
Derivatives

Derivatives Registered Persons Form B

Non-Member Schedule of Registered Persons for CurveGlobal Products



A Member Firm that has delegated its Designated Market Maker (DMM) Obligations to a non-Member Firm may permit that non-Member to contact Derivatives Market Operations in order to delete live Quotes or Orders from the Trading System or discuss trading activity related to the non-Member in CurveGlobal products.

In order to effect this arrangement a Member Firm is required to complete and sign this form. Once the form has been accepted by the Exchange, a non-Member Firm fulfilling DMM obligations may contact the Exchange directly on the matters stated above. Before the Exchange takes any action, non-Member Firms will be subject to an identity check based on the details contained in this form.

Please indicate in the list overleaf the details of the individuals representing the non-Member Firm(s) that the Member Firm expressly authorises to contact the Exchange to request Order or Quote deletions or discuss trading activity, in each case solely in relation to the Trader ID(s) next to their name. All requests for Order and Quote deletions are governed by the LSEDM Rulebook, in particular Rule 1.1.13, 1.1.25 and 4.2.5. Upon receiving a request to delete Orders / Quotes, the Exchange may subsequently delete the Order(s) or Quotes in the Order Book on a best endeavours basis and at the absolute discretion of the Exchange.

Member Firms are required to keep the details in this form up to date. Where amendments are to be made the form must be resubmitted highlighting any additions, deletions or amendments. Any questions in relation to the correct completion of this form should be directed to Derivatives Market Operations on +44 (0)207 797 3617.

Members may choose to amend or withdraw from this arrangement at any time. In order to do so Member Firms must contact the Exchange via email (Email: etd.operations@lseg.com) requesting the termination of this arrangement. The arrangement will be considered terminated at the point the Exchange confirms termination of the arrangement in writing to the Member Firm.

The Exchange reserves the right in its absolute discretion to terminate this arrangement for whatsoever reason as the Exchange may deem necessary. The Exchange would typically look to contact the Member Firm before termination, but in the event that advance notice is not practicable, will notify the Member as soon as possible after termination.



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PLEASE USE A CONTINUATION SHEET IF REQUIRED

The form should be completed by the compliance department at the member firm and returned to:

Derivatives Market Operations, London Stock Exchange, 10 Paternoster Square, London EC4M 7LS

Email: etd.operations@lseg.com

Signatory Name:

Position:

Signature:

Date:



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