



ICE NGX Canada Inc.
(“ICE NGX” or the “Exchange”)

SCHEDULE OF SUMMARY SANCTIONS

The following table sets out the sanction applicable to alleged violations of the CPA under section 6.5 of the CPA. The sanction amounts listed are per violation identified, up to a maximum of \$10,000. In circumstances where the sanction would exceed \$10,000, the Chief Compliance Officer may determine to refer the matter to the Compliance staff of the Exchange.

Violation Alleged	Within the previous 12 months:		
	1 st Occurrence	2 nd - 3 rd Occurrences	4 th + Occurrences
Failing to make timely, accurate and full payment of an Invoice to Exchange in accordance with the CPA by the end of the relevant settlement date	\$1,000	\$3,000	\$5,000
Failing to make timely provision of Eligible Collateral Support in accordance with Schedule “C” - Risk Management of the CPA	\$1,000	\$5,000	\$5,000
Failing to make timely and accurate submissions to the Exchange, as required under any provision of the CPA:			
Financial statements	\$1,000	\$3,000	\$5,000
Notices	\$1,000	\$3,000	\$3,000
Failing to maintain a current written risk management policy that address the risks the Contracting Party may pose to Exchange, as required under the CPA	\$5,000 Referral to Compliance staff for implementation of a written risk management policy		
Failing to make timely payment to Exchange of any fee, penalty or other charge in accordance with the CPA	\$1,000	\$1,000	\$5,000