



**NYSE Liffe**  
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OFFICE OF THE SECRETARIAT  
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**By Electronic Mail**

April 21, 2009

Mr. David A. Stawick  
Secretary  
Commodity Futures Trading Commission  
1155 21<sup>st</sup> Street NW  
Washington DC 20581

**Re: 2009-111 NYSE Liffe, LLC – Members’ Duties to Update Contact and Provide Notice of Other Information**

Dear Mr. Stawick:

I am the Chief Regulatory Officer of NYSE Liffe, LLC (“NYSE Liffe US” or the “Exchange”). Pursuant to U.S. Commodity Futures Trading Commission Rule 40.6, I enclose a Cover Sheet for NYSE Liffe, LLC Submission 2009-111 and NYSE Liffe US Notice 13/2009.

Notice 13/2009 announces an amendment to NYSE Liffe US Rule 503, as well as guidance on how to address notices required under Rules 503, 505 and 508. Amended Rule 503 obligates Members to notify the Exchange promptly of any changes to information supplied in any Membership Application, Responsible Person, Membership Connectivity Administrator, and View Only Key Forms filed with the Exchange, as well as any mergers, consolidations, combinations, sales or any other material changes in ownership.

NYSE Liffe US hereby certifies that Notice 13/2009 and Rule 503 as amended comply with the Commodity Exchange Act and the Regulations thereunder.

If you have any questions, please call me at (212) 656-4568.

With best regards,

Karl D. Cooper

Enclosures



## NYSE LIFFE US NOTICE No. 13/2009

ISSUE DATE: April 21, 2009  
EFFECTIVE DATE: April 23, 2009

### NYSE Liffe U.S. – Members’ Duties to Update Contact and Provide Notice of Other Information

#### Summary

This Notice announces an amendment to NYSE Liffe US Rule 503, as well as guidance on how to address notices required under Rules 503, 505 and 508. Amended Rule 503 obligates Members to notify the Exchange promptly of any changes to information supplied in any Membership Application, Responsible Person, Membership Connectivity Administrator, and View Only Key Forms filed with the Exchange, as well as any mergers, consolidations, combinations, sales or any other changes in ownership.

#### 1. Background

- 1.1 Information supplied on the Membership Application, Responsible Person, Membership Connectivity Administrator, and View Only Key Forms is critical to the operation of the Exchange.

#### 2. Amendment to Rule 503

- 2.1 NYSE Liffe US Rule 503 is amended by adding the following text as new sub-sections (d) and (e):

- (d) (i) Each Member will be solely responsible for notifying the Exchange of any and all changes to, or updates of, information given to the Exchange prior to or during the membership application process. After becoming a Member, each Member must promptly notify the Exchange in writing of changes to information on all forms including the (A) Membership Application, (B) Responsible Person, (C) Member Connectivity Administrator, and (D) View Only Key Forms.

- (ii) Failure to file a required response to any communication sent to the latest physical address of a Member organization or e-mail address of Key Personnel filed with the Exchange by the Member which is caused by a failure to notify

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NYSE Liffe U.S. is the brand name for NYSE Euronext’s U.S. Futures Market, operating through NYSE Liffe, LLC, a U.S. Commodity Futures Trading Commission designated contract market.

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the Exchange in writing of changes in information as set forth in sub-paragraph 503(d)(i) above, may result in an order of default and award of claimed monetary damages or other appropriate order in any Exchange proceeding.

- (e) Any Member, other than a natural person, shall notify the Exchange at least ten business days prior to any merger, acquisition, consolidation, combination, sale or other material change of ownership.

**3. Guidance on Addressing Notices to the Exchange and Exchange's Compliance Service Provider**

- 3.1 Rule 503 as amended requires Members to notify the Exchange of the occurrence of various events in sub-sections (a) through (c) and any change in information provided in the forms specified in sub-section (d)(i). Any of the notices required by Rule 503 should be sent via electronic mail to [NLMktReg@nyx.com](mailto:NLMktReg@nyx.com).
- 3.2 Rule 505(a)(ii) requires non-FCM Members to immediately notify the Exchange's Compliance Service Provider if any such Member's net worth declines below \$300,000 and provide monthly financial statements thereafter until such Member's net worth exceeds \$300,000 for two consecutive months. Any notices required under Rule 505(a)(ii) should be sent via electronic mail to the National Futures Association, the Exchange's Compliance Service Provider, at the following address: [MktSvl@nfa.futures.org](mailto:MktSvl@nfa.futures.org).
- 3.3 Rule 508(b) requires Members to "notify the President or his or her designee, immediately upon become aware that [the Member] fails to satisfy the minimum financial requirements applicable to [the Member]." The President has designated the Market Regulation Department as his designees for receipt of notices under Rule 508. Accordingly, notices required by Rule 508(b) should be sent via electronic mail to the Exchange's Market Regulation Department at the following address: [NLMktReg@nyx.com](mailto:NLMktReg@nyx.com).

For further information in relation to this Notice, Members should contact the following:

Market Regulation Department

1 212 656 4300

[NLMktReg@nyx.com](mailto:NLMktReg@nyx.com)