

CHAPTER 14 INSPECTION AND INVESTIGATION

PART A DEFINITION

14.01 Definition

[Deleted]

[The rest of this page is intentionally left blank]

PART B INSPECTION

14.02 Exchange's right to inspection

- (1) The Exchange may conduct an inspection on a Participating Organisation or Registered Person at any time on any matter in relation to the Depository Rules, Clearing House Rules, these Rules, the Participating Organisation's internal policies and procedures and any other rules and regulations related to its business in dealing in securities.
- (2) *[Deleted]*
- (3) A Participating Organisation and a Relevant Person must:
 - (a) not hinder or obstruct the Exchange during the inspection;
 - (b) give the Exchange all assistance the Exchange reasonably requires to conduct the inspection; and
 - (c) provide such information relevant to the inspection, comply and give effect to any Directive the Exchange issued pursuant to Rule 2.01(2)(k).

14.03 *[Deleted]*

14.04 Reporting

- (1) The Exchange will notify the Participating Organisation of the findings from the Exchange's inspection.
- (2) A Participating Organisation must table the Exchange's findings to the Participating Organisation's Board of Directors as soon as possible.
- (3) A Participating Organisation must, within such time as may be prescribed by the Exchange:
 - (a) take corrective measures to address the Exchange's findings; and
 - (b) notify the Exchange of the Participating Organisation's Board of Director's decided course of action and corrective measures taken (if any) to address the Exchange's findings.

14.05 *[Deleted]*

[The rest of this page is intentionally left blank]

PART C INVESTIGATION

14.06 Power of investigation

- (1) The Exchange may conduct an investigation on a Participating Organisation or a Registered Person at any time on any matter in relation to the Depository Rules, Clearing House Rules, these Rules, the Participating Organisation's internal policies and procedures and any other rules and regulations related to its business in dealing in securities.
- (2) *[Deleted]*
- (3) A Participating Organisation and a Relevant Person must:
 - (a) not hinder or obstruct the Exchange during the investigation;
 - (b) give the Exchange all assistance the Exchange reasonably requires to conduct the investigation; and
 - (c) provide such information relevant to the investigation, comply and give effect to any Directives the Exchange issues in exercising the powers under Rule 2.01(2)(k).

14.07 *[Deleted]*

[The rest of this page is intentionally left blank]

PART D CONFIDENTIALITY

14.08 Confidentiality of findings

[Deleted]

[End of Chapter]