Appendix

Table of Enforcement for Rule Violation

During Q3, 2014

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **No.** | **Customer Name** | **Customer Type** | **Rule Violation** | **Enforcement** |
| 1 | He X | Natural person | Accommodation trade  for fund transfer purpose | Public criticism, suspension of opening new positions for two months, and order for wrong behavior correction |