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# Membership

Appendix to Membership Application  
Form for applicants located in the Hong  
Kong Special Administrative Region



**London**  
Stock Exchange

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Applicant Company Name:

Registered Office Address:	
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We apply for membership of the London Stock Exchange (“the Exchange”) and declare and undertake the following:

1. We do not require authorisation from the competent authority because our business activities fall within the scope of the overseas persons' exclusions set out in Article 72 of The Financial Services and Markets Act 2000 (Regulated Activities) Order 2001.
2. We understand and agree that the scope of our activities on Exchange will be restricted to trading in instruments cleared by a central counterparty only.
3. We confirm that, as per Part IV, section 103 of the Hong Kong Securities and Futures Ordinance (Cap. 571) (“SFO”), we will not trade or attempt to trade on the Exchange any “structured products”, as defined in Schedule 1, Part 1, section 1A the SFO, unless this complies with applicable Hong Kong law and regulation, including but not limited to the SFO, subsidiary legislation made thereunder, and the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.
4. We are aware of and where relevant will comply with the European Securities Markets Authority (ESMA) ‘Guidelines on systems and controls in an automated trading environment for trading platforms, investment firms and competent authorities’, as set out in ESMA /2011/ 456.
5. We understand that the Financial Conduct Authority’s Code of Market Conduct applies to all activity conducted on the Exchange and we will undertake to keep up to date on any developments on this.
6. We confirm that we fully understand our obligations under the Rules of the London Stock Exchange and we undertake to update our procedures and controls accordingly.

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For and behalf of:

Name of Director/ Partner:	Name of Director/ Partner:
Date:	Date:
Signature:	Signature:



**London**  
Stock Exchange Group