

- Member is convicted of an indictable offence;
- (ii) the bankruptcy of a partner in or director of the Introducing Broker Member;
 - (iii) where, in the case of a company or any related company, a receiver, statutory manager, provisional liquidator, liquidator or similar officer is appointed, or any resolution is passed or order made for the winding up or dissolution of the company;
 - (iv) where 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 an appropriate written acknowledgement from each client which shall include as a minimum the provisions contained in Form 4 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 permit any one client (in which context the expression 'client' shall include all persons related to or associated or affiliated with the client or otherwise financially dependent on the client) to represent such a percentage of the business of the Introducing Broker Member as may reasonably be likely to prejudice or diminish the ability of the Introducing Broker Member to meet its obligations;
 - (k) effect and maintain such form of indemnity as the Board may from time to time determine to be appropriate to protect the interests of the clients of Members;
 - (l) not to issue or disseminate, or permit the issue or dissemination of, any advertisement or unsolicited business communication in writing, in respect of its business as a dealer in futures or 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 Introducing Broker Member concerned or to Introducing Broker 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;
 - (m) 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;