## COMPOSITION FINES SCHEDULE - SGX-ST RULES

Rule Violation		Whether composition may be offered	Composition Amount which may be Offered by SGX-ST, where SGX-ST has Determined the Trading Member, Approved Executive Director and/or Trading Representative to be Liable Trading Representatives (or Market Making Representative,									
			Trading Members (or Designated market Maker, where applicable)			Approved Executive Directors			where applicable)			imposable by the
Rule Chapter/Number	Brief Description of Rule		1st Violation	2nd Violation	3rd Violation	1st Violation	2nd Violation	3rd Violation	1st Violation	2nd Violation	3rd Violation	DC
8.3.4	Trades to be amended from "zero"-or- "09090" account to a oustomer account- as-soon as account-code is allocated to- the oustomer.  Trading Member to specify the Position Account code, Trading Account code and the price and quantity of the security or Futures Contract for each order entered into the Trading System.	Compoundable	\$500	\$1,000	\$2,000	\$250	\$500	\$1,000	\$250	\$500	\$1,000	N.A
12.3.7 <u>(1)</u>	Trading Member to designate a customer account by the customer's full name and an account code.  Trading Member to maintain separate.  Trading Accounts for each customer or each group to joint customers (as the case may be) whose account is carried on the books of the Trading Member.	Compoundable	\$2,000 <b>–</b> \$4,000	\$4,000 <b>-</b> \$7,000	\$7.000 – \$10.000	\$1,000 - \$3,000	\$3,000 - \$6,000	\$6,000 - \$8,000	\$1,000 - \$3,000	\$3,000 - \$6,000	\$6,000 - \$8,000	<u>N.A</u>
12.3.7(2)	Trading Member to identify and designate each Trading Account by the full name of the customer(s) whose account is carried on the books of the Trading Member and by a unique Trading Account code, which must be reported to SGX-ST prior to any order.		\$500 <u></u>	<u>\$1.000</u>	<u>\$2,000</u>	<u>\$250</u>	\$500 <u>.</u>	<u>\$1,000</u>	<u>\$250</u>	\$500	\$1.000	N.A
12.3.9	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]
12.7.1	Trading Member to send customer a monthly statement of account. statement of account on a regular basis, as may be required under the Securities and Futures Act, or any Regulation made thereunder.	Not Compoundable	Not Compoundable							N.A	N.A	\$10,000
12.16.1(2)	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]
12.16.1(3) 12.16.2	[deleted] [deleted]	[deleted] [deleted]	[deleted] [deleted]	[deleted] [deleted]	[deleted]	[deleted] [deleted]	[deleted] [deleted]	[deleted] [deleted]	[deleted] [deleted]	[deleted] [deleted]	[deleted] [deleted]	[deleted] [deleted]
12.16.2	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]
12.16.4	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]
	Authorized Trading Member to comply with requirements in Rule SA.1.2 of the Clearing Rules in respect of each Authorized Account.	Compoundable	\$500_	\$1,000	\$2,000	\$250_	\$500_	\$1,000	\$250	\$500_	\$1,000	N.A
<u>12A.2.1</u>	Authorized Trading Member to maintain separate Position Accounts for each Customer or each group of joint Customers whose account is carried on the books of the Authorized Trading, Member, pursuant to Rule 5A.1.1 and 5A.2 of the CDP Clearing Rules.	Compoundable	<u>\$2,000 – \$4,000</u>	\$4,000 <b>-</b> \$7,000	\$7.000 - \$10.000	<u>\$1,000 - \$3,000</u>	\$3,000 - \$6,000	<u>\$6,000 - \$8,000</u>	<u>\$1,000 - \$3,000</u>	\$3,000 - \$6,00 <u>0</u>	\$6,000 - \$8,00 <u>0</u>	N.A

12A.2.2	Authorized Trading Member to complywith requirements in Rules 5A.1.2 of the Clearing Rules in respect of each Authorized Account.	Compoundable	<u>\$500_</u>	<u>\$1,000</u>	<u>\$2,000</u>	<u>\$250</u>	<u>\$500</u>	<u>\$1,000</u>	<u>\$250</u>	<u>\$500</u>	<u>\$1,000</u>	<u>N.A</u>
	Authorized Trading Member to comply with requirements in Rules 5A.1.1, 5A.2, 5A.3 and 5A.6 of the Clearing Rules in respect of each Authorized Account.	<u>Compoundable</u>	\$2,000 – \$4,00 <u>0</u>	\$4,000 <b>-</b> \$7,000	\$7,000 – \$10,00 <u>0</u>	<u>\$1,000 - \$3,000</u>	<u>\$3,000 - \$6,000</u>	<u>\$6,000 - \$8,000</u>	<u>\$1,000 - \$3,000</u>	\$3,000 - \$6,00 <u>0</u>	<u>\$6,000 - \$8,000</u>	<u>N.A</u>
<u>12A.3.1</u>	Trading Member is to identify or make available to SGX-ST the identity of any underlying beneficial owner and/or any controlling party of an Authorized.  Account, upon request by SGX-ST within such time as SGX-ST may require.	Not Compoundable	Not Compoundable						N.A	N.A	N.A	\$10,000
<u>12A.4.1</u>	TPC Trading Member to instruct its Clearing Member to allocate positions of each trade cleared by the Clearing Member to the Trading Member's. Position Account or in accordance with the relevant customer's instructions, as soon as practicable.	<u>Compoundable</u>	\$2,000 – \$4,000	\$4,000 – \$7,000	\$7,000 – \$10,000	\$1.000 - \$3.000	\$3,000 - \$6,00 <u>0</u>	\$6.000 - \$8.00 <u>0</u>	\$1,000 - \$3,000	\$3,000 - \$6,000	\$6,000 - \$8,000	N.A
<u>12A.4.2</u>	TPC Trading Member to ensure conditions set out in Rules 12A.4.2(a) or 12A.4.2(b) are satisfied in the case of any sub-allocation of positions from a Position Account to another Position Account.	Compoundable	<u>\$2,000 – \$4,000</u>	<u>\$4,000 – \$7,000</u>	<u>\$7,000 – \$10,000</u>	<u>\$1,000 - \$3,000</u>	<u>\$3,000 - \$6,000</u>	<u>\$6,000 - \$8,000</u>	\$1,000 - \$3,00 <u>0</u>	<u>\$3,000 - \$6,000</u>	<u>\$6,000 - \$8,000</u>	<u>N.A</u>
<u>12A.5.1</u>	A Position Account to be used to hold positions for different customers only where the Trading Member has procedures to ensure fair allocation.	Compoundable	<u>\$2,000 – \$4,000</u>	\$4,000 <b>–</b> \$7,000	<u>\$7,000 – \$10,000</u>	<u>\$1,000 - \$3,000</u>	<u>\$3,000 - \$6,000</u>	\$6,000 - \$8,000	\$1,000 - \$3,000	\$3,000 - \$6,000	<u>\$6,000 - \$8,000</u>	<u>N.A</u>
<u>12A.5.2</u>	Trading Member to ensure that no trades are warehoused for more than 2 Market. Days, unless under exceptional circumstances, where the Trading Member must document the reasons for th extension of time.	Compoundable	\$2,000 <b>–</b> \$4,000	\$4,000 – \$7,00 <u>0</u>	<u>\$7,000 – \$10,000</u>	\$1.000 - \$3.000	\$3,000 - \$6,00 <u>0</u>	\$6,000 - \$8,000	\$1,000 - \$3,000	\$3,000 - \$6,000	\$6,000 - \$8,000	<u>N.A</u>
19.7.1(a)	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]
19.7.1(b)	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]	[deleted]