

LME 交易禁止行为

(以下规则取自伦敦金属交易所规章制度 第 3 部分 交易规章 第 14 条 禁止行为)

(中文版本仅供参考，不同语言版本不一致，以英文版本为准)

14 禁止行为

14.1 任何人不得操纵、试图操纵或以其他方式滥用或试图滥用市场，或创建或试图创建人为市场。

14.2 任何人不得参与或试图参与旨在创造价格和交易量不能真实反映所交易业务的人为市场的交易或一系列交易。

14.3 任何人不得进行或试图进行清洗交易或虚假交易。

14.4 任何人不得在交易活动实际上并未发生时证明或试图证明交易活动已经发生，任何人也不得就任何交易活动的性质误导或试图误导交易所员工。

14.5 任何人不得有意或无意地制造或企图制造无序市场。

14.6 任何人不得根据客户订单带来的任何价格变动，以实现利润或避免损失为目的，按照与客户订单相同的方向进行交易、下订单进行交易或鼓励任何其他进行人进行交易（购买或出售）。

14.7 任何人不得就任何订单或交易的性质误导或试图误导交易所工作人员。

14.8 任何人不得操纵或企图操纵交易所制定或公布的任何价格或指数。

14.9 任何人不得从事、试图从事、促使另一人从事或企图促使另一人从事违反防止市场滥用的适用法律或法规的任何行为。

14.10 任何人不得在一个执行场所从事或试图从事本交易所合理认为全部或部分下列情况的任何交易活动或策略：

(a) 扰乱、不当影响或操纵另一执行场所的价格确定；或

(b) 拟具有(a)所指明的任何效果。"

LME Prohibited Trading Behaviors

(The following rules are taken from LONDON METAL EXCHANGE RULES AND REGULATIONS Part 3: Trading Regulations 14. PROHIBITED PRACTICES)

14 PROHIBITED PRACTICES

14.1 No person shall manipulate or attempt to manipulate or otherwise abuse or attempt to abuse the market or create or attempt to create an artificial market.

14.2 No person shall enter into or attempt to enter into a transaction or series of transactions designed to create an artificial market whereby prices and turnover do not truly reflect the business transacted.

14.3 No person shall undertake or attempt to undertake wash or bogus transactions.

14.4 No person shall demonstrate or attempt to demonstrate that trading activity has taken place when it has not in fact occurred nor shall any person mislead or attempt to mislead Exchange staff as to the nature of any trading activity.

14.5 No person shall, either intentionally or unintentionally, create or attempt to create a disorderly market.

14.6 No person shall trade, place orders to trade or encourage any other person to trade in the same direction (purchase or sale) as a Client order with a view to realising a profit or avoiding a loss, pursuant to any price movement brought about by such Client order.

14.7 No person shall mislead or attempt to mislead Exchange staff as to the nature of any orders or transactions.

14.8 No person shall manipulate or attempt to manipulate any prices or indices set or published by the Exchange.

14.9 No person shall undertake, attempt to undertake, procure that another person undertakes or attempts to procure that another person undertakes any behaviour that is contrary to applicable law or regulation preventing market abuse.

14.10 No person shall undertake, or attempt to undertake, any trading activity or strategy on one Execution Venue that in the reasonable opinion of the Exchange, in whole or in part:

(a) disrupts, inappropriately influences or manipulates the determination of prices on another Execution Venue; or

(b) is intended to have any of the effects specified in (a).