

# CIRCULAR



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**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**

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