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N09/21

Market Matters - Update

Background

1. London Stock Exchange (“the Exchange”) launched Market Matters (N03/16) as an online publication of relevant articles 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 CurveGlobal Markets and can be accessed via the link below:

<https://www.londonstockexchange.com/market-matters>

2. As previously stated, Market Matters articles do not constitute formal Exchange guidance; this continues 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.
3. 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. A new article regarding passive orders and appropriate price limits has recently been added to Market Matters.

Registration for email alerts

4. The Exchange has updated its subscriptions process for Market Matters, therefore, individuals who would like to receive an email alert when a new article is published, will need to register via the subscriptions form link in the Market Matters section of the website (previous registrations will not carry forward).

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This Stock Exchange Notice will be available on the website at:
<https://www.londonstockexchange.com/resources/london-stock-exchange-notices>

Calls to London Stock Exchange plc may be recorded to enable London Stock Exchange to carry out its regulatory responsibilities