

INTENT TO TRADE CERTAIN EXCHANGES

Regulation (EU) No 600/2014 of May 14, 2014 (“MiFIR”) became effective on January 3, 2018. This regulation requires firms like R.J. O’Brien & Associates, LLC (“RJO”) to comply with new transaction reporting requirements related to clients who access and trade on exchanges in the European Union (“EU”). Additionally, similar requirements are also in place for clients who access and trade on the London Metal Exchange (“LME”) and ICE Futures Europe.

RJO will only be able to facilitate EU, LME, and ICE Futures Europe transactions with counterparties which have provided the information requested below. Account types associated with natural persons will require information specific to their country of nationality, while account types associated with a legal entity will require a Legal Entity Identifier (LEI). Any individual who will execute trades for an entity will also be required to provide the same identifying information as an individual account owner. If applicable, please duplicate this page and provide the requested information for every individual who may trade an entity account.

*Please note that RJO requires a separate disclosure form that must be signed by clients that intend to trade LME.
Please note that RJO requires a separate attestation form that must be signed by clients that intend to trade ICE Endex.
Please check which exchange(s) you intend to trade so that your account can be set up properly:*

Exchange	Representative Products/Sectors
<input type="checkbox"/> London Metal Exchange (LME)	<ul style="list-style-type: none"> Metals
<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"> Agricultural Commodities Energies¹ Interest Rates Equity Indices
<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
<input type="checkbox"/> OMX (Nasdaq OMX Nordix)	<ul style="list-style-type: none"> OMX Indices
<input type="checkbox"/> ICE Endex	<ul style="list-style-type: none"> Energies

¹ Includes Oil and refined products, LNG, Natural Gas and Natural Gas Liquids, Coal, Power, Petrochemicals and Emissions.

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), if available

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 Identifier Number (and Date of Birth, if applicable)*

Country of Nationality	* Identifier Number (use the following)
Belgium, Bulgaria, Czech Republic, Denmark, Estonia, Finland, Croatia, Iceland, Lithuania, Latvia, Malta, Norway, Poland, Romania, Sweden, Slovenia, Slovakia	National Identification Number or Personal Code/Number
Spain, United Kingdom, Greece, Italy, Portugal,	Tax Number, Fiscal Code, Investor Share or National Insurance Number
All Other Countries	National Passport Number and Date of Birth