

especially convened to consider the matter and which is supported by the affirmative votes of at least four Directors appointed in accordance with clause 24.2(a)(i) or alternates for such Directors;

- (e) provide the Investigations Committee with such financial reports and within such time as the Investigations Committee requires. Such information shall include true and correct statements of the following:
  - (i) a monthly return of the Member's position with regard to clients' funds, within five working days of the last business day of the month;
  - (ii) a quarterly return of the Member's financial position, within two months of the last business day of the months of March, June, September and December in each year, and at such other times as may be requested in writing by the Committee;
  - (iii) signed audited annual financial accounts, within three months of the Member's annual balance date;

Such statement shall be binding on the Member, and are to be signed by the Member, or by a partner or director of the Member, as the case may be, or by a person duly authorised by the Member to sign such statements;

- (f) notify the Exchange immediately upon the happening of any one or more of the following:
  - (i) the bankruptcy of the Affiliate Member or of a partner or a director of the Affiliate Member, as the case may be;
  - (ii) where, in the case of a company or any related company, a receiver, statutory manager, provisional liquidator or liquidator or a similar officer is appointed, or any resolution is passed or order made for the winding up or dissolution of the company;
  - (iii) where the Affiliate Member, or in the case of a partnership any of the partners, or in the case of a company any of the directors, is convicted of an indictable offence;
- (g) co-operate with the Investigations Committee in the performance by that Committee of its duties and in particular make available to the Committee its accounting and other records;
- (h) obtain appropriate written acknowledgements from clients, which shall include as a minimum the particulars contained in the appropriate form set out in the Schedule hereto;
- (i) obtain proper authorities from clients in relation to accepting instructions from any person or persons on behalf of a client;
- (j) not apply or permit or suffer any monies or securities standing to the credit of accounts of clients in respect of futures trading to be applied against debits to its own futures trading account (which expression shall include accounts of its partners, directors and employees), or for