

# **Guidelines of China Financial Futures Exchange on the Use of the Emergency Trading Floor**

(Adopted on March 3, 2010; first amended on January 29, 2014)

## **Chapter I General Provisions**

**Article 1** These Guidelines are formulated in accordance with the *Trading Rules of China Financial Futures Exchange* and its detailed implementation rules for the purposes of improving the capacity to maintain trading services by members of China Financial Futures Exchange (the “Exchange”) and safeguarding market order.

**Article 2** For the purpose of these Guidelines, “Emergency Trading Floor” refers to the temporary trading venue provided by the Exchange to its members under emergency circumstances.

**Article 3** These Guidelines shall apply to the Exchange, members, and members’ staff.

## **Chapter II Application for the Use of the Emergency Trading Floor**

**Article 4** A member may apply to the Exchange for the use of the Emergency Trading Floor when its trading system is or may be rendered inoperable by such events as a network or system malfunction or a system upgrade or change.

**Article 5** A member shall submit the following materials to the Exchange to apply for the use of the Emergency Trading Floor:

- (1) application form for the use of the Emergency Trading Floor;
- (2) identification of the traders to be assigned to the Emergency Trading Floor (“emergency floor traders”); and
- (3) other materials required by the Exchange.

**Article 6** A member applying for use of the Emergency Trading Floor may only apply for one emergency trading terminal each time. Where two or more emergency trading terminals are needed under special circumstances, an explanation therefor shall be submitted.

**Article 7** Upon receipt of the application materials, the Exchange will issue a response pursuant to relevant rules.

## **Chapter III Use of the Emergency Trading Floor**

**Article 8** Trading by members on the Emergency Trading Floor shall be conducted by their authorized emergency floor traders and through the emergency trading seat designated by the Exchange.

Members shall keep secure the password to the emergency trading seat and be liable for the leak of the password.

**Article 9** Members shall perform the obligations with respect to their transactions on the Emergency Trading Floor of the Exchange.

The Exchange shall not be liable for any abnormality or interruption in trading arising from such events as force majeure, accidents, unauthorized access to the Exchange's system, or erroneous operations of members.

**Article 10** Emergency floor traders shall enter the Emergency Trading Floor with the required entry pass and at the time specified by the Exchange.

**Article 11** Emergency floor traders shall take the assigned seats and comply with the instructions of the Exchange staff.

**Article 12** Emergency floor traders shall use the emergency trading terminals designated by the Exchange. Unless otherwise approved by the Exchange, each emergency trading terminal shall only be used by a maximum of two traders.

**Article 13** Any emergency floor trader intending to bring ancillary trading devices into or out of the Emergency Trading Floor shall obtain the approval of the Exchange.

**Article 14** Emergency floor traders shall operate the equipment on the Emergency Trading Floor in accordance with the equipment rules of the Exchange.

**Article 15** A member shall terminate its use of the Emergency Trading Floor once its term of use expires or once its application for early termination is approved by the Exchange.

**Article 16** Emergency floor traders shall leave the Emergency Trading Floor after market close or after the Exchange terminates the use of the floor.

#### **Chapter IV Supervision**

**Article 17** Emergency floor traders present on the Emergency Trading Floor are prohibited from:

- (1) replacing a trader during the approved term of use without authorization;
- (2) carrying devices or food into the Emergency Trading Floor without authorization;
- (3) engaging in uncivil or disorderly conduct, damaging or destroying trading facilities, or disrupting the trading order;
- (4) operating the Exchange's system without following the proper procedures;
- (5) taking photos and video recordings in the Emergency Trading Floor without authorization;
- (6) forging or lending to others the entry pass for the Emergency Trading Floor; or

(7) engaging in other disruptive behaviors on the Emergency Trading Floor.

**Article 18** Emergency floor traders shall be liable for compensation for any damage to the equipment of the Emergency Trading Floor resulting from improper use.

**Article 19** Where a member violates any rules of the Exchange on the use of trading seats or the Emergency Trading Floor, the Exchange shall be entitled to terminate its use of the Emergency Trading Floor.

#### **Chapter V Ancillary Provisions**

**Article 20** Any violation of these Guidelines shall be handled by the Exchange in accordance with these Guidelines and the *Measures of China Financial Futures Exchange on Dealing with Violations and Breaches*.

**Article 21** The Exchange reserves the right to interpret these Guidelines.

**Article 22** These Guidelines shall come into effect on January 29, 2014.