



## Compliance Notice

Monday 26<sup>th</sup> March 2018

Reference Number: 0001/18

### **Subject: Participant Notification Obligations under the Chi-X Operating Rules**

It has recently come to the attention of Chi-X that some participants are not complying with their notification obligations under the Chi-X Operating Rules (Rules).

The Rules impose several requirements on participants relating to the notification of certain matters to Chi-X, including (but not limited to):

- Rule 3.1(c) requires a participant to notify Chi-X of details of changes to the items set out in the Chi-X Rules Procedures (Procedures) by the times set out in these Procedures. This includes notifying Chi-X immediately when enforcement proceedings are commenced (paragraph 1.1 of Procedure 3.1);
- Rule 3.1(h) requires a participant to identify and provide to Chi-X, up-to-date contact information of one or more persons who are competent to advise the participant on the application of the Rules;
- Rule 3.4(e) requires a participant to notify Chi-X if it becomes aware that it or an employee has breached any of the Rules or Market Integrity Rules.

It is important that participants clearly understand all of their notification obligations and the importance of complying with those obligations. The failure of a participant to comply with their notification obligations may result in disciplinary or other action by Chi-X.

Please [contact Chi-X Compliance by email](#) with any queries.

**Chi-X**

Compliance

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