

# Membership Application

- London Stock Exchange Membership Application Form
- London Stock Exchange Trading Services Order Form
- Turquoise Membership Application Form
- Turquoise Member Agreement Order Form
- Member Portal Order Form

Version: February 2020



## Introduction

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

### *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 LSE website [here](#). 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 (available on the Turquoise website [here](#)) for further information on their obligations as a Turquoise Member. The Turquoise Member Portal Terms & Conditions are available on the Turquoise website [here](#).

### *Trading Services*

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 member firm must agree to be bound by the terms of the Trading Services Agreement but are not required to trade as a result of membership. The Trading Services Terms & Conditions are available on the LSE website [here](#). 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](#).

### *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 LSE and where relevant Turquoise 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 LSE Member Portal Terms & Conditions are available on the LSE website [here](#). The Turquoise 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  
London Stock Exchange plc  
10 Paternoster Square  
London EC4M 7LS



## 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. Category of London Stock Exchange Membership

As per Rule 1000, please indicate which category of membership you wish to apply for:

**Full Member Firm**

Non-trading Member Firm

Derivatives Market Member **only**

General Clearing Member **only**

### 1d. Turquoise Membership

Turquoise operates a Multilateral Trading Facility (MTF). With a single connection, members can trade shares, depository receipts, ETFs, and European Rights Issues of 19 European countries, with an Open Access model that allows members to choose among 4 different CCPs to clear these trades.

Applicants for London Stock Exchange membership can apply for membership of Turquoise alongside their application for London Stock Exchange membership by selecting the tick box below. Turquoise Global Holdings Limited (Turquoise) is an investment firm authorised and regulated by the Financial Conduct Authority of the United Kingdom.

Applicant applies for membership of Turquoise Global Holdings Limited



**1e. Rules Compliance**

All Member Firms have specific obligations under the Rules of the London Stock Exchange ('the Rules') and where relevant under the Turquoise Rules. The applicant must confirm that it understands its obligations under the Rules and where relevant the Turquoise Rules and will update its procedures and controls to reflect the Rules and where relevant the Turquoise Rules before commencing activity as a member firm.

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

**1f. Regulatory Authorisation**

As per Rule 1010 of the Rules of the London Stock Exchange and under the Turquoise Rules, all applicants should ensure that 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**

- UK Investment Firm**
- UK Credit Institution**
- EEA Investment Firm\***
- EEA Credit Institution\***
- Other \***

\*Please check with Membership Team before applying

**Name of Home State Regulator**

**Regulator Reference Number**

**1g. 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 Member Portal Terms & Conditions – Member)

<b>Name</b>	
<b>Job Title</b>	
<b>Telephone Number</b>	
<b>Mobile Number</b>	
<b>Email Address</b>	

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 Exchange and (where relevant) 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 the Exchange and (where relevant) 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 London Stock Exchange and where relevant by Turquoise 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 London Stock Exchange plc and (where requested in Section 1d) for membership of Turquoise Global Holdings Limited. The Applicant understands that the application process will not be completed until a complete application has been submitted through the Member Portal. The Applicant authorises the Exchange to obtain information from, and pass information to, regulatory authorities in the United Kingdom and elsewhere for regulatory purposes. In particular the Exchange may share information regarding the Applicant as is necessary to complete this membership application.



The Applicant declares that it will update its procedures and controls to reflect the Rules of the Exchange and where relevant of Turquoise. The Applicant will notify the Exchange of any other information which is relevant to the application and will immediately notify the Exchange 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 Exchange's decision or where relevant of Turquoise's decision.

The Applicant understands that without limitation to Rules 1030 to 1032, the Exchange may in its 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 to the Exchange. The Applicant also understands that misleading or attempting to mislead the Exchange during the application process will be deemed an act of misconduct and may render the Applicant liable to disciplinary proceedings.

Where Turquoise membership is requested, 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, 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.

The Applicant agrees, if approved, to comply with and be bound by the Rules of the London Stock Exchange and (where relevant) the Turquoise Rules, which are or may be in force from time to time. Membership and member firm status will allow access to the Exchange's facilities on the terms specified in the Rules.

#### **4. Agreement to Trading Services and 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 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 the Exchange. By executing this Order 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 the 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 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, the Exchange will upload signed copies 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 Order forms part of:

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



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.

<b>Signatures</b>	
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>London Stock Exchange plc:</b>
<b>Name:</b>
<b>Date:</b>
<b>Signature</b>

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



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## Contact Details

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