**ICE Futures Europe Responsible Individual (RI) Registration Form**

**ICE ELECTRONIC TRADING PLATFORM**

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| --- | --- | --- | --- |
| **Member Company** |  | **Member**  **Mnemonic** |  |

**Personal Details (Please complete ALL FIELDS in BLOCK CAPITALS)**

|  |  |  |  |
| --- | --- | --- | --- |
| **Title (Mr/Mrs/Miss etc.)** |  | **Surname** |  |
| **Date of Birth (DD/MM/YY)** |  | **First Name(s)** |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Home Address** |  | **Home**  **Phone** |  |
| **Post Code** |  | **Work**  **Phone** |  |
| **Mobile Phone** |  |
| **Country** |  |
| **E-mail** |  |
| **Jurisdiction (location of trader/broker):** | |  | |

|  |  |  |  |
| --- | --- | --- | --- |
| **Are you a trader or a broker?** |  | | |
| **Please state which front end system are you using?**  **(TT, FIX API’s, WebICE or other ISV)** |  | | |
| **ITM Mnemonic(s)**  **Please choose 3 different ITM preferences**  **(assigned subject to availability)** | **1st Choice** | **2nd Choice** | **3rd Choice** |
|  |  |  |

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| **ICE Futures Europe Contract Sets** | **SMA** (System Managed Account) set up (with limits) | **LMA** (Locally Managed Account) set up (with no limits) |
| **Oil Contracts** |  |  |
| **Utility Contracts** |  |  |
| **Emissions Contracts** |  |  |
| **Interest Rate Futures Contracts** |  |  |
| **Interest Rate Options Contracts** |  |  |
| **Single Stock Futures Contracts\*** |  |  |
| **Single Stock Options Contracts\*\*** |  |  |
| **Equity Index Futures Contracts**\***\*** |  |  |
| **Equity Index Options Contracts \*\*** |  |  |
| **Soft Commodity Contracts** |  |  |

\* Some Index Futures within this trading permission are not available to Members and Responsible Individuals who are located in the United States.

\*\*This trading permission is not available to Members and Responsible Individuals who are located in the United States.

Please confirm that you have read and understand the to ICE Futures Europe Circulars ICE Futures Europe Circulars relating to these contracts by ticking the boxes below

[14/138](https://www.theice.com/publicdocs/circulars/14138.pdf) Offer and Sale of Equity Options in the United States; Arrangements under SEC Class No-Action Relief

[14/146](https://www.theice.com/publicdocs/circulars/14146.pdf) Liffe Migration – Equity Contracts

**For Completion by the Individual applying for registration**

I confirm that:

a) I understand that business conducted on ICE Futures Europe is subject to ICE Futures Europe regulation and other appropriate regulatory requirements and I will always act in a manner which is compliant with the standards required by these bodies;

b) I shall comply with all ICE Futures Europe Regulations;

c) I am fully competent in using the front end application used by the above Member to trade ICE Futures Europe Contracts in a manner which is consistent with the role and obligations of an ICE Futures Europe Responsible Individual as set out in the ICE Futures Europe Regulations;

d) I understand that I shall be responsible to ICE Futures Europe for all transactions conducted and or actions taken or omitted using any ITM allocated to me by the Exchange or any ITM of another Registered Individual registered to the above Member for which the Member nominates me on a temporary basis; (please refer to Rule A.A10, Responsible Individual Responsibility <https://www.theice.com/publicdocs/contractregs/05_SECTION_A.pdf>

e) I consent to my personal data being used by ICE Futures Europe and or transmitted to and from the United States of America for the purpose of operating and monitoring ICE Futures Europe and related purposes.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Signature** |  | **Print Name** |  | **Date** |  |

**For completion by the Member**

We confirm that the above named person is suitably and adequately trained and is in a position to fulfil the role and obligations of an ICE Futures Responsible Individual. We confirm that we have consulted the details of ICE Futures Europe’s various jurisdictional approvals at [www.theice.com/publicdocs/futures\_jurisdiction.pdf](http://www.theice.com/publicdocs/futures_jurisdiction.pdf) and that there are no jurisdictional restrictions applicable to our proposed trading

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| --- | --- | --- | --- | --- |
| **Senior Management or**  **Compliance Officer Signature** |  | **Title** | |  |
| **Print Name** | |  |
| **Email** |  | **Date** |  | |