



<b>IRREGULARITIES (among others)</b> <i>Noted for follow-up</i>	<b>DETAILS OF IRREGULARITIES</b>	
Backing away		
Matched orders /prearranged trade		
Wash trades/prearranged trade		
Marking the close		
Marking the open		
<b>Price manipulations</b> <ul style="list-style-type: none"> <li>• Trading away from best price</li> <li>• Orders that move the market</li> <li>• Large price movement etc</li> </ul>		
<b>Volume manipulations</b> <ul style="list-style-type: none"> <li>• Large block trades</li> <li>• Large orders</li> <li>• Order imbalance</li> <li>• Unusual volume etc</li> </ul>		
Spreading false info./rumours		
Unauthorized person using the trading system		
Authorised person not available at the firm		
Member or customer complaint		
Request for cancellation of trade		
Cross trade		
Automatic sanctions		
Alerts (attach A)		

Note: Attach Official list

Please note that these will be inspected during on-site surveillance.

**DECLARATION**

I/We certify that the above information is true and accurate

Name:

Designation:

Date: