



## Registration as a recognised intermediary for the purposes of UK Stamp Duty Reserve Tax (UK SDRT) relief & UK Stamp Duty relief

### Note for Applicants

All purchases of UK shares on the Regulated Market or Multilateral Trading Facility operated by BATS Trading Limited, a Recognised Investment Exchange which trades under the name of BATS Chi-X Europe ("**BATS**"), may be subject to UK Stamp Duty Reserve Tax SDRT (or UK Stamp Duty where settlement is undertaken and completed by a written (paper) document). However, some Participants may be able to claim intermediary relief from UK SDRT (or UK Stamp Duty) for transactions carried out on the BATS BXE and CXE order books, as well as for transactions carried out on any other trading venues or OTC.

If a Participant seeks recognition as an intermediary eligible for SDRT (or Stamp Duty) relief on its purchases of 'chargeable securities' (SDRT) or 'stocks and marketable securities' (Stamp Duty) under Section 99 Finance Act 1986 or Section 122 Stamp Act 1891, this self-certified UK SDRT/Stamp Duty Intermediary Relief Form is to be completed and returned to BATS. Alternatively, any Participant which has already been afforded intermediary status by HMRC should provide full details of its status to BATS.

For any queries in relation to this Form, please contact please contact our Participant Services at [ParticipantServicesEurope@batstrading.com](mailto:ParticipantServicesEurope@batstrading.com) or +44 20 7012 8902.

To: BATS

From (Name of Applicant): \_\_\_\_\_

### UK and non-UK BATS Participants

Name of BATS Participant:		
Registered Address (including Post code):		
Are you a participant/member of CREST?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

CREST participant/member code:	
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We hereby apply, in accordance with sections 80A and 88A of the UK Finance Act 1986, for recognition as an Intermediary and confirm that we:

- (i) carry on a bona fide business of dealing in stocks and shares; and
- (ii) do not carry on an "excluded business" as defined within the Finance Act 1986.

#### Non-UK based BATS Participants

UK address where HM Revenue & Customs may inspect your records (this may be the address of the BATS Participants' clearing agent where the clearing agent has agreed to provide this service):

Company Name:	
Address (including postcode):	

Signature: \_\_\_\_\_

Name (PRINT): \_\_\_\_\_

Position at Applicant: \_\_\_\_\_

Date: \_\_\_\_\_

**Note to HMRC: Please consider this application as a request for intermediary relief from the above mentioned BATS Participant. As a Participant of a Recognised Investment Exchange, the above named intermediary should be added to all appropriate CREST Trade System of Origin (TSO) tables, so that they may benefit from relief on all transactions (where appropriate), including those carried out on other RIEs, MTFs and OTC.**