

Attachment 1 to Stock Exchange Notice N17/10

List of amendments to rules and guidance

All changes are outlined below. This table should be read in conjunction with the rules contained in Attachment 2 to this Notice.

DEFINITIONS	EXPLANATION (This guidance does not form part of the Rules of the London Stock Exchange)
basket	The defined term “basket” has been deleted as it is no longer appears within the rules.
exchange traded commodity	The defined term “exchange traded commodity” has been changed to “exchange traded product” and amended to reflect the increased range of instruments included within the definition.
exchange traded fund	The defined term “exchange traded fund” has been amended to more accurately describe this type of product.
LCH rules	The defined term “LCH rules” has been amended to abbreviate LCH Clearnet’s legal form from “Limited” to “Ltd” for consistency.
market open	The defined term “market open” has been amended to reflect that in order book securities, market open is the start of continuous trading.
order book	The rules have been reviewed to ensure that where the defined term “order book” is used, it appears in bold. For practical reasons this has not been reflected in the amendments in Attachment 2.
quote	The rules have been reviewed to ensure that where the defined term “quote” is used, it appears in bold. For practical reasons this has not been reflected in the amendments in Attachment 2.
RepoClear	The defined term “RepoClear” has been amended to reflect that “LCH” is no longer a defined term.
settlement procedures	In the interests of consistency, this defined term has been re-named “settlement rules” and this amendment appears throughout the rules. For practical reasons this has not been reflected in Attachment 2.
RULES	
1121 (Gilt inter dealer brokers and wholesale dealer brokers)	“Participant code” is no longer a defined term therefore the rule has been re-worded to allow for its removal.
1214.5 (Information, monitoring and investigation)	The rule has been amended to clarify that the Exchange may disclose information and documents in <u>any</u> one of the scenarios outlined in rule 1214.
Guidance to Rule 3000.3 (On Exchange trades)	Reference to international retail service securities has been removed as this service no longer exists. Reference to the reporting venue ICMA has also been removed from the guidance. This venue reference is out of date and the Exchange’s rules do not reference specific alternative reporting venues.
Guidance to Rule 3012.2 (Responsibility for submission of a trade report)	The guidance 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. The guidance to rules 3012.2 and 3013.3 has also been amalgamated for ease of reading.
Guidance to Rule 3040 (Trade Type Indicators)	The guidance has been amended to highlight that the negotiated trade type indicator is only available for trades conducted in shares that have been admitted to trading on an EU regulated market.
Guidance to Rule 4000 (Registration and de-registration for all market makers)	The guidance has been amended for clarification.
4110.5 and guidance	The rule and guidance has been updated to reflect the change to the defined term “exchange traded commodity”.
Guidance to Rule 5201 (Clearing arrangements)	The guidance has been amended to clarify that, where a model B arrangement is in use, rules 5201.1 and 5201.2 apply to the model B firm.
5440.3 (Cancellation of Dividends)	Duplicate text has been replaced with text that was previously deleted in error in Stock Exchange Notice N67/07.