

Participant Notice

Ref: PN13/11

Dated: 9th August 2013

From: Participant Services

Subject: Confirmation of proposed amendments to the Rules and Participant Manual

Further to Participant Notice 1310, this notice provides detail of a further amendment to the Participant Manual that BATS is making in response to regulatory feedback. The additional changes make it clear that Participants are required to notify BATS of any errors as soon as they become aware of them, and that there is a limit to the number of amendments that may be made to a single Exchange Trade Report. Confirmation of changes relating to deferred publication will be published in a future Participant Notice.

The changes detailed in the tables below will still become effective Friday 16th August 2013.

Marked up versions of the amended Rules and Participant Manual, including the proposed implementation of the deferred publication regime that will be implemented later this year, can be found on the BATS website at the following link: <http://www.batstrading.co.uk/regulation/library/>. Summaries of significant changes are provided in the tables below.

Rule Book: Summary of amendments between RIE version 2 and RIE version 3

Page	Amendment
Cover	Change of date and change of version number
Page 13	New Rule 10.13 – provision of the ability to cancel or amend single Participant Exchange Trade Reports
Page 13	Renumbering of existing Rule 10.13 to 10.14
Page 15	<i>New Rule 11.14 – provision of the ability to request publication delay for Negotiated Transactions. (To be implemented at a later date)</i>

Participant Manual: Summary of amendments between RIE version 2 and RIE version 3

Page	Amendment
Cover	Change of date and change of version number
Pages 14-15	Correction of Rule references

TEL. +44 (0) 20 7012 8900 | 6TH FLOOR, 10 LOWER THAMES STREET | LONDON, UK EC3R 6AF | BATSTRADING.CO.UK

BATS Trading Limited is authorised and regulated by the Financial Conduct Authority. BATS Trading Limited is a company registered in England and Wales with Company Number 6547680 and registered office at 6th Floor, 10 Lower Thames Street, London EC3R 6AF.

Page 16	New guidance on electronic cancellation and amendment of Exchange Trade Reports
Page 25	<i>New guidance on delayed publication of Negotiated Transactions (To be implemented at a later date)</i>
Page 27	References to open and close of certification environment removed