

## IOB Clearing Static Data Form - Guidance Notes

### Completing a Static Data Form:

- This form should be completed by London Stock Exchange (the Exchange) member firms to establish or make changes to clearing and settlement arrangements for each Trader Group used for trading in IOB Clearing.
- A static data form will be required for:
  - Member firms that have multiple Trader Groups with different clearing and settlement arrangements (a separate Static Data Form must be completed for each Trader Group.)
  - Member firms that have multiple Trader Groups with the same clearing and settlement arrangements (each of these Trader Groups can be included on one Static Data Form).
  - Any changes to any of the details in a submitted Static Data Form will require a new form to be submitted.

### London Stock Exchange Member Details

Company SWIFT BIC Code	<ul style="list-style-type: none"> <li>• This is the SWIFT BIC Code appropriate to the entity.</li> <li>• If the legal entity does not have a SWIFT BIC Code, then please contact the Exchange.</li> </ul>
Trader Group ID	<ul style="list-style-type: none"> <li>• At least one Trader Group ID must be completed on the form.</li> <li>• If the member firm has more than six Trader Group IDs, please enter their details on page five of the IOB Clearing Static Data Form</li> </ul>
Relationship with LCH.Clearnet Ltd (LCH.C)	<ul style="list-style-type: none"> <li>• Exchange members can participate in the IOB Clearing as a Clearing Member of LCH.C or as a Non-Clearing Member (NCM).</li> <li>• If participating as a Clearing Member of LCH.Clearnet Ltd (LCH.C), member firms can either clear only their own business as an Individual Clearing Member (ICM) or additionally clear the business of other Exchange member firms as a General Clearing Member (GCM).</li> <li>• NCMs not using Model B providers must sign an NCM-GCM agreement. Member Firms should speak to the LCH.C Membership Department or their GCM for further assistance.</li> </ul>

## Clearing and Settlement Details

The following details should be completed for all combinations of dealing capacity and House/Client account that will be used. For each dealing capacity, a default value of House/Client should be indicated.

Clearing Arrangements	
LCH.C Clearing Member Mnemonic	<ul style="list-style-type: none"> <li>This is either the member firm's (if it is acting as an ICM or GCM) or the LCH.C mnemonic of the GCM that the NCM is using to clear their business. Any NCMs completing this form must contact their GCM for this information.</li> </ul>
Dealing Capacity	<ul style="list-style-type: none"> <li>The Dealing Capacity can be Principal ("P") and / or Agency ("A").</li> <li>If dealing in Agency <b>and</b> Principal, settlement arrangements for both dealing capacities must also be completed.</li> <li><b>NB:</b> ICMs and GCMs who deal in an agency capacity must use a separate GCM to clear their agency business i.e. they are unable to clear this business themselves</li> </ul>
House or Client Account	<ul style="list-style-type: none"> <li>NCMs should contact their GCM to confirm whether their business is allocated to the House or Client account of their GCM. (The accounts specified must be set up at LCH.C. If GCM please check with LCH.C if unsure.)</li> </ul>
Default House or Client Account	<ul style="list-style-type: none"> <li>The Default Account is used if no account is given in the original order entered by the Member Firm.</li> <li>If the NCM or GCM has both House and Client arrangements then the Default Account can be H or C.</li> <li>If the NCM or GCM only has House arrangements the Default Account must be H.</li> <li>If the NCM or GCM only has Client arrangements the Default Account must be C.</li> </ul>

## Cross Trader Group Netting

Cross Trader Group Netting	<ul style="list-style-type: none"> <li>If a member firm uses multiple Trader Group IDs, the Settlement Firm ID will be the one</li> </ul>
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	elected for netting across all the Trader Group IDs.
Settlement Firm ID	<ul style="list-style-type: none"> <li>Settlement Firm ID is used to control cross Trader Group netting: trades executed for Trader Group IDs that map to the same Settlement Firm ID can be netted together.</li> <li>Member Firms using a Model B settlement provider should contact the Model B provider to confirm their Settlement Firm ID.</li> </ul>

### Settlement Arrangements

Settlement Provider	<ul style="list-style-type: none"> <li>Enter name of firm providing settlement services. Member Firms who self-settle should enter their firm name.</li> </ul>
Settlement Provider SWIFT BIC Code	<ul style="list-style-type: none"> <li>If a Member Firm self-settles, enter the SWIFT BIC code appropriate to the Member Firm.</li> <li>Member Firms using a settlement provider should contact their provider for their SWIFT BIC code.</li> </ul>
Central Securities Depository (CSD)	<ul style="list-style-type: none"> <li>Insert name of CSD</li> </ul>
Participant Account Number	<ul style="list-style-type: none"> <li>The participant account within Euroclear Bank</li> <li>A Power of Attorney (POA) should be completed for each Participant Account Number.</li> <li>If the Member Firm self-settles, please ensure there is a POA signed for each Participant Account Number</li> <li>If a third party provides settlement services, Member Firms should contact their provider to check if the POA should to be signed.</li> <li>Any queries regarding Power of Attorney agreements should be forwarded to Euroclear Bank.</li> </ul>
Netting Option	<ul style="list-style-type: none"> <li>Indicate Net or Gross.</li> <li>Member Firms who do not settle their own business should contact their settlement provider to confirm the netting indicator.</li> </ul>
Dealing Capacity	<ul style="list-style-type: none"> <li>P (Principal) and/or A (Agency)</li> <li>Must be the same as the dealing capacity used for clearing arrangements. i.e. if the dealing</li> </ul>

	capacity for the clearing arrangement is 'principal' then for the settlement arrangement the dealing capacity will also be 'principal'
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## Questions/Assistance

### **London Stock Exchange**

Please contact the following should you have any queries in completing this form:  
London Stock Exchange - Client Implementation Team

+44 (0) 20 7797 3232 or STX 33232 or email  
[clientimplementation@londonstockexchange.com](mailto:clientimplementation@londonstockexchange.com)

**You may require assistance from your settlement provider and / or General Clearing Member (if NCM) to complete the relevant sections of the Static Data Form.**

### **LCH.Clearnet Ltd**

If GCM, please contact the LCH.Clearnet Membership Team on +44(0) 20 7426 7063 or +44 (0)20 7426 7627 for a copy of the latest NCM-GCM agreement.

### **Euroclear Bank**

Please contact the following should you have any queries or questions concerning Euroclear Bank, including the Power of Attorney.

Existing Euroclear Bank participants – contact your Relationship Manager

New Euroclear Bank participants – contact Nicolas Landman on +32 (0) 2 326 2757 or email [Nicolas.landman@euroclear.com](mailto:Nicolas.landman@euroclear.com)