

Amendments to Schedule A of SGX-ST Rules

Rule amendments are marked in blue.

[Sample](#): Rule insertion

[Sample](#): Rule deletion

Chapter 5 – Trading Practices and Conduct

Rule Violation		Whether composition may be offered	Composition amount that may be offered by SGX-ST, where SGX-ST has determined the Trading Member, Chief Executive Officer and/or Trading Representative to be liable									Mandatory minimum penalty imposed by the Disciplinary Committee
Rule Chapter/Number	Brief Description of Rule		Trading Members (or Designated Market Maker, where applicable)			Chief Executive Officer			Trading Representatives (or Market Making Representative, where applicable)			
			1st Violation	2nd Violation	3rd Violation	1st Violation	2nd Violation	3rd Violation	1st Violation	2nd Violation	3rd Violation	
Chapter 5 – Trading Practices and Conduct												
5.10	Unauthorised Trading											
5.10.1(a)	Trading Representative not to execute personal trades in the account of a customer	Net Compoundable	\$2,000 – \$4,000	\$4,000 – \$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	\$10,000 N.A.
5.10.1(b)	Trading Representative not to execute a customer’s trades in his personal account	Net Compoundable	\$2,000 – \$4,000	\$4,000 – \$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	\$10,000 N.A.
5.10.1(c)	Trading Representative not to use a customer's account for third party trading without prior written authorisation	Net Compoundable	\$2,000 – \$4,000	\$4,000 – \$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	\$10,000 N.A.