MEMBER FIRM PRIVATE CLIENT BROKER DECLARATION

Member Firm name:

Head office address:

On an annual basis, Member Firms that meet the criteria to qualify as a Private Client Broker, as defined below, will be provided with £2,500 of order book trading and/or trade reporting credits for equities, exchange-traded funds (ETFs) and exchange-traded products (ETPs). As a result, such Member Firms will not be charged for the first £2,500 worth of order book trading and/or trade reporting on equities, ETFs and ETPs, after which normal charges will apply. The credits will not be transferable across financial years. For more details on trade and trade reporting fees, please refer to the trading services price list.

To be eligible for the scheme, a Member Firm must meet the following criteria to be defined as a Private Client Broker:

a. The Member Firm facilitates retail client business in an agent capacity
b. 90% of the Member Firm's activity by number of trades in the previous 12-month period has to be in an agency capacity for retail clients as set out above in (a)
c. Retail clients are defined in accordance with the FCA Handbook
d. The Member Firm has formally declared to London Stock Exchange that it meets these criteria by signing this Private Client Broker Declaration Form

By signing this declaration, you are confirming that your firm meets the criteria as set out above. Should there be a change in your business which means your firm may not meet the criteria, you are required to immediately inform London Stock Exchange.

For and on behalf of:

Name:

Position:

Date:

Signature:

LONDON STOCK EXCHANGE