

# Turquoise Membership

Turquoise Membership Application Form

Turquoise Member Agreement Order Form

Turquoise Member Portal Order Form

Version: October 2017



**London**  
Stock Exchange Group

## Introduction

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

### *Rule Book & Service Descriptions*

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

### *Turquoise Member Agreement*

All Turquoise Members are bound by the terms of the Turquoise Member Agreement. In completing this application, applicants agree to be bound by the terms of the Turquoise Member Agreement. The Turquoise Member Agreement is available in the Document Library on the Turquoise website [here](#).

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

### *Real Time Data & Connectivity*

If your firm requires direct access to Turquoise's 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 ([www.tradeturquoise.com](http://www.tradeturquoise.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 Turquoise 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  
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 Trading Access

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

Turquoise Order Books

**Turquoise Plato Block Discovery™**

**Turquoise SwapMatch™**

No Trading Access

### 1d. Turquoise Rules Compliance

All Member Firms have specific obligations under the Turquoise Rules. The applicant must confirm that it understands its obligations under the Turquoise 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 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

<b>Authorisation Status</b>	<p style="text-align: center;"><b>EEA Investment Firm*</b></p> <p style="text-align: center;"><b>EEA Credit Institution*</b></p> <p style="text-align: center;"><b>Other **</b></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 MTF.</p> <p>** Please check with Membership Team before applying</p>
<b>Name of Home State Regulator</b>	
<b>Regulator Reference Number</b>	

### 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 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, 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 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 about similar products and services.

Applicant agrees to receiving messages from Turquoise 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. 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 in a timely manner. The Applicant authorises Turquoise to disclose its data, including Personal Data and Sensitive Personal Data as defined under the Data Protection Act 1998, to the London Stock Exchange plc 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 the London Stock Exchange plc.

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

#### 4. Agreement to Turquoise Member and Turquoise 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 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 Order 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 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 and upload signed copies of the Turquoise Member Agreement and Turquoise Member Portal Agreement onto the Applicant’s secure area of the Portal<sup>1</sup>.

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

For and on behalf of: <b>Turquoise Global Holdings Limited</b>
<b>Name:</b>
<b>Date:</b>
<b>Signature</b>

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

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Turquoise 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 decisions made in reliance on it.

## Contact Details

Membership Team  
10 Paternoster Square  
London EC4M 7LS  
E: [membership@tradeturquoise.com](mailto:membership@tradeturquoise.com)  
T: +44 (0) 207 797 1900  
T: +44 (0) 207 7797 1900