

### Attachment 3

**[Please return the below letter, duly completed and signed by an appropriately senior officer of the member firm, on headed paper.]**

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

[Enter firm address and date here]

Dear sir/madam

#### **PROVISION OF A MEMBER AUTHORISED CONNECTION**

[Firm name] hereby requests that the London Stock Exchange permit us to provide [customer name] with a member authorised connection to TradElect<sup>®</sup>. The details of [customer name] are as follows:

[Customer name]  
[Address of customer's head office in full]  
[Customer's country of incorporation]

We confirm that, in accordance with the Rules of the London Stock Exchange ("the rules"), we have undertaken due diligence regarding the suitability of [customer name] to have a member authorised connection to TradElect<sup>®</sup>, and have satisfied ourselves that [customer name] has:

- sufficient staff with adequate knowledge, experience, training and competence for the activities [customer name] will undertake on the Exchange's order books; and
- adequate internal procedures and controls for these activities.

Furthermore, we confirm that we will have arrangements in place to satisfy ourselves on an ongoing basis that [customer name] continues to meet these requirements and, when requested, we will provide information to the Exchange with respect to this. As required under the rules, we will notify the Exchange immediately if we become aware that [customer name] no longer meets the requirements and will cooperate with the Exchange to halt [customer name]'s member authorised connection.

With respect to order entry controls, we have attached to this letter a clear and concise systems diagram indicating the technical connectivity arrangements through which [customer's name] will connect to the Exchange and where within this connection our controls will be placed. In addition, we have included an explanation of how the controls will operate in practice and how we will maintain them. We understand that the Exchange will want to

discuss these controls with us prior to agreeing to the member authorised connection being provided to [customer's name] and will visit us as part of this.

Finally, we accept that we remain liable for all trading activity undertaken on Exchange under our trading codes, including that activity undertaken by customers via a member authorised connection, and that we must have in place sufficient order management systems, procedures and controls designed to prevent the entry of erroneous orders to TradElect®.

Yours sincerely,

[Enter name, title and contact details here]