

Electronic Volume Programme – Participant Application Form



By ticking this box and executing this Participant Application Form, the Participant agrees to comply with the terms of: (i) LME Incentive Programme General Terms; (ii) the specification for the Electronic Volume Programme; and (iii) any terms that might be set out in this application form.

Please ensure that the information provided is clear and correct. Any errors in the completion of this form and/or any accompanying documents or spreadsheets may delay the processing of this application form and the subsequent processing of incentive payments so please ensure this form is completed accurately. The completed form and any accompanying documents and/or spreadsheets should be returned by email to incentive.programmes@lme.com

The LME shall treat all Personal Data provided to it by the Member and the Participant in accordance with the LME Privacy Statement, the current version of which can be found on the LME's website at <https://www.lme.com/en-gb/about-us/legal-disclaimer/privacy-policy/>

PARTICIPANT DETAILS

Contact name*

Company under which volume is to be accumulated¹

Telephone number

Email*

Primary trading location address

End Client PTRM code (Broker Client ID) used for trading (Previously Tag 58, include all as applicable)

Client code(s) of all position accounts where trades clear If different from End Client PTRM code (Broker Client ID), and where clearing account holders are different from the executing entity

LME member through which the Participant will Trade*

Unique application reference (this links this document with the excel file)*

*

Participant using multiple clearers:

If participant is using EVP with more than one clearer, please indicate here²:

¹ Please ensure accurate spelling of 'Participant' name; as well as the End Client PTRM code (Broker Client ID) details precisely matching the associated 'client cross' booking (by the member) as any incorrect characters may lead to rebates not being calculated correctly, partially or no rebates being paid at all

² The EVP is calculated on a cumulative basis, amalgamating eligible volume across clearers. Should Clients intend to use multiple clearers for the EVP this must be specified on each application submitted by their clearer. This is to ensure all eligible volume is captured for any ensuing rebates.

LME MEMBER'S COMPLIANCE DEPARTMENT

AUTHORISATION (to be completed and signed by the LME member's compliance officer)

| | |
|--------------------|----------------------|
| Name of signatory: | <input type="text"/> |
| Job title: | <input type="text"/> |
| Company: | <input type="text"/> |
| Email address: | <input type="text"/> |
| Date (dd/mm/yyyy): | <input type="text"/> |
| Signature: | <input type="text"/> |

LME CLEARING MEMBER DETAILS

AUTHORISATION (to be completed and signed by the Clearing Member)

| | |
|--------------------|----------------------|
| Name of signatory: | <input type="text"/> |
| Job title: | <input type="text"/> |
| Company: | <input type="text"/> |
| Email address: | <input type="text"/> |
| Date (dd/mm/yyyy): | <input type="text"/> |
| Signature: | <input type="text"/> |

Please return the completed form and any accompanying documents and/or spreadsheets via email to incentive.programmes@lme.com

LME MEMBER DETAILS

NB: where the executing broker and the Clearing Member are the same entity, you need only complete the Clearing Member section, but the compliance department of the LME member must always complete their section of this form. The executing broker may only be different to the clearing member where the executing broker is a Category 4 Member.

Executing broker and Clearing Member are the same

LME EXECUTING BROKER DETAILS (where different to the Clearing Member)

AUTHORISATION (to be completed and signed by the executing broker) Name of signatory:

| | |
|--------------------|----------------------|
| Job title: | <input type="text"/> |
| Company | <input type="text"/> |
| Email address: | <input type="text"/> |
| Date (dd/mm/yyyy): | <input type="text"/> |
| Signature: | <input type="text"/> |