

**Notice No.:** COMP-2010-027

**Issue Date:** November 15, 2010

**Subject:** Notification of penalties for failure to provide auditor's NCTA certification in adherence of Exchange By-Law E.3(c).

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Notice to all Broker Members

Subject: Notification of penalties for failure to provide auditor's NCTA certification in adherence of Exchange By-Law E.3(c).

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Further to Notice No. COMP-2010-009 dated April 22, 2010, the Exchange has determined to impose a fixed penalty fine of USD 2,500 on Broker Members trading on behalf of Clients, in the case they fail to submit to the Exchange by January 31, 2011 an auditor's NCTA certification as described in By-Law E.3(c).

Members are requested to note that in the event they fail to submit to the Exchange by February 15, 2011 either:

- (i) an auditor's certification as described in By-Law E.3(c), or
- (ii) an auditor's letter confirming the Member's NCTA at or above the minimum Exchange requirement as at January 31, 2011,

the Member's Trading Rights will be suspended until such time as either of the auditor's certification or an auditor's NCTA letter is received at the Exchange.

All Broker Members trading on behalf of Clients are requested to take note of the above.

**For Dubai Gold & Commodities Exchange**

**Tony Day**  
**Head Compliance & Membership.**