**Appendix A – Monthly Compliance Certificate**

**Clearing Participant:**

**Month Ended:**

1. To the best of my knowledge, except to the extent disclosed in writing to CHO, the Clearing Participant has met the requirements of Rule 9.1 at all times (including at all times during each day) during the period.

2. The figures in the trial balance have been taken from a trial balance summary and are in agreement with the general ledger.

3. The figures in the Capital Adequacy Calculations for the last Business Day of the previous month and the summary calculations for each Business Day of the month, are in agreement with the general ledger and have been calculated according to the requirements of the Rules.

Name:

Responsible Person:

Date:

Name:

Chief Financial Officer:

Date:

\* *If this statement cannot be made, the certificate should identify any Potential Credit Event that is continuing and the steps, if any, being taken to remedy it.*