

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 the obligations imposed upon trading venues as set out in the UK version of Commission Delegated Regulation (EU) No 2017/589 (“UK RTS 7”), with particular reference to Article 21.

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:	
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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 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:

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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 RTS 6, have undertaken the due diligence required by 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 MiFID II and the LME Rulebook;

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

- 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 MiFID II, including as required in UK 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 MiFID II 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 Financial Conduct Authority (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:	