



LMEbullion – New User Form

Please respond to:

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THE LONDON METAL EXCHANGE

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Registered in England no 2128666. Registered office as above.

LME.COM

In this New User Form, “**Participant**” means the existing (LME approved) entity participating in LMEbullion.

REGULATORS AND DUE DILIGENCE

The LME as a condition of application for LMEbullion participation reserves the right to discuss without restriction any matter contained in the *New User Form* with other UK regulatory bodies or such other appropriate persons as the LME may in its absolute discretion decide, or make such other enquiries as it thinks fit.

ACCURACY OF INFORMATION

The LME places significant reliance on the information supplied in this *New User Form*. Should incorrect or misleading information be supplied the LME reserves the right to take this into account in determining the suitability of the new user. Should it be discovered that a user who has been admitted to participate in the LMEbullion process has supplied incorrect or misleading information or has omitted any material fact which should reasonably have been disclosed to the Exchange, then the LME reserves the right to take such action as it considers appropriate which could result in disciplinary action, including expulsion from participating.

PERMISSION AND AUTHORITY TO PROVIDE INFORMATION

The information provided in or pursuant to this form may include (without limitation) information relating to the applicant’s or any member of its Group’s directors, officers, employees, agents, subcontractors, suppliers, invitees, auditors, professional advisers and representatives. Such information may include (but is not limited to) “**Personal Data**”, as defined in the General Data Protection Regulation (EU 2016/679) (“**GDPR**”), or the equivalent under any related or replacement legislation from time to time. By submitting this form, the applicant warrants that:

- (a) it has provided a privacy notice (which is compliant with the GDPR) to all individuals whose Personal Data is provided to the LME in this form;
- (b) that the privacy notice includes sufficient information about the sharing of personal data with third party recipients so as to cover the disclosure of Personal Data to the LME; and
- (c) if an individual requests further information about the disclosure of their Personal Data to the LME, the applicant will direct them to the LME Privacy Statement.

To the extent that the applicant fails to provide the privacy notices referred to above in respect of information provided to the LME, the applicant shall indemnify the LME from and against all losses incurred by the LME (including: claims, demands, actions, awards, judgments, settlements, costs, expenses, liabilities, damages and losses (including all interest, fines, penalties, management time, legal and other professional costs and expenses)) arising out of or in connection with the failure to provide the privacy notices.

The applicant represents and warrants that it has the power and authority to enter into this form, which constitutes valid and binding obligations on it in accordance with the terms of this form.



USER TYPES

HCT – House and Client Trader, **HT** – House Only Trader, **CT** – Client Only Trader, **O** – Observer, **DC** – Direct Client, **A** – Administrator.

- House and Client Traders (**HCT**) will have access to the auction screen with full functionality and may submit interest on behalf of the house and their clients.
- House Only Traders (**HT**) will have access to the auction screen with full functionality and may submit interest on behalf of the house only.
- Client Only Trader (**CT**) will have access to the auction screen with full functionality and may submit interest on behalf of their Clients only.
- Observer (**O**) will be able to view the auction when in progress.
- Direct Client (**DC**) will be able to view the auction when in progress and submit orders as a Direct Client.
- Administrator (**A**) will have access to the Client Administration screen and will be able to manage Direct Clients credit limits.

Please be advised that a detailed description of all User types is provided in the LMEbullion - User Guide, on LME.com. To gain access to the User Guide on LME.com, you will need to register an account which will give you access to the stakeholder area of the website. For further information please contact the Trading Operations Team.

Please note: This form is for existing (LME approved) Participants only.

Participant entity: _____

Participant Mnemonic: _____



NEW USER DETAILS

Please complete the following in block capital letters. Please see **Appendix 1** for recording additional new users.

User's Full Name (First and Surname)
User Type (Please refer to page 2)
User ID (First.Surname)
Desired User ID (Optional)
User's Email Address
User's Telephone number
Location
FCA Authorisation Number

PLEASE PROVIDE the new user summary CV (biography) and a scanned copy of their Passport¹

¹ For Observer User Type, a CV (biography) and a scanned copy of a Passport is not required.



NEW USER ATTESTATION

1. Has the new user(s) ever been convicted of any offence, including but not limited to offences involving fraud or other dishonesty or an offence under laws relating to companies (including insider dealing), associations, societies, credit unions, insurance, banking or other financial services, insolvency, customer credit or consumer protection?

YES

NO

2. Please confirm the new user(s) has received appropriate training by the LME or at the Participant including but not limited to training on the regulatory and compliance requirements relating to LMEbullion.

YES

NO

3. Please confirm the new user(s) has received appropriate training by the LME or at the Participant on the business continuity requirements relating to LMEbullion.

YES

NO

4. Please confirm that the Participant considers the new user(s) to be a fit, proper and appropriately trained person to engage in activities connected to LMEbullion.

YES

NO

5. Please confirm that the Participant will promptly notify the LME if any of the answers to the above questions change in respect of the new user(s).

YES

NO



Signed by the Participants appointed manager for the new user:

Full Name: _____

Email: _____

Telephone: _____

Signature: _____ Date: _____

Countersigned by compliance officer of Participant:

Full Name: _____

Email: _____

Telephone: _____

Signature: _____ Date: _____

Please email a scanned copy of this form to the Market Access team:

market.access@lme.com

+44(0)207 113 8090

For Required training on LMEbullion, please email the LME **Benchmark Pricing Function**

Benchmark.Pricing.Function@lme.com

Upon receipt of the completed form, the LME will contact the compliance officer with the account details. Please be advised that accounts may take up to three days to be created.



APPENDIX 1: Additional New Users

User’s Full Name (First and Surname)
User Type (Please refer to page 2)
User ID (First.Surname)
Desired User ID (Optional)
User’s Email Address
User’s Telephone number
Location
FCA Authorisation Number
PLEASE PROVIDE the new user summary CV (biography) and a scanned copy of their PASSPORT²

User’s Full Name (First and Surname)
User Type (Please refer to page 2)
User ID (First.Surname)
Desired User ID (Optional)
User’s Email Address
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