

3.16.2 An Authorized Broker:

- (a) must be registered with the CFTC as an FCM or an introducing broker;
- (b) must enter into the applicable Authorized Broker Agreement with the Exchange and agree to be subject to and to comply with the Rules applicable to Authorized Brokers;
- (c) must agree to effect Block Trades on behalf of a Participant only in accordance with these Rules and procedures established by the Exchange;
- (d) must, if registered as an FCM, maintain adequate financial resources in accordance with Rule 3.4; ~~and~~
- (e) must file with the Exchange and the Regulatory Services Provider, if any, a copy of any notice or written report that it is required to file with the Commission pursuant to Commission Regulations 1.12; and
- (f) must agree to such other terms and conditions as may be established by the Exchange from time to time.