

Any Sponsored Access (“SA”) order-routing arrangement is subject to prior authorisation by the LME. LME Members wishing to provide their Client with SA must apply in advance of the service being activated to each prospective SA Client by completing the form below. This form addresses obligations imposed upon Regulated Investment Exchanges (“UK RIE”) under the UK MiFID Framework¹ and Financial Conduct Authority (“FCA”) Handbook (“FCA Handbook”), with particular reference to Articles 21 and 22 of the UK version of Commission Delegated Regulation (EU) No 2017/584 (“UK MiFID RTS 7”).

SA Providers are responsible for ensuring the information provided is clear and correct. Any errors in the completion of this form and/or any accompanying documents may delay the processing of this application and system access. The completed form and any accompanying documents should be sent by email to tradingoperations@lme.com.

The LME shall treat all Personal Data provided to it by the Member in accordance with the LME Privacy Statement, the current version of which can be found on the LME’s website at <https://www.lme.com/en/Legal/Privacy-statement>.

LME Member Details (all fields required)

LME Member Name:	
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Authorised Personnel Contact Details

Name:	
Telephone number:	
Email:	

SA Client Details (all fields required)

Client Name:	
Type of Client: (Physical/Hedge Fund/CTA/Bank etc)	
Client Location:	
Regulatory Status:	
Legal Identifier (LEI) or relevant Short Code:	
Unique Identifier used for any Orders:	
End Client PTRM code:	
Proposed deployment date:	
Is Client a Direct or Indirect Client*:	

* Direct (a Client of the LME Member (including an Affiliate who is a Client of the Member)) or Indirect Client (client of a Direct Client).

¹ Directive 2014/65/EU, and all delegated legislation thereunder, was onshored by way of the European Union (Withdrawal) Act 2018 (the “UK MiFID Framework”)

SA Client Controls (all fields required)

The SA Provider is at all times responsible for the activity of the SA Client and for ensuring compliance with the UK version of Commission Delegated Regulation (EU) No 2017/589 ("**UK MiFID RTS 6**") and the LME Rulebook. To consider the application complete, you are required to complete all fields below providing sufficient details about the SA Client and the controls that will be in place to govern market access.

Are you aware of any adverse information about the SA Client that is relevant to provision of SA to that Client?

Pre-trade and post-trade controls must be at least equivalent to, and not less effective or robust than, the controls that the LME requires Members to establish in respect of their own LMEselect activities. Please describe below how the Member has ensured the controls in place meet the requirements:

Summary of Pre-trade Controls:

Method used to apply Pre-Trade Risk Management (PTRM) controls:

Details of any limits imposed upon the SA Client, whether per order, intra-day exposure or maximum position limits, and any other conditions that have been applied to the provision of the service the SA Client:

How is the SA Client going to connect for order routing and/or drop copy?

i.e. using own software/application or planning to use an Independent Software Vendor (ISV)?

Summary of Post-trade Controls:

Over-ride or emergency kill functionality:

SA Client arrangements for cancel on disconnect functionality:

Details of how you will monitor SA Client transactions in order to identify: any infringements of MiFID II or the LME Rulebook, disorderly trading conditions or conduct that may involve market abuse:

LME MEMBER'S COMPLIANCE DEPARTMENT

We hereby confirm the following:

- ☐ the information provided in this form is accurate;
- ☐ we understand our obligations as required by UK MiFID RTS 6, have undertaken the due diligence required by UK MiFID RTS 6 on the SA Client and can confirm we are satisfied with their suitability to have SA to the LME;
- ☐ we are at all times exclusively entitled to set or modify the parameters that apply to pre-trade and post-trade controls applicable to the order flow of their SA Client when accessing the LME;
- ☐ we have established appropriate policies and procedures to ensure that the trading of the SA Client complies with the UK MiFID Framework and the LME Rulebook;
- ☐ all relevant regulatory requirements, including but not limited to those set out in UK MiFID RTS 6, and all relevant rules of the LME Rulebook have been complied with;
- ☐ we are satisfied that we have the appropriate regulatory permissions to provide direct electronic access in the jurisdiction in which the SA Client is located;
- ☐ we are satisfied that by providing direct electronic access in the jurisdiction in which the SA Client is located, we are not putting the LME in breach of any legal or regulatory obligations to which it might be subject within that jurisdiction or would bring the LME into dispute with the regulatory authority within such jurisdiction;
- ☐ we accept and understand we are responsible for all obligations and liabilities arising from the trading activity undertaken on the LME by the SA Client and for ensuring continued compliance with the UK MiFID Framework, including as required in UK MiFID RTS 6, and the LME Rulebook;
- ☐ we shall monitor SA Clients' use of Direct Electronic Access (DEA) facilities and any transactions executed through such facilities in order to identify infringements of the requirements in the UK MiFID Framework and/or the LME Rulebook, and in the event that an infringement is identified, we shall notify the LME in accordance with Regulation 12.6(m) of the Membership Regulations;
- ☐ we have notified the Financial Conduct Authority (FCA) of our provision of SA as part of our DEA arrangements;
- ☐ the following supporting documentation and controls will be provided for the SA Client:
- LMEselect PTRM limits in test and production;
 - Algo testing and certifications;
 - SA attestations including all client identification information;
 - Updated PII (Personal Identifiable Information) for client short codes;
 - Confirmation of market data usage as part of LMEselect API reporting.

AUTHORISATION (to be completed and signed by the LME Member's compliance officer for and on behalf of the Member)

Name of signatory:	
Job title:	
Date (dd/mm/yyyy):	
Signature:	