

## Attachment 1 to Stock Exchange Notice N37/09

### List of amendments to rules and guidance

Changes arising from the Rule Amendments are outlined below. This table should be read in conjunction with the rules contained in Attachment 2 to this Notice.

DEFINITION / RULE	EXPLANATION (This guidance does not form part of the Rules of the London Stock Exchange)
agent (Definitions)	The words "or counterparty" have been deleted.
Rule 1040 (Appeals and Complaints)	Text has been deleted from the guidance to this rule for ease of understanding. Additional text has been added to the guidance of this rule to clarify that the Exchange's regulatory decisions may not always be appealed but in these cases a complaint can be made against the Exchange's decision.
Rule 3030 (Trade Publication)	The words "or a riskless principal" have been added to the guidance to this rule to highlight that only a member firm dealing on its own account and its customer can elect to use the deferred publication facility.
Rule 3040 (Required content of trade reports)	Additional text has been added to the guidance to this rule to reemphasise that member firms must enter their dealing capacity correctly on every trade report they submit to the Exchange.
Rule 4220 (Exceptions to obligations of market makers in quote driven securities)	Guidance has been added to rule 4220.2 to clarify that a market maker would be obliged to deal with a broker dealer acting as principal for a customer, for example as part of a riskless principal trade or a 'give up' in quote driven securities.
Rule 5310 (Valuations)	The words "Except for central counterparty transactions" have been added to the beginning of the first sentence for ease of understanding.
Rule 5311 (Valuations)	The words "Except for central counterparty transactions" have been added to the beginning of the first sentence for ease of understanding.
Rule 5313 (Valuations)	The words "Except for central counterparty transactions" have been added to the beginning of the first sentence for ease of understanding.
Rule 5320 (Overseas securities)	Additional text has been added to this rule for ease of understanding. The Guidance to this rule has been deleted.