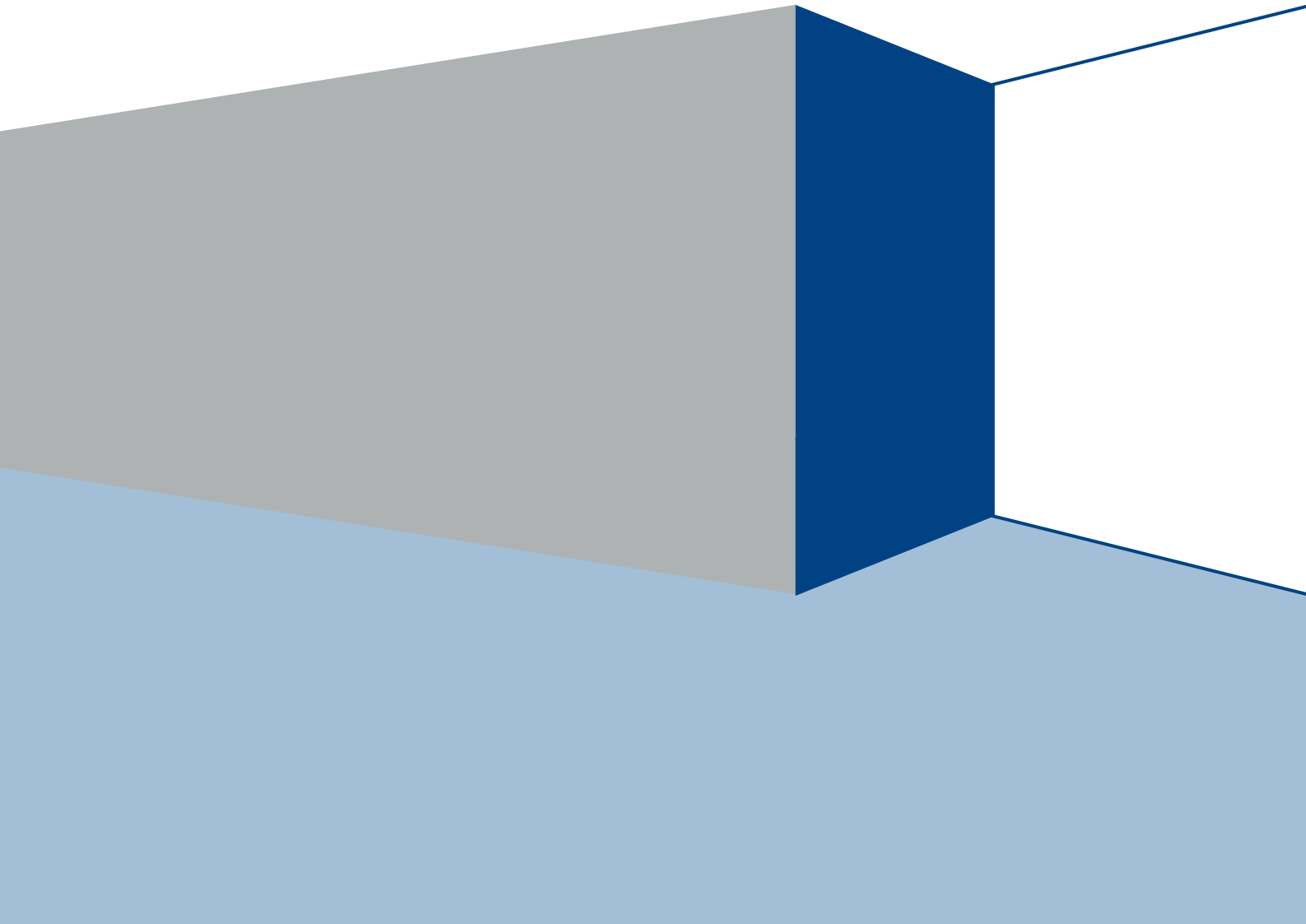





London
Stock Exchange

Customer Connectivity Policy

25 October 2012





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Introduction

London Stock Exchange currently monitors all activity within the Live Service and Test Service environments with the intention of maintaining an orderly and compliant market. The technical activities of client connections are constantly checked in accordance with the software certification policy.

London Stock Exchange retains the right through the rulebook and contractual agreements to disconnect customers where abnormal behaviour is observed.

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

Connectivity Policy

The Customer Connectivity Policy is set out below. It should be noted that London Stock Exchange may need to make customer disconnection decisions outside of this policy when customer behaviour warrants this.

Connectivity Policy

When a customer requests a new CompID or User ID, they will be given IP addresses to connect to a primary and secondary gateway. A customer should attempt to connect a maximum of 3 times to the primary gateway with a minimum time out value of 3 seconds between attempts before attempting to connect to the secondary gateway – and this should be retried a maximum of a further 3 times. After 6 failed connection attempts (3 on each gateway) the clients should contact London Stock Exchange for further guidance.

Disconnection Policy

London Stock Exchange reserves the right to disconnect any technical connection that exhibits abnormal behaviour from the gateway and block the source IP address on our firewall. Customers should note that as we allow connection from any source IP address in the allocated address range, the entire address range may need to be blocked. This may result in all technical connections being blocked, not just the one exhibiting the abnormal behaviour. London Stock Exchange reserves the right to not unblock the firewall until the customer provides evidence that, in the sole discretion of London Stock Exchange, adequate remedial steps have been put in place and the offending technical connection has been recertified.

“Abnormal behaviour” is any behaviour which does not conform to the guidance provided in the above connectivity policy.

Following a customer’s disconnection, and at the request of the customer, the London Stock Exchange Market Operations team may delete 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 London Stock Exchange accepts a request to delete orders it will endeavour to do so promptly.

Customers who have “Mass Cancel on Disconnect” enabled on their trading sessions will have their open orders cancelled once the disconnection is effective.

Customer Development Service (CDS)

The customer disconnection policy will also be applied to the CDS, as incorrect behaviour if unchecked here could transfer to the production environment.

Technical Specifications

This document should be read in conjunction with the London Stock Exchange Millennium Exchange technical specifications documents which can be found at the address below:

<http://www.londonstockexchange.com/products-and-services/technical-library/millennium-exchange-technical-specifications/millennium-exchange-technical-specifications.htm>

For technical queries please contact your Technical Account Manager or the Client Technology Group on +44 (0)20 7797 3939 (STX 33939).

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