



Listing of Lead Brands

Guidance Notes for Applicant Producers



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1. Lead producers wishing to apply for LME brand registration will only be considered provided that they satisfy the following criteria (the “Core Listing Requirements”):
 - i) The producer has been in business for at least 12 months.
 - ii) The production plant has been in production for a minimum of 12 months or, if in the opinion of the LME Lead and Zinc Committee, adequate production capacity utilisation and satisfactory quality has been achieved at an earlier date.
 - iii) The production plant has the capacity to produce a minimum of 12,000mt per annum of Lead.
2. The producer is required to choose a Category 1-5 Member to process their brand application (see Rulebook Part 7, Rule 1) on their behalf. Thereafter, all correspondence will be via the selected Member Company. A list of Category 1-5 Members expressing a general willingness to assist producers list their brands can be found here <https://www.lme.com/en/Physical-services/Brands>.
3. Production from more than one production plant must be separately listed. Each production plant must have a different brand name.
4. Producers will be required to comply with the LME’s Responsible Sourcing Policy.
5. The application is in two stages and all documentation must be submitted in English.
6. The LME and LMEC reserve the right to discuss without restriction, any information provided with any regulatory body; any third party provider of KYC, screening or other monitoring services; or any other persons or organisations, as the LME/LMEC may in their absolute discretion decide, and to make such other enquiries as they think fit (including using the information provided by the producer in such enquires).
7. Payment of the brand listing fee is required at Stage One of the application process. The fee is US\$65,000 plus UK VAT and is non-refundable¹. Producers that fulfil criteria 7. i) and 7. ii) are eligible for a brand listing fee reduction. The reduced listing fee is US\$15,000 plus UK VAT and is non-refundable. The discounted fee is available for producers:
 - i) that are 100% secondary producers;
and,
 - ii) have an annual production capacity of 50,000mt or less

Producers need to meet both these criteria to qualify for the discount and the reduced fee applies to all eligible applications received between 01 April 2024 and 31 December 2025 inclusive.

¹ Value Added Tax (VAT): Under current UK legislation, the LME understands that LME members established in the UK submitting applications for their own production operations or for third party producers must pay UK VAT to the LME at the ruling rate at the time of application, regardless of domicile of the producer. LME members should only on-charge UK VAT to producers established in the UK. LME members not established in the UK making applications do not have to pay UK VAT to the LME regardless of the location of the production operations. This information is for guidance only and relevant parties should always seek their own advice in relation to tax matters. The LME will have no liability for reliance on the above.



Stage One

The producer is to supply the following information in a letter on their headed notepaper addressed to the LME (the “Application Letter”)²:

1. The name of the LME Member processing their application.
2. The full name and address of the producer to be listed by the LME.
3. Brief details of the history of the producer.
4. Details of the ownership of the producer.
5. The address of the production plant.
6. The first date of production of the plant.
7. The name of the brand subject of the application.
8. The first date of production from which the producer guarantees the brand as meeting specification.
9. The design capacity.
10. The current annualised use of capacity.
11. The monthly production figures for the previous 12 months.
12. The producer must advise which standard(s) and grade(s) outlined in the Special Contract Rules for Lead they wish to be registered for.
13. A producer must either:
 - a. Provide the names of two testers the producer intends to use for testing (Stage Two). The testers must be from the list of LME Approved Testers of Lead provided at the end of the Guidance Notes. The producer will need to provide evidence of the testers’ willingness to test with their application³.
 - b. Provide two letters of support for the brand from the producer’s existing industry supply contracts.
14. The names of two LME Listed Sampler and Assayers (LSAs) to undertake the quality assessment of the brand (Stage Two)⁴.

² The Application Letter must be signed and dated. The signatory should state their position within the producer company.

³ The Lead and Zinc Committee will provide approval of the nominated testers as part of Stage Two.

⁴ One LSA should be nominated to undertake the sampling and analysis and one LSA should be nominated to undertake the analysis only.



The following information (the “Additional Listing Requirements”) is to be provided by attachments to the covering Application Letter:

- A. The following financial information:
 - (i) The latest three consecutive profitable externally audited financial statements of the producer, where available;
 - (ii) In the event that the producer cannot provide three consecutive profitable externally audited financial statements, the parent company of the producer must provide three consecutive profitable externally audited financial statements and a signed Letter of Support⁵ regarding the financial position of the producer⁶;
 - (iii) Confirmation there has been no restructuring of the producer over the last three years and there is no ongoing restructuring; and
 - (iv) Evidence that the capital net worth of the producer⁷ is a minimum of US\$2 million.
- B. A copy of the incorporation certificate of the producer.
- C. Photographs of the ingot showing the brand, grade and production cast reference and any other symbols on the metal.
- D. A copy of any label used which must be durable and plasticised.
- E. Photographs of a strapped bundle from top and side dimensions.
- F. Drawings of the ingot and a bundle showing all dimensions in mm and weighs in kg and including how many ingots in a bundle. The following statements must be added to the drawings;
 - (i) Each bundle is securely strapped in two dimensions with material protected against corrosion and of sufficient strength and fixing to permit safe handling by fork lift truck without bundle distortion and breakage;
 - (ii) The bundle size and shape is suitable for safe and secure stacking; and
 - (iii) The bundle assembly and security is such that on removing the security straps it remains an integral free standing bundle.
- G. A Letter of Undertaking dated and signed on behalf of the producer⁸.
- H. An outline of the production process including a process flow diagram.

⁵ In accordance with the form appended to these Guidance Notes.

⁶ The LME reserves the right to require a signed Letter of Support from the parent company of a producer in such circumstances regarding the financial position of the producer as it, in its absolute discretion, considers appropriate.

⁷ The capital net worth of the producer shall be determined on the basis of the permanent capital plus additional capital disallowables. In particular, permanent capital shall be issued and fully paid ordinary shares, issued and fully paid preference shares, share premium and other reserves not available for distribution. A deficit in reserves available for distribution will be deducted when calculating permanent capital. Additional capital shall be considered other equity reserves (distributable or otherwise) and profit and loss reserves. Further, disallowable items are considered intangible fixed assets such as goodwill, development costs etc., investments in subsidiaries and/or other group companies.

⁸ In accordance with the form appended to these Guidance Notes.



- I. A production site plan/diagram.
- J. A paper detailing the sampling and analytical process and advising if any aspect of this work is outsourced. Show the detection levels used for determining impurities.
- K. Analysis data for the previous three months for all grades to be listed.
- L. A sample Certificate of Analysis which must be in English/dual language and include: the date, name and address of the producer, brand name, production cast reference and associated chemical analysis⁹.
- M. A copy of the current ISO 9001 Certificate, or, alternatively, that of ISO/TS 16949.
- N. Fulfilment of the Responsible Sourcing requirements¹⁰:
 - (i) Evidence of compliance with one of the 4 LME Tracks:
 - a. Either a Standard Audit report (as per Track A);
 - b. or an Audit Report of the LME Red Flag Assessment (as per Track B) if no OECD Red Flags are identified;
 - c. or an LME RFA (as per Track C) if no OECD Red Flags are identified;
 - d. or the LME Secondary Material Sourcing Attestation Form (as per Track D) if the producer sources 100% secondary material.
 - (ii) A copy of ISO 14001 Certificate or equivalent.
 - (iii) A copy of ISO 45001 Certificate or equivalent.

It is the producer's responsibility to ensure that the information in their application complies with Part 6 of the LME Rulebook – Special Contract Rules for Lead and to ensure that no testing takes place until approval to do so is given by the LME.

⁹ Certificates of Analysis should demonstrate compliance with the relevant standard by showing actual analysed content of the metal.

¹⁰ For a more detailed understanding of the Responsible Sourcing requirements, the forms required and its associated timelines, please see the [LME Policy on Responsible Sourcing of LME Listed Brands](https://www.lme.com/en-GB/About/Responsibility/Responsible-sourcing) and the dedicated webpage: <https://www.lme.com/en-GB/About/Responsibility/Responsible-sourcing>.



Stage Two

On receipt of all information in Stage One, the next steps are as follows:

1. The LME will request such additional information as required.
2. The producer will be informed of the testing programme which is normally 2 x 50mt (from a minimum of 4 production batches) – 1 x 50mt to each tester¹¹.
3. The LME will write directly to the testers and LSAs advising them of their nomination and requirements for testing.
4. Sampling of test lots shall be carried out by an LSA at the testers' site and/or the producer's production plant¹². The testing and sampling and analysis shall be in accordance with LME procedures/instructions and all testing/LSA reports are to be provided to the LME.
5. The producer is required to provide the LME with their analysis for the production batches that are sent to each nominated tester.
6. The LME reserves the right to require testing to be extended, if in its sole opinion, such action is necessary for evaluation of the brand. Any additional or extended testing will be for the cost of the producer.
7. The producer and/or LME Member will be responsible for making the testing arrangements with the testers and LSAs.
8. Subject to the receipt of satisfactory reports from the testers and LSAs and any need to invoke clause 6 above, the LME Lead and Zinc Committee will make a recommendation to the LME Executive Committee that the brand should be listed as suitable for delivery against the Lead contract.
9. The LME reserves the right to audit a producers' operations at any time prior to or post listing of a brand for verification of any aspect of the listing process at the cost of the producer.
10. From time to time the LME will request that producers of a listed brand(s) re-affirm the undertakings originally given at the time of listing. Failure to comply with the undertakings or supply evidence of continuing compliance with all listing requirements and Part 6 and Part 7 of the LME's Rules and Regulations may result in the delisting of the brand(s). If the producer fails to notify the LME promptly of any change in the information supplied with the original application, or if any such changes, are in the LME's view material, then the LME's Executive Committee may suspend or delist the brand.
11. The listing of any brand is also subject to the provisions of Rules 3 to 7 of Part 7 of the LME's Rules and Regulations.

¹¹The testing programme is subject to change at the discretion of the LME Lead and Zinc Committee.

¹² If option 13b) in Stage One is utilised, the LSA nominated to undertake the sampling and analysis will attend the producer's plant as opposed to the testers' plants.



Draft of Producer's Letter of Undertaking – Lead

This letter must be issued by the producer on headed paper, signed and dated and show the signatory's position.

The London Metal Exchange
Physical Operations Department
10 Finsbury Square
London
EC2A 1AJ
UK

(INSERT DATE)

In consideration of the LME maintaining our Lead Brand *(insert brand name)* in its list of brands deliverable in fulfilment of its Lead Contract:

1. We *(insert producer name)* undertake the quality of our lead brand *(insert brand name)* produced at *(insert name and address of production plant)* will meet with the requirements of the LME Contract for refined lead conforming with the *(delete as appropriate)* BS EN 12659:1999, GB/T 469-2013, ASTM B29-19 standard(s) and its quality will be maintained in accordance with the lots submitted for testing and analysis.
2. We also undertake that any complaints we may receive with regard to the quality will be investigated without any restriction on the period within which such a claim may be made.
3. We undertake that we will not attempt to restrict *(insert brand name)* brand from being delivered against the LME Contract.
4. We further undertake that any change in ownership, financial status, production practice, changes to stated production levels, or any other material circumstance will be advised to the LME without delay and to comply with Rules 3 to 7 inclusive of Part 7, of the Rules and Regulations of the LME, any amendments thereto and any Notices issued by the LME.
5. This letter of undertaking shall be governed by English law. The courts of England shall have non-exclusive jurisdiction to settle any disputes in relation to this letter of undertaking.

Yours sincerely

Signature.....

Name.....

Company Name.....

Position in company.....



Draft of Parent Company's Letter of Support

This letter must be issued by the applicant producer's parent company on headed paper, signed and dated and show the signatory's position.

London Metal Exchange
Physical Operations Department
10 Finsbury Square
London
EC2A 1AJ
UK

(INSERT DATE)

In consideration of *(insert applicant producer's name)*'s application for the listing of *(insert brand name)* by the LME, in its list of brands deliverable in fulfilment of the LME's Lead contract, we, *(insert parent company's name)*, undertake that *(applicant producer's name)* is of good financial standing.

We acknowledge that as *(insert applicant producer's name)* has not produced *(insert brand name)* for a period of three years, *(insert applicant producer's name)* is currently unable to satisfy the financial criteria in full for LME brand registration. As *(insert parent company's name)* is the *(insert description of the corporate relationship i.e. majority shareholder)* of *(insert applicant producer's name)*, we can confirm that we support *(insert applicant producer's name)*'s application and that we will provide financial support to *(insert applicant producer's name)* where such support may be required in order to ensure that *(insert applicant producer's name)* remains of good financial standing.

We further undertake that *(insert applicant producer's name)* will inform the LME without delay of any change in its ownership, financial status, production practice or any other material circumstances that may affect the good financial standing or reputation of *(insert applicant producer's name)* and/or *(insert brand name)*.

This letter of support shall be governed by English law. The courts of England shall have non-exclusive jurisdiction to settle any disputes in relation to this letter of support.

Yours sincerely

Signature.....

Name.....

Company Name.....

Position in company.....



Strapping Specifications

Steel strapping for all metals.

Polyester strapping for primary aluminium, aluminium alloy, tin, lead and zinc ingots

Strap	Size	Average Strength (newtons)	Applied Tension (newtons)	Joint	Joint Strength	Working Range Elongation
Polyester	15.6mm x 0.9mm	6000	3500	Metal seal	60%	2-3.5%
Polyester	15.6mm x 0.9mm	6000	2500	Friction	80%	2-3.5%
Steel	19mm x 0.63mm	12000	7000	Seal-less	80%	0.1-0.3%
Steel	19mm x 0.63mm	12000	5000	Metal seal	80%	0.1-0.3%

Polyester strapping upgrade for copper and nickel cathodes

Strap	Size	Average Strength (newtons)	Applied Tension (newtons)	Joint	Joint Strength	Working Range Elongation
Polyester	19.0mm x 1.0mm	1000	3500	Metal seal	60%	2-3.5%
Polyester	19.0mm x 1.0mm	1000	2500	Friction	80%	2-3.5%

Securing of straps

Tool	Strap material	Joint type	Maximum applied tension (newtons)	Joint strength
Manual	Polyester	Metal seal	3500	60%
Pneumatic	Polyester	Friction weld	2500	80%
Pneumatic	Steel	Seal-less	7000	80%
Manual	Steel	Metal seal	5000	60%



LME Approved Testers for Lead Brand Applications

China	Contact
Fujian Quanzhou Dahua Battery Co Ltd Heshi Industry Area, Quanzhou Fujian 362013 China	Mr Hong Tel: +86 138 0852 0506 Email: wsb@dahua-battery.com
Yunnan Tin Co Ltd 36 Guan Shang North Road Yunxi Hotel 11/F Kunming Yunnan Province China	Mr Ye Yongsheng Tel: +86 871 715 7070 Email: yysheng-637@163.com
Henan Yuguang Gold and Lead Co., Ltd. No.1 Jingliang South Street Jiyuan City Henan Province China	Yang Xin and Zhang Zhikuan Tel: +86 391 6665809 Email: yangxin999@sina.com ; zzk@yggf.com.cn
Hunan Shuikoushan Nonferrous Metals Group Co., Ltd. Songbai Town Changning City Hunan Province 421513 China	Mr. Zhou De and Ms. Wang Chen Tel: +86 734 8898005 Email: 13607345635@139.com ; Charlene_wang@163.com
Zhejiang Tianneng Battery Co Ltd Meishan Industry Area, Changxing County Zhejiang 313117 China	Mr Xu Lixin Tel: +86 572 621 8817 Email: zsp8088@126.com
Germany	Contact
Rohr & Stolberg GmbH Bruchfeld 52 47809 Krefeld Germany	Mr Martin Hummer Tel: +49 2151 5892 88 Email: Martin.Huemmer@roehr-stolberg.de



India	Contact
Exide Industries Ltd Exide House 59E, Chowringhee Road Kolkata 700 020 India	Mr Arijit Goon Tel: +91 33 23023400/2133/2136 Email: Arijit.Goon@exide.co.in
Jain Resource Recycling Private Limited Plot R1, R2, R3 SIPCOT Industrial Complex, Gummidipoondi, Tiruvallur District, Tamil Nadu, India 601201	Mr Vijay Kumar Tel: +91 -4443409494 Mobile: +91-8171493535 Email: coo@jainmetalgroup.com Mr Mayank Pareek Tel +91 4443409494 Mbl +91 9811999111 Email: mayank@jainmetalgroup.com
Pondy Oxides & Chemicals Ltd KRM Centre, 4 th Floor #2, Harrington Road Chetpet Chennai 600031 Tamil Nadu India	Ashish Bansal Tel: +91 44 4296 5454 Email: ashish@pocl.com Poorani Ravi Tel: +91 44 4296 5475 Email: poorani.r@pocl.com
Italy	Contact
ECO-BAT S.R.L Strada Statale dei Giovi 5 I-20037 Paderno Dugnano (MI) Italy	Walter Bianchi Tel: +39 02 91003 224 Email: walter.bianchi@eco-bat.it
Lebanon	Contact
Arayby For Industrial and Trading s.a.r.l. Industrial Zone Taanayel Bekaa Lebanon	Mr Fouad El Oraibi Tel: +9618514000 Mobile: +9613928938 Email: shipping@araybyco.com
Malaysia	Contact
Asia Litharge Sdn Bhd No. 1 Lebuhr Sultan Mohamed 1 Selat Klang Utara 42000 Pelabuhan Klang Selangor Darul Ehsan Malaysia	Mr. Ng Ming Yeow Tel: +603 3176 4519 Email: litasia@po.jaring.my
Metal Reclamation (Industries) Sdn Bhd Lot 6, 8 and 9 Jalan Perigi Nanas 6/1 Pulau Indah Industrial Park West Port, 42920 Port Kelang Selangor Darul Ehsan Malaysia	Mr S S Lim Tel: +603 3101 1198 Email: enquiry@metal-reclamation.com



Myanmar	Contact
Proven Group of Companies Ltd. F/S14, Bayint Naung Road, Shwe Sabi Yeik Mon, Kamayut Township, Yangon, Myanmar	Mr. Than Htaik Lwin @ Alan Tel: +95-9-527667 / +95-1-530694 Email : alanlwin@proven.com.mm
Poland	Contact
Exide Technologies S.A. Ul. Gdynska 31/33 61-016 Poznan Poland	Mr Janusz Mieloszyk Tel: +4861 878 61 00 Email: mieloszykj@exide.pl
ZAP Sznajder Batterien S A Ul Warszawska 47 05-820 Piastow Poland	Mr Dmitrzak Tel: +4822 753 9920 Email: k-dmitrzak@zap.pl
Spain	Contact
EXIDE TECHNOLOGIES S.L.U. Autovia A2, Km. 41.8 ES 19800 AZUQUECA DE HENARES (Guadalajara) Spain	Mr Mariano Lopez Tel: +34 949 360 037 Email: jmariano.lopez@eu.exide.com
South Korea	Contact
Sebang Global Battery Co., Ltd. Head Office 6F, Sebang Bldng 708-8 Yeoksam-dong, Gangnam-gu Seoul, 135-919 South Korea Plant 500-4 Hanam-Dong Gwangsan-Gu Gwangju South Korea	Soogyung Gye Tel: +82 2 3451 6168 Email: waterglass@gbattery.com Jihoon Nam Email: namjihoon@gbattery.com
Taiwan	Contact
Thye Ming Industrial Co. Ltd. No. 6 Chu Kuang 3 Street Tafa Industrial Area Kaohsuing Hsien Taiwan	Ms Sophia Hung Tel: +886 7 787 2278 Email: sophia@tmicl.com.tw

**Jian Shin Resources Corporation**

No. 108 Sec. 2 Linhai Road,
Fangliao Township,
Ping Tung County 940,
Taiwan

John Liu

Tel: +886 (0)7 222 5518 ext.211
Email: john.liu.tl@gmail.com

Thailand**Contact****Bergsoe Metals Co Ltd****Bangkok Office:**

25 Soi Ramintra 55/8 Ramintra Rd
Kwang TaReang
Keat BangKhen
Bangkok, 10230
Thailand

Saraburi Factory:

250 Moo 11, Tambol Banpa
Amphoe Kaeng Khol
Saraburi, 18110
Thailand

Mr Guosheng Li

Tel: +66 8296 68 883
Email: liguosheng@bergsoemetals.com

United Kingdom**Contact****H J Enthoven & Sons**

Darley Dale Smelter
South Darley
Matlock, Derbyshire
DE4 2LP
UK

Mr Rob Turton

Tel: +44 (0)1629 733291
Email: rob.turton@hjenthoven.co.uk

Calder Industrial Materials Limited

Jupiter Drive
Chester West Employment Park
Chester
Cheshire
CH1 4EX
UK

Mr Martin Armour

Calder Industrial Materials Limited
1 Derwent Court
Earlsway
Team Valley Trading Estate
Gateshead, Tyne & Wear
NE11 0TF
UK

Tel: +44 (0) 191 482 7350
Email: marmour@calderlead.co.uk

Britannia Refined Metals

Botany Road
Northfleet
Kent
DA11 9BG
UK

Mr Miguel Angel Hernandez

Tel: +44 (0) 147 453 8231
Email: miguelangel.hernandez@glencore.uk.com

USA**Contact****Crown Battery Manufacturing Co.**

1445 Majestic Drive
P.O. Box 990
Fremont
Ohio 43420-0990
USA

Mr Art Balcerzak

Tel: +1 419 334 7181
Email: abalcerzak@verizon.net



Vietnam	Contact
Sheng Chang Tech Co., Ltd Lo I.1A-CN Khu công nghiệp My Phuoc 2 huyện Ben Cat tỉnh Bình Dương Vietnam	Mr Chris Huang Tel: +84 6 5055 3577/+886-22507-3557 Mobile: +886-91212-6262 Email: chris@jetrate.com.tw
Thye Ming (Vietnam) Industrial Co., Ltd Lot C-8A-CN My Phuoc II IND Park Ben Cat Bình Dương Vietnam	Mr Paul Cheng Tel: +884 650 3 568 568 Email: thyemingvietnam@gmail.com