

FTSE Non-Display Usage

Customer Declaration

Version 1.1

This document is a required declaration for customers to specify their non-display usage of real time FTSE index values ('Data').

If you are in receipt of FTSE Data, delivered directly or via a vendor, but do not use the Data in respect of the activities detailed within this document, you are still required to sign and complete sections 1, 3 and 5 of this declaration.

Please note that the London Stock Exchange Real Time Data team is the appointed agent to administer the non-display usage declarations on behalf of FTSE Group.

All completed and scanned declarations should be emailed to: realtimedata@lseg.com

If you prefer to mail us a hard copy, then please send to:

Market Data Administration
Real Time Data Team
London Stock Exchange Group plc
10 Paternoster Square
London
EC4M 7LS

If you require further policy clarification in respect of the use of real time data detailed within this document or guidance on how to complete the declaration, then please contact the London Stock Exchange Real Time Data Business Development Team on +44(0) 20 7797 3699, or email: realtimedata@lseg.com.



1 January 2016

Section 1: Customer Details

Company Name:	
Contact Name:	Position:
Telephone:	Email:
Street Address:	Town:
County:	Post Code:
Country:	VAT Number:

Please list all subsidiaries to be covered by this declaration in Appendix A.

Section 2: Invoice Details (if different from customer details above)

Company Name:	
Contact Name:	Position:
Telephone:	Email:
Street Address:	Town:
County:	Post Code:
Country:	VAT Number:

Section 3: Source Of Data (e.g. market data vendor, direct connection, etc.)

We require customers to identify each data source utilised in respect of non-display usage as detailed in Appendix B. We also request that customers who do not use the Data in respect of the activities detailed in this declaration still specify where they are in receipt of vendor and/or direct data feeds.

Section 4: Non-Display Usage

Where appropriate, **customers** are required to classify their use of real time index values ('Data') in non-display *'trading based activities'*.

Examples of *'trading based activities'* include: semi-automated or automated order/quote generation; order pegging; price referencing for trading purposes; smart order routing to facilitate trading; order management; execution management; market making; 'black box' trading; algorithmic trading; program trading.

Please refer to Appendix B for the detailed pricing policy for these types of usage.

Please now indicate below which client tier applies to your use of non-display Data:

Tier 1 - Customers:

a) whose internal non-display Data usage is for the purposes of *trading based activities* as 'principal' (Trading Firms) and/or for the purpose of client business facilitation (Brokerage Firms): (please tick) ; or

b) whose non-display Data usage is included in the operation of trading platforms, including but not restricted to: Multilateral Trading Facilities, CFD and/or spread betting platforms: (please tick) .

Tier 2 - DMA/Sponsored Access/Entry Level Customers: whose internal non-display Data usage is for the sole purpose of *trading based activities* as 'principal' (Trading Firm). This tier applies in respect of Data sourced via a single data provider – e.g. managed solution provider or 'prime broker': (please tick) .

(If you are declaring on behalf of Tier 2 customers, please complete the section in Appendix C)

Section 5: Customer Declaration - No Data Use In Respect Of Non-Display Usage

Please tick the following box if your use of Data excludes the business activities detailed in Section 4 (Non-Display Usage)

Section 6: For Acceptance

The customer acknowledges and agrees that the FTSE Group's new enterprise pricing of non-display usage shall be effective from the 1 Jan 2012 and as such, FTSE Group shall charge and the customer shall pay for any non-display usage from 1 November 2012, unless the client stipulates usage from a later date in the box below:

Start Date: (Day)	/ (Month)	/ (Year)	/
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The customer declares to FTSE Group that it is/is not, where appropriate, in receipt of real time FTSE Data for the purpose of usage in respect of the business activities declared above.

The customer undertakes to promptly inform FTSE Group at realtimedata@lseg.com of any changes to the information given above.

The customer agrees that the charges applicable to the above mentioned usage types shall be billed by FTSE Group directly to the customer and paid by the customer directly to FTSE Group.

The customer hereby agrees that for the above usage types it will directly pay FTSE Group, upon receipt of the relevant invoice from FTSE Group, in accordance with the terms provided on the relevant invoice.

Invoicing will operate on a quarterly basis, chargeable three months in advance. Fees apply on an enterprise-wide basis to customers, defined as a single entity or a group of entities within the same legal entity. Both parties may terminate this agreement at any time by giving the other party at least 90 days written notice.

Any request by the customer for repayment of overpaid non-display fees based on an inaccurate Customer Declaration, must be made within three calendar months after the date the Customer signed the declaration. The Customer is only entitled to credits within that three month period.

For the purposes of the Data Protection Act 1998 and the Privacy and Electronic Communications (EC Directive) Regulations 2003, the information provided in this order form will be used by the London Stock Exchange Group Companies ("Group") for the purposes of providing you with the products, services and data that you have ordered.

The Group may use the customer data for marketing research purposes and to send marketing material and information about other Group Services and Products which may be of interest to you.

1 January 2016

Please tick the appropriate boxes if you do not wish the Group to contact you by:

- email,
- fax,
- phone,
- post.

The Group may also provide customer data to carefully selected third parties (including subsidiary companies of the Group) who may contact you about services that may be of interest to you.

If you do not want such third parties to contact you, please tick the following box:

Signed on and behalf of the customer:

Position:

Name:

Date:

Appendix B – Non-Display Fees (effective from 1 November, 2012)

Tier 1 – Enterprise – All Uses

An annual usage fee of £20,000 applies to:

- a) **customers** whose internal non-display Data usage is for the purposes of *trading based activities* as 'principal' (trading Firms) and/or for the purpose of client business facilitation (Brokerage Firms);
or:
- b) **customers** whose non-display Data usage is included in the operation of trading platforms, including but not restricted to: Multilateral Trading Facilities, CFD and/or spread betting platforms.

Tier 2 – Non-enterprise – Specific Activity Usage - Direct Market Access/Sponsored Access/Entry Level Customers

An annual fee of £5,000 applies to DMA/Sponsored Access/Entry Level **customers** whose internal non-display Data usage is for the sole purpose of *trading based activities* as 'principal' (Trading Firms). This tier applies in respect of Data sourced via a single Data provider – e.g. managed solution provider or 'prime broker'.

Appendix C - Direct Market Access / Sponsored Access / Entry Level Customers

Please complete the following section if you are declaring **on behalf of Tier 2 customers** – Non-enterprise – Specific Activity Usage - Direct Market Access / Sponsored Access / Entry Level Customers:

Client name	FTSE Data
1.	<input type="checkbox"/>
2.	<input type="checkbox"/>
3.	<input type="checkbox"/>
4.	<input type="checkbox"/>
5.	<input type="checkbox"/>
6.	<input type="checkbox"/>
7.	<input type="checkbox"/>
8.	<input type="checkbox"/>
9.	<input type="checkbox"/>
10.	<input type="checkbox"/>
11.	<input type="checkbox"/>
12.	<input type="checkbox"/>
13.	<input type="checkbox"/>
14.	<input type="checkbox"/>
15.	<input type="checkbox"/>
16.	<input type="checkbox"/>
17.	<input type="checkbox"/>
18.	<input type="checkbox"/>
19.	<input type="checkbox"/>
20.	<input type="checkbox"/>