

**LCH**

# Notification of delivery/ non delivery of an open short position

**LSEG** POST  
TRADE

Defaulting Member	
Identification	
Name (registered and commercial if different)	<input style="width: 100%;" type="text"/> <div style="text-align: center; border: 1px solid black; padding: 2px; color: red; font-weight: bold; display: inline-block;">Mandatory</div>
Address (street number and name)	<input style="width: 100%;" type="text"/>
(Postcode) <input style="width: 100px;" type="text"/>	(City) <input style="width: 100px;" type="text"/>
<div style="border: 1px solid black; padding: 5px; color: red; font-weight: bold;">Mandatory: CMF number or Agent with CMF number</div>	
<div style="border: 1px solid black; padding: 5px; color: red; font-weight: bold;">Mandatory</div> <div style="border: 1px solid black; padding: 5px; font-size: small;">Tick <u>either</u> clearing member or Agent</div>	<input type="checkbox"/> Clearing Member Firm with CMF I.D. <input style="width: 100px;" type="text"/>
<input type="checkbox"/> Agent for the Clearing Member Firm	<input style="width: 100px;" type="text"/>
	With CMF I.D. <input style="width: 100px;" type="text"/>
(*) Please tick box and fill out the account number as appropriate	
Authorised signature	
Name (1)	<input style="width: 100%;" type="text"/>
Name (2)	<input style="width: 100%;" type="text"/>
Function	<input style="width: 100%;" type="text"/> <div style="text-align: center; border: 1px solid black; padding: 2px; color: red; font-weight: bold; display: inline-block;">Mandatory</div>
Function	<input style="width: 100%;" type="text"/>
Tel.	<input style="width: 100%;" type="text"/> <div style="text-align: center; border: 1px solid black; padding: 2px; color: red; font-weight: bold; display: inline-block;">Mandatory</div>
Tel.	<input style="width: 100%;" type="text"/>
Email	<input style="width: 100%;" type="text"/> <div style="text-align: center; border: 1px solid black; padding: 2px; color: red; font-weight: bold; display: inline-block;">Mandatory</div>
Email	<input style="width: 100%;" type="text"/>
<div style="border: 1px solid black; padding: 20px; width: 80%; margin: 0 auto;"> <div style="border: 1px solid black; padding: 10px; color: red; font-weight: bold; text-align: center;">Mandatory</div> <p style="text-align: center;">Please upload a scanned Authorised signature</p> </div>	
Date <input style="width: 100px;" type="text"/>	
Company stamp and Authorised signature (both mandatory)	

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Delivery Statement	
Herewith, I undertake (as the Defaulting Member) to (*):	
<input type="checkbox"/> <b>Deliver</b>	Quantity <input style="width: 100px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> Value date <input style="width: 100px; height: 20px; border: 1px solid black;" type="text"/>
UNT <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> FMT <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <b>Mandatory</b>	
<b>Mandatory</b> Tick either deliver or not deliver	<input type="checkbox"/> <b>Not deliver</b> , neither totally nor partially
(* Please tick relevant box and fill out the quantity and value date if not)	
In accordance with the following net open short position	
ISIN code	<input style="width: 100%; height: 20px; border: 1px solid black;" type="text"/>
Description	<input style="width: 100%; height: 20px; border: 1px solid black;" type="text"/>
Original net fail quantity	<input style="width: 100%; height: 20px; border: 1px solid black;" type="text"/>
Original net fail consideration	<input style="width: 100%; height: 20px; border: 1px solid black;" type="text"/>
Original intended settlement date	<input style="width: 100%; height: 20px; border: 1px solid black;" type="text"/>
Settlement accounts	
From my account (*)	
<input type="checkbox"/> Euroclear Bank	<input style="width: 100%; height: 20px; border: 1px solid black;" type="text"/> Today before 15:00 CET Paris time
	to LCH SA Buy-in account
<input type="checkbox"/> Euroclear Bank/Clearstream	<input style="width: 100%; height: 20px; border: 1px solid black;" type="text"/> Today before 14:00 CET Paris time
	to LCH SA Buy-in account
<input type="checkbox"/> Euroclear Bank/Clearstream	<input style="width: 100%; height: 20px; border: 1px solid black;" type="text"/> Today before 15:00 CET Paris time
	to LCH SA Buy-in account (**)
From my account (**)	<input style="width: 100%; height: 20px; border: 1px solid black;" type="text"/> T2S <input style="width: 100%; height: 20px; border: 1px solid black;" type="text"/> Today before 15:00 CET Paris time
	to LCH SA Buy-in account (**)
	<input style="width: 100%; height: 20px; border: 1px solid black;" type="text"/>
(* Please tick box and fill out the account number as appropriate (** Please select in the list	
(Pay attention to the associated LCH Buy-in account to deliver)	
This document is an undertaking to deliver Securities « promesse unilatérale de livrer », submitted under French Law. Accordingly, you are committed to deliver securities, if LCH SA requests you to do so under the terms and conditions set out in Instruction III.4-2. If you do not fulfil your obligation, you will be in breach of your obligation and LCH SA will be entitled to apply all charges against the failing participant as defined in Instruction III.4-2 and Notice 2017-052 be sent by e-mail before 11:00 CET to LCH Buy-in Cash equities Team: <a href="mailto:buyin.cashequities.sa@lseg.com">buyin.cashequities.sa@lseg.com</a> for all markets	

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