



**LSEG**

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# 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](#)

## LSE Trading Services, Turquoise® & 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](#). The Turquoise® and Turquoise Europe™ Member Portal Terms & Conditions are available on the Turquoise® 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](mailto: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

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### 1a. Name of Legal Entity

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Country of Incorporation

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Company Number

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Legal Entity Identifier (LEI code)

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Registered Office Address

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Telephone

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Web Address/URL

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Copy of Certificate of Incorporation enclosed

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### 1b. Head Office Address

(if different from Registered Office Address)

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### 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

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**1d. Trading Venue Selection**


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

<b>London Stock Exchange</b>	<b>Category of Membership:</b>
	Full Member Firm
	Non-trading Member Firm
	General Clearing Member only
<b>Turquoise Global Holdings Limited (Turquoise®)</b>	<b>Trading Access required:</b>
	Turquoise Order Books™ (including Turquoise Plato Block Discovery™)
	Turquoise NYLON™
	Non-trading Member Firm
<b>Turquoise Global Holdings Europe B.V. (Turquoise Europe™)</b>	<b>Trading Access required:</b>
	Turquoise Order Books™ (including Turquoise Plato Block Discovery™)
	Non-trading Member Firm

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**1e. Rules Compliance**


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All Member firms have specific obligations under the Rules of the venues for which it is 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.
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**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

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## 2. Member Portal Super User (see Member Portal Terms & Conditions)

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Name

Job Title

Telephone Number

Mobile Number

Email Address

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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 declares 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 which is relevant to the application and will immediately notify London Stock Exchange, Turquoise® and Turquoise Europe™ (where 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 understands that without limitation to LSE Rules 1030 to 1032, Turquoise® Rule 3.3, Turquoise Europe™ Rule 3.3, London Stock Exchange, Turquoise®, and Turquoise Europe™ may in their absolute discretion refuse to accept a notice of resignation given by a member firm, or reject such notice until such member firm has paid any subscription, charge or other sum due. The Applicant also understands that misleading or attempting to mislead London Stock Exchange, Turquoise® 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 are or may be in force from time to time. Membership and member firm status will allow access to London Stock Exchange, Turquoise® and Turquoise Europe™'s facilities on the terms specified in the Rules.

#### London Stock Exchange

Where membership of London Stock Exchange is requested under Section 1d, the Applicant authorises the London Stock Exchange to obtain information from, and pass information to, regulatory authorities in the United Kingdom and elsewhere for regulatory purposes. In particular, London Stock Exchange may share information regarding the Applicant as is necessary to complete this membership application.

The Applicant confirms that it shall only provide a person in Singapore with such access to the London Stock Exchange's trading services 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](#)). 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](#)).

#### Turquoise®

Where membership of Turquoise® is requested in Section 1d, the Applicant authorises Turquoise® to disclose its data, including personal data, to London Stock Exchange, Turquoise Europe™ and regulatory authorities in the United Kingdom for regulatory purposes and for the completion of this membership application. For the same purposes the Applicant also authorises Turquoise® to request and obtain information, including data as mentioned above, from London Stock Exchange and Turquoise Europe™.

#### Turquoise Europe™

Where membership of Turquoise Europe™ is requested in Section 1d, the Applicant authorises Turquoise Europe™ to disclose its data, including personal data, to London Stock Exchange, Turquoise® and regulatory authorities in the Netherlands for regulatory purposes and for the completion of this membership application. For the same purposes the Applicant also authorises Turquoise Europe™ to request and obtain information, including data as mentioned above, from Turquoise® and London Stock Exchange

## 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.<sup>1</sup>

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 **“Turquoise® 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.<sup>1</sup>

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 **“Turquoise Europe™ Member Portal Agreement”**).

<sup>1</sup> 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 Turquoise Europe™ 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 Turquoise Europe™ 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 Turquoise Europe™ Member Portal Agreement are agreed between the parties, Turquoise Europe™ will upload a signed copy of the Turquoise Europe™ Member Agreement and Turquoise Europe™ Member Portal Agreement onto the Applicant’s secure area of the Member Portal.<sup>2</sup>

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For and on behalf of

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**Name of Director/Partner:**

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**Date:**

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**Signature**

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

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**Name:**

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**Date:**

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**Signature**

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

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**Name:**

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**Date:**

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**Signature**

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

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**Name:**

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**Date:**

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**Signature**

<sup>2</sup> 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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