

APPENDIX A – MANUAL ZERO FEE CRITERIA

Criteria for a T+X Correction:

- Opposite sides – 1 Buy and 1 Sell;
- Account Code must be the same;
- Member Code must be the same;
- Price must be the same;
- Quantity must be the same – We will review cases with a different quantity on a case by case basis;
- Instrument must be the same;
- Most importantly, the original leg and the correcting entry must be posted on different dates.

Criteria for a position transfer:

As per our guidelines, the rules for the position transfers between clients are as follows:

- The client codes must all be for the same legal entity;
 - ✓ Legal Entity means that the company registration number on both/all clients must be the same and loaded on RTC for verification purposes.
- Price, Quantity, Contract Code & Expiry must be the same.

Criteria for a cross currency pair:

In this scenario, we will receive a request for a synthetic pair, which currently is not listed on FXM and we will waive the higher amount.

Criteria for Cross Market Trades:

These are trades executed on CDM, the positions are thus hedged via a trade executed on FXM. When exiting the strategy, the fee on the FXM leg will be waived. The member will send the request to CSC with the trade details for CDM as well as FXM.

As per our guidelines, the rules for cross-market trades are as follows:

- The CDM contract traded must be for a product on the GLOBAL commodities market;
- The zero fee is applied on the FXM trade.

Criteria for Deal Sub-Account Modification – Client Sub Accounts:

RTC currently does not have the functionality which allows a deal sub account modification on Client Sub Accounts therefore clients have to book a trade report in the interim to facilitate this function.

CSC will therefore process the waiving of the fees for the in and out legs on the initial account viz, member account, member sub account or Client Main account, for the above scenarios.