



London
STOCK EXCHANGE

EDX London Limited

Rule Amendment Notice No. 7

27 April 2004

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EDX London wishes to inform Members that it will be amending the Rules for OTC Contracts by the addition of a new Rule OTC.3.7 which provides for Members which have an interest in entering into a particular OTC Contract to inform the Marketplace Service of such interest and the manner in which the Marketplace Service will record such interests and communicate such interest on an anonymous basis to other members.

This Rule Amendment takes effect on Tuesday 27 April 2004.

The following pages should be **removed** from the Rulebook and **replaced** with the new versions herewith:

Consolidated Index

Part OTC : Rules For OTC Contracts

OTC.3 Reporting of OTC Trades

Any questions concerning this Rule Amendment Notice should be directed to or Derek Oliver on +44 (0)20 7065 8506 or Rachel Woods on +44 (0)20 7065 8507.

London
26 April 2004

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OTC.3 Reporting of OTC Trades

OTC.3.1 Where a Member enters into an OTC Trade the Member may report such transaction to EDX London in order that such transaction may be matched. The OTC Trade Report submitted by the Member to EDX London in such circumstances shall identify:

- (i) the Type of Contract;
- (ii) the Underlying Instrument;
- (iii) whether the Contract is subject to Cash Settlement or Physical Settlement;
- (iv) where the Contract is an Option:
 - (a) whether it is a Call or a Put; and
 - (b) whether it is American or European in style;
- (v) the Strike Price (stated to 2 decimal places);
- (vi) the Expiration Date for the Contract;
- (vii) the number of Contracts for an OTC Index Contract or the Stock Contract Entitlement for an OTC Stock Contract;
- (viii) the agreed Futures Contract Price, Forward Contract Price or the Option Premium (stated to 2 decimal places);
- (ix) the counterparty to such transaction; and
- (x) whether the Member is the buyer or the seller in such OTC Trade.

OTC.3.2 The Member shall also specify its Account or, where applicable, the Account of the relevant Clearing Member at the Designated Clearing House in which the Registered OTC Contract is to be registered.

OTC.3.3 The Member may make an OTC Trade Report by way of:

- (i) an electronic connection with EDX London; or
- (ii) the Marketplace Service.

An OTC Trade Report may be made via an electronic connection to EDX London between the times of 07:00 and 18:20 London Time on an EDX London Business Day.

An OTC Trade Report may be made by way of the Marketplace Service between the times of 08:00 and 18:00 London Time on an EDX London Business Day.

Members are responsible for ensuring that the terms of the OTC Trade are accurately recorded in the OTC Trade Report.

OTC.3.4 Members may withdraw an OTC Trade Report at any time until the OTC Trade Report has been matched by EDX London.

Where a Member wishes to amend the details of any unmatched OTC Trade Report it shall withdraw such Report and submit a new OTC Trade Report with the correct details.

OTC.3.5 Where Members wish to use an electronic connection to report OTC transactions to EDX London they will require the relevant software licences and fixed telecommunication lines under the Access, Software and Licence Agreement.

OTC.3.6 Prior to submitting an OTC Trade Report to EDX London the Member in question shall agree with the counterparty concerning the timing of the submission of their respective OTC Trade Reports to EDX London in order to ensure that the submission of such Reports is co-ordinated. All such matters and any issues arising from the failure by a party to submit a report at the agreed time are the sole responsibility of the Members in question and EDX London shall not be concerned in any way with the resolution of any issue relative thereto.

OTC.3.7 The Marketplace Service will normally be available between the hours of 08:00 and 18:00 on each EDX London Business Day in relation to the operation of the OTC Service.

Members which have an interest in an OTC transaction in a given Underlying Instrument may inform the Marketplace Service of such interest and provide details of the relevant instrument. The Marketplace Service shall record such interests and, where requested by the Member in question, may provide such information to the other Members to determine whether they have an interest in negotiating an OTC transaction in such instrument. The identity of the relevant Members shall not be disclosed at this stage.

Where the Marketplace Service identifies a counterparty which is interested in entering into a transaction in such instrument it shall, with the consent of both Members reveal their respective identities to the other party in order that such parties may seek to conclude such transaction. The Members in question may submit OTC Trade Reports relating to any resulting OTC Contract to EDX London in accordance with this Rule OTC.3.