
Date: 29th November 2011

Reference number: 0027/11

Subject: Chi-X Australia Confirms Change Management Process and Christmas Change Freeze

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Change Management Process

We have implemented change control procedures for our Production Environment and our Participant Testing Environment that are designed to balance our desire to make changes quickly while minimising risks.

Inevitably the 'right balance' between speed and risk will change over the course of time and as a consequence we will review our procedures towards the end of February.

We believe that in most circumstances the change control procedures set out below will be sufficient to meet most needs. We will be able to consider exceptional circumstances however we emphasise that in the interests of the market as a whole, the circumstances will need to be both compelling and exceptional.

All requests must be submitted to au.support@chi-x.com.

Participant Test Environment (PTE)

Configuration changes (such as modifying the filtering of Trade Feeds and 3rd Party Consolidated Feeds) will be implemented twice weekly: mid-week and over the weekend. Changes received by cob on the first day of the week will be implemented on the third business day of the week. For changes to be implemented over the weekend we must be advised at least one full business day in advance. In summary, for a normal working week:

- Changes notified by cob on Monday will be implemented on Wednesday evening, and
- Changes notified by cob on Thursday will be implemented over the weekend

Changes to the PTE that have a network impact (e.g. new FIX gateway or new trade feed) are available once a week and requests must be submitted no later than 11am Thursday.

Production Environment (PROD)

All changes to the production environment (i.e. both network and trading system changes) will be made once a week over the weekend. Signed Order Forms and completed System Configuration Forms detailing the requested change must be submitted by no later than 5pm Wednesday.

Data Centre

Patching and Router Configuration of new connections at the data centre will be performed

over a weekend. This work will be carried out over the first and third weekend of each month.

Change Freeze over Christmas Period

Chi-X will be implementing a change freeze covering both Production and PTE Environments over the Christmas holiday season. The change freeze will commence on the 15th December and run until the 5th January (inclusive). Please be aware that Friday 9th December will be the last scheduled change window prior to the freeze. During this Change Freeze period we will only make urgent change requests if they meet exceptional criteria.

Chi-X Australia

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