Exchange will upload a signed copy of the Trading Services Agreement and Member Portal Agreement onto the Applicant’s secure area of the Portal.¹

For Applicants applying for membership of Turquoise, this application form forms part of:

1. the Turquoise Member Agreement, together with the Turquoise Rules (the “**Turquoise Member Agreement**”)
2. the Agreement for use of the Portal, together with the Member Portal Terms and Conditions – Member (the “**Member Portal Agreement**”).

The Applicant confirms that it has read and understood the Turquoise Member Agreement and Member Portal Agreement and that it has had an opportunity to discuss the same with Turquoise. By executing this application form below, the Applicant, hereby unequivocally offers and agrees to be bound by the terms of the Turquoise® Member Agreement and Turquoise Member Portal Agreement.

If Turquoise accepts the Applicant’s offer, it will provide notification of its acceptance to the Applicant via the Portal and the Turquoise UK Member Agreement and Turquoise Member Portal Agreement will be binding on and between Turquoise and the Applicant on and from the effective date of acceptance as applicable. Once the Turquoise Member Agreement and Turquoise Member Portal Agreement are agreed between the parties, Turquoise will upload a signed copy of the Turquoise Member Agreement and Turquoise Member Portal Agreement onto the Applicant’s secure area of the Portal.¹

For Applicants applying for membership of Turquoise Europe, this application form forms part of:

1. the Turquoise Europe Member Agreement, together with the Rules (the “**Turquoise Europe Member Documents**”)
2. the Agreement for use of the Member Portal, together with the Member Portal Terms and Conditions – Member (the “**Member Portal Agreement**”).

¹ If you require a hardcopy of the agreements, please notify the Membership Team who will provide you with hardcopy versions of the same.

The Applicant confirms that it has read and understood the Turquoise Europe Member Documents and Member Portal Agreement and that it has had an opportunity to discuss the same documents with Turquoise Europe. By executing this Order Form below, the Applicant, hereby unequivocally offers and agrees to be bound by the terms of the Turquoise Europe Member Documents and Member Portal Agreement.

If Turquoise Europe accepts the Applicant’s offer, it will provide notification of its acceptance to the Applicant via the Member Portal and the Turquoise Europe Member Documents and Member Portal Agreement will be binding on and between Turquoise Europe and the Applicant on and from the effective date of acceptance as applicable. Once the Turquoise Europe Member Documents and Member Portal Agreement are agreed between the parties, Turquoise Europe will upload a signed copy of the Turquoise Europe Member Agreement and Member Portal Agreement onto the Applicant’s secure area of the Member Portal.²

For and on behalf of

Name of Director/Partner:

Date:

Signature

For and on behalf of **London Stock Exchange plc:**

Name:

Date:

Signature

For and on behalf of **Turquoise Global Holdings Limited:**

Name:

Date:

Signature

For and on behalf of **Turquoise Global Holdings Europe B.V.:**

Name:

Date:

Signature

² If you require a hardcopy of the agreements, please notify the Membership Team who will provide you with hardcopy versions of the same.

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Contact Details

Membership Team | London Stock Exchange Group

10 Paternoster Square | London EC4M 7LS

E: membership@lseg.com | T: +44 (0) 207 7797 1900



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