



**London**  
Stock Exchange

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**For the attention of the  
chairman/senior partner/compliance officer,  
all member firms**

**N17/10**

## **STOCK EXCHANGE NOTICE**

### **Notification of rule amendments**

#### **Introduction**

1. This Notice outlines a number of amendments and additions to existing rules and guidance as part of a periodic review of the Rules of the London Stock Exchange (“the rules”). Member firms should note that the amendments outlined in the attachments to this Notice are administrative changes or relate to minor points of clarification.
2. For ease of reference, Attachment 1 to this Notice summarises and explains each amendment to the rules. Attachment 2 sets out the text of amendments in tracked form. For practical reasons minor administrative changes are not shown (e.g. text showing emboldening of defined terms). The most significant changes are summarised below.

#### **Notable Changes**

##### Definitions

3. The definitions of “exchange traded fund” and “exchange traded commodity” have been amended in order to describe the products more accurately.

##### Compliance and enforcement

4. Rule 1214.5 has been amended to clarify that the Exchange may disclose information and documents in any one of the different scenarios outlined in rule 1214.

### Responsibility for submission of a trade report

5. The guidance to Rule 3012.2 has been amended to clarify that, for the purposes of determining the obligation to submit a trade report, a market maker in one subset of securities, as defined in the parameters, shall be regarded as a market maker in all securities within that subset.

### Cancellation of dividends

6. Duplicate text contained in rule 5440.3 has been replaced with text that was previously deleted in error.

### **Effective date of rule changes**

7. The rule changes detailed in the attachments will become effective from Monday 2 August 2010. An updated version of the rules will be available from this date on the Exchange's website at:  
<http://www.londonstockexchange.com/traders-and-brokers/rules-regulations/rules-regulations.htm>
8. Any comments or queries on this Notice should be addressed to Dagmar Banton, telephone +44 (0)20 7797 1210 (STX 31210) or email [dbanton@londonstockexchange.com](mailto:dbanton@londonstockexchange.com)

Nick Bayley  
Head of UK Regulation

This Stock Exchange Notice will be available on the website at  
<http://www.londonstockexchange.com/en-gb/products/membershiptrading/rulesreg/stockexnoticesnew/>

Calls to London Stock Exchange plc may be recorded to enable the Exchange to carry out its regulatory responsibilities.