

- option contracts, which is false or which may be misleading or prejudicial to the goodwill or public image of the Exchange and its Members or which has been disapproved, or is of a class that has been disapproved, by the Investigations Committee or the Board by notice in writing to the Affiliate Member concerned or to Affiliate Members generally, provided that this provision shall not prevent the issue or dissemination of unsolicited business communications to companies which are listed on recognised stock exchanges or their related companies;
- (o) not knowingly employ any person who has been involved in any investigation by the Board as a result of which there has been a finding of misconduct involving that person without first obtaining the written approval of the Investigations Committee;
 - (p) not act in any way which would adversely affect the goodwill or public image of the Exchange and its Members;
 - (q) not knowingly transact any business on behalf of:
 - (i) any director, partner or employee of any Trading Member or Introducing Broker Member or of any other Affiliate Member; or
 - (ii) any client in which any such director, partner or employee has an interest, either direct or indirect; or
 - (iii) any Local Member.
- For the purpose of this subclause 'employee' shall include persons who as a representative of the Member advise or solicit instructions from persons in relation to the sale or purchase of futures, related or similar contracts on the market;
- (r) to notify the Exchange of the existence of any agreement entered into by the Affiliate Member with an Introducing Broker Member pursuant to Article 9.1(q) and to advise the Exchange of the termination of any such agreement;
 - (s) to provide to each client written confirmation of each trade executed for that client on a daily basis;
 - (t) to provide to each client a written monthly statement within seven days of the end of each calendar month showing:
 - (i) the opening cash balance for that month in the client's account;
 - (ii) all deposits, credits, withdrawals and debits affecting the client's account during that month;
 - (iii) the cash balance in the client's account at the end of that month;
 - (iv) particulars of each futures or option contract that the Affiliate Member has, before or during that month; acquired on behalf of the client and that, as at the end of that month has not been disposed of;
 - (v) details of each outstanding call for an initial margin or variation margin in respect of a futures or option contract that