

FX Global Code

Multi-Dealer Platform Disclosure Cover Sheet

| Platform / Entity Name | | Business area(s) to which this Cover Sheet applies | | | | | | | | | | | | | | | | | | Most Recent Date Completed | | | | | |
|--------------------------------------|---------------|---|-------------------------|--|--------------------------------|--|-------------------------------------|--------------------------|---|---|-------------------------------------|--------------------------|---------------------------------|----------------|--------------------------|-------------------------------------|-------|---|-----|---|-------------------|-----------------------------|---------------------|--|-------|
| LMAX Limited t/a LMAX Exchange | | Spot FX services operated by LMAX Exchange in London, New York, Tokyo and Singapore | | | | | | | | | | | | | | | | | | 2 January 2022 | | | | | |
| Section 1 – Platform Characteristics | | | | | Section 2 – Level of Anonymity | | | | Section 3 - Disclosures | | | | | | | | | | | | | | | | |
| Company | Platform Name | Product | Execution | Regulatory Framework | Fully Disclosed | Counterparty Name Disclosed Post Trade | Tag Disclosed Post Trade | Fully Anonymous | Primary Disclosure Documentation | Eligibility Requirements | Last Look Policy | | | | Tag Management Policies | | | | | | | | Data Sharing Policy | Code Signatory Identification ¹ | |
| | | | | | | | | | | | Firm Pricing Only | Last Look Only | Both Firm and Last Look Offered | Link to Policy | Point of Tag Disclosure | | | Tags on Rejected Trades | | Tag Colour Policy | Re-tagging Policy | Signatory Status Identified | | Link to Policy | |
| LMAX Limited | LMAX Exchange | Spot FX, spot precious metals | Central Limit Orderbook | Platform operated by an FCA regulated entity adhering to the Code. | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | https://www.lmax.com/exchange/document-library | LMAX Exchange Rulebook: https://www.lmax.com/documents/LMAXExchange-Rulebook.pdf | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | N/A | <input type="checkbox"/> | <input checked="" type="checkbox"/> | N. A. | https://www.lmax.com/documents/LMAXExchange-Global-FX-Code-Tagging-Policy.pdf | Yes | https://www.lmax.com/documents/LMAXExchange-Global-FX-Code-Tagging-Policy.pdf | N. A. | N. A. | N. A. | N/A | N. A. |

¹ As noted in Principle 22, the responsibility of conveying accurate and up-to-date Statement of Commitment signatory status to the platform falls entirely on the user, whereas the platform is responsible only for storing and reporting this information as presented by that user and is not making any representation regarding the conduct of the user. Should there be any changes to the Statement of Commitment status of the user, the obligation is on the user to update the platform with that information.