

Turquoise Europe Membership

Turquoise Europe Membership Application Form
Turquoise Europe Member Agreement Order Form
Turquoise Europe Member Portal Order Form

Version: October 2018



London
Stock Exchange Group

Introduction

This form should be completed by applicants seeking membership of Turquoise Europe. Before completing the form, please contact the Membership Team who will explain the application process and advise you on other key considerations. Turquoise Europe reserves the right to request further information or supporting documentation from applicants in order to determine their suitability for membership.

Rules & Service Descriptions

All Turquoise Europe Members are bound by the Turquoise Europe Rules and must ensure compliance with these rules. Applicants should refer to the Turquoise Europe Rules and the relevant Trading Service Descriptions for further information on their obligations as a Turquoise Europe Member.

Turquoise Europe Member Agreement

All Turquoise Europe Members are bound by the terms of the Turquoise Europe Member Agreement. Applicants are required to agree to be bound by the terms of the Member Portal Agreement. The Turquoise Europe Member Agreement is available in the Document Library on the Turquoise website [here](#).

Turquoise Europe 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 Turquoise Europe. In order to access the Member Portal, applicants are required to agree to be bound by the terms of the Turquoise Europe Member Portal Agreement. The Turquoise Europe Member Portal Terms & Conditions are available on the Turquoise website [here](#).

Real Time Data & Connectivity

If your firm requires direct access to Turquoise Europe information systems, you will need to complete the relevant service order forms. Full details of the different services along with related order forms and technical specifications can be found on the Turquoise website [here](#).

If you require assistance in completing this form, please contact the Membership Team on +44 (0) 207 797 1900.

Please return the completed form to the Turquoise Europe Membership Team. Scanned copies of the form and supporting documents can be emailed to membership@tradeturquoise.com but an original signed copy of the application form must be sent to:

Membership Team
Turquoise
10 Paternoster Square
London EC4M 7LS
United Kingdom

1. Applicant Details

1a. Name of Legal Entity	
Country of Incorporation	
Company Number	
Legal Entity Identifier (LEI code)	
Registered Office Address	
Telephone	
Web Address/URL	

Copy of Certificate of Incorporation enclosed

1b. Head Office Address
(if different from Registered
Office Address)

1c. Turquoise Europe Trading Access

Please indicate the trading access your firm wishes to apply for:

Turquoise Order Books

Turquoise Plato™ Block Discovery

Turquoise CFD™

Turquoise SwapMatch™

No Trading Access

1d. Turquoise Europe Rules Compliance

All Member Firms have specific obligations under the Turquoise Europe Rules. The applicant must confirm that it understands its obligations under the Turquoise Europe Rules and will update its procedures and controls to reflect the Rules before commencing activity as a Member Firm.

The applicant understands its obligations under the Turquoise Europe Rules and will update its procedures and controls accordingly.

1e. Regulatory Authorisation

All applicants should ensure that (where relevant) they have the appropriate regulatory authorisation to conduct business as a member firm. All applicants are advised to inform their home state regulator of this application

Authorisation Status	<p style="text-align: center;">EEA Investment Firm*</p> <p style="text-align: center;">EEA Credit Institution*</p> <p style="text-align: center;">Other **</p> <p>Applicants authorised elsewhere within the European Economic Area should confirm with their home state regulator or take their own legal advice as to whether they require a cross border services notification (passport) under MiFID in order to access Turquoise Europe MTF.</p> <p>** Please check with Membership Team before applying</p>
Name of Home State Regulator	
Regulator Reference Number	

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.

- i) Has any Relevant Party been convicted of any criminal offence?
- ii) 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")?
- iii) 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?
- iv) Has any Relevant Party been declared bankrupt or entered into any compromise arrangements with creditors related to bankruptcy or insolvency?
- v) 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?
- vi) 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*

2. Super User (see Turquoise Europe Member Portal Terms & Conditions – Member)

Name	
Job Title	
Telephone Number	
Mobile Number	
Email Address	

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 Turquoise Europe, be authorised to make changes to the Applicant's profile on its behalf. The Applicant accepts that further verification checks may be required before Turquoise Europe accepts the proposed Super User and the Applicant will make reasonable efforts to assist in any such process.

Further Super Users may be nominated by an Applicant 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 Turquoise Europe about similar products and services.

Applicant agrees to receiving messages from Turquoise Europe 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 Turquoise Europe. The Applicant understands that the application process will not be completed until a complete application has been submitted through the Member Portal.

The Applicant hereby confirms that the information provided is correct to the best of its knowledge and any amendments will be provided to Turquoise Europe in a timely manner.

Upon admission as a Turquoise Europe Member, we agree to comply and be bound by the Rules as amended from time to time.

4. Agreement to Turquoise Europe Member and Turquoise Europe Member Portal Agreements

The Applicant declares that the information it will provide in connection with this application for membership and via the Member Portal is and will be complete and accurate.

This Order 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**”).

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. It should be noted that Turquoise Global Holdings Europe B.V. has not yet obtained the required regulatory authorisation to operate a Multilateral Trading Facility (as defined in article 1:1 Dutch Financial Supervision Act (Wet op het financieel toezicht)) in The Netherlands and as such, cannot accept the Applicant’s offer until it has received such authorisation. Once the Turquoise Europe Member Documents and Turquoise Europe Member Portal Agreement are agreed between the parties, Turquoise Europe will, and upload signed copies of the Turquoise Europe Member Agreement and Turquoise Europe Member Portal Agreement onto the Applicant’s secure area of the Member Portal¹.

Where there is a conflict between any of: i) this Order; ii) the Turquoise Europe Member Agreement; the Rules and iii) any annexes/addendums, the prevailing terms shall be those contained in the following documents in prevailing order:

- a. this Order (including the contents of the Member Portal);
- b. the Rules;
- c. the Turquoise Europe Member Agreement;
- d. the annexes and addendums to the Rules;
- e. the Member Portal Terms of Conditions;
- f. the Technical Specifications.

Signatures	
For and on behalf of:	
Name of Director/Partner:	Name of Director/Partner:
Date:	Date:
Signature	Signature

¹ If you require a hardcopy of the Turquoise Europe Member Agreement and/or Member Portal Agreement please notify Turquoise Europe and it will provide you with hardcopy versions of the same.

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

Name:

Date:

Signature

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Turquoise Global Holdings Europe B.V. has used all reasonable efforts to ensure that the information contained in this publication is correct at the time of going to press, but shall not be liable for any decisions made in reliance on it.

Contact Details

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