

## **Lists of Investment Exchanges and Clearing Houses Instrument 2001**

- A. The Financial Services Authority (the FSA) amends the Interim Prudential sourcebook for investment businesses, the Interim Prudential sourcebook for banks and the Glossary in the ways indicated in Annex A.
- B. The FSA makes this instrument in the exercise of the powers and related provisions in or under the Financial Services and Markets Act 2000 (the Act) listed in Annex B.
- C. The provisions of the Act relevant to altering rules and listed in Annex B are specified for the purpose of section 153(2) of the Act (Rule-making instruments).
- D. This instrument comes into force on 1 January 2002.
- E. This instrument may be cited as the Lists of Investment Exchanges and Clearing Houses Instrument 2001.

By order of the Board  
20 December 2001

# Annex A

## Part 1

### Changes to the Interim Prudential sourcebook for investment businesses

1.1 Replace Appendix 57 of IPRU(INV) 3 with the following:

#### Appendix 57

#### List of Exchanges and Clearing Houses Recognised for the purposes of IPRU(INV) 3

##### 1 Exchanges recognised for the purposes of IPRU(INV) 3

- a. Any recognised investment exchange (see Appendix 33).
- b. Any designated investment exchange (see Appendix 33).
- c. Any regulated market (see SUP 17 Ann 5G).

##### 2 Clearing Houses recognised for the purposes of IPRU(INV) 3

- a. Any recognised clearing house.
- b. Any of the following clearing houses:

ASX Settlement and Transfer Corporation Pty Ltd (ASTC)  
Austrian Kontroll Bank (OKB)  
Board of Trade Clearing Corporation  
Cassa di Compensazione e Garanzia S.p.A (CCG)  
Commodity Clearing Corporation  
Emerging Markets Clearing Corporation  
FUTOP Clearing Centre (FUTOP Clearing Centralen A/S)  
Hong Kong Futures Exchange Clearing Corporation Ltd  
Hong Kong Securities Clearing Company Ltd  
Kansas City Board of Trade Clearing Corporation  
Norwegian Futures & Options Clearing House (Norsk Opsjonsentral A.S. (NOS))  
N.V. Nederlandse Liquidatiekas (NLKKAS)  
OM Stockholm Exchange  
Options Clearing Corporation  
Options Clearing House Pty Ltd (OCH)  
Sydney Futures Exchanges Clearing House (SFECH Ltd)  
TNS Clearing Pty Ltd (TNSC)

1.2 Replace Appendix 57 of IPRU(INV) 10 with the following:

## **Appendix 57**

### **List of Exchanges and Clearing Houses Recognised for the purposes of IPRU(INV) 10**

#### **1 Exchanges recognised for the purposes of IPRU(INV) 10**

- a. *Any recognised investment exchange* (see **Appendix 33**).
- b. *Any designated investment exchange* (see **Appendix 33**).
- c. *Any regulated market* (see *SUP 17 Ann 5G*).

#### **2 Clearing Houses recognised for the purposes of IPRU(INV) 10**

- a. *Any recognised clearing house*.
- b. Any of the following *clearing houses*:

ASX Settlement and Transfer Corporation Pty Ltd (ASTC)  
Austrian Kontroll Bank (OKB)  
Board of Trade Clearing Corporation  
Cassa di Compensazione e Garanzia S.p.A (CCG)  
Commodity Clearing Corporation  
Emerging Markets Clearing Corporation  
FUTOP Clearing Centre (FUTOP Clearing Centralen A/S)  
Hong Kong Futures Exchange Clearing Corporation Ltd  
Hong Kong Securities Clearing Company Ltd  
Kansas City Board of Trade Clearing Corporation  
Norwegian Futures & Options Clearing House (Norsk Opsjonssentral A.S. (NOS))  
N.V. Nederlandse Liquidatiekas (NLKKAS)  
OM Stockholm Exchange  
Options Clearing Corporation  
Options Clearing House Pty Ltd (OCH)  
Sydney Futures Exchanges Clearing House (SFECH Ltd)  
TNS Clearing Pty Ltd (TNSC)

## Part 2

### Changes to the Interim Prudential sourcebook for banks

2 Replace section 5 of Chapter BC of IPRU(BANK) with the following:

#### 5 APPENDIX

5.1 Clearing houses and exchanges recognised for the purposes of Chapter BC of IPRU(BANK). (Counterparty exposures to CEDEL and Euroclear continue to attract a 20% weighting).

##### 5.1.1 Exchanges

1 Any of the following:

- a) any “recognised investment exchange”;
- b) any “designated investment exchange”;
- c) any “regulated market”

in each case, as defined in the central Handbook Glossary (“the Glossary”, as amended from time to time).

##### 5.1.2 Clearing Houses

2 Any of the following:

- a) any “recognised clearing house” as defined in the Glossary;
- b) any of the following clearing houses:

ASX Settlement and Transfer Corporation Pty Ltd (ASTC)  
Austrian Kontroll Bank (OKB)  
Board of Trade Clearing Corporation  
Cassa di Compensazione e Garanzia S.p.A (CCG)  
Commodity Clearing Corporation  
Emerging Markets Clearing Corporation  
FUTOP Clearing Centre (FUTOP Clearing Centralen A/S)  
Hong Kong Futures Exchange Clearing Corporation Ltd  
Hong Kong Securities Clearing Company Ltd  
Kansas City Board of Trade Clearing Corporation  
Norwegian Futures & Options Clearing House (Norsk Opsjonsentral A.S. (NOS))  
N.V. Nederlandse Liquidatiekas (NLKKAS)  
OM Stockholm Exchange  
Options Clearing Corporation  
Options Clearing House Pty Ltd (OCH)  
Sydney Futures Exchanges Clearing House (SFECH Ltd)  
TNS Clearing Pty Ltd (TNSC)

### Part 3

#### Changes to the Glossary

3. In the *Glossary*, amend the definition of “designated investment exchange” with as shown (striking through indicates deleted text):

Definition title	Definition text
<i>designated investment exchange</i>	<p>any of the following investment exchanges:</p> <ul style="list-style-type: none"> <li>American Stock Exchange</li> <li>Australian Stock Exchange</li> <li>Bolsa Mexicana de Valores</li> <li>Bourse de Montreal Inc</li> <li>Chicago Board of Trade</li> <li>Chicago Board Options Exchange</li> <li>Chicago Stock Exchange</li> <li>Coffee, Sugar and Cocoa Exchange, Inc</li> <li>Euronext Amsterdam Commodities Market</li> <li>Hong Kong Exchanges and Clearing Limited</li> <li>International Securities Market Association</li> <li>Johannesburg Stock Exchange</li> <li>Kansas City Board of Trade</li> <li>Korea Stock Exchange</li> <li>MidAmerica Commodity Exchange</li> <li>Minneapolis Grain Exchange</li> <li>New York Cotton Exchange</li> <li>New York Futures Exchange</li> <li>New York Stock Exchange</li> <li>New Zealand Stock Exchange</li> <li>Osaka Securities Exchange</li> <li>Pacific Exchange</li> <li>Philadelphia Stock Exchange</li> <li>Singapore Exchange</li> <li>South African Futures Exchange</li> <li>Tokyo International Financial Futures Exchange</li> <li>Tokyo Stock Exchange</li> <li>Toronto Stock Exchange</li> </ul>

## **Annex B**

### **Powers exercised**

The following powers and related provisions in or under the Act have been exercised to alter rules under this instrument:

- Section 138 (General rule-making power)
- Section 149 (Evidential provisions)
- Section 156 (General supplementary powers)

The following power in the Act has been exercised to alter guidance under this instrument:

- Section 157(1) (Guidance)