LMEselect

Direct Market Access (DMA) Provider – Notification of Client

LME Members wishing to provide a Client with Direct Market Access ("**DMA**") must notify the LME in advance of the service being activated to that Client. To provide notification of a new DMA Client, please complete the form below.

This form addresses obligations imposed upon Regulated Investment Exchanges ("**UK RIE**") under the UK MiFID Framework[1] and Financial Conduct Authority ("**FCA**") Handbook ("**FCA Handbook**"), with particular reference to Article 21 of the UK version of Commission Delegated Regulation (EU) No 2017/584 ("**UK MiFID RTS 7**").

DMA Providers are responsible for ensuring the information provided is clear and correct. The completed form and any accompanying documents should be returned by email to tradingoperations@lme.com.

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

LME Member Details *(all fields required)*

LME Member Name:	

Authorised Personnel Contact Details

Name:	
Telephone number:	
Email:	

DMA Client Details *(all fields required)*

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

DMA Client Controls *(all fields required)*

The DMA Provider is at all times responsible for the activity of the DMA Client and for ensuring compliance with the UK version of Commission Delegated Regulation (EU) No 2017/589 ("**UK MiFID RTS 6**") and the LME Rulebook. Please provide sufficient details about the DMA Client and the controls that will be in place to govern market access:

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

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

LME MEMBER'S COMPLIANCE DEPARTMENT

We hereby confirm the following:

☐ the information provided in this form is accurate;

☐ we understand our obligations as required by UK MiFID RTS 6, have undertaken the due diligence required by UK MiFID RTS 6 on the DMA Client and can confirm we are satisfied with their suitability to have DMA to the LME;

☐ we have established appropriate policies and procedures to ensure that the trading of the DMA Client complies with UK MiFID Framework and the LME Rulebook;

☐ all relevant regulatory requirements, including but not limited to those set out in UK MiFID Framework, and all relevant rules of the LME Rulebook have been complied with;

☐ we are satisfied that we have the appropriate regulatory permissions to provide direct electronic access in the jurisdiction in which the DMA Client is located;

☐ we are satisfied that by providing direct electronic access in the jurisdiction in which the DMA Client is located, we are not putting the LME in breach of any legal or regulatory obligations to which it might be subject within that jurisdiction or would bring the LME into disrepute with the regulatory authority within such jurisdiction;

☐ we accept and understand that we are responsible for all obligations and liabilities arising from the trading activity undertaken on the LME by the DMA Client and for ensuring continued compliance with the UK MiFID Framework, including as required in UK MiFID RTS 6, and the LME Rulebook;

☐ we shall monitor DMA Clients' use of Direct Electronic Access (DEA) facilities and any transactions executed through such facilities in order to identify infringements of the requirements in UK MiFID Framework and/or the LME Rulebook, and in the event that an infringement is identified, we shall notify the LME in accordance with Regulation 12.6(m) of the Membership Regulations;

☐ we have notified the FCA of our provision of DMA as part of our DEA arrangements.

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

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