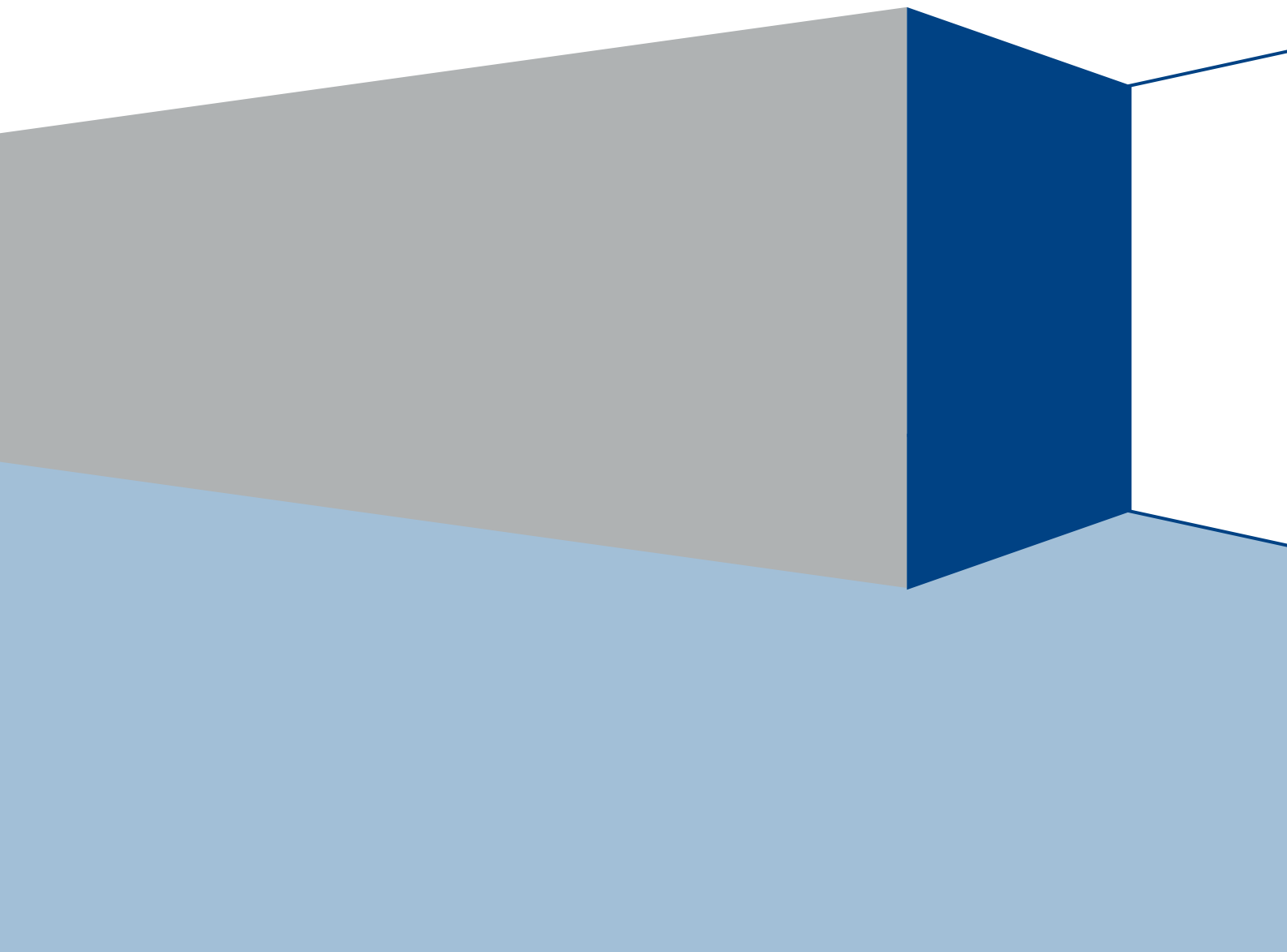




London
Stock Exchange

Guidance Notes
May 2010

Customer Connectivity Policy



Introduction

The London Stock Exchange (LSE) currently monitors all activity within the production and test environments. With the intention of maintaining an orderly and compliant market, the technical activity of client connections are constantly checked in correlation with software accreditation policies.

If any inappropriate customer behaviour is observed, measures will be taken in order to prevent the further escalation of any issues occurring.

The LSE retains the right through the rulebook and contractual agreements to disconnect customers where necessary. The rulebook and eContracts can be found on the links below:

www.londonstockexchange.com/traders-and-brokers/rules-regulations/rules-regulations.htm

www.londonstockexchange.com/traders-and-brokers/products-services/econtracts/econtracts.htm

The purpose of this document is to provide further information on this policy.

Technical Implications

The Customer Disconnection policy framework is set out below.

It should be noted that the Exchange may need to make customer disconnection decisions outside of this framework where customer behaviour warrants this.

Disconnection

The main focus of the policy is on customers who exhibit abnormal connectivity patterns. In these cases the following approach will be taken:

Issue	Action
Greater than 20 Trading Log On attempts sent by customer in one day for a single USAP	Escalate to customer and ask them to stop this behaviour
Greater than 30 Trading Log On attempts sent by customer in one day for a single USAP	Disconnect USAP and address issues with customer until satisfied that the issue is resolved
Greater than 50 Information Log On attempts sent by customer in one day for a single USAP	Escalate to customer and ask them to stop this behaviour
Greater than 100 Information Log On attempts sent by customer in one day for a single USAP	Disconnect USAP and address issues with customer until satisfied that the issue is resolved

Following a customer's disconnection, the Exchange's Market Operations team may delete, on behalf of the customer, any outstanding orders in the market. Customers should note that only an authorised person of the Member Firm can request the deletion of either all its orders or specific single orders. If the Exchange accepts a request to delete orders it will endeavour to do so promptly.

As mentioned earlier, the Exchange also retains the right to disconnect any customer who exhibits other abnormal behaviour, over and above the connectivity patterns highlighted above.

Where abnormal behaviour continues, the Exchange may in some circumstances block all connections from one or more IP addresses.

Reconnection

In order to be reconnected to the LSE trading and information systems the customer must provide sufficient proof that the issue will not be repeated. If necessary, this may result in the reconformance of any application in question.

Customer Development Service (CDS)

The customer disconnection policy will also be applied to CDS, as incorrect behaviour if unchecked here could transfer to Production. However, as this is a test environment, customers will be given more overhead for testing purposes by implementing higher thresholds.

Associated Technical Specification Publications

This document should be used in conjunction with the London Stock Exchange's technical specifications documents:

- TradElect and Infolect Service Description (Ref: TIS101)
- Interface Specification (Ref: TIS102)
- Network Specification (Ref: TIS103)
- Data Formats (Ref: TIS104)

The documents are also available in electronic form at the following address:

<http://www.londonstockexchange.com/techlibrary>

For technical queries please contact your Technical Account Manager or the Technical Information Desk on 020 7797 3939 (STX 33939).



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