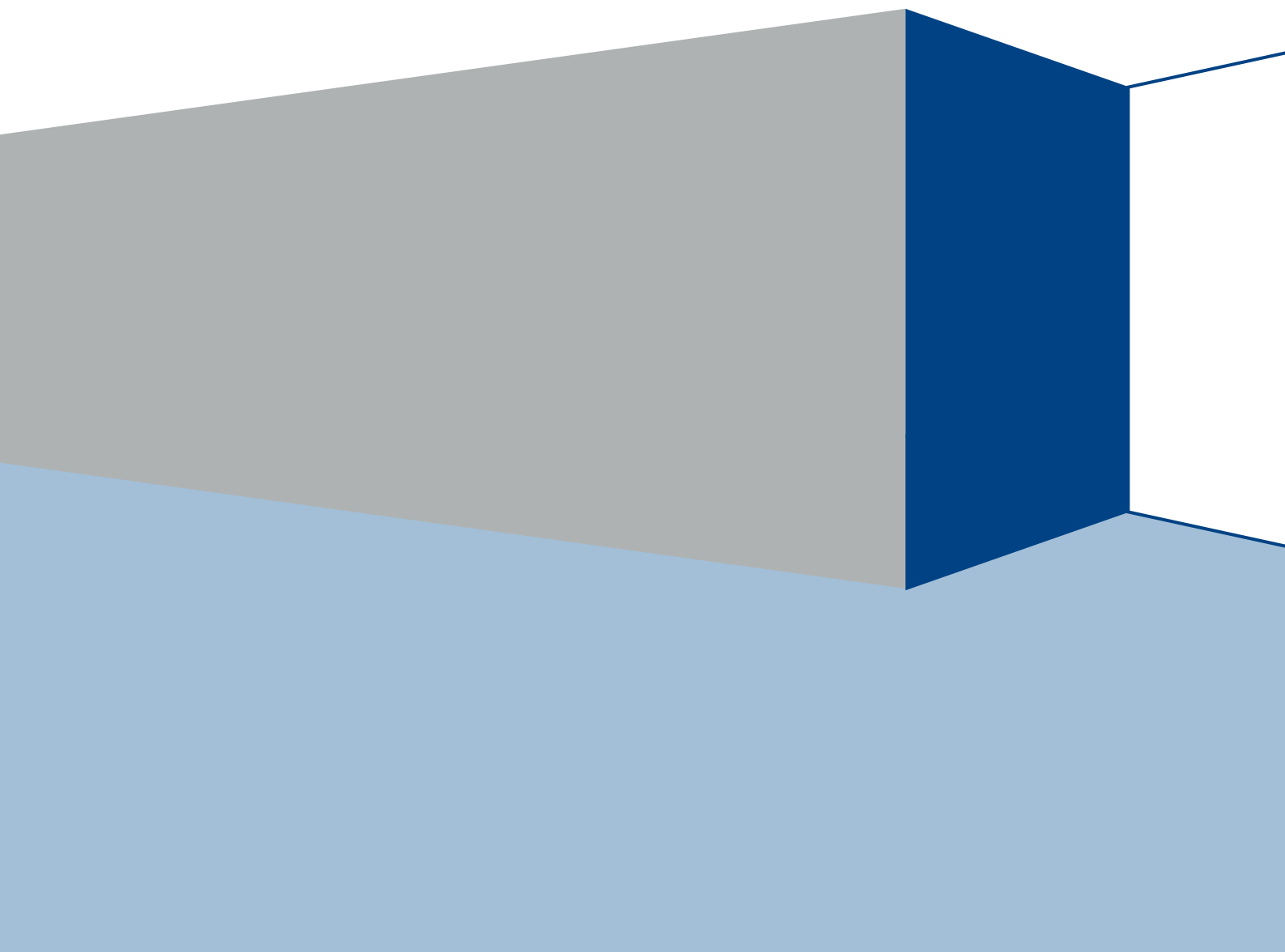




London
Stock Exchange Group

Guidance Notes
November 2009

Message Authentication Removal Non-Authenticated Access



Introduction

The London Stock Exchange Group (“LSEG”) currently has an application level security policy for all trading messages sent between customers and TradElect over the native fixed width interface. Although messages are not encrypted they are authenticated utilizing Triple DES encryption and private session keys (“Message Authentication”).

Although the fundamental encryption technique is still strong, feedback from customers suggests that application level authentication is largely obsolete and that message authentication adds unnecessary overhead to trading connections with the Exchange.

The purpose of this document is to provide information of the new approach to the LSEG security policy in which customers can opt for the removal of Message Authentication (Non-Authenticated Access).

Technical Implications

Non-authenticated access will apply at a USAP level. Customers should be aware that a USAP can be shared across more than one enablement.

Removal of message authentication can only be performed by the LSEG after market hours.

If a customer requests Non-Authenticated Access for a USAP, then no session keys will be returned in the 5L2 Logon Acknowledgment message following logon and the USAP MAC Key and Exchange MAC Key fields will be set to spaces.

The Authentication Code field in all trading messages subsequently sent to customers from TradElect will be set to spaces. Should a customer populate the Authentication Code field in any message sent to TradElect it will be ignored.

To support application testing Non-Authenticated Access will also be available for both the Conformance Service and CDS.

Associated Technical Specification Publications

This document should be used in conjunction with the London Stock Exchange Group's technical specifications documents:

- TradElect and Infolect Service Description (Ref: TIS101)
- Interface Specification (Ref: TIS102)
- Network Specification (Ref: TIS103)
- Data Formats (Ref: TIS104)

The documents are also available in electronic form at the following address:

<http://www.londonstockexchange.com/techlibrary>

Vendor Access Customers

Customers connecting to TradElect via a third party (e.g. a VAN or NSP customer) or who use third party software should confirm any other technical impacts with their supplier.

Vendor Access Providers are required to have signed revised Terms and Conditions prior to any Vendor access customers making the change.

Key dates

Monday 23 November: Non-Authenticated access available on the Customer Development Service (CDS)

Monday 7 December: Non-Authenticated access available in Production

How to apply

Firms wishing to switch to Non-Authenticated Access will be required to sign revised Terms and Conditions to their Trading Order forms and to complete and return a pro forma document listing USAPs for Non-Authenticated Access.

The combined document can be found in the Technical Guidance Notes section of the LSEG website at the following address:

<http://www.londonstockexchange.com/information-providers/technical-library/technical-guidance-notes/technical-guidance-notes.htm>

The signed document should e-mailed back to:
clientImplementation@londonstockexchange.com

Alternatively, please fax it back to +44 (0)207 797 4782

Note:

The LSEG will process requests in a timely manner; however customers should be aware that requests will be dealt with on a first come first serve basis.

Enablement Process

Once a combined signed pro forma and revised Terms and Conditions have been received by the LSEG, the relevant enablements will be amended. The USAPs listed in the pro forma document will be switched to Non-Authenticated Access after markets hours, on the evening of the day before the effective date specified in the pro forma document. Customers should give the Exchange at least 3 days notice should they require testing support on the evening that the changes are implemented.

All Customers are required to have completed a basic level of testing before go live as specified in the following section.

Testing requirements - CDS and Conformance

All participants choosing to opt for Non-Authenticated Access will be required to confirm that their in-house software is able to operate without it, by performing a daily lifecycle test on the Customer Development Service (CDS) environment.

The daily lifecycle test must include the functionalities currently supported by your application. It is up to each customer to ensure that the testing covers all of the required functionalities.

Customers ready to perform a daily lifecycle test on CDS should contact their Technical Account Manager directly to arrange testing.

Once the daily lifecycle test has been completed, participants will be required to send an email to confirm readiness and test success.

A full conformance test is recommended but not mandatory.

Customers are strongly advised to logon to TradElect after market hours once a USAP has been switched to Non-Authenticated Access in production in preparation for the following trading day. As mentioned above, customers should give the Exchange at least 3 days notice should they require testing support on the evening that the changes are implemented.

For technical queries please contact your Technical Account Manager or the Technical Information Desk on 020 7797 3939 (STX 33939).



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