

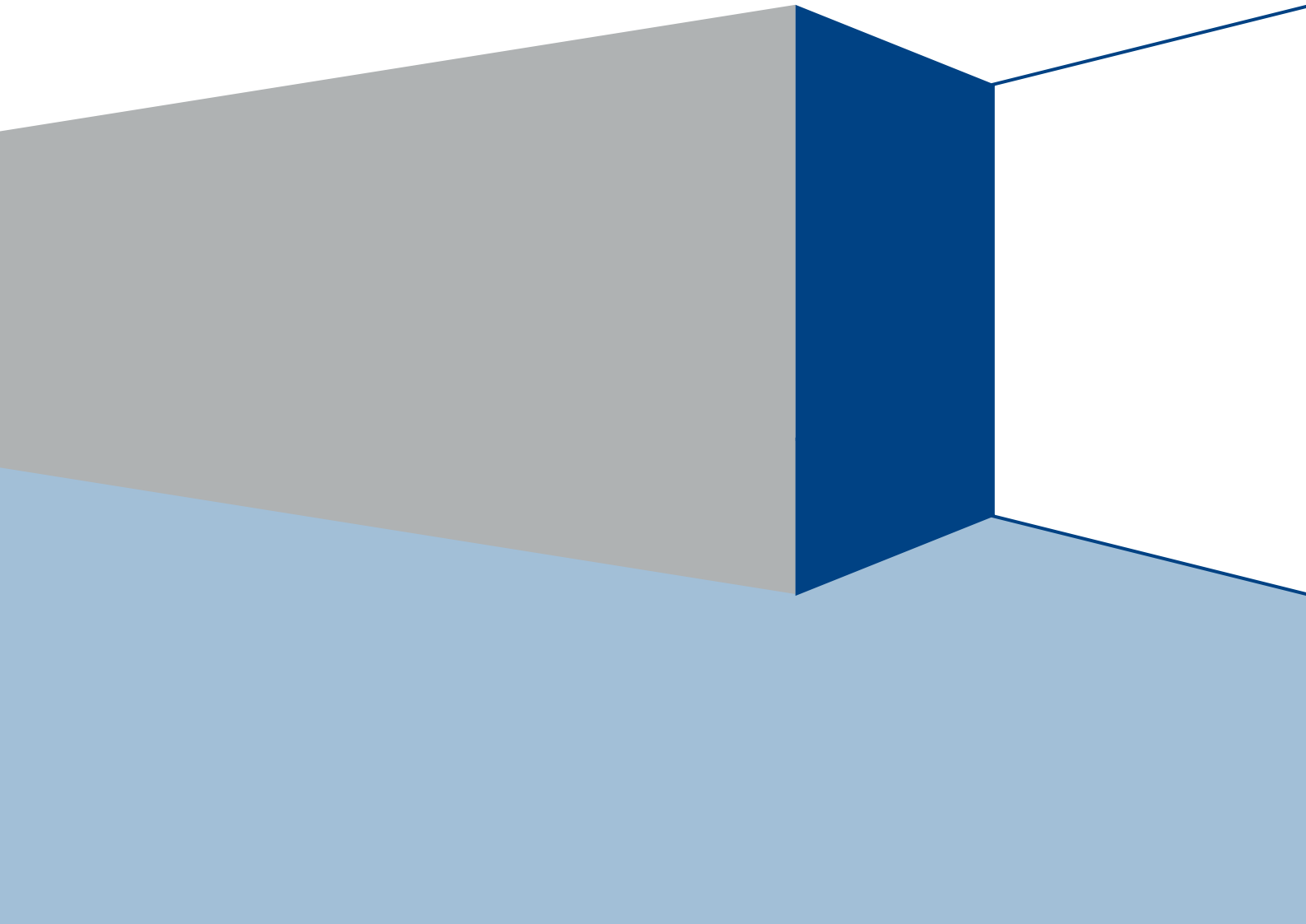


London
Stock Exchange

MILLENNIUM EXCHANGE

Accreditation Policy for Independent Software Vendors (ISVs)

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DISCLAIMER

Whilst the London Stock Exchange has used reasonable endeavours to ensure that the content of this policy is accurate, it is intended to be used as guidance only and no liability is accepted for any error or omission made.

Although successful completion of the accreditation process will enable Independent Software Vendors to supply an application to its customers that complies with certain mandatory testing requirements of the London Stock Exchange, the Independent Software Vendor shall remain responsible for ensuring that such application continues to comply with all such requirements from time to time in place.

The Independent Software Vendor must comply with all applicable laws and regulations from time to time in force. For the avoidance of doubt, the London Stock Exchange assumes no responsibility in relation to third parties.

This policy may be amended from time to time without notice and you should check the London Stock Exchange website (<http://www.londonstockexchange.com/products-and-services/connectivity/software-houses/software-houses.htm>) for any updates. For further information about this policy and terms and conditions relating to accreditation you should contact your Technical Account Manager.

Introduction

The London Stock Exchange has a formal Accreditation Policy for Independent Software Vendors (ISVs). This policy enables ISV's to demonstrate to their customers that their software conforms fully to the London Stock Exchange Millennium Exchange Technical Specifications and has successfully completed the certification process as specified in the **MIT502** Guide to Application Certification document. Customers who use accredited ISV provided software to access the London Stock Exchange Millennium Exchange Live Service¹ do not have to complete the certification process themselves. The details of the policy are set out in this document. This policy describes what an ISV must do to achieve an accredited status for their software application.

1.1 Readership

This policy document applies to all Independent Software Vendors who develop software applications that provide access to the Live Service.

1.2 Timescales

This policy is effective from the publication of this document.

1.3 Further Information

For further information about the policy please contact your Technical Account Manager or the Client Technology Group on +44 (0)20 7797 3939 (STX 33939) or londontam@londonstockexchange.com.

1.4 Associated documentation

Details of the Millennium Exchange testing services are available in the following documents:

- MIT 501 - Guide to Testing Services
- MIT 502 - Guide to Application Certification
- MIT 503 - Certification report

These can be found at the following address:

<http://www.londonstockexchange.com/products-and-services/technical-library/customer/conformancetestservice/millenniumcustomertestingsevice.htm>

This series does not override or supersede the Rules of the London Stock Exchange, the AIM Rules or Admission and Disclosure Standards.

¹ The Live Service referred to in this document is the Live London Stock Exchange Millennium Exchange Trading system production environment.

2 Accreditation Policy Overview

2.1 What does Accreditation mean?

The London Stock Exchange will accredit software applications that are certified in accordance with MIT 502 – Guide to Application Certification, as amended from time to time, and where the London Stock Exchange and the Independent Software Vendor have signed a Software Accreditation Agreement. This provides confidence to the London Stock Exchange and its customers that the software application interacts appropriately with the London Stock Exchange's systems in Live Service.

Customers of the London Stock Exchange who are using accredited software do not have to complete the certification process. Customers using unaccredited software, whether provided by an ISV or developed in-house, must successfully complete certification in accordance with MIT 502 before being allowed to connect their software to the London Stock Exchange's Live Service.

Details of software applications that have been accredited are published to the market via the London Stock Exchange's website:

<http://www.londonstockexchange.com/products-and-services/connectivity/software-houses/software-houses.htm>

London Stock Exchange customers can refer to this list when selecting a new software provider.

2.2 Which solutions does the Policy apply to?

This policy applies to ISVs developing software to access the London Stock Exchange Millennium Exchange Live Service.

2.3 What is required to become accredited?

ISVs must:

- Complete the certification process as set out in the MIT 502 Guide to Application Certification document;
- Enter into the Software Accreditation Agreement with the Exchange; and
- Pay the associated charges.

The Software Accreditation Agreement is available on request from your Technical Account Manager.

2.4 How is Accreditation maintained?

In order to maintain an accredited status, the ISV must do the following:

- Inform the London Stock Exchange of any modifications (i.e. code changes) to any of the named software components specified in the agreement.
- Re-certify the software application if it is modified in any way after it has been certified. Recertification is required regardless of if the software modifications are due to London Stock Exchange initiated changes or Customer initiated changes.
- Provide any new software version number on a new software details form.

Failure to fulfil these obligations may result in the accreditation status being revoked, and the London Stock Exchange customers who are using the software application may be required to self certify.

2.5 What charges will the ISV incur?

The ISV will incur an annual accreditation charge to cover administration costs involved in maintaining the accreditation status of ISVs. Details of this charge are provided in the Customer Testing Services Price List available at:

<http://www.londonstockexchange.com/products-and-services/technical-library/customer/customer-testing-services.htm>

In addition to this, the existing testing charges will also apply. These are detailed in the same document.

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