



London
Stock Exchange

Sponsored Access Application Form

Version: April 2018



London
Stock Exchange Group



Introduction

The purpose of this form is to provide the London Stock Exchange with the necessary information to process Sponsored Access applications. Applications will be processed in accordance with the London Stock Exchange rules and regulations.

Rules

All member firms are bound by the Rules of the London Stock Exchange and must ensure compliance with these rules. The Rulebook and further guidance on your obligations as a member firm are available on the London Stock Exchange Group (LSEG) website [here](#).

Technical Specification

Full details of the Sponsored Access service can be found in the Guide to Sponsored Access Service available on the LSEG website [here](#). By completing and submitting this form the Sponsoring Member Firm* understands that it shall comply with the technical provisions contained in the specifications.

System Controls Questionnaire

Applicants should use appropriate order validation controls and system alerts to ensure an orderly market and meet their obligations under the Rules. Applicants should complete a Sponsored Access System Controls Questionnaire and return this with the Sponsored Access Application Form.

Member Portal

Additional Trader Group IDs and related logical connectivity enablements for Sponsored Users should be requested in the Member Portal. The Member Portal can be accessed by registered users at <https://memberportal.lseg.com>.

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 London Stock Exchange Membership Team. Scanned copies of the form can be emailed to membership@lseg.com but an original signed copy of the application form must be sent to:

Membership Team
London Stock Exchange plc
10 Paternoster Square
London EC4M 7LS



1. Sponsoring Member Firm Details

Name of Sponsoring Member	
Member Firm ID	

Membership Contact Name	
Job Title	
Telephone Number	
Email Address	

Compliance Contact Name	
Job Title	
Telephone Number	
Email Address	

2. Sponsored User Details

Name of Sponsored User	
Country of Incorporation	
Registered Office Address	
Telephone Number	

Regulatory Authorisation

Please indicate if the Sponsored User is authorised to conduct investment or equivalent activity:

Authorised

Name of Home State Regulator: _____

Reference Number/ Identifier: _____

Not Authorised

Due Diligence

Are you aware of any adverse information about the Sponsored User?:

Yes

No

If Yes, please provide full details on a separate sheet.

3. Applicant Declaration

We hereby confirm that, in accordance with the Rules of the London Stock Exchange, we have undertaken due diligence regarding the suitability of the customer to have sponsored access to the Exchange's markets. We have satisfied ourselves that the customer:

- has sufficient staff with adequate knowledge, experience, training and competence for the activities it will undertake on the Exchange's order books;
- has appropriate knowledge of the Exchange's rules, with particular reference to the order book trading rules (2000 - 2025) and rules 1400 (Misleading acts, conduct and prohibited practices) and 1410 (Share price manipulation);
- understands that Regulation (EU) No 596/2014 applies to all activity conducted on Exchange and that it has taken appropriate steps to ensure that its behaviour does not constitute market abuse;
- has adequate internal procedures and controls for these activities notwithstanding the exchange level controls provided for all sponsored order flow;
- has appropriate financial resources; and
- is fit and proper to have a direct technical connection to the Exchange's markets.

To the best of our knowledge having undertaken due diligence on the Sponsored User, we are not aware that the provision of sponsored access to the Sponsored User, as described in the Guide to Sponsored Access, violates any laws or regulations in the relevant jurisdiction.

We confirm that, where we are providing sponsored access to a U.S. Sponsored User, as described in the Guide to Sponsored Access, it is done in accordance with U.S. Law, including U.S. Securities and Exchange Commission Rule 15a-6 under the U.S. Securities Exchange Act, as amended.

Furthermore, we confirm that we will have arrangements in place to satisfy ourselves on an ongoing basis that the customer continues to meet these requirements and, when requested, we will provide information to the London Stock Exchange with respect to this. As required under the rules, we will notify the Exchange immediately if we become aware that the customer no longer meets the requirements and will cooperate with the Exchange to halt the customer's sponsored access to the Exchange's markets.

We accept that we are responsible for all obligations and liabilities arising from the trading activity undertaken on Exchange by the customer via sponsored access. We confirm that we have read and accept all of the terms and conditions set out in the technical specification and that the information provided above is accurate and complete.

Signatures

For and on behalf of:

Name of Director/Partner:

Name of Compliance Manager:

Date:

Date:

Signature:

Signature:



4. Marketing Consent

Customer Preferences

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

Member firm agrees to receiving messages from the Exchange about similar products and services.

Member firm agrees to receiving messages from London Stock Exchange group companies about their products and services.

Member firm agrees to receiving messages from on behalf of carefully selected third parties that offer goods or services related to financial services.

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Contact Details

Membership Team
London Stock Exchange
10 Paternoster Square
London EC4M 7LS
E: membership@lseg.com
T: +44 (0) 207 7797 1900



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