

**RULE NUMBER X.B.2 : MAINTENANCE OF DOCUMENTS
BY A CLEARING GUARANTEE INSTITUTION.**

Attachment :
Decision of The Chairman of Bapepam
Number : Kep-67/PM/1996
Date : January 17, 1996

1. Every Clearing Guarantee Institution must administer, keep, and maintain records, accounts, data, and written information related to:
 - a. the status and activities of Clearing Guarantee Institution users;
 - b. records of the clearing of Exchange Transactions and bookkeeping of the guarantee fund at the Clearing Guarantee Institution;
 - c. the clearing and guarantee of Exchange Transactions; and
 - d. the administration and management of the Clearing Guarantee Institution as a Company.
2. The documents referred to in item 1 letter a of this rule shall consist of at least:
 - a. a list of the Clearing Guarantee Institution's users; and
 - b. records of activities of the Clearing Guarantee Institution's users including financial difficulties they face and violations they have committed.
3. The documents referred to in item 1 letter b of this rule shall consist of at least:
 - a. the numbers and type of Securities cleared;
 - b. records on the right to receive and the obligation to deliver Securities and cash; and
 - c. a list of names of users who have deposited guarantee funds at the Clearing Guarantee Institution and the amount of funds deposited.
4. The documents referred to in item 1 letter c of this rule shall consist of at least:
 - a. a list of daily clearings of Securities specifying the name of the Securities cleared, the prices, and the number of units of each type of Securities;
 - b. a report of overdue or failed settlements of Exchange Transactions;
 - c. changes in clearing-hours at the Clearing Guarantee Institution;
 - d. temporary suspensions of Securities clearing;
 - e. confidential information that the Clearing Guarantee Institution deems to have a material effect on the market in general and/or on certain Securities;
 - f. settlements of disputes among members of the Clearing Guarantee Institution ; and
 - g. other actions taken to deal with emergency trading situations.
5. The documents referred to in item 1 letter d of this rule shall consist of at least:
 - a. the articles of association and amendments there to;
 - b. the shareholder book and its administrative maintenance;
 - c. minutes of General Meetings of Shareholders, directors and/or board of commissioners meetings, and commissions or committees meetings;
 - d. changes in the management up to one level below directors;

- e. setting up committees or commissions and or changes in the composition of the committees or commissions (if any); and
 - f. other documents including correspondence, memoranda, papers, books, notices, announcements, circulars, and other records generated or received by the Clearing Guarantee Institution in connection with its business operations.
6. The documents referred to in items 1, 2, 3, 4, and 5 of this rule must be made available at anytime for inspection by Bapepam.
 7. The documents referred to in item 6 in this rule, must be maintained for a period of at least 5 (five) years.