



Guidance Notes for Copper-Grade A Brands

LME Brand Listing Requirements

1 Brand Listing Requirements

- 1.1 Copper producers wishing to apply for LME brand registration will only be considered if they satisfy the following criteria (the “Core Listing Requirements”):
- (a) The producer has been in business for a minimum of 12 months.
 - (b) The production plant has been in production for a minimum of ~~six~~12 months on submission of an application but the production plant must reach 12 months production before proceeding to Stage Two of the application process¹, ~~or, if in the opinion of the LME Copper Committee, adequate production capacity utilisation and satisfactory quality has been achieved at an earlier date.~~
 - (c) The production plant has the capacity to produce a minimum of 15,000mt per annum of copper.
- 1.2 The producer is required to choose a Brand Lister or Category 1-4 Member to process its brand application (see Rulebook Part 7, Rule 1) on their behalf. Thereafter, all correspondence will be via the selected Brand Lister or selected Member.
- 1.3 Production from more than one production plant must be separately listed. Each production plant must have a different brand name.
- 1.4 Producers will be required to comply with the LME’s Policy on Responsible Sourcing of LME-Listed Brands.
- 1.5 The application is two stages, and all documentation must be submitted in English.
- 1.6 The LME and LME Clear (“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 enquiries).
- 1.7 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-refundable².

¹ The LME reserves the right not to accept a brand application or to require a producer to be in production beyond the minimum requirements set out in 1.1(b) before considering progressing its application, should the information submitted in the application not demonstrate consistent and stable quality and/or the producer has not reached sufficient utilisation of the plant’s design capacity.

² Value Added Tax (“VAT”): under current UK legislation, the LME understands that Brand Listers and 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. Brand Listers and LME Members not established in the UK who submit applications do not have to pay UK VAT to the LME regardless of the location of the producer and production operations. This information is for guidance only and relevant parties should always seek their own advice. The LME will have no liability for reliance on the above.



2 Stage One

2.1 The producer is to supply the following information in a letter on its headed paper addressed to the LME (the “Application Letter”³):

- (a) The name of the Brand Lister or LME Member process its application.
- (b) The full name and address of the producer of the brand to be listed by the LME.
- (c) Brief details of the history of the producer.
- (d) Details of the ownership of the producer.
- (e) The address of the production plant.
- (f) The name of the brand subject of the application.
- (g) The first date of production from which the producer guarantees the brand as meeting the relevant chemical specification.
- (h) The design capacity (mt).
- (i) The current annualised use of capacity (mt).
- (j) The monthly production figures for the most recent 12 months. Producers which have been in production for less than 12 months are to provide monthly production figures for the most recent six months on submission of its application with a further six months provided when 12 months of production has been reached⁴.
- (k) The brand name for any non-Grade A copper cathodes that are not recycled in the production plant which must differ from the brand name used for the application.
- (l) The name of three testers the producer intends to use for testing (Stage Two). The testers nominated must be from the list of LME approved testers of copper provided at appendix D of the Guidance Notes. The producer will need to include evidence of the testers’ willingness to test with its application⁵.

2.2 The following information and documentation (the “Additional Listing Requirements”) is to be provided by attachment to the 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 the producer cannot provide three consecutive profitable externally audited financial statements, the parent company of the producer must provide three consecutive

³ The Application Letter must be signed and dated. The signatory should state their position within the producer company.

⁴ Monthly production figures for a further six months are to be provided before the application can proceed to Stage Two.

⁵ The LME Copper Committee will provide approval of the nominated testers as part of Stage Two.

- profitable externally audited financial statements and a signed Letter of Support⁶ regarding the financial position of the producer⁷.
- (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 producer⁸ is a minimum of US\$ 2 million.
- (b) A copy of the incorporation certificate of the producer.
- (c) Photographs of the cathode and of strapped bundles (side and top profile), including a close-up photograph of the clip stating the brand name or of the brand name continuously marked on the bundle strapping **and a photograph showing the production cast reference indelibly marked on the surface of the top cathode of each bundle. [This requirement will come into effect from 1 January 2030].**
- (d) A sample clip or section of the strap showing the brand name.
- (e) Drawings of the cathode and a bundle showing all dimension in mm and weights in kg and including how many cathodes in a bundle. The following statements must be added to the drawings:
- 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 or breakage.
 - The bundle size and shape is suitable for safe and secure stacking; and
 - The bundle assembly and security is such that on removing the security straps it remains an integral free-standing bundle.
- (f) Each bundle must have the name of the producer, production date and production cast reference stated on the top cathode of a bundle either by indelible markings or a durable plasticised label. If a label is used, provide a sample. **[With effect from 1 January 2030, the production cast reference must be indelibly marked on the surface of the top cathode of each bundle].**
- (g) A Letter of Undertaking dated and signed on behalf of the producer⁹.
- (h) An outline of the production process including a process flow diagram.
- (i) A production site plan/diagram.
- (j) A paper detailing the sampling and analytical process, including stating the detection levels that are used for evaluating impurities and advising if any of the sampling and analytical work is outsourced.

⁶ In accordance with the draft appended to these Guidance Notes – Appendix A.

⁷ 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.

⁸ 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.

⁹ In accordance with the draft appended to these Guidance Notes – Appendix B.

- (k) Chemical analysis data for the most recent three months. Producers who have been in production for less than 12 months are to provide additional chemical analysis data for a further three months before the application can proceed to Stage Two.
- (l) A list of names of Continuous Cast Copper Rod (“CCR”) mills that the producer has supplied in the last 12 months and confirmation that the producer has no objection to the LME contacting the named CCR mills for comments on the brand.
- (m) A copy of ISO 9001 certificate, or, alternative, that of ISO/TS 16949.
- (n) Fulfilment of the LME’s Policy on Responsible Sourcing of LME-Listed Brands¹⁰:
- (i) Evidence of compliance with one of the four LME tracks:
 - Track A – Recognised Alignment-Assessed Standard;
 - Track B – Audited LME RFA;
 - Track C – Published LME RFA;
 - Track D – Secondary Materials.
 - (ii) A copy of ISO 14001 certificate or equivalent.
 - (iii) A copy of ISO 45001 certificate or equivalent.
- (o) [This requirement will come into effect from 1 January 2028]
Fulfilment of the electronic Certificate of Analysis (“eCoA”) Requirements¹¹.
- (i) Connect to LMEpassport to create enhanced eCoA records for all LME eligible metal¹².
 - (ii) Provide a sample Certificate of Analysis which must be in English (which may be in a dual language as well) and must include the date, name and address of the producer, brand name, production cast reference and associated chemical analysis data¹³
- 2.3 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 Copper-Grade A and to ensure that no testing takes place (Stage Two) until approval to do so is provided by the LME.

¹⁰ For a more detailed understanding of the responsible sourcing requirements for brand listing, please see the LME’s Policy on Responsible Sourcing of LME-Listed Brands and the dedicated webpage: [Responsible sourcing | London Metal Exchange](#).

¹¹ For a more detailed understanding of the eCoA requirements, please see Appendix E to these Guidance Notes.

¹² Producers may proceed to Stage Two at its own risk whilst in the process of connecting to LMEpassport, but connection to LMEpassport must be achieved before the brand can be listed.

¹³ Certificates of Analysis should demonstrate compliance with the relevant chemical specification by showing actual analysed content of the metal.

3 Stage Two

- 3.1 On receipt of all information and documentation detailed in Stage One, the LME will request such additional information and documentation as required.
- 3.2 Subject to the application meeting Stage One of the brand listing requirements, the application is circulated to the LME Copper Committee for approval for the application to proceed to quality testing.
- 3.3 The LME will inform the producer of the testing schedule which is normally 3 x 200mt to each tester and a 28-day application to list notice is issued¹⁴.
- 3.4 The LME reserves the right to require Random Selection is utilised for testing. This requires that cathodes for testing a selected at random by an LME Listed Sampler and Assayer ("LSA") at the cost of the producer.
- 3.5 The LME will write directly to the testers advising them of the requirements for quality testing for the application. The testing shall be accordance with the LME's instructions and procedures, and all test and reports should be sent directly to the LME.
- 3.6 The nominated testers are required to undertake sampling and analysis of wire-rod and ensure there is no contamination from other cathode brands melted immediately prior or after the applicant brand. Testers are required to provide chemical analysis data, spiral elongation and/or AR values and measurement of electrical conductivity,
- 3.7 The producer and/or Brand Lister or LME Member will be responsible for liaising with the testers for the arrangements for testing.
- 3.8 The producer is required to provide the LME with its chemical analysis data for the test lots.
- 3.9 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 extending testing will be for the cost of producer.
- 3.10 Subject to the receipt of satisfactory reports from the testers, the reports are circulated to the LME Copper Committee for approval to list the brand, followed by internal executive approval and the issuance of the listing notice for the brand.
- 3.11 The LME reserves the right to audit a producer's plant at any time prior to or post the listing of a brand for verification of any aspect of the process at the cost of the producer.
- 3.12 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 the brand listing requirements and Part 6 and Part 7 of the LME Rulebook may result in the suspension or 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 may suspend or delist the brand(s).
- 3.13 The listing of a brand is also subject to the provisions of Rules 3 to 7 of Part 7 of the LME Rulebook.

¹⁴ The testing schedule is subject to change at the discretion of the LME ~~and LME Copper Committee~~.

4 Appendix A – Draft Letter of Undertaking

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

London Metal Exchange
10 Finsbury Square
London
EC2A 1AJ
UK

Attention – Sustainability and Physical Market Operations

(INSERT DATE)

In consideration of the LME maintaining our Copper-Grade A brand *(insert brand name)* in its list of brands deliverable in fulfilment of its Copper-Grade A contract:

1. We *(insert producer name)* undertake that the quality of our Copper-Grade A brand *(insert brand name)* produced at *(insert name and address of production plant)*, will meet with the requirements of the LME contract for Copper-Grade A conforming with the BS EN 1978:2022 Cathode Grade Designation Cu-CATH 1 and its quality will be maintained in accordance with the lots supplied for testing.
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 be made.
3. We undertake that we will not attempt to restrict *(insert brand name)* brand from being delivered against the LME Copper-Grade A contract.
4. We further undertake that any change in ownership, financial status, production practice 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 LME Rulebook, any amendments thereto and any Notices issued by the LME.
5. This letter of undertaking is 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.....

5 Appendix B – Draft Parent Company’s Letter of Support

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

London Metal Exchange
Sustainability and Physical Market Operations
10 Finsbury Square
London
EC2A 1AJ
UK

Attention – Sustainability and Physical Market

(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 Copper-Grade A 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.....

6 Appendix C – Bundle Strapping Specifications

6.1 Table 1 – Strapping specifications for all metals/bundled shapes for producers using steel strapping.

Strap	Size	Average strength (newtons)	Applied tension (newtons)	Joint	Joint strength	Working range elongation
Steel	19mm x 0.63mm	12,000	7,000	Seal-less	80%	0.1-0.3%
Steel	19mm x 0.63mm	12,000	5,000	Metal seal	80%	0.1-0.3%

6.2 Table 2 – Strapping specifications for primary aluminium, aluminium alloy, tin, lead and zinc ingots for producers using polyester strapping.

Strap	Size	Average strength (newtons)	Applied tension (newtons)	Joint	Joint strength	Working range elongation
Polyester	15.6mm x 0.9mm	6,000	3,500	Metal seal	60%	2-3.5%
Polyester	15.6mm x 0.9mm	6,000	2,500	Friction	80%	2-3.5%

6.3 Table 3 – Strapping specifications for copper and nickel full plate cathodes for producers using polyester strapping.

Strap	Size	Average strength (newtons)	Applied tension (newtons)	Joint	Joint strength	Working range elongation
Polyester	19.0mm x 1.0mm	1,000	3,500	Metal seal	60%	2-3.5%
Polyester	19.0mm x 1.0mm	1,000	2,500	Friction	80%	2-3.5%

6.4 Table 4 – Securing method for strapping

Tool	Strap material	Joint type	Maximum applied tension (newtons)	Joint strength
Manual	Steel	Metal seal	5,000	60%
Pneumatic	Steel	Seal-less	7,000	80%
Manual	Polyester	Metal seal	3,500	60%
Pneumatic	Polyester	Friction weld	2,500	80%

7 Appendix D – LME Approved Testers for Copper-Grade A Brand Applications

- 7.1 The following testers have been approved by the LME to receive and process the designated tonnage of metal of the brand subject to the application as part of Stage Two of the brand application process.

Belgium	Contact
Aurubis Belgium NV/SA 31 rue du Marais B-1000 Brussels Belgium	Mr Hendrik Hanßen Tel: +49 40 7883-2284 Mob. +49 174 8831149 Email: h.hanssen@aurubis.com
Canada	Contact
Nexans Canada Inc 460 Durocher Ave. Montreal East, QC, H1B 5H6 Canada	Mr Florin Teglas Tel: +1 514 645 2301 X1030 Email: florin.teglas@nexans.com
China	Contact
Guangzhou JCC Copper Product Co., Ltd No. 130 Economic and Technological Zone of Zengcheng Xintang Town Chuangqiang Road Zengcheng Area Guangzhou China	Mr. Li Shiyin Tel: +18520082088 Email: lishiyin@jccgz.com
Jiangxi Copper Company Ltd 7666, Changdong Avenue Gao Xin District Nanchang City Jiangxi Province 300096 China	Mr Xiong Jianping and Mr Zhang Bo Tel: +86 791 8271 0129 Email: xiongjp@jxcc.com ; zhb@jxcc.com
Jiangsu Jiangrun Copper Co., Ltd Jinhui Industrial Park, Guanlin Town, Yixing, Jiangsu, 214251 China	Mr Yin Jie Tel: + 86-510-87296981 Email: yinjie@jrcopper.cn
Nanjing Walsin Metal Co Ltd 59, Hengjing Road, Nanjing Economical & Technical Development Zone Jiangsu, 210046 China	Mr Zhou Weishan Tel: +86 25 8580 5588 Email: Weishan_Zhou@gree-wire.com
Shandong Province Xiangrui Metal Technology Co., Ltd Xiangguang Road, Shifo Town Yanggu County, Liaocheng City Shandong Province 252327 China	Mr Ning Cai Tel: +86 635 6555757 Email: ning.cai@xiangguang.com

China	Contact
Tongguan Copper Rod and Wire Corp Binjiang Industrial Park, Xihu 2nd Road, Tongling County Anhui, 244000 China	Ms Sun Yuanyuan Tel: +86 562 5860118/5860712 Email: sunyy@tlys.cn
France	Contact
Nexans France Lens Boulevard du Marais 62301 Lens France	Mr Arnaud Caudreliez Tel: +33 361 371 031 Email: arnaud.caudreliez@nexnans.com
Germany	Contact
Aurubis AG Hovestrassse 50 20539 Hamburg 36 Germany	Mr Hendrik Hanßen Tel: +49 40 7883-2284 Mob. +49 174 8831149 Email: h.hanssen@aurubis.com
Deutsche Giessdraht GmbH Kupferstrasse 5 D-46446 Emmerich Germany	Mr Hendrik Hanßen Tel: +49 40 7883-2284 Mob. +49 174 8831149 Email: h.hanssen@aurubis.com
MKM Mansfelder Kupfer und Messing GmbH Lichtloecherberg 40 D-06333 Hettstedt Germany	Herr Klaus-Dieter Palm Tel: +49 3476 89 2047 Email: klaus-dieter.palm@mkm.eu
Greece	Contact
Fulgor Greek Electric Cables S.A Wall Box 11 Soussaki Ag Theodoroi Corinth P.C. 20100	Mr Miltos Metaxas Tel: +306974404373 Email: mmetaxas@hellenic-cables.com

Italy	Contact
Aurubis Italia srl Zona Industriale Pianodardine I-83100 Avellino Italy	Mr Hendrik Hanßen Tel: +49 40 7883-2284 Mob: +49 174 8831149 Email: h.hanssen@aurubis.com
Japan	Contact
Sumitomo Electric Industries Ltd 1-1-3 Shimaya Konohana-ku Osaka 554-0024 Japan	Mr Riyousuke Motoyama Tel: +81 6 6466 5517 Email: motoyama-riyousuke@sei.co.jp
Poland	Contact
KGHM Polska Miedz SA 59-301 Lubin ul.M. Skłodowskiej-Curie 48 Poland	Ms Irena Bogucka-Szewc Tel: +48 76 7478 786 Email: irena.Bogucka-Szewc@kghm.com
Malaysia	Contact
Metrod (Malaysia) Sdn Bhd 3, Lengkok Keluli 2, 212 Bukit Raja Prime Industrial Park, 41720, Klang, Malaysia	Mr Ganesh Balaji Tel: +60 12-2251154 Email: ganesh@metrod.com
Russia	Contact
ELKAT LLC 2-nd Kabelnaja ul., 2 111024 Moscow Russia	Mr Viacheslav Efimov Tel: +7 495 673-83-91 (92) Email: efimov@elkat.ru
Spain	Contact
CuNext Copper Industries S.L. Avda. de la Fábrica s/n 14005 – Córdoba Spain	Ms Soraya Pintor Requena Tel: +34 647542721 Email: soraya_pintor@cunext.com

Spain	Contact
LA FARGA YOURCOPPERSOLUTIONS S.A. Ctra. C17 Km.73.5 08508 – Les Masies de Volgredà (BARCELONA) Spain	Sr Xavier Rovira Tel: +34 93 859 46 94 Email: xavier.rovira@lafarga.es
Sweden	Contact
Elcowire AB PO Box 914 S-25109 Helsingborg Sweden	Mr Jonas Ciardi Tel: +46 4219 5301 Mobile: +46 70 761 4726 Email: Jonas.ciardi@elcowire.com
Turkey	Contact
Sarkuysan A.S. Emek Mahallesi Asiroglu Cad.No 147 41700 Darica-Kocaeli Turkey	Mr Sevgur Arslanpay and Mr Canan Cakiroglu Tel: +90 262 676 6600 Email: ceo@sarkuysan.com ; quality@sarkuysan.com
UAE	Contact
Fujairah Gold FZC Free Zone-2, PO Box-3992 Fujairah (UAE)	Mr Senthil Kumar V Tel: +971-589568792 Email: v.senthilkumar@fujairahgold.com

8 Appendix E – eCoA Requirements

[This requirement comes into effect from 1 January 2028 for copper]

8.1 What is LMEpassport?

LMEpassport is the LME's central digital depository for Certificates of Analysis ("CoAs"). It replaces traditional paper CoAs or PDF records with electronic CoAs ("eCoAs"), mitigating the risk of physical document loss or damage during global transit. The use of LMEpassport became a mandatory requirement for all producers of LME-listed primary aluminium brands in October 2024; for all producers of LME-listed aluminium alloy, lead, zinc, NASAAC, nickel, tin and cobalt brands in October 2025, and will become a mandatory requirement for all producers of LME-listed copper brands in January 2028.

8.2 What does this mean for producers?

For metal of LME-listed copper brands to be placed on warrant, they must be accompanied by an eCoA. Therefore, producers must connect to LMEpassport to create enhanced eCoAs for all LME-eligible material. This requirement applies to all production of an LME-listed brand whether or not it is intended for delivery into an LME warehouse.

8.3 How to connect?

- (a) There are two ways a producer can connect to LMEpassport for the purpose for creating and managing enhanced eCoAs.
 - (i) Application Programming Interface ("API") connection – recommended for its efficiency, scalability and automation;
 - (ii) Excel workbook upload – a manual alternative for data entry.
- (b) Producers are strongly encouraged to adopt API connection to streamline the eCoA process.
- (c) Onboarding and establishing a connection to LMEpassport typically requires 2-3 months. To avoid any delays to the application process, producers should initiate the connection process as early as possible in the brand application process.

8.4 For additional information on LMEpassport please refer to the dedicated webpage: [LMEpassport | London Metal Exchange](#).



Guidance Notes for Primary Aluminium Brands

LME Brand Listing Requirements

1 Brand Listing Requirements

- 1.1 Primary aluminium producers wishing to apply for LME brand registration will only be considered if they satisfy the following criteria (the “Core Listing Requirements”):
 - (a) The producer has been in business for a minimum of 12 months.
 - (b) The production plant has been in production for a minimum of ~~six~~12 months¹ ~~or, if in the opinion of the LME aluminium committee, adequate production capacity utilisation and satisfactory quality has been achieved at an earlier date.~~
 - (c) The production plant has the capacity to produce a minimum of 25,000mt per annum of aluminium.
- 1.2 The producer is required to choose a Brand Lister or Category 1-4 Member to process ~~its~~their brand application (see Rulebook Part 7, Rule 1) on their behalf. Thereafter, all correspondence will be via the selected Brand Lister or selected Member.
- 1.3 Production from more than one production plant must be separately listed. Each production plant must have a different brand name.
- 1.4 Producers will be required to comply with the LME’s Policy on Responsible Sourcing of LME-Listed Brands.
- 1.5 The application is two stages, and all documentation must be submitted in English.
- 1.6 The LME and LME Clear (“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 enquiries).
- 1.7 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-refundable².

¹ The LME reserves the right not to accept a brand application or to require a producer to be in production for longer than six months before considering progressing its application, –should the information submitted in the application not demonstrate consistent and stable quality and/or the producer has not reached sufficient utilisation of the plant’s design capacity.

² Value Added Tax (“VAT”): under current UK legislation, the LME understands that Brand Listers and 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. Brand Listers and LME Members not established in the UK who submit applications do not have to pay UK VAT to the LME regardless of the location of the producer and production operations. This information is for guidance only and relevant parties should always seek their own advice. The LME will have no liability for reliance on the above.



2 Stage One

2.1 The producer is to supply the following information in a letter on its headed paper addressed to the LME (the “Application Letter”³):

- (a) The name of the Brand Lister or LME Member process its application.
- (b) The full name and address of the producer of the brand to be listed by the LME.
- (c) Brief details of the history of the producer.
- (d) Details of the ownership of the producer.
- (e) The address of the production plant.
- (f) The name of the brand subject of the application.
- (g) The first date of production from which the producer guarantees the brand as meeting the relevant chemical specification.
- (h) The design capacity (mt).
- (i) The current annualised use of capacity (mt).
- (j) The monthly production figures for the most recent ~~six~~⁴ months.
- (k) The shape(s) to be listed; ingots, t-bars, sows.
- (l) A producer must either⁵:
 - (i) Provide the name of two testers the producer intends to use for testing (Stage Two). The testers nominated must be from the list of LME approved testers of Primary Aluminium provided at appendix E of the Guidance Notes. The producer will need to include evidence of the testers’ willingness to test with its application; or-
 - (ii) Provide the name of one tester the producer intends to use for testing (Stage Two) and a letter of support from one of its existing industry supply contracts regarding the quality of the metal in respect of the brand name listed in the application.- The list of LME approved testers of primary aluminium is provided at appendix E of the Guidance Notes. The producer will need to include evidence of the tester’s willingness to test with its application.
- (m) The names of two LME Listed Samplers and Assayers (“LSAs”) the producer intends to use to evaluate the quality of its brand (Stage Two). One LSA should be nominated to undertake sampling and analysis and one LSA should be nominated to undertake analysis only⁶.

³ The Application Letter must be signed and dated. The signatory should state their position within the producer company.

⁴ The LME reserves the right to request additional monthly production figures.

⁵ The LME Aluminium Committee will provide approval of the nominated tester(s) as part of Stage Two.

⁶ The LME ~~a~~Aluminium ~~C~~ommittee will provide approval of the nominated LSAs as part of Stage Two.

2.2 The following information and documentation (the “Additional Listing Requirements”) is to be provided by attachment to the 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 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 Support⁷ regarding the financial position of the producer⁸.
- (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 producer⁹ is a minimum of US\$ 2 million.

(b) A copy of the incorporation certificate of the producer.

(c) Details of the product as follows:

Ingots

- (i) Photographs of an ingot showing the brand name, production cast reference and any other markings and/or symbols on the metal.
- (ii) Provide a sample label with the application if used. Labels used must be durable and plasticised.
- (iii) Photographs of a strapped bundle from top and side dimensions.
- (iv) Drawings of the ingot and a bundle showing all dimensions in mm and weights in kg including how many ingots in a bundle.
- (v) The following statements must be added to the drawings:
 - Each bundle is securely strapped in two dimensions with material protected against corrosion and of sufficient strength and fixing to permit safe handling by forklift truck without bundle distortion and breakage.
 - The bundle size and shape is suitable for safe and secure stacking; and
 - The bundle assembly and security is such that on removing the security straps it remains an integral free-standing bundle.

T-bars and sows

- (i) Photographs of the shape(s) from top and side dimensions showing the brand name, production cast reference and any other markings and/or symbols on the metal.
- (ii) Provide a sample label with the application if used. Labels used must be durable and plasticised.
- (iii) Drawings of the shape(s) showing all dimensions in mm and weight in kg.

(d) A Letter of Undertaking dated and signed on behalf of the producer¹⁰.

⁷ In accordance with the draft appended to these Guidance Notes – Appendix A.

⁸ 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.

⁹ 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.

¹⁰ In accordance with the draft appended to these Guidance Notes – Appendix B.

- (e) An outline of the production process including a process flow diagram.
- (f) A production site plan/diagram.
- (g) A paper detailing the sampling and analytical process, including stating the detection levels that are used for evaluating impurities and advising if any of the sampling and analytical work is outsourced.
- (h) Chemical analysis data for the most recent three months¹¹.
- (i) A copy of ISO 9001 certificate, or, alternative, that of ISO/TS 16949.
- (j) Fulfilment of the LME's Policy on Responsible Sourcing of LME-Listed Brands¹²:
 - (i) Evidence of compliance with one of the four LME tracks:
 - Track A – Recognised Alignment-Assessed Standard;
 - Track B – Audited LME RFA;
 - Track C – Published LME RFA;
 - Track D – Secondary Materials.
 - (ii) A copy of ISO 14001 certificate or equivalent.
 - (iii) A copy of ISO 45001 certificate or equivalent.
- (k) Fulfilment of the electronic Certificate of Analysis ("eCoA") requirements¹³.
 - (i) Connect to LMEpassport to create enhanced eCoA records for all LME eligible metal¹⁴.
 - (ii) Provide a sample Certificate of Analysis which must be in English ~~/(which may also be in a dual language as well)~~ and must include the date, name and address of the producer, brand name, production cast reference and associated chemical analysis¹⁵.
- (l) Fulfilment of the LME's CBAM requirement.
 - (i) Complete the LME emissions reporting form (Excel)¹⁶.

2.3 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 High Grade Primary Aluminium and to ensure that no testing takes place (Stage Two) until approval to do so is provided by the LME.

¹¹ The LME reserves the right to request additional chemical analysis data.

¹² For a more detailed understanding of the responsible sourcing requirements for brand listing, please see the LME's Policy on Responsible Sourcing of LME-Listed Brands and the dedicated webpage: [Responsible sourcing | London Metal Exchange](#).

¹³ For a more detailed understanding of the eCoA requirements, please see Appendix C to these Guidance Notes.

¹⁴ Producers may proceed to Stage Two at its own risk whilst in the process of connecting to LMEpassport, but connection to LMEpassport must be achieved before its brand can be listed.

¹⁵ Certificates of Analysis should demonstrate compliance with the relevant chemical specification by showing actual analysed content of the metal.

¹⁶ Producers will be required to upload its LME emissions reporting form to LMEpassport once its brand listed. For a more detailed understanding of the LME's CBAM requirements please see the dedicated webpage: [LME CBAM emissions reporting | London Metal Exchange](#).

3 Stage Two

- 3.1 On receipt of all information and documentation detailed in Stage One, the LME will request such additional information and documentation as required.
- 3.2 Subject to the application meeting Stage One of the brand listing requirements, the application is circulated to the LME ~~A~~luminium ~~C~~ommittee for approval for the application to proceed to quality testing.
- 3.3 The LME will inform the producer of the testing programme which is normally 2 x 50mt from a minimum of four production batches. For 2.1(l)(i) producers must send 1 x 50mt to each nominated tester, for 2.1 (l)(ii) producers must send 1 x 50mt to the nominated tester and 1 x 50mt must be sampled by an LSA at the producer's production plant¹⁷. The LME will also issue ~~and~~ a 28-day application to list notice. ~~is issued.~~
- 3.4 The LME will write directly to the testers and LSAs advising them of the requirements for quality testing for the application. The testing and sampling and analysis shall be accordance with the LME's instructions and procedures and all test and LSA reports should be sent directly to the LME.
- 3.5 Sampling of the test lots shall be carried out by the nominated LSA at the testers' site and/or the producer's production plant¹⁸.
- 3.6 The producer and/or Brand Lister or LME Member will be responsible for liaising with the testers and LSAs for the arrangements for testing.
- 3.7 The producer is required to provide the LME with its chemical analysis data for test lots.
- 3.8 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 extending testing will be for the cost of producer.
- 3.9 Subject to the receipt of satisfactory reports from the testers and LSAs, the reports are circulated to the LME ~~A~~luminium ~~C~~ommittee for approval to list the brand, followed by internal executive approval and the issuance of the listing notice for the brand.
- 3.10 The LME reserves the right to audit a producer's plant at any time prior to or post the listing of a brand for verification of any aspect of the process at the cost of the producer.
- 3.11 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 the brand listing requirements and Part 6 and Part 7 of the LME Rulebook may result in the suspension or 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 may suspend or delist the brand(s).
- 3.12 The listing of a brand is also subject to the provisions of Rules 3 to 7 of Part 7 of the LME Rulebook.

¹⁷ The testing programme is subject to change at the discretion of the LME ~~and LME Aluminium Committee.~~

¹⁸ ~~The producer will need to advise the LME in its application if there is any reason the sampling and analysis of its brand needs to place at its plant in lieu of sending 2 x 50mt to two testers.~~

4 Appendix A – Draft Letter of Undertaking

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

London Metal Exchange
10 Finsbury Square
London
EC2A 1AJ
UK

Attention – Sustainability and Physical Market Operations

(INSERT DATE)

In consideration of the LME maintaining our Primary Aluminium brand (*insert brand name*) in its list of brands deliverable in fulfilment of its High Grade Primary Aluminium contract:

1. We (*insert producer name*) undertake that the quality of our primary aluminium brand (*insert brand name*) produced at (*insert name and address of production plant*), will meet with the requirements of the LME contract for High Grade Primary Aluminium and conform to the registered designation Al99.70 in the GB/T 1196-2017 standard entitled “Unalloyed Aluminium Ingots for Remelting” or Primary Aluminium with impurities no greater than in the registered designation P1020A in the Registration Record of Aluminum Association Designations and Chemical Composition Limits for Unalloyed Aluminum of the Aluminum Association Inc., U.S.A. (2018) and its quality will be maintained in accordance with the lots supplied for testing.
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 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 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 LME Rulebook, any amendments thereto and any Notices issued by the LME.
5. This letter of undertaking is 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.....

5 Appendix B – Draft Parent Company’s Letter of Support

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

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

Attention – Sustainability and Physical Market Operations

(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 High Grade Primary Aluminium 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.....

6 Appendix C – eCoA Requirements

6.1 What is LMEpassport?

LMEpassport is the LME's central digital depository for Certificates of Analysis (CoAs"). It replaces traditional paper CoAs or PDF records with electronic CoAs ("eCoAs"), mitigating the risk of physical document loss or damage during global transit. The use of LMEpassport became a mandatory requirement for all producers of LME-listed primary aluminium brands in October 2024; ~~and~~ for all producers of LME-listed aluminium alloy, lead, zinc, NASAAC, nickel, tin and cobalt brands in October 2025 and will become a mandatory requirement for all producers for LME-listed copper brands in January 2028.

6.2 What does this mean for producers?

For metal of LME-listed primary aluminium brands to be placed on warrant, they must be accompanied by an eCoA. Therefore, producers must connect to LMEpassport and upload eCoAs for all LME-eligible material. This requirement applies to all production of an LME-listed brand whether or not it is intended for delivery into an LME warehouse.

6.3 How to connect?

- (a) There are two ways a producer can connect to LMEpassport for the purpose for creating and managing eCoAs (enhanced records).
 - (i) Application Programming Interface ("API") connection – recommended for its efficiency, scalability and automation;
 - (ii) Excel workbook upload – a manual alternative for data entry.
- (b) Producers are strongly encouraged to adopt API connection to streamline the eCoA process.
- (c) Onboarding and establishing a connection to LMEpassport typically requires 2-3 months. To avoid any delays to the application process, producers should initiate the connection process as early as possible in the brand application process.

6.4 For additional information on LMEpassport please refer to the dedicated webpage: [LMEpassport | London Metal Exchange](#).

7 Appendix D – Bundle Strapping Specifications

7.1 Table 1 – Strapping specifications for all metals/bundled shapes for producers using steel strapping.

Strap	Size	Average strength (newtons)	Applied tension (newtons)	Joint	Joint strength	Working range elongation
Steel	19mm x 0.63mm	12,000	7,000	Seal-less	80%	0.1-0.3%
Steel	19mm x 0.63mm	12,000	5,000	Metal seal	80%	0.1-0.3%

7.2 Table 2 – Strapping specifications for primary aluminium, aluminium alloy, tin, lead and zinc ingots for producers using polyester strapping.

Strap	Size	Average strength (newtons)	Applied tension (newtons)	Joint	Joint strength	Working range elongation
Polyester	15.6mm x 0.9mm	6,000	3,500	Metal seal	60%	2-3.5%
Polyester	15.6mm x 0.9mm	6,000	2,500	Friction	80%	2-3.5%

7.3 Table 3 – Strapping specifications for copper and nickel full plate cathodes for producers using polyester strapping.

Strap	Size	Average strength (newtons)	Applied tension (newtons)	Joint	Joint strength	Working range elongation
Polyester	19.0mm x 1.0mm	1,000	3,500	Metal seal	60%	2-3.5%
Polyester	19.0mm x 1.0mm	1,000	2,500	Friction	80%	2-3.5%

7.4 Table 4 – Securing method for strapping

Tool	Strap material	Joint type	Maximum applied tension (newtons)	Joint strength
Manual	Steel	Metal seal	5,000	60%
Pneumatic	Steel	Seal-less	7,000	80%
Manual	Polyester	Metal seal	3,500	60%
Pneumatic	Polyester	Friction weld	2,500	80%

8 Appendix E – LME Approved Testers for Primary Aluminium Brand Applications

8.1 The following testers have been approved by the LME to receive and process the designated tonnage of metal of the brand subject to the application as part of Stage Two of the brand application process.

China	Contact
Chalco Ruimin Co. Ltd 9 Qingzhou Road Mawei District Fuzhou City Fujian Province China	Ms Amanda Chen Tel: +86 591 88028132 Email: chenlm@ruimin.com
Yunnan Aluminium Co Ltd Yangzonghai Chenggong Yunnan China	Mr Leo Wang Tel: 86-871-7455889 Email : sales@ylgf.com or leow.yl@gmail.com

Germany	Contact
Constellium Rolled Products Singen GmbH & Co KG Alusingen-Platz 1 D-78224 Singen Germany	Ms Janette Knippenberg Tel: +49 7731 80 2529 Email: Janette.Knippenberg@contellium.com
Aluminium Norf GmbH KoblenzerStrasse 120 41468 Neuss Germany	Mr Uwe Peters Tel: +49 21 31 937 83 15 Email: uwe.peters@alunorf.de
Trimet Aluminium SE Aluminiumallee 1 D-45356 Essen Germany	Mr Ilias Papadopoulos Tel: +49 201 366-826 Email: papadopoulos@trimet.de
Novelis Casthouse Germany GmbH Schleusenstraße 11, 46562 Voerde, Germany	Mr Ulrich Wolf Tel: +49 261 891 7217 Mobile: +49 160 881 8912 Email: ulrich.wolf@novelis.adityabirla.com

Hungary	Contact
Alcoa-Koefem Kft Verseci u. 1-15 H8000 Szekesfehervar Hungary	Mr Frank Bodenstein Alcoa Europe SARL Avenue Guiseppe Motta 31-33 1202 Geneva Switzerland Tel: +41 22 919 6111 Email: frank.bodenstein@alcoa.com

India	Contact
JSK Industries Pvt Limited 9, A K Naik Marg C S T; Near Empire Cinema Mumbai – 400001. (India)	Mr Zimin A Doshi JSK Industries Pvt Limited Works: 369/1/1/2 Behind Siyaram Silk Mills Limited Sayli. Silvassa – 396230. (India) Tel: +9122 45407737 Mobile: +919869969656 Email: zimindoshi@jsskindia.in
Italy	Contact
Alcoa Trasformazioni srl Localita Portovesme 09010 Portoscuso (CA) Sardinia Italy	Mr Frank Bodenstein Alcoa Europe SARL Avenue Guiseppe Motta 31-33 1202 Geneva Switzerland Tel: +41 22 919 6111 Email: frank.bodenstein@alcoa.com
Alcoa Trasformazioni srl Via Dell'Elettronica, 33 30030 Fusina Italy	Mr Frank Bodenstein Alcoa Europe SARL Avenue Guiseppe Motta 31-33 1202 Geneva Switzerland Tel: +41 22 919 6111 Email: frank.bodenstein@alcoa.com
Japan	Contact
UACJ Corporation Tokyo Sankei Bldg., 1-7-2, Otemachi Chiyoda-ku, Tokyo Japan 100-0004	Mr Shoji Takeuchi Tel: +81-3-6202-3847 Email: takeuchi-shoji@uacj.co.jp
Norway	Contact
Hydro Aluminium a.s Sourcing and Trading N-0240 Oslo Norway	Mr Thorleif Schjelderup Tel: +47 22 53 84 01 Email: thorleif.schjelderup@hydro.com

Spain	Contact
Alcoa Inespal S.A. Poligono Industrial de la Grela 15008 – La Coruna Spain	Mr Frank Bodenstein Alcoa Europe SARL Avenue Guiseppe Motta 31-33 1202 Geneva Switzerland Tel: +41 22 919 6111 Email: frank.bodenstein@alcoa.com
Alcoa Inespal S.A. Fabrica de Aviles San Balandran, 2 33400 Aviles (Asturias) Spain	Mr Frank Bodenstein Alcoa Europe SARL Avenue Guiseppe Motta 31-33 1202 Geneva Switzerland Tel: +41 22 919 6111 Email: frank.bodenstein@alcoa.com
Aluminio Espanol, S.A. Fabrica de San Ciprian Calle Aluminio, 1 27890 San Ciprian (LUGO) Spain	Mr Frank Bodenstein Alcoa Europe SARL Avenue Guiseppe Motta 31-33 1202 Geneva Switzerland Tel: +41 22 919 6111 Email: frank.bodenstein@alcoa.com
ECN Cable Group SL Portal de Bergara, 36 Polig. Ind. Betono 01013 Vitoria-Gasteiz Spain	Mr Antonio Rico Tel: +34 945 261 100 Email: arico@ecn.es

UK	Contact
Alcoa Manufacturing (UK) Ltd Kitts Green Road Kitts Green Birmingham B33 9QR United Kingdom	Mr Frank Bodenstein Alcoa Europe SARL Avenue Guiseppe Motta 31-33 1202 Geneva Switzerland Tel: +41 22 919 6111 Email: frank.bodenstein@alcoa.com
Novelis Recycling Latchford Locks Works Thelwall Lane Warrington Cheshire WA4 1NP United Kingdom	Mr Bill Routledge Tel: +44 (0)1925 781427 Email: bill.routledge@novelis.com

UAE	Contact
Trans Gulf Aluminium Industries Co LLC PO Box 83059 Jebel Ali Industrial Area 1 Dubai UAE	Mr Abdul Cader Tel: +971 4 880 1524 Email: abdulcader@tggroup.ae

USA	Contact
Hydro Aluminium N.A. 5801 Riverport Rd Henderson KY 42420 USA	Mr Christopher Summers Tel: +1 410 487 8151 Fax: +1 270 826 2345 Email: Christopher.Summers@hydro.com



Guidance Notes for Lead Brands

LME Brand Listing Requirements

1 Brand Listing Requirements

1.1 Lead producers wishing to apply for LME brand registration will only be considered if they satisfy the following criteria (the “Core Listing Requirements”):

(a) The producer has been in business for a minimum of 12 months.

(b) The production plant has been in production for a minimum of ~~six~~¹² months¹ ~~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.~~

(c) The production plant has the capacity to produce a minimum of 12,000mt per annum of lead.

1.2 The producer is required to choose a Brand Lister or Category 1-4 Member to process ~~its~~^{their} brand application (see Rulebook Part 7, Rule 1) on their behalf. Thereafter, all correspondence will be via the selected Brand Lister or selected Member.

1.3 Production from more than one production plant must be separately listed. Each production plant must have a different brand name.

1.4 Producers will be required to comply with the LME’s Policy on Responsible Sourcing of LME-Listed Brands.

1.5 The application is two stages, and all documentation must be submitted in English.

1.6 The LME and LME Clear (“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 enquiries).

1.7 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-refundable². Producers that fulfil criteria 1.7 (a) and 1.7 (b) 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:

(a) that are 100% secondary producers;
and

(b) 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 1 April 2024 and 31 December 2026 inclusive.

¹ ~~The LME reserves the right not to accept a brand application or to require a producer be in production for longer than six months before considering progressing its application, should the information submitted in the application not demonstrate consistent and stable quality and/or the producer has not reached sufficient utilisation of the plant’s design capacity.~~

² Value Added Tax (“VAT”): under current UK legislation, the LME understands that Brand Listers and 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. Brand Listers and LME Members not established in the UK who submit applications do not have to pay UK VAT to the LME regardless of the location of the producer and production operations. This information is for guidance only and relevant parties should always seek their own advice. The LME will have no liability for reliance on the above.

2 Stage One

2.1 The producer is to supply the following information in a letter on its headed paper addressed to the LME (the "Application Letter"³):

- (a) The name of the Brand Lister or LME Member process its application.
- (b) The full name and address of the producer of the brand to be listed by the LME.
- (c) Brief details of the history of the producer.
- (d) Details of the ownership of the producer.
- (e) The address of the production plant.
- (f) The name of the brand subject of the application.
- (g) The first date of production from which the producer guarantees the brand as meeting the relevant chemical specification.
- (h) The design capacity (mt).
- (i) The current annualised use of capacity (mt).
- (j) The monthly production figures for the most recent ~~six~~⁴ months⁴.
- (k) The producer must advise which standard(s) and grade(s) as outline in Part 6 of the Rulebook – Special Contract Rules for Lead it wishes to be registered for.
- (l) A producer must either⁵:
 - (i) ~~Provide t~~The name of two testers the producer intends to use for testing (Stage Two). The testers nominated must be from the list of LME ~~a~~Approved ~~t~~Testers of ~~l~~Lead provided at appendix E of the Guidance Notes. The producer will need to include evidence of the testers' willingness to test with its application; ~~or-~~
 - (ii) Provide the name of one tester the producer intends to use for testing (Stage Two) and a letter of support from one of its existing industry supply contracts regarding the quality of the metal in respect of the brand name listed in the application. The tester nominated must be from the list of LME approved testers of lead provided at appendix E of the Guidance Notes. The producer will need to include evidence of the tester's willingness to test with its application; or
 - (iii) Provide two letters of support for the brand from its existing industry supply contracts regarding the quality of the metal in respect of the brand name listed in the application.

³ The Application Letter must be signed and dated. The signatory should state their position within the producer company.

⁴ The LME reserves the right to request additional monthly production figures.

⁵ The LME Lead and Zinc Committee will provide approval of the nominated tester(s) as part of Stage Two.

- (m) The names of two LME Listed Samplers and Assayers (“LSAs”) the producer intends to use to evaluate the quality of its brand (Stage Two). One LSA should be nominated to undertake sampling and analysis and one LSA should be nominated to undertake analysis only⁶.

2.2 The following information and documentation (the “Additional Listing Requirements”) is to be provided by attachment to the 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 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 Support⁷ regarding the financial position of the producer⁸.
- (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 producer⁹ 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 name, grade and production cast reference and any other markings and/or symbols on the metal.

(d) Photographs of a strapped bundle from top and side dimensions.

(e) Provide a sample label with the application if used. Labels must be durable and plasticised.

(f) Drawings of the ingot and a bundle showing all dimensions in mm and weights in kg including how many ingots in a bundle.

(i) The following statements must be added to the drawings:

- Each bundle is securely strapped in two dimensions with material protected against corrosion and of sufficient strength and fixing to permit safe handling by forklift truck without bundle distortion and breakage.
- The bundle size and shape is suitable for safe and secure stacking; and
- 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 producer¹⁰.

⁶ The LME Lead and Zinc Committee will provide approval of the nominated LSAs as part of Stage Two.

⁷ In accordance with the draft appended to these Guidance Notes – Appendix A.

⁸ 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.

⁹ 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.

¹⁰ In accordance with the draft appended to these Guidance Notes – Appendix B.

- (h) An outline of the production process including a process flow diagram.
 - (i) A production site plan/diagram.
 - (j) A paper detailing the sampling and analytical process, including stating the detection levels that are used for evaluating impurities and advising if any of the sampling and analytical work is outsourced.
 - (k) Chemical analysis data for the most recent three months for all grades to be listed¹¹.
 - (l) A copy of ISO 9001 certificate, or, alternative, that of ISO/TS 16949.
 - (m) Fulfilment of the LME's Policy on Responsible Sourcing of LME-Listed Brands¹²:
 - (i) Evidence of compliance with one of the four LME tracks:
 - Track A – Recognised Alignment-Assessed Standard;
 - Track B – Audited LME RFA;
 - Track C – Published LME RFA;
 - Track D – Secondary Materials.
 - (ii) A copy of ISO 14001 certificate or equivalent.
 - (iii) A copy of ISO 45001 certificate or equivalent.
 - (n) Fulfilment of the electronic Certificate of Analysis ("eCoA") requirements¹³.
 - (i) Connect to LMEpassport to create enhanced eCoA records for all LME eligible metal¹⁴.
 - (ii) Provide a sample Certificate of Analysis which must be in English (which may also be in a dual language as well) and must include the date, name and address of the producer, brand name, production cast reference and associated chemical analysis¹⁵.
- 2.3 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 (Stage Two) until approval to do so is provided by the LME.

¹¹ The LME reserves the right to request additional chemical analysis data.

¹² For a more detailed understanding of the responsible sourcing requirements for brand listing, please see the LME's Policy on Responsible Sourcing of LME-Listed Brands and the dedicated webpage: [Responsible sourcing | London Metal Exchange](#).

¹³ For a more detailed understanding of the eCoA requirements, please see Appendix C to these Guidance Notes.

¹⁴ Producers may proceed to Stage Two at its own risk whilst in the process of connecting to LMEpassport, but connection to LMEpassport must be achieved before its brand can be listed.

¹⁵ Certificates of Analysis should demonstrate compliance with the relevant chemical specification by showing actual analysed content of the metal.

3 Stage Two

- 3.1 On receipt of all information and documentation detailed in Stage One, the LME will request such additional information and documentation as required.
- 3.2 Subject to the application meeting Stage One of the brand listing requirements, the application is circulated to the LME ~~L~~ead and ~~Z~~inc ~~C~~ommittee for approval for the application to proceed to quality testing.
- 3.3 The LME will inform the producer of the testing programme which is normally 2 x 50mt from a minimum of four production batches. ~~For 2.1(I)(i) producers must send {1 x 50mt to each nominated tester}, for 2.1(I)(ii) producers must send 1 x 50mt to the nominated tester and 1 x 50mt must be sampled by an LSA at the producer's production plant and for 2.1(iii) 2 x 50mt must be sampled by an LSA at the producer's production plant~~¹⁶. ~~The LME will also issue~~and a 28-day application to list notice. ~~is issued~~.
- 3.4 The LME will write directly to the testers and LSAs advising them of the requirements for quality testing for the application. The testing and sampling and analysis shall be accordance with the LME's instructions and procedures and all test and LSA reports should be sent directly to the LME.
- 3.5 Sampling of the test lots shall be carried out by the nominated LSA at the testers' site and/or the producer's production plant¹⁷.
- 3.6 The producer and/or Brand Lister or LME Member will be responsible for liaising with the testers and LSAs for the arrangements for testing.
- 3.7 The producer is required to provide the LME with its chemical analysis data for test lots.
- 3.8 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 extending testing will be for the cost of producer.
- 3.9 Subject to the receipt of satisfactory reports from the testers and LSAs, the reports are circulated to the LME ~~L~~ead and ~~Z~~inc ~~C~~ommittee for approval to list the brand, followed by internal executive approval and the issuance of the listing notice for the brand.
- 3.10 The LME reserves the right to audit a producer's plant at any time prior to or post the listing of a brand for verification of any aspect of the process at the cost of the producer.
- 3.11 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 the brand listing requirements and Part 6 and Part 7 of the LME Rulebook may result in the suspension or 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 may suspend or delist the brand(s).
- 3.12 The listing of a brand is also subject to the provisions of Rules 3 to 7 of Part 7 of the LME Rulebook.

¹⁶ The testing programme is subject to change at the discretion of the LME ~~and LME Llead and zZinc CCommittee~~.

¹⁷ ~~The producer will need to advise the LME in its application if there is any reason the sampling and analysis of its brand needs to place at its plant in lieu of sending 2 x 50mt to two testers.~~

4 Appendix A – Draft Letter of Undertaking

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

London Metal Exchange
10 Finsbury Square
London
EC2A 1AJ
UK

Attention – Sustainability and Physical Market Operations

(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 that 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 Lead conforming with (*delete as appropriate*) BS EN 12659:1999m GB/T 469-2013, ASTM B29-19 standard(s) and its quality will be maintained in accordance with the lots supplied for testing.
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 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 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 LME Rulebook, any amendments thereto and any Notices issued by the LME.
5. This letter of undertaking is 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.....

5 Appendix B – Draft Parent Company’s Letter of Support

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

London Metal Exchange
Sustainability and Physical Market Operations ~~Department~~
10 Finsbury Square
London
EC2A 1AJ
UK

Attention – Sustainability and Physical Market ~~Operations~~

(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.....

6 Appendix C – eCoA Requirements

6.1 What is LMEpassport?

LMEpassport is the LME's central digital depository for Certificates of Analysis (CoAs"). It replaces traditional paper CoAs or PDF records with electronic CoAs ("eCoAs"), mitigating the risk of physical document loss or damage during global transit. The use of LMEpassport became a mandatory requirement for all producers of LME-listed primary aluminium brands in October 2024; ~~and~~ for all producers of LME-listed aluminium alloy, lead, zinc, NASAAC nickel, tin and cobalt brands in October 2025 and will become a mandatory requirement for all producers of LME-listed copper brand in January 2028.

6.2 What does this mean for producers?

For metal of LME-listed lead brands to be placed on warrant, they must be accompanied by an eCoA. Therefore, producers must connect to LMEpassport and upload eCoAs for all LME-eligible material. This requirement applies to all production of an LME-listed brand whether or not it is intended for delivery into an LME warehouse.

6.3 How to connect?

- (a) There are two ways a producer can connect to LMEpassport for the purpose for creating and managing eCoAs (enhanced records).
 - (i) Application Programming Interface ("API") connection – recommended for its efficiency, scalability and automation;
 - (ii) Excel workbook upload – a manual alternative for data entry.
- (b) Producers are strongly encouraged to adopt API connection to streamline the eCoA process.
- (c) Onboarding and establishing a connection to LMEpassport typically requires 2-3 months. To avoid any delays to the application process, producers should initiate the connection process as early as possible in the brand application process.

6.4 For additional information on LMEpassport please refer to the dedicated webpage: [LMEpassport | London Metal Exchange](#).

7 Appendix D – Bundle Strapping Specifications

7.1 Table 1 – Strapping specifications for all metals/bundled shapes for producers using steel strapping.

Strap	Size	Average strength (newtons)	Applied tension (newtons)	Joint	Joint strength	Working range elongation
Steel	19mm x 0.63mm	12,000	7,000	Seal-less	80%	0.1-0.3%
Steel	19mm x 0.63mm	12,000	5,000	Metal seal	80%	0.1-0.3%

7.2 Table 2 – Strapping specifications for primary aluminium, aluminium alloy, tin, lead and zinc ingots for producers using polyester strapping.

Strap	Size	Average strength (newtons)	Applied tension (newtons)	Joint	Joint strength	Working range elongation
Polyester	15.6mm x 0.9mm	6,000	3,500	Metal seal	60%	2-3.5%
Polyester	15.6mm x 0.9mm	6,000	2,500	Friction	80%	2-3.5%

7.3 Table 3 – Strapping specifications for copper and nickel full plate cathodes for producers using polyester strapping.

Strap	Size	Average strength (newtons)	Applied tension (newtons)	Joint	Joint strength	Working range elongation
Polyester	19.0mm x 1.0mm	1,000	3,500	Metal seal	60%	2-3.5%
Polyester	19.0mm x 1.0mm	1,000	2,500	Friction	80%	2-3.5%

7.4 Table 4 – Securing method for strapping

Tool	Strap material	Joint type	Maximum applied tension (newtons)	Joint strength
Manual	Steel	Metal seal	5,000	60%
Pneumatic	Steel	Seal-less	7,000	80%
Manual	Polyester	Metal seal	3,500	60%
Pneumatic	Polyester	Friction weld	2,500	80%

8 Appendix E – LME Approved Testers for Lead Brand Applications

8.1 The following testers have been approved by the LME to receive and process the designated tonnage of metal of the brand subject to the application as part of Stage Two of the brand application process.

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	Mssrs Yang Xin and Zhang Zhikuan Tel: +86 391 6665809 Email: yangxin999@sina.com ; zzk@yggf.com.cn
Hunan Shuikoushan Nonferrous Metals Group Co., Ltd. 19 Dukou Road, Shuikoushan Town, Changning City, Hengyang HuNan City, 421513, China	Mr He Chao Email: 463432643@qq.com Ms Liu Bing Ying Email: liubingying1016@163.com Tel: +86 19894404633
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 Ltd 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@jainmetalgrou.com Mr Mayank Pareek Tel: +91 4443409494 Mobile: +91 9811999111 Email: mayank@jainmetalgrou.com
Pondy Oxides & Chemicals Ltd KRM Centre, 4th Floor #2, Harrington Road Chetpet Chennai 600031 Tamil Nadu India	Mr Ashish Bansal Tel: +91 44 4296 5454 Email: ashish@pocl.com Ms 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 Lebuah 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	Mr Jihoon Nam Tel: +82 2 3451 6167 Email: namjihoon@gbattery.com Ms Saehee Park Tel: +82 2 3451 6184 Email: saeheepark@gbattery.com Mr Donghwan Kim Tel: +82 2 3451 6165 Email: kdh8150@gbattery.com

Taiwan	Contact
Thye Ming Industrial Co. Ltd. No.6, Chu Kuang 3 St. Tafa Ind. Area Kaohsiung City, Taiwan	Ms Sophia Hwang 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	Mr John Liu Tel: +886 (0)7 222 5518 ext.211 Email: john.liu.tl@gmail.com

Thailand	Contact
Thye Ming Industrial Co. Ltd. No.6, Chu Kuang 3 St. Tafa Ind. Area Kaohsiung City, Taiwan	Ms Sophia Hwang 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	Mr John Liu Tel: +886 (0)7 222 5518 ext.211 Email: john.liu.tl@gmail.com

UK	Contact
H J Enthoven & Sons Darley Dale Smelter South Darley Matlock, Derbyshire DE4 2LP UK	Mr Stuart Thompson Tel: +44 1629 736 140 Mob: +44 7796 342074 Email: stuart.thompson@ecobat.com
Calder Industrial Materials Limited Jupiter Drive Chester West Employment Park Chester Cheshire CH1 4EX UK	Ms Claire Philliskirk 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 cong nghiep My Phuoc 2 huyen Ben Cat tinh Binh Duong 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 Binh Duong Vietnam	Mr Paul Cheng Tel: +884 650 3 568 568 Email: thyemingvietnam@gmail.com



Guidance Notes for Special High Grade Zinc Brands

LME Brand Listing Requirements

1 Brand Listing Requirements

- 1.1 Zinc producers wishing to apply for LME brand registration will only be considered if they satisfy the following criteria (the “Core Listing Requirements”):
- (a) The producer has been in business for a minimum of 12 months.
 - (b) The production plant has been in production for a minimum of ~~six~~12 months¹ ~~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.~~
 - (c) The production plant has the capacity to produce a minimum of 12,000mt per annum of zinc.
- 1.2 The producer is required to choose a Brand Lister or Category 1-4 Member to process ~~its~~their brand application (see Rulebook Part 7, Rule 1) on their behalf. Thereafter, all correspondence will be via the selected Brand Lister or selected Member.
- 1.3 Production from more than one production plant must be separately listed. Each production plant must have a different brand name.
- 1.4 Producers will be required to comply with the LME’s Policy on Responsible Sourcing of LME-Listed Brands.
- 1.5 The application is two stages, and all documentation must be submitted in English.
- 1.6 The LME and LME Clear (“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 enquiries).
- 1.7 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-refundable².

¹ ~~The LME reserves the right not to accept a brand application or to require a producer to be in production for longer than six months before considering progressing its application, should the information in the application not demonstrate consistent and stable quality and/or a producer has not reached sufficient utilisation of the plant’s design capacity.~~

² Value Added Tax (“VAT”): under current UK legislation, the LME understands that Brand Listers and 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. Brand Listers and LME Members not established in the UK who submit applications do not have to pay UK VAT to the LME regardless of the location of the producer and production operations. This information is for guidance only and relevant parties should always seek their own advice. The LME will have no liability for reliance on the above.



2 Stage One

2.1 The producer is to supply the following information in a letter on its headed paper addressed to the LME (the “Application Letter”³):

- (a) The name of the Brand Lister or LME Member process its application.
- (b) The full name and address of the producer of the brand to be listed by the LME.
- (c) Brief details of the history of the producer.
- (d) Details of the ownership of the producer.
- (e) The address of the production plant.
- (f) The name of the brand subject of the application.
- (g) The first date of production from which the producer guarantees the brand as meeting the relevant chemical specification.
- (h) The design capacity (mt).
- (i) The current annualised use of capacity (mt).
- (j) The monthly production figures for the most recent ~~six~~⁴ months.
- (k) The shape(s) to be listed; ingots and/or jumbos.
- (l) A producer must either⁵:
 - (i) ~~Provide t~~The name of two testers the producer intends to use for testing (Stage Two). The testers nominated must be from the list of LME ~~a~~Approved ~~t~~Testers of ~~z~~Zinc provided at appendix E of the Guidance Notes. The producer will need to include evidence of the testers’ willingness to test with its application; or
 - (ii) Provide the name of one tester the producer intends to use for testing (Stage Two) and a letter of support from one of its existing industry supply contracts regarding the quality of the metal in respect of the brand name listed in the application. The tester nominated must be from the list of LME approved testers of zinc provided at appendix E of the Guidance Notes. The producer will need to include evidence of the tester’s willingness to test with its application.
- (m) The names of two LME Listed Samplers and Assayers (“LSAs”) the producer intends to use to evaluate the quality of its brand (Stage Two). One LSA should be nominated to undertake sampling and analysis and one LSA should be nominated to undertake analysis only⁶.

³ The Application Letter must be signed and dated. The signatory should state their position within the producer company.

⁴ The LME reserves the right to request additional monthly production figures.

⁵ The LME Lead and Zinc Committee will provide approval of the nominated tester(s) as part of Stage Two.

⁶ The LME ~~L~~Lead and ~~Z~~Zinc ~~C~~Committee will provide approval of the nominated LSAs as part of Stage Two.

2.2 The following information and documentation (the “Additional Listing Requirements”) is to be provided by attachment to the 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 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 Support⁷ regarding the financial position of the producer⁸.
- (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 producer⁹ is a minimum of US\$ 2 million.

(b) A copy of the incorporation certificate of the producer.

(c) Details of the product as follows:

Ingots

- (i) Photographs of an ingot showing the brand name, grade, production cast reference and any other markings and/or symbols on the metal.
- (ii) Provide a sample label with the application if used. Labels used must be durable and plasticised.
- (iii) Photographs of a strapped bundle from top and side dimensions.
- (iv) Drawings of the ingot and a bundle showing all dimensions in mm and weights in kg including how many ingots in a bundle.
- (v) The following statements must be added to the drawings:
 - Each bundle is securely strapped in two dimensions with material protected against corrosion and of sufficient strength and fixing to permit safe handling by forklift truck without bundle distortion and breakage.
 - The bundle size and shape is suitable for safe and secure stacking; and
 - The bundle assembly and security is such that on removing the security straps it remains an integral free-standing bundle.

Jumbos

- (i) Photographs of the jumbo from top and side dimensions showing the brand name, grade production cast reference and any other markings and/or symbols on the metal.
- (ii) Provide a sample label with the application is used. Labels used must be durable and plasticised.
- (iii) Drawings of the jumbo showing all dimensions in mm and weight in kg.

(d) A Letter of Undertaking dated and signed on behalf of the producer¹⁰.

⁷ In accordance with the draft appended to these Guidance Notes – Appendix A.

⁸ 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.

⁹ 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.

¹⁰ In accordance with the draft appended to these Guidance Notes – Appendix B.

- (e) An outline of the production process including a process flow diagram.
 - (f) A production site plan/diagram.
 - (g) A paper detailing the sampling and analytical process, including stating the detection levels that are used for evaluating impurities and advising if any of the sampling and analytical work is outsourced.
 - (h) Chemical analysis data for the most recent three months¹¹.
 - (i) A copy of ISO 9001 certificate, or, alternative, that of ISO/TS 16949.
 - (j) Fulfilment of the LME's Policy on Responsible Sourcing of LME-Listed Brands¹²:
 - (i) Evidence of compliance with one of the four LME tracks:
 - Track A – Recognised Alignment-Assessed Standard;
 - Track B – Audited LME RFA;
 - Track C – Published LME RFA;
 - Track D – Secondary Materials.
 - (ii) A copy of ISO 14001 certificate or equivalent.
 - (iii) A copy of ISO 45001 certificate or equivalent.
 - (k) Fulfilment of the electronic Certificate of Analysis ("eCoA") requirements¹³.
 - (i) Connect to LMEpassport to create enhanced eCoA records for all LME eligible metal¹⁴.
 - (ii) Provide a sample Certificate of Analysis which must be in English (which may also be a dual language as well) and must include the date, name and address of the producer, brand name, production cast reference and associated chemical analysis¹⁵.
- 2.3 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 Special High Grade Zinc and to ensure that no testing takes place (Stage Two) until approval to do so is provided by the LME.

¹¹ The LME reserves the right to request additional chemical analysis data.

¹² For a more detailed understanding of the responsible sourcing requirements for brand listing, please see the LME's Policy on Responsible Sourcing of LME-Listed Brands and the dedicated webpage: [Responsible sourcing | London Metal Exchange](#).

¹³ For a more detailed understanding of the eCoA requirements, please see Appendix C to these Guidance Notes.

¹⁴ Producers may proceed to Stage Two at its own risk whilst in the process of connecting to LMEpassport, but connection to LMEpassport must be achieved before its brand can be listed.

¹⁵ Certificates of Analysis should demonstrate compliance with the relevant chemical specification by showing actual analysed content of the metal.

3 Stage Two

- 3.1 On receipt of all information and documentation detailed in Stage One, the LME will request such additional information and documentation as required.
- 3.2 Subject to the application meeting Stage One of the brand listing requirements, the application is circulated to the LME ~~L~~ead and ~~Z~~inc ~~C~~ommittee for approval for the application to proceed to quality testing.
- 3.3 The LME will inform the producer of the testing programme which is normally 2 x 50mt from a minimum of four production batches. For 2.1(l)(i) producers must send (1 x 50mt to each nominated tester) and for 2.1(l)(ii) producers must send 1 x 50mt to the nominated tester and 1 x 50mt must be sampled by an LSA at the producer's production plant¹⁶. The LME will also issue ~~and~~ a 28-day application to list notice ~~is issued~~.
- 3.4 The LME will write directly to the testers and LSAs advising them of the requirements for quality testing for the application. The testing and sampling and analysis shall be accordance with the LME's instructions and procedures and all test and LSA reports should be sent directly to the LME.
- 3.5 Sampling of the test lots shall be carried out by the nominated LSA at the testers' site and/or the producer's production plant¹⁷.
- 3.6 The producer and/or Brand Lister or LME Member will be responsible for liaising with the testers and LSAs for the arrangements for testing.
- 3.7 The producer is required to provide the LME with its chemical analysis data for test lots.
- 3.8 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 extending testing will be for the cost of producer.
- 3.9 Subject to the receipt of satisfactory reports from the testers and LSAs, the reports are circulated to the LME ~~L~~ead and ~~Z~~inc ~~C~~ommittee for approval to list the brand, followed by internal executive approval and the issuance of the listing notice for the brand.
- 3.10 The LME reserves the right to audit a producer's plant at any time prior to or post the listing of a brand for verification of any aspect of the process at the cost of the producer.
- 3.11 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 the brand listing requirements and Part 6 and Part 7 of the LME Rulebook may result in the suspension or 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 may suspend or delist the brand(s).
- 3.12 The listing of a brand is also subject to the provisions of Rules 3 to 7 of Part 7 of the LME Rulebook.

¹⁶ The testing programme is subject to change at the discretion of the LME ~~and LME lead and zinc committee~~.

¹⁷ ~~The producer will need to advise the LME in its application if there is any reason the sampling and analysis of its brand needs to place at its plant in lieu of sending 2 x 50mt to two testers.~~

4 Appendix A – Draft Letter of Undertaking

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

London Metal Exchange
10 Finsbury Square
London
EC2A 1AJ
UK

Attention – Sustainability and Physical Market Operations

(INSERT DATE)

In consideration of the LME maintaining our Zinc brand (*insert brand name*) in its list of brands deliverable in fulfilment of its Special High Grade Zinc contract:

1. We (*insert producer name*) undertake that the quality of our zinc brand (*insert brand name*) produced at (*insert name and address of production plant*), will meet with the requirements of the LME contract for Special High Grade Zinc conforming with either the BS EN 1179:2003 specification for zinc purity 99.995%, ISO 752:2004 specification, ASTM B6-23 specification or GB/T 470-2008 specification and its quality will be maintained in accordance with the lots supplied for testing.
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 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 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 LME Rulebook, any amendments thereto and any Notices issued by the LME.
5. This letter of undertaking is 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.....

5 Appendix B – Draft Parent Company’s Letter of Support

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

London Metal Exchange
Sustainability and Physical Market Operations ~~Department~~
10 Finsbury Square
London
EC2A 1AJ
UK

Attention – Sustainability and Physical Market ~~Operations~~

(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 Special Contract High Grade Zinc 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.....

6 Appendix C – eCoA Requirements

6.1 What is LMEpassport?

LMEpassport is the LME's central digital depository for Certificates of Analysis (CoAs"). It replaces traditional paper CoAs or PDF records with electronic CoAs ("eCoAs"), mitigating the risk of physical document loss or damage during global transit. The use of LMEpassport became a mandatory requirement for all producers of LME-listed primary aluminium brands in October 2024; ~~and~~ for all producers of LME-listed aluminium alloy, lead, zinc, NASAAC, nickel, tin and cobalt brands in October 2025 and will become a mandatory requirement for all producers of LME-listed copper brands in January 2028.

6.2 What does this mean for producers?

For metal of LME-listed zinc brands to be placed on warrant, they must be accompanied by an eCoA. Therefore, producers must connect to LMEpassport and upload eCoAs for all LME-eligible material. This requirement applies to all production of an LME-listed brand whether or not it is intended for delivery into an LME warehouse.

6.3 How to connect?

- (a) There are two ways a producer can connect to LMEpassport for the purpose for creating and managing eCoAs (enhanced records).
 - (i) Application Programming Interface ("API") connection – recommended for its efficiency, scalability and automation;
 - (ii) Excel workbook upload – a manual alternative for data entry.
- (b) Producers are strongly encouraged to adopt API connection to streamline the eCoA process.
- (c) Onboarding and establishing a connection to LMEpassport typically requires 2-3 months. To avoid any delays to the application process, producers should initiate the connection process as early as possible in the brand application process.

6.4 For additional information on LMEpassport please refer to the dedicated webpage: [LMEpassport | London Metal Exchange](#).

7 Appendix D – Bundle Strapping Specifications

7.1 Table 1 – Strapping specifications for all metals/bundled shapes for producers using steel strapping.

Strap	Size	Average strength (newtons)	Applied tension (newtons)	Joint	Joint strength	Working range elongation
Steel	19mm x 0.63mm	12,000	7,000	Seal-less	80%	0.1-0.3%
Steel	19mm x 0.63mm	12,000	5,000	Metal seal	80%	0.1-0.3%

7.2 Table 2 – Strapping specifications for primary aluminium, aluminium alloy, tin, lead and zinc ingots for producers using polyester strapping.

Strap	Size	Average strength (newtons)	Applied tension (newtons)	Joint	Joint strength	Working range elongation
Polyester	15.6mm x 0.9mm	6,000	3,500	Metal seal	60%	2-3.5%
Polyester	15.6mm x 0.9mm	6,000	2,500	Friction	80%	2-3.5%

7.3 Table 3 – Strapping specifications for copper and nickel full plate cathodes for producers using polyester strapping.

Strap	Size	Average strength (newtons)	Applied tension (newtons)	Joint	Joint strength	Working range elongation
Polyester	19.0mm x 1.0mm	1,000	3,500	Metal seal	60%	2-3.5%
Polyester	19.0mm x 1.0mm	1,000	2,500	Friction	80%	2-3.5%

7.4 Table 4 – Securing method for strapping

Tool	Strap material	Joint type	Maximum applied tension (newtons)	Joint strength
Manual	Steel	Metal seal	5,000	60%
Pneumatic	Steel	Seal-less	7,000	80%
Manual	Polyester	Metal seal	3,500	60%
Pneumatic	Polyester	Friction weld	2,500	80%

8 Appendix E – LME Approved Testers for Zinc Brand Applications

- 8.1 The following testers have been approved by the LME to receive and process the designated tonnage of metal of the brand subject to the application as part of Stage Two of the brand application process.

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
Bayannaoer Zijin Non-Ferrous Metal Co., Ltd. Wulatehouqi Industrial Zone Bayannaoer City Inner Mongolia 015543 P.R. China	Mr Li Wenxin Tel: +86 478 466 6999 Email: likinglong@163.com
Yunnan Chihong Zinc & Germanium Co Ltd. Economy & Technology Development Region Of Qujing City, Yunnan Province 655011 China	Ms Tang Gui Lin Tel: +86 874 897 9505 Email: tgl8464@163.com Mr Chai Zhenglong Tel: +86 874 896 6888 Email: chaizhenglong007@126.com
Zhuzhou Smelter Group Co Ltd Qingshuitang Zhuzhou City Hunan Province 412004 China	Yang Jing Tel: +86 731 2839 1215 Email: yangj11@minmetals.com
Henan Yuguang Zinc Industry Co., Ltd. North of Liandong Village Jiyuan City Henan Province China	Yang Xin Tel: +86 391 6665809 Email: yangxin999@sina.com Mr. Zhang Zhikuan Email: zzk@yggf.com.cn
Genesis Alloys (Ningbo) Ltd 8 Wangfang Road Wangjia Village Xiepu Development Zone Ningbo Zhenhai District Zhejiang Province China 315203	Ms Amy Ma Tel: +86 (574) 8650 7398 Email: enquiry@genesissalloys.com

Germany	Contact
Diehl Metall Stiftung & Co KG Heinrich-Diehl-Str. 9 D-90552 Rothenbach a d Pegnitz Germany	Mr Stephan Hanel Tel: +49 911 5704 151 Email: stephan.hanel@diehl.com
Metallwerk Dinslaken GmbH & Co. Kg. Kommanditgesellschaft Thyssenstrasse Tor II 46535 Dinslaken Germany	Mr Werner Morbitzer Tel: +49 2064 416 151 Email: werner.morbitzer@metallwerk-dinslaken.de
Wilhelm Grillo Handelsgesellschaft mbH Am Grillopark 5 47169 Duisburg Germany	Mr Florian Menzel Tel: +49 203 4066 121 Email: f.menzel@grillohandel.de

Hong Kong	Contact
Essence Metal (Asia)., Ltd 16 Dai Fat Street Tai Po Industrial Estate N.T. Hong Kong	Mr Tony Liu Tel: +852 2789 0282 Email: enquiry@essence-metal.com

UK	Contact
The Brock Metal Company Walsall Road Norton Canes Cannock Staffordshire WS11 3NR United Kingdom	Mr John Titley Tel: +44 (0) 1543 276666 Email: j.titley@brock-metal.co.uk
Mazak Limited Willenhall Lane Bloxwich Walsall West Midlands WS3 2XN United Kingdom	Mr Jonathan Hill Tel: +44 (0) 1922 714430 Email: jonathan.hill@mazak-limited.co.uk

USA	Contact
Eastern Alloys Inc PO Box 317 Henry Henning Drive Maybrook NY 12543 USA	Mr Richard Bauer Tel: +1 845 427 2151 Email: rhbauer@eazall.com



Guidance Notes for Nickel Brands

LME Brand Listing Requirements

1 Brand Listing Requirements

- 1.1 Nickel producers wishing to apply for LME brand registration will only be considered if they satisfy the following criteria (the “Core Listing Requirements”):
- (a) The producer has been in business for a minimum of 12 months.
 - (b) The production plant has been in production for a minimum of ~~six~~12 months¹ ~~or, if in the opinion of the LME nickel committee, adequate production capacity utilisation and satisfactory quality has been achieved at an earlier date.~~
 - (c) The production plant has the capacity to produce a minimum of 5,000mt per annum of nickel.
- 1.2 The producer is required to choose a Brand Lister or Category 1-4 Member to process ~~its~~their brand application (see Rulebook Part 7, Rule 1) on their behalf. Thereafter, all correspondence will be via the selected Brand Lister or selected Member.
- 1.3 Production from more than one production plant must be separately listed. Each production plant must have a different brand name.
- 1.4 Producers will be required to comply with the LME’s Policy on Responsible Sourcing of LME-Listed Brands.
- 1.5 The application is two stages, and all documentation must be submitted in English.
- 1.6 The LME and LME Clear (“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 enquiries).
- 1.7 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-refundable².

¹ The LME reserves the right not to accept a brand application or to require a producer to be in production for longer than six months before considering progressing its application, should the information submitted in the application not demonstrate consistent and stable quality and/or the producers has not reached sufficient utilisation of the plant’s design capacity.

² Value Added Tax (“VAT”): under current UK legislation, the LME understands that Brand Listers and 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. Brand Listers and LME Members not established in the UK who submit applications do not have to pay UK VAT to the LME regardless of the location of the producer and production operations. This information is for guidance only and relevant parties should always seek their own advice. The LME will have no liability for reliance on the above.

2 Stage One

2.1 The producer is to supply the following information in a letter on its headed paper addressed to the LME (the "Application Letter"³):

- (a) The name of the Brand Lister or LME Member process its application.
- (b) The full name and address of the producer of the brand to be listed by the LME.
- (c) Brief details of the history of the producer.
- (d) Details of the ownership of the producer.
- (e) The address of the production plant.
- (f) The name of the brand subject of the application.
- (g) The first date of production from which the producer guarantees the brand as meeting the relevant chemical specification.
- (h) The design capacity (mt).
- (i) The current annualised use of capacity (mt).
- (j) The monthly production figures for the most recent ~~six~~⁴ months⁴.
- (k) The shape(s) to be listed: full plate cathodes; cut cathodes; briquettes (bagged/drummed); pellets (bagged/drummed); and rounds (bagged/drummed).
- (l) A producer must either⁵:
 - (i) Provide the name of two testers the producer intends to use for testing (Stage Two). The testers nominated must be from the list of LME approved testers of nickel provided at appendix E of the Guidance Notes. The producer will need to include evidence of the testers' willingness to test with its application; or-
 - (ii) Provide the name of one tester the producer intends to use for testing (Stage Two) and a letter of support from one of its existing industry supply contracts regarding the quality of the metal in respect of the brand name listed in the application. The tester nominated must be from the list of LME approved testers of nickel provided at appendix E of the Guidance Notes. The producer will need to include evidence of the tester's willingness to test with its application.
- (m) The names of two LME Listed Samplers and Assayers ("LSAs") the producer intends to use to evaluate the quality of its brand (Stage Two). One LSA should be nominated to undertake sampling and analysis and one LSA should be nominated to undertake analysis only⁶.

³ The Application Letter must be signed and dated. The signatory should state their position within the producer company.

⁴ The LME reserves the right to require additional monthly production figures.

⁵ The LME Nickel Committee will provide approval of the nominated tester(s) as part of Stage Two.

⁶ The LME ~~Nickel~~ Committee will provide approval of the nominated LSAs as part of Stage Two.

2.2 The following information and documentation (the “Additional Listing Requirements”) is to be provided by attachment to the 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 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 Support⁷ regarding the financial position of the producer⁸.
- (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 producer⁹ is a minimum of US\$ 2 million.

(b) A copy of the incorporation certificate of the producer.

(c) Details of the product as follows:

Drummed and/or bagged shapes (cut cathodes, briquettes, pellets, rounds)

- (i) Photographs of the product and of the drums and/or bags, clearly showing all markings and/or symbols. The photographs must show:
 - The brand name, production batch reference and the net and gross weights of the drums and/or bags.
 - The product packaged for transportation including any pallet used.
- (ii) Provide a sample label with the application if used. Labels used must be durable and plasticised.
- (iii) Provide a sample of the tamperproof numbered seal.

Full plate cathodes

- (i) Photographs of the cathode and of strapped bundles (side and top dimensions). The photographs must show:
 - A close-up of the clips stating the brand name or of the brand name continuously marked on the strapping.
 - The net and gross weights, production cast reference and labels.
 - A bundle showing the steel or wooden skids used.
- (ii) Provide a sample label with the application if used. Labels used must be durable and plasticised.
- (iii) Drawings of the cathode and a bundle showing all dimensions in mm and weights in kg, including how many cathodes in a bundle. The following statements must be added to the drawings;

⁷ In accordance with the draft appended to these Guidance Notes – Appendix A.

⁸ 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.

⁹ 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.

- Each bundle is securely strapped in two dimensions with material protected against corrosion and of sufficient strength and fixing to permit safe handling by forklift truck without bundle distortion and breakage.
- The bundle size and shape is suitable for safe and secure stacking; and
- The bundle assembly and security is such that on removing the security straps it remains an integral free-standing bundle.

(d) A Letter of Undertaking dated and signed on behalf of the producer¹⁰.

(e) An outline of the production process including a process flow diagram.

(f) A production site plan/diagram.

(g) A paper detailing the sampling and analytical process, including stating the detection levels that are used for evaluating impurities and advising if any of the sampling and analytical work is outsourced.

(h) Chemical analysis data for the most recent three months¹¹.

(i) A copy of ISO 9001 certificate, or, alternative, that of ISO/TS 16949.

(j) Fulfilment of the LME's Policy on Responsible Sourcing of LME-Listed Brands¹²:

(i) Evidence of compliance with one of the four LME tracks:

- Track A – Recognised Alignment-Assessed Standard;
- Track B – Audited LME RFA;
- Track C – Published LME RFA;
- Track D – Secondary Materials.

(ii) A copy of ISO 14001 certificate or equivalent.

(iii) A copy of ISO 45001 certificate or equivalent.

(k) Fulfilment of the electronic Certificate of Analysis ("eCoA") requirements¹³.

(i) Connect to LMEpassport to create enhanced eCoA records for all LME eligible metal¹⁴.

(ii) Provide a sample Certificate of Analysis which must be in English (which may also be a/dual language as well) and must include the date, name and address of the producer, brand name, production cast reference and associated chemical analysis¹⁵.

2.3 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 Primary Nickel and to ensure that no testing takes place (Stage Two) until approval to do so is provided by the LME.

¹⁰ In accordance with the draft appended to these Guidance Notes – Appendix B.

¹¹ The LME reserves the right to request additional chemical analysis data.

¹² For a more detailed understanding of the responsible sourcing requirements for brand listing, please see the LME's Policy on Responsible Sourcing of LME-Listed Brands and the dedicated webpage: [Responsible sourcing | London Metal Exchange](#).

¹³ For a more detailed understanding of the eCoA requirements, please see Appendix C to these Guidance Notes.

¹⁴ Producers may proceed to Stage Two at its own risk whilst in the process of connecting to LMEpassport, but connection to LMEpassport must be achieved before its brand can be listed.

¹⁵ Certificates of Analysis should demonstrate compliance with the relevant chemical specification by showing actual analysed content of the metal.

3 Stage Two

- 3.1 On receipt of all information and documentation detailed in Stage One, the LME will request such additional information and documentation as required.
- 3.2 Subject to the application meeting Stage One of the brand listing requirements, the application is circulated to the LME ~~Nickel~~ Committee for approval for the application to proceed to quality testing.
- 3.3 The LME will inform the producer of the testing programme which is normally 2 x 6mt. For 2.1(l)(i) producers must send 1 x 6mt to each nominated tester, for 2.1(l)(ii) producers must send 1 x 50mt to the nominated tester and 1 x 50mt must be sampled by an LSA at the producer's production plant)¹⁶. The LME will also issue ~~and a 28-day application to list notice is issued.~~
- 3.4 The LME will write directly to the testers and LSAs advising them of the requirements for quality testing for the application. The testing and sampling and analysis shall be accordance with the LME's instructions and procedures and all test and LSA reports should be sent directly to the LME.
- 3.5 Sampling of the test lots shall be carried out by the nominated LSA at the testers' site and/or the producer's production plant¹⁷.
- 3.6 The producer and/or Brand Lister or LME Member will be responsible for liaising with the testers and LSAs for the arrangements for testing.
- 3.7 The producer is required to provide the LME with its chemical analysis data for test lots.
- 3.8 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 extending testing will be for the cost of producer.
- 3.9 Subject to the receipt of satisfactory reports from the testers and LSAs, the reports are circulated to the LME ~~Nickel~~ Committee for approval to list the brand, followed by internal executive approval and the issuance of the listing notice for the brand.
- 3.10 The LME reserves the right to audit a producer's plant at any time prior to or post the listing of a brand for verification of any aspect of the process at the cost of the producer.
- 3.11 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 the brand listing requirements and Part 6 and Part 7 of the LME Rulebook may result in the suspension or 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 may suspend or delist the brand(s).
- 3.12 The listing of a brand is also subject to the provisions of Rules 3 to 7 of Part 7 of the LME Rulebook.

¹⁶ The testing programme is subject to change at the discretion of the LME ~~and LME nickel committee.~~

¹⁷ ~~The producer will need to advise the LME in its application if there is any reason the sampling and analysis of its brand needs to place at its plant in lieu of sending 2 x 6mt to two testers.~~

4 Appendix A – Draft Letter of Undertaking

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

London Metal Exchange
10 Finsbury Square
London
EC2A 1AJ
UK

Attention – Sustainability and Physical Market Operations

(INSERT DATE)

In consideration of the LME maintaining our Nickel brand *(insert brand name)* in its list of brands deliverable in fulfilment of its Primary Nickel contract:

1. We *(insert producer name)* undertake that the quality of our nickel brand *(insert brand name)* produced at *(insert name and address of production plant)*, will meet with the requirements of the LME contract for Primary Nickel conforming to the *(delete as appropriate)* ASTM specification B39-79 (2023) – min 99.980% purity and/or the GB/T 6516/2010 – Ni9990 grade and its quality will be maintained in accordance with the lots supplied for testing.
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 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 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 LME Rulebook, any amendments thereto and any Notices issued by the LME.
5. This letter of undertaking is 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.....

5 Appendix B – Draft Parent Company’s Letter of Support

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

London Metal Exchange
Sustainability and Physical Market Operations ~~Department~~
10 Finsbury Square
London
EC2A 1AJ
UK

Attention – Sustainability and Physical Market ~~Operations~~

(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 Primary Nickel 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.....

6 Appendix C – eCoA Requirements

6.1 What is LMEpassport?

LMEpassport is the LME's central digital depository for Certificates of Analysis (CoAs"). It replaces traditional paper CoAs or PDF records with electronic CoAs ("eCoAs"), mitigating the risk of physical document loss or damage during global transit. The use of LMEpassport became a mandatory requirement for all producers of LME-listed primary aluminium brands in October 2024; ~~and~~ for all producers of LME-listed aluminium alloy, lead, zinc, NASAAC, nickel, tin and cobalt brands in October 2025 and will become a mandatory requirement for all producers of LME-listed copper brand in January 2028.

6.2 What does this mean for producers?

For metal of LME-listed nickel brands to be placed on warrant, they must be accompanied by an eCoA. Therefore, producers must connect to LMEpassport and upload eCoAs for all LME-eligible material. This requirement applies to all production of an LME-listed brand whether or not it is intended for delivery into an LME warehouse.

6.3 How to connect?

- (a) There are two ways a producer can connect to LMEpassport for the purpose for creating and managing eCoAs (enhanced records).
 - (i) Application Programming Interface ("API") connection – recommended for its efficiency, scalability and automation;
 - (ii) Excel workbook upload – a manual alternative for data entry.
- (b) Producers are strongly encouraged to adopt API connection to streamline the eCoA process.
- (c) Onboarding and establishing a connection to LMEpassport typically requires 2-3 months. To avoid any delays to the application process, producers should initiate the connection process as early as possible in the brand application process.

6.4 For additional information on LMEpassport please refer to the dedicated webpage: [LMEpassport | London Metal Exchange](#).

7 Appendix D – Bundle Strapping Specifications

7.1 Table 1 – Strapping specifications for all metals/bundled shapes for producers using steel strapping.

Strap	Size	Average strength (newtons)	Applied tension (newtons)	Joint	Joint strength	Working range elongation
Steel	19mm x 0.63mm	12,000	7,000	Seal-less	80%	0.1-0.3%
Steel	19mm x 0.63mm	12,000	5,000	Metal seal	80%	0.1-0.3%

7.2 Table 2 – Strapping specifications for primary aluminium, aluminium alloy, tin, lead and zinc ingots for producers using polyester strapping.

Strap	Size	Average strength (newtons)	Applied tension (newtons)	Joint	Joint strength	Working range elongation
Polyester	15.6mm x 0.9mm	6,000	3,500	Metal seal	60%	2-3.5%
Polyester	15.6mm x 0.9mm	6,000	2,500	Friction	80%	2-3.5%

7.3 Table 3 – Strapping specifications for copper and nickel full plate cathodes for producers using polyester strapping.

Strap	Size	Average strength (newtons)	Applied tension (newtons)	Joint	Joint strength	Working range elongation
Polyester	19.0mm x 1.0mm	1,000	3,500	Metal seal	60%	2-3.5%
Polyester	19.0mm x 1.0mm	1,000	2,500	Friction	80%	2-3.5%

7.4 Table 4 – Securing method for strapping

Tool	Strap material	Joint type	Maximum applied tension (newtons)	Joint strength
Manual	Steel	Metal seal	5,000	60%
Pneumatic	Steel	Seal-less	7,000	80%
Manual	Polyester	Metal seal	3,500	60%
Pneumatic	Polyester	Friction weld	2,500	80%

8 Appendix E – LME Approved Testers for Nickel Brand Applications

- 8.1 The following testers have been approved by the LME to receive and process the designated tonnage of metal of the brand subject to the application as part of Stage Two of the brand application process.

Luxembourg	Contact
Aperam Société Anonyme 12C, rue Guillaume Kroll L 1882 Luxembourg Grand-Duchy of Luxembourg	Mr Carl Landuydt Tel: +352 273627 100 Mobile: +352 621 55 65 14 Email: carl.landuydt@aperam.com
China	Contact
Xinyu Iron & Steel Co., Ltd. Yejin Road Xinyu City Jiangxi Province 338001 China	Mr. Yu Binghe Tel: +86 790 6293248 Email: YLLLB@xinsteel.com.cn
Changde Lyrun New Material Co., Ltd. Deshan Economic & Technological Development Zone Changde City Hunan Province China	Mr Feng Jinqiao Tel: +86 736 258 8059 Email: fjq@corun.com



Guidance Notes for Tin Brands

LME Brand Listing Requirements

1 Brand Listing Requirements

- 1.1 Tin producers wishing to apply for LME brand registration will only be considered if they satisfy the following criteria (the “Core Listing Requirements”):
- (a) The producer has been in business for a minimum of 12 months.
 - (b) The production plant has been in production for a minimum of ~~six~~12 months¹ ~~or, if in the opinion of the LME tin committee, adequate production capacity utilisation and satisfactory quality has been achieved at an earlier date.~~
 - (c) The production plant has the capacity to produce a minimum of 1,000mt per annum of tin.
- 1.2 The producer is required to choose a Brand Lister or Category 1-4 Member to process ~~its~~their brand application (see Rulebook Part 7, Rule 1) on their behalf. Thereafter, all correspondence will be via the selected Brand Lister or selected Member.
- 1.3 Production from more than one production plant must be separately listed. Each production plant must have a different brand name.
- 1.4 Producers will be required to comply with the LME’s Policy on Responsible Sourcing of LME-Listed Brands.
- 1.5 The application is two stages, and all documentation must be submitted in English.
- 1.6 The LME and LME Clear (“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 enquiries).
- 1.7 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-refundable².

¹ ~~The LME reserves the right not to accept a brand application or to require a producer to be in production for longer than six months before considering progressing its application, should the information in the application not demonstrate consistent and stable quality and/or the producer has not reached sufficient utilisation of the plant’s design capacity.~~

² Value Added Tax (“VAT”): under current UK legislation, the LME understands that Brand Listers and 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. Brand Listers and LME Members not established in the UK who submit applications do not have to pay UK VAT to the LME regardless of the location of the producer and production operations. This information is for guidance only and relevant parties should always seek their own advice. The LME will have no liability for reliance on the above.



2 Stage One

2.1 The producer is to supply the following information in a letter on its headed paper addressed to the LME (the "Application Letter"³):

- (a) The name of the Brand Lister or LME Member process its application.
- (b) The full name and address of the producer of the brand to be listed by the LME.
- (c) Brief details of the history of the producer.
- (d) Details of the ownership of the producer.
- (e) The address of the production plant.
- (f) The name of the brand subject of the application.
- (g) The first date of production from which the producer guarantees the brand as meeting the relevant chemical specification.
- (h) The design capacity (mt).
- (i) The current annualised use of capacity (mt).
- (j) The monthly production figures for the most recent ~~six~~⁴ months⁴.
- (k) A producer must either⁵:
 - (i) Provide ~~t~~The name of two testers the producer intends to use for testing (Stage Two). The testers nominated must be from the list of LME ~~a~~Approved ~~t~~Testers of ~~t~~Tin provided at appendix E of the Guidance Notes. The producer will need to include evidence of the testers' willingness to test with its application; ~~or-~~
 - (ii) Provide the name of one tester the producer intends to use for testing (Stage Two) and a letter of support from one of its existing industry supply contracts regarding the quality of the metal in respect of the brand name listed in the application. The tester nominated must be from the list of LME approved testers of tin provided at appendix E of the Guidance Notes. The producer will need to include evidence of the tester's willingness to test with its application.
- (l) The names of two LME Listed Samplers and Assayers ("LSAs") the producer intends to use to evaluate the quality of its brand (Stage Two). One LSA should be nominated to undertake sampling and analysis and one LSA should be nominated to undertake analysis only⁶.

³ The Application Letter must be signed and dated. The signatory should state their position within the producer company.

⁴ The LME reserves the right to request additional monthly production figures.

⁵ The LME Tin Committee will provide approval of the nominated tester(s) as part of Stage Two.

⁶ The LME ~~T~~ⁱn ~~C~~^eommittee will provide approval of the nominated LSAs as part of Stage Two.

2.2 The following information and documentation (the “Additional Listing Requirements”) is to be provided by attachment to the 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 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 Support⁷ regarding the financial position of the producer⁸.
- (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 producer⁹ 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 name, production cast reference and any other markings and/or symbols on the metal.

(d) Photographs of a strapped bundle from top and side dimensions.

(e) Provide a sample label with the application if used. Labels must be durable and plasticised.

(f) Drawings of the ingot and a bundle showing all dimensions in mm and weights in kg including how many ingots in a bundle.

(i) The following statements must be added to the drawings:

- Each bundle is securely strapped in two dimensions with material protected against corrosion and of sufficient strength and fixing to permit safe handling by forklift truck without bundle distortion and breakage.
- The bundle size and shape is suitable for safe and secure stacking; and
- The bundle assembly and security is such that on removing the security straps it remains integral free-standing bundle.

(g) A Letter of Undertaking dated and signed on behalf of the producer¹⁰.

(h) An outline of the production process including a process flow diagram.

(i) A production site plan/diagram.

⁷ In accordance with the draft appended to these Guidance Notes – Appendix A.

⁸ 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.

⁹ 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.

¹⁰ In accordance with the draft appended to these Guidance Notes – Appendix B.

- (j) A paper detailing the sampling and analytical process, including stating the detection levels that are used for evaluating impurities and advising if any of the sampling and analytical work is outsourced.
- (k) Chemical analysis data for the most recent three months¹¹.
- (l) A copy of ISO 9001 certificate, or, alternative, that of ISO/TS 16949.
- (m) Fulfilment of the LME's Policy on Responsible Sourcing of LME-Listed Brands¹²:
 - (i) Evidence of compliance with one of the four LME tracks:
 - Track A – Recognised Alignment-Assessed Standard;
 - Track B – Audited LME RFA;
 - Track C – Published LME RFA;
 - Track D – Secondary Materials.
 - (ii) A copy of ISO 14001 certificate or equivalent.
 - (iii) A copy of ISO 45001 certificate or equivalent.
- (n) Fulfilment of the electronic Certificate of Analysis ("eCoA") requirements¹³.
 - (i) Connect to LMEpassport to create enhanced eCoA records for all LME eligible metal¹⁴.
 - (ii) Provide a sample Certificate of Analysis which must be in English (which may also be in a dual language as well) and must include the date, name and address of the producer, brand name, production cast reference and associated chemical analysis¹⁵.

2.3 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 Tin and to ensure that no testing takes place (Stage Two) until approval to do so is provided by the LME.

¹¹ The LME reserves the right to request additional chemical analysis data.

¹² For a more detailed understanding of the responsible sourcing requirements for brand listing, please see the LME's Policy on Responsible Sourcing of LME-Listed Brands and the dedicated webpage: [Responsible sourcing | London Metal Exchange](#).

¹³ For a more detailed understanding of the eCoA requirements, please see Appendix C to these Guidance Notes.

¹⁴ Producers may proceed to Stage Two at its own risk whilst in the process of connecting to LMEpassport, but connection to LMEpassport must be achieved before its brand can be listed.

¹⁵ Certificates of Analysis should demonstrate compliance with the relevant chemical specification by showing actual analysed content of the metal.

3 Stage Two

- 3.1 On receipt of all information and documentation detailed in Stage One, the LME will request such additional information and documentation as required.
- 3.2 Subject to the application meeting Stage One of the brand listing requirements, the application is circulated to the LME ~~tin~~ Committee for approval for the application to proceed to quality testing.
- 3.3 The LME will inform the producer of the testing programme which is normally 2 x 5mt ~~from~~. For 2.1(l)(i) producers must send 1 x 5mt to each nominated tester and for 2.1(l)(ii) producers must send 1 x 5mt to the nominated tester and 1 x 5mt must be sampled by an LSA at the producer's production plant)¹⁶. The LME will also issue ~~and~~ a 28-day application to list notice ~~is issued~~.
- 3.4 The LME will write directly to the testers and LSAs advising them of the requirements for quality testing for the application. The testing and sampling and analysis shall be accordance with the LME's instructions and procedures and all test and LSA reports should be sent directly to the LME.
- 3.5 Sampling of the test lots shall be carried out by the nominated LSA at the testers' site and/or the producer's production plant¹⁷.
- 3.6 The producer and/or Brand Lister or LME Member will be responsible for liaising with the testers and LSAs for the arrangements for testing.
- 3.7 The producer is required to provide the LME with its chemical analysis data for test lots.
- 3.8 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 extending testing will be for the cost of producer.
- 3.9 Subject to the receipt of satisfactory reports from the testers and LSAs, the reports are circulated to the LME ~~tin~~ Committee for approval to list the brand, followed by internal executive approval and the issuance of the listing notice for the brand.
- 3.10 The LME reserves the right to audit a producer's plant at any time prior to or post the listing of a brand for verification of any aspect of the process at the cost of the producer.
- 3.11 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 the brand listing requirements and Part 6 and Part 7 of the LME Rulebook may result in the suspension or 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 may suspend or delist the brand(s).
- 3.12 The listing of a brand is also subject to the provisions of Rules 3 to 7 of Part 7 of the LME Rulebook.

¹⁶ The testing programme is subject to change at the discretion of the LME ~~and LME tin committee~~.

¹⁷ ~~The producer will need to advise the LME in its application if there is any reason the sampling and analysis of its brand needs to place at its plant in lieu of sending 2 x 5mt to two testers.~~

4 Appendix A – Draft Letter of Undertaking

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

London Metal Exchange
10 Finsbury Square
London
EC2A 1AJ
UK

Attention – Sustainability and Physical Market Operations

(INSERT DATE)

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

1. We (*insert producer name*) undertake that the quality of our tin brand (*insert brand name*) produced at (*insert name and address of production plant*), will meet with the requirements of the LME contract for Tin with a minimum tin purity of 99.85% and conforming to the BS EN 610:1996 specification and its quality will be maintained in accordance with the lots supplied for testing.
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 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 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 LME Rulebook, any amendments thereto and any Notices issued by the LME.
5. This letter of undertaking is 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.....

5 Appendix B – Draft Parent Company’s Letter of Support

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

London Metal Exchange
Sustainability and Physical Market Operations ~~Department~~
10 Finsbury Square
London
EC2A 1AJ
UK

Attention – Sustainability and Physical Market ~~Operations~~

(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 Tin 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.....

6 Appendix C – eCoA Requirements

6.1 What is LMEpassport?

LMEpassport is the LME's central digital depository for Certificates of Analysis (CoAs"). It replaces traditional paper CoAs or PDF records with electronic CoAs ("eCoAs"), mitigating the risk of physical document loss or damage during global transit. The use of LMEpassport became a mandatory requirement for all producers of LME-listed primary aluminium brands in October 2024; ~~and~~ for all producers of LME-listed aluminium alloy, lead, zinc, NASAAC, nickel, tin and cobalt brands in October 2025 and will become mandatory for all producers of LME-listed copper brands in January 2028.

6.2 What does this mean for producers?

For metal of LME-listed tin brands to be placed on warrant, they must be accompanied by an eCoA. Therefore, producers must connect to LMEpassport and upload eCoAs for all LME-eligible material. This requirement applies to all production of an LME-listed brand whether or not it is intended for delivery into an LME warehouse.

6.3 How to connect?

- (a) There are two ways a producer can connect to LMEpassport for the purpose for creating and managing eCoAs (enhanced records).
 - (i) Application Programming Interface ("API") connection – recommended for its efficiency, scalability and automation;
 - (ii) Excel workbook upload – a manual alternative for data entry.
- (b) Producers are strongly encouraged to adopt API connection to streamline the eCoA process.
- (c) Onboarding and establishing a connection to LMEpassport typically requires 2-3 months. To avoid any delays to the application process, producers should initiate the connection process as early as possible in the brand application process.

6.4 For additional information on LMEpassport please refer to the dedicated webpage: [LMEpassport | London Metal Exchange](#).

7 Appendix D – Bundle Strapping Specifications

7.1 Table 1 – Strapping specifications for all metals/bundled shapes for producers using steel strapping.

Strap	Size	Average strength (newtons)	Applied tension (newtons)	Joint	Joint strength	Working range elongation
Steel	19mm x 0.63mm	12,000	7,000	Seal-less	80%	0.1-0.3%
Steel	19mm x 0.63mm	12,000	5,000	Metal seal	80%	0.1-0.3%

7.2 Table 2 – Strapping specifications for primary aluminium, aluminium alloy, tin, lead and zinc ingots for producers using polyester strapping.

Strap	Size	Average strength (newtons)	Applied tension (newtons)	Joint	Joint strength	Working range elongation
Polyester	15.6mm x 0.9mm	6,000	3,500	Metal seal	60%	2-3.5%
Polyester	15.6mm x 0.9mm	6,000	2,500	Friction	80%	2-3.5%

7.3 Table 3 – Strapping specifications for copper and nickel full plate cathodes for producers using polyester strapping.

Strap	Size	Average strength (newtons)	Applied tension (newtons)	Joint	Joint strength	Working range elongation
Polyester	19.0mm x 1.0mm	1,000	3,500	Metal seal	60%	2-3.5%
Polyester	19.0mm x 1.0mm	1,000	2,500	Friction	80%	2-3.5%

7.4 Table 4 – Securing method for strapping

Tool	Strap material	Joint type	Maximum applied tension (newtons)	Joint strength
Manual	Steel	Metal seal	5,000	60%
Pneumatic	Steel	Seal-less	7,000	80%
Manual	Polyester	Metal seal	3,500	60%
Pneumatic	Polyester	Friction weld	2,500	80%

8 Appendix E – LME Approved Testers for Tin Brand Applications

- 8.1 The following testers have been approved by the LME to receive and process the designated tonnage of metal of the brand subject to the application as part of Stage Two of the brand application process.

Brazil	Contact
MAHLE Metal Leve S.A. Av. 31 de Março 2000 09660-000 São Bernardo do Campo Brazil	Mr Carlos Alberto Berti Process and Production Engineering Tel: +55(11) 4173-0763 Email: carlos.berti@br.mahle.com
China	Contact
Asahi Metals (Shenzhen) Ltd Building A, 1st Floor, HuaNing Science and Technology Park, Area B, No.13 LiRong Road, XinShi Community, DaLang Street, LongHua District 518109, Shenzhen 518109, China	Kho Yock Lim Tel: +8613631613893 Email: ylkho@sinasahi.com.sg
Yunnan Tin Co., Ltd No.471 Minhang road, Guandu District Kunming, Yunnan, China	Mr, Ye Yongsheng Tel: +86 871 67157070 Email: yysheng-6371@163.com
Japan	Contact
Senju Metal Industry Co., Ltd 23 Senju Hashido-cho Adachi-ku Tokyo 120-8555 Japan	Mr Shinichi Fujiwara Tel: +81 285 82 1215 Email: sfujiwara@senju.com
South Korea	Contact
TCC Steel Corp. Dongyang Tower 93 Dangsang-Dong 4 ga Yeongdeungpo-gu Seoul 150-722, KOREA	Mr JG Ahn Tel: +82 54 289 1265 Email: jgahn@tccsteel.com

Singapore	Contact
Singapore Asahi Chemical & Solder Industries Pte Ltd 47, Pandan Road Singapore 609288	Mr Vincent Kho Tel: +65 6262 1616 Email: vincentkho@sinasahi.com.sg

Taiwan	Contact
Shenmao Technology Inc. No. 12-1 Gongye 2 nd Road Guanyin Industrial Area, Taoyuan County 328 Taiwan	Mr Tim Lin Tel: +886 3 416 0177 E-mail: timlin@shenmao.com

Guidance Notes for Cobalt Brands

LME Brand Listing Requirements

1 Brand Listing Requirements

- 1.1 Cobalt producers wishing to apply for LME brand registration will only be considered if they satisfy the following criteria (the “Core Listing Requirements”):
- (a) The producer has been in business for a minimum of 12 months.
 - (b) The production plant has been in production for a minimum of ~~six~~12 months on submission of an application but the production plant must reach 12 months production before the brand can be listed¹.
- 1.2 The producer is required to choose a Brand Lister or Category 1-4 Member to process ~~its~~their brand application (see Rulebook Part 7, Rule 1) on their behalf. Thereafter, all correspondence will be via the selected Brand Lister or selected Member.
- 1.3 Production from more than one production plant must be separately listed. Each production plant must have a different brand name.
- 1.4 Producers will be required to comply with the LME’s Policy on Responsible Sourcing of LME-Listed Brands.
- 1.5 The application is two stages, and all documentation must be submitted in English.
- 1.6 The LME and LME Clear (“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 enquiries).
- 1.7 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-refundable².

¹ The LME reserves the right not to accept a brand application or to require a producer to be in production beyond the minimum requirements set out in 1.1(b) before considering progressing its application, should the information submitted in the application not demonstrate consistent and stable quality and/or the producer has not reached sufficient utilisation of the plant’s design capacity.

² Value Added Tax (“VAT”): under current UK legislation, the LME understands that Brand Listers and 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. Brand Listers and LME Members not established in the UK who submit applications do not have to pay UK VAT to the LME regardless of the location of the producer and production operations. This information is for guidance only and relevant parties should always seek their own advice. The LME will have no liability for reliance on the above.



2 Stage One

- 2.1 The producer is to supply the following information in a letter on its headed paper addressed to the LME (the “Application Letter”³):
- (a) The name of the Brand Lister or LME Member process its application.
 - (b) The full name and address of the producer of the brand to be listed by the LME.
 - (c) Brief details of the history of the producer.
 - (d) Details of the ownership of the producer.
 - (e) The address of the production plant.
 - (f) The name of the brand subject of the application.
 - (g) The first date of production of the plant.
 - (h) The first date of production from which the producer guarantees the brand as meeting its individual chemical specification.
 - (i) The design capacity (mt).
 - (j) The current annualised use of capacity (mt).
 - (k) The monthly production figures for the most recent 12 months. Producers who have been in production for less than 12 months are to provide monthly production figures for the most recent 6 months on submission of its application with a further 6 months provided when 12 months production has been reached⁴.
 - (l) The shape(s) to be listed: cut cathodes, broken cathodes, rounds, briquettes, coarse grain powder⁵.
- 2.2 The following information and documentation (the “Additional Listing Requirements”) is to be provided by attachment to the 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 the producer cannot provide three consecutive profitable externally audited financial statements, the parent company of the producer must provide three consecutive

³ The Application Letter must be signed and dated. The signatory should state their position within the producer company.

⁴ Monthly production figures for a further 6 months are to be provided before the brand can be listed.

⁵ Coarse grain powder must be <0.01% of respirable size fraction.

- profitable externally audited financial statements and a signed Letter of Support⁶ regarding the financial position of the producer⁷.
- (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 producer⁸ is a minimum of US\$ 2 million.
- (b) A copy of the incorporation certificate of the producer.
- (c) Details of the product as follows:
- (i) Photographs of the product(s) to be listed.
 - (ii) Photographs the drums, clearly showing all markings and/or symbols. The photographs must show:
 - The brand name, production batch reference and the net and gross weights of the drums.
 - The product packaged for transportation including any pallet used.
 - (iii) Provide a sample label with the application if used. Labels used must be durable and plasticised.
 - (iv) Provide a sample of the tamperproof numbered seal.
- (d) A Letter of Undertaking dated and signed on behalf of the producer⁹.
- (e) An outline of the production process including a process flow diagram.
- (f) A production site plan/diagram.
- (g) A paper detailing the sampling and analytical process, including stating the detection levels that are used for evaluating impurities and advising if any of the sampling and analytical work is outsourced.
- (h) Chemical analysis data for the most recent three months. Producers who have been in production for less than 12 months are to provide additional chemical analysis data for a further three months before the brand can be listed.
- (i) The established values of each of the following elements: C, Cd, Cu, Fe, Mn, Ni, Pb, S and Zn must be included in the analysis data provided and should not exceed the following maximums: C - 0.02%, Cd - 0.005%, Cu - 0.03%, Fe - 0.3%, Mn - 0.05%, Ni - 0.33%, Pb - 0.01%, S - 0.010% and Zn - 0.01%. In the case of coarse grain powder, the maximum for C is - 0.1% and S is - 0.04%.

These values are for guidance only. The maximum levels of each element reported in the chemical analysis data will be assessed against the individual specification of the brand.

⁶ In accordance with the draft appended to these Guidance Notes – Appendix A.

⁷ 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.

⁸ 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.

⁹ In accordance with the draft appended to these Guidance Notes – Appendix B.

- (i) Individual chemical specification for the brand.
- (j) Letters of support for the brand from a minimum of two customers from its existing industry supply contracts.
- (k) A copy of ISO 9001 certificate, or, alternative, that of ISO/TS 16949.
- (l) Fulfilment of the LME's Policy on Responsible Sourcing of LME-Listed Brands¹⁰:
 - (i) Evidence of compliance with one of the four LME tracks:
 - Track A – Recognised Alignment-Assessed Standard;
 - Track B – Audited LME RFA;
 - Track C – Published LME RFA;
 - Track D – Secondary Materials.
 - (ii) A copy of ISO 14001 certificate or equivalent.
 - (iii) A copy of ISO 45001 certificate or equivalent.
- (m) Fulfilment of the electronic Certificate of Analysis ("eCoA") requirements¹¹.
 - (i) Connect to LMEpassport to create enhanced eCoA records for all LME eligible metal.
 - (ii) Provide a sample Certificate of Analysis which must be in English (which may also be in a/ dual language as well) and must include the date, name and address of the producer, brand name, production cast reference and associated chemical analysis¹².

2.3 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 Cobalt and to ensure that no testing takes place (Stage Two) until approval to do so is provided by the LME.

¹⁰ For a more detailed understanding of the responsible sourcing requirements for brand listing, please see the LME's Policy on Responsible Sourcing of LME-Listed Brands and the dedicated webpage: [Responsible sourcing | London Metal Exchange](#).

¹¹ For a more detailed understanding of the eCoA requirements, please see Appendix C to these Guidance Notes.

¹² Certificates of Analysis should demonstrate compliance with the brand's individual chemical specification by showing actual analysed content of the metal.

3 Stage Two

- 3.1 On receipt of all information and documentation detailed in Stage One, the LME will request such additional information and documentation as required.
- 3.2 The LME reserves the right to require sampling and analysis of the brand by an LME Listed Sampler and Assayer ("LSA").
- 3.3 Subject to the application meeting Stage One of the brand listing requirements, the application is circulated to the LME Ceo balt Ceo mittee for approval to list the brand and the 28-day application to list notice is issued, followed by internal executive approval and the issuance of the listing notice.
- 3.4 The LME reserves the right to audit a producer's plant at any time prior to or post the listing of a brand for verification of any aspect of the process at the cost of the producer.
- 3.5 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 the brand listing requirements and Part 6 and Part 7 of the LME Rulebook may result in the suspension or 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 may suspend or delist the brand(s).
- 3.6 The listing of a brand is also subject to the provisions of Rules 3 to 7 of Part 7 of the LME Rulebook.

4 Appendix A – Draft Letter of Undertaking

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

London Metal Exchange
10 Finsbury Square
London
EC2A 1AJ
UK

Attention – Sustainability and Physical Market Operations

(INSERT DATE)

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

1. We (*insert producer name*) undertake that the quality of our cobalt brand (*insert brand name*) produced at (*insert name and address of production plant*), will meet with the requirements of the LME contract for Cobalt and conform to the chemical specification of the brand as established at the time of application.
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 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 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 LME Rulebook, any amendments thereto and any Notices issued by the LME.
5. This letter of undertaking is 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.....

5 Appendix B – Draft Parent Company’s Letter of Support

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

London Metal Exchange
Sustainability and Physical Market Operations ~~Department~~
10 Finsbury Square
London
EC2A 1AJ
UK

Attention – Sustainability and Physical Market ~~Operations~~

(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 Cobalt 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.....

6 Appendix C – eCoA Requirements

6.1 What is LMEpassport?

LMEpassport is the LME's central digital depository for Certificates of Analysis (CoAs"). It replaces traditional paper CoAs or PDF records with electronic CoAs ("eCoAs"), mitigating the risk of physical document loss or damage during global transit. The use of LMEpassport ~~became~~ become a mandatory requirement for all producers of LME-listed primary aluminium brands in October 2024; ~~and~~ and for all producers of LME-listed aluminium alloy, lead, zinc, NASAAC, nickel, tin and cobalt brands in October 2025 and will become a mandatory requirement for all producers of LME-listed copper brands in January 2028.

6.2 What does this mean for producers?

For metal of LME-listed cobalt brands to be placed on warrant, they must be accompanied by an eCoA. Therefore, producers must connect to LMEpassport and upload eCoAs for all LME-eligible material. This requirement applies to all production of an LME-listed brand whether or not it is intended for delivery into an LME warehouse.

6.3 How to connect?

- (a) There are two ways a producer can connect to LMEpassport for the purpose for creating and managing eCoAs (enhanced records).
 - (i) Application Programming Interface ("API") connection – recommended for its efficiency, scalability and automation;
 - (ii) Excel workbook upload – a manual alternative for data entry.
- (b) Producers are strongly encouraged to adopt API connection to streamline the eCoA process.
- (c) Onboarding and establishing a connection to LMEpassport typically requires 2-3 months. To avoid any delays to the application process, producers should initiate the connection process as early as possible in the brand application process.

6.4 For additional information on LMEpassport please refer to the dedicated webpage: [LMEpassport | London Metal Exchange](#).