



SETS CCP Static Data Form

This form should be completed by London Stock Exchange (the Exchange) member firms to establish clearing and settlement arrangements for each Trader Group to be used for trading in SETS Clearing.

Existing London Stock Exchange Member New London Stock Exchange Member

London Stock Exchange Member Details

Company name (Legal Entity):

Member Firm ID:

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Head Office Address:

Trader Group ID*:

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*** Firms with multiple trader groups should complete additional Trader Group IDs in Appendix A**

Multiple Trader Groups IDs should only be completed where the clearing and settlement arrangements are the same for all listed Trader Group IDs. Individual forms must be completed where this arrangement differs.

All Trader Groups entered on this form will be netted together for clearing and settlement purposes.

Please tick the appropriate box to indicate your relationship with SIX x-clear (x-clear):

NCM GCM ICM

If applying as an NCM, will settlement services be provided on a Model B basis?
Y/N:

If yes, please enter the name of the SETS Model B provider:

Settlement Firm ID

Existing Settlement Firm ID New Settlement Firm ID

Please enter the appropriate Settlement Firm ID in the space provided

Settlement Firm ID										

Clearing Arrangements

Clearing Member Name:

Please complete your clearing arrangements in the table below:

Dealing Capacity (P or A)	House or Client Account (H or C) ¹	Clearing Member ID in CREST	Clearing Member ID at x-clear (GCM-NCM)	Clearing Member ID at x-clear (-NCM)

Settlement Arrangements

Settlement Provider:

Dealing Capacity (P or A)	CREST System Participant ID	CREST Member Account ID

Transaction Reporting SWIFT BIC:

¹ At SIX x-clear account will also be captured as the default clearing account for the respective Dealing Capacity. In case both H and C account are requested, H will be captured as default.

Contacts

Please provide a settlement contact (this may be a contact at your settlement agent), a compliance contact and a corporate actions contact.

	Name	Position	Phone Number
Settlement			
Compliance			
Corporate Actions			

Further documentation required to be submitted to the Exchange

- All participants must ensure that an up to date list of authorised personnel is registered with the Exchange for the deletion of orders at Member ID level. This is available from <http://www.londonstockexchange.com/en-gb/products/membershiptrading/rulesreg/regformsagreements.htm>

Declaration

Confirmation by the Non Clearing Member:

We declare that the information is complete and correct and we undertake to notify either; EUI, x-clear, or the Exchange immediately of any changes in the information provided in this form that occur after the date of submission of the form.

FIRMS ARE ADVISED THAT THE ABOVE STATIC DATA IS VALIDATED BY THE EXCHANGE AT THE POINT OF ORDER SUBMISSION. IN THE EVENT THAT YOU SUBMIT AN ORDER AND RECEIVE A MESSAGE ADVISING THAT THE ORDER HAS BEEN REJECTED, DUE TO THE INCORRECT SET UP OF STATIC DATA IN YOUR SYSTEMS, THE EXCHANGE IS UNABLE TO MAKE AN INTRA DAY CHANGE TO RESOLVE THIS ERROR. YOU WILL BE REQUIRED TO RESOLVE THE ISSUES WITH THE STATIC DATA ON YOUR SYSTEMS BEFORE YOU WILL BE ABLE TO TRADE

For and on behalf (Name of NCM)	
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Signature	
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Name	
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Position	
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Date	
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Please note that NCM applications must be countersigned by the General Clearing Member (GCM).

Confirmation by the Clearing Member.

For and on behalf (Name of GCM/ICM)	
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Signature	
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Name	
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Position	
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Date	
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NOTE TO GENERAL CLEARING MEMBERS

General Clearing Members are required to ensure that all information given by the Non Clearing Member whose business they are clearing are both accurate and a reflection of existing relationships set up at x-clear.

Appendix A – Firms Trader Groups

Only to be completed by firms with multiple Trader Group IDs – include any trader groups not included on page 1.

Multiple Trader Group IDs should only be completed where the clearing and settlement arrangements are the same for all listed Trader Group IDs. Individual forms must be completed where this arrangement differs.

Please complete additional Trader Groups below:

Trader Group ID:

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Trader Group ID:

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Trader Group ID:

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Trader Group ID:

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Trader Group ID:

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