

CIRCULAR



30 - 32 Grosvenor Street

Sydney NSW 2000

Australia

Telephone +61 (0)2 9256
0555

Facsimile +61 (0)2 9256
0666

**To: Associate Members
Floor Members
Local Members
Market Representatives**

No: 320/98

Disciplinary Action Imposed by the Business Conduct Committee

Members are advised that in accordance with Article 38.9.1(d) the Business Conduct Committee (the Committee), acting under the said Article, resolved that a Member had failed to comply with the following:

1. **Article 3.6(3)(i) and (ii)**
[Failure to accurately record order details];
2. **Section TE.10.1 of the Trading Etiquette**
[Failure to record the correct details of trades on trading chits]; and
3. **Article 3.6(1)(e) by virtue of an apparent failure to comply with Section 1266(7) of the Law**
[Failure to maintain complete order records].

In accordance with Article 38.9.1(d), the Committee imposed a Reprimand upon the Member for the identified breaches.

**Deborah Horne
GM - Compliance & Surveillance**

13/11/98

**SYDNEY FUTURES EXCHANGE LIMITED
ACN 000 299 392**

Address all correspondence to PO Box N680 Grosvenor Place Sydney NSW 2000 Australia