

INTENT TO TRADE EUROPEAN EXCHANGES OTHER THAN LME

R.J. O'Brien & Associates, LLC (RJO) maintains relationships with multiple clearing houses in the European Union (EU). In order to allow for customers to access and trade on these exchanges, RJO must ensure that it and its customers are complying with all current and future regulatory & exchange requirements, including those requirements applicable in the EU that impact RJO and its customers.

Regulation (EU) No 600/2014 of May 14, 2014 (MiFIR) is effective on January 3, 2018. Amongst the requirements imposed upon firms like RJO will be the requirement to comply with new transaction reporting requirements.

As of January 3, 2018, RJO will only be able to facilitate transactions with counterparties which have provided the MiFID information requested below. Please note that the information requested differs by account type. Account types associated with persons will require Country of Nationality AND Date of Birth or Passport Number, while account types associated with a legal entity will require a Legal Entity Identifier.

RJO requires for LME a separate disclosure form that must be signed by the end client. This form does not require a client signature, but must be completed if your client intends to trade on other European exchanges.

Please check which European exchange(s), other than the LME, this account may trade:

Exchange	Representative Products/Sectors
<input type="checkbox"/> Eurex	<ul style="list-style-type: none"> • Interest Rates • DAX and STOXX indices
<input type="checkbox"/> ICE Futures Europe	<ul style="list-style-type: none"> • Crude Oil and refined products • Natural Gas Liquids • Coal • Petrochemicals • Emissions
<input type="checkbox"/> Euronext Paris (MATIF/MONEP)	<ul style="list-style-type: none"> • Agricultural products and CAC Indices (MATIF) • Equity indices (MONEP)
<input type="checkbox"/> MEFF (Mercado Español de Futuros Financieros)	<ul style="list-style-type: none"> • IBEX indices
<input type="checkbox"/> IDEM (Borsa Italiana)	<ul style="list-style-type: none"> • FTSE MIB

***Please note that accounts will be unable to trade products
on the above exchanges if this form is not completed.***

Account Information

Account Name

Account Number(s)

Required MiFID Information

For Entity Accounts

Legal Entity Identifier (LEI)

Email address

LEI of Parent Company (if applicable)

Email address of contact at Parent Company

For Individual, Joint or Sole Proprietor Accounts

Country of Nationality

Passport Number OR Date of Birth*

* Date of Birth should only be provided if account holder has no passport

Please return form to CustomerAccountsDept@rjobrien.com