

Membership Declaration Form completion notes

In accordance with the Rules of the London Stock Exchange, member firms are required to inform the London Stock Exchange of the number of people who are employed or engaged in business in respect of investments traded on the Exchange. Employees should fall within the categories defined below:

- i Directors
- ii Compliance personnel
- iii Partners (whether equity, salaried or limited)
- iv Managers (senior executives who are responsible either alone or jointly for managing a specified part of the firm's business as described above)
- v Traders (those persons, other than Directors, Partners, Managers and Investment advisers who commit your firm in dealings on one or more of the Exchange's markets)
- vi Investment Advisers (those persons other than Directors, Partners or Managers who advise clients on investments)
- vii Research staff (those persons who prepare research in respect of investments traded on the Exchange and/or who are involved in conveying research recommendations; secretarial and administrative support staff should be excluded)
- viii Corporate Finance staff (those engaged in any activities undertaken in the course of providing corporate finance advice but excluding secretarial and administrative support staff)
- ix Settlement (only for firms providing settlement agency services) those persons, other than Directors, Partners, Managers and Investment Advisers who ensure that trades are cleared and settled.

Where the relevant personnel fall within more than one category, include them once only.

Relevant personnel employed by a service company or other non-member entity are to be included.

A relevant person may be excluded if less than 15 per cent of his/her work for the member firm involves business in respect of investments traded on the Exchange.

Notes

1. Changes to number of staff must be notified to the Exchange in accordance with the Rules of the London Stock Exchange and will be taken into account when setting the following year's membership fees. Resignation part way through a year will not be refundable.



London
Stock Exchange



Membership Declaration Form

In accordance with the Rules of the London Stock Exchange, please provide the information set out below and return the completed form to the Client Implementation Team:

This form either can be returned by fax on **+44 (0)20 7920 4603** or mailed to:

**Client Implementation Team
London Stock Exchange
10 Paternoster Square
London
EC4M 7LS**

Name of firm	
	Number of People:
Directors/Partners	
Compliance	
Managers	
Traders	
Investment Advisers	
Research	
Corporate Finance	
Settlement, only for firms providing settlement agency services.	
	Total:
Signature of Director/Partner	
Name	
Date	