

16 June 2016

**N03/16**

## Notification – Compliance Update

### Background

1. Compliance Update is a periodic electronic newsletter issued by London Stock Exchange (“the Exchange”) intended to assist compliance officers and other personnel who have responsibility for their member firm’s compliance with the Rules of the London Stock Exchange (“the Rules”) including the Rules of the London Stock Exchange Derivatives Market. This newsletter is sent to those individuals who registered their email address to receive these updates via the Exchange’s website.

### Compliance Update - Market Matters

2. This Notice is being issued in order to notify member firms that the Exchange will be replacing Compliance Update with the online publication of relevant articles on a dedicated webpage entitled “Market Matters”. This change in format and production will enable the Exchange to adopt a more dynamic and timely approach to the publication of articles. This webpage will sit within the Rules & Regulations section of the Exchange’s website and can be accessed via the link below:

<http://www.londonstockexchange.com/traders-and-brokers/rules-regulations/change-and-updates/market-matters/market-matters.htm>

3. Market Matters articles will not constitute formal Exchange guidance; this will continue to be communicated via Stock Exchange Notices and/or incorporated within the Rules. Market Matters articles are intended to give examples of the kind of behaviour that the Exchange is focusing on from a regulatory perspective; outline the lessons to be learned from market events or from Exchange disciplinary action; and provide commentary on various aspects of compliance with the Rules and related matters.
4. However, the messages communicated in Market Matters should be noted by member firms as the fact that updates and reminders have been published on certain topics could be relevant in the event of a related rule breach.

### Registration for email alerts

5. Individuals who have previously registered their email address to receive Compliance Update will automatically receive the email alert for “Market Matters”. If you are not already registered, or have changed your email address and would like to receive an email alert when a new article is published on the “Market

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Matters” webpage, please subscribe via the Market Matters webpage (as per the link provided above).

## Queries

6. Any queries on this Notice should be addressed to:  
[RulesAndCompliance@lseg.com](mailto:RulesAndCompliance@lseg.com) or telephone +44 (0)20 7797 2190 (STX: 32190).

Denzil Jenkins  
Head of UK Compliance & Group Regulatory Policy

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 London Stock Exchange to carry out its regulatory responsibilities