Appendix

Table of Enforcement for Rule Violation

During Q4, 2014

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| **No.** | **Customer Name** | **Customer Type** | **Rule Violation** | **Enforcement** |
| 1 | Huang X | Natural person | Accommodation trade  for fund transfer purpose | Public criticism and suspension of opening new positions for twelve months |
| 2 | X Company | Legal person | Accommodation trade  for fund transfer purpose | Public criticism and suspension of opening new positions for six months |
| 3 | Zhao X | Natural person | Accommodation trade  for fund transfer purpose | Public criticism and suspension of opening new positions for six months |
| 4 | Wu X | Natural person | Accommodation trade  for fund transfer purpose | Public criticism and suspension of opening new positions for six months |
| 5 | Yi 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 |
| 6 | Chen X | Natural person | Accommodation trade  for fund transfer purpose | Warning |
| 7 | Chen X | Natural person | Accommodation trade  for fund transfer purpose | Public criticism and suspension of opening new positions for twelve months |
| 8 | Li X | Natural person | Accommodation trade  for fund transfer purpose | Suspension of opening new positions for twelve months |
| 9 | Xu X | Natural person | Accommodation trade  for fund transfer purpose | Suspension of opening new positions for six months |
| 10 | Wang X | Natural person | Accommodation trade  for fund transfer purpose | Suspension of opening new positions for twelve months |
| 11 | Lin X | Natural person | Accommodation trade  for fund transfer purpose | Suspension of opening new positions for twelve months |