

29 March 2021

Notification of amendment to NZX Derivatives Market Rules: Conformance Amendments

NZX gives notice of amendments to the NZX Derivatives Market Rules (Rules) pursuant to Rule 1.6. The amendments to the Rules were approved by the Financial Markets Authority on 15 February 2021, following consultation with the market in April 2020.

These amendments involve conformance updates to bring the Rules in conformance with the 2019 amendments to the NZX Participant Rules. The changes will amend the following areas of the Rules:

- a) financial advice;
- b) discretionary accounts;
- c) know your client (KYC) procedures/required client information;
- d) contract notes;
- e) voice recording;
- f) disclosure of interests;
- g) employee and prescribed person trading;
- h) surveillance tools; and
- i) Direct Market Access (DMA) trading.

These Rule amendments will take effect from 28 April 2021.

NZX will also be releasing updates to the NZX Derivatives Market Procedures (Procedures) consistent with these changes and updating derivatives market forms 1 to 8.

Marked-up copies of the amendments to the Rules and Procedures are available here:
<https://www.nzx.com/regulation/nzx-rules-guidance/upcoming-rules-changes>

ENDS

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