



RULES OF BURSA MALAYSIA SECURITIES BHD

RULE AMENDMENTS IN RELATION TO REIMBURSEMENT OF COSTS FROM PARTICIPANTS ARISING FROM INSPECTIONS, INVESTIGATIONS AND ENFORCEMENT PROCEEDINGS

RULE	EXISTING PROVISIONS	RULE	AMENDED PROVISIONS
14.03	<p><b>Inspection Cost</b></p> <p>The Exchange may require the Participating Organisation concerned to pay the Exchange a fee for carrying out the inspection.</p>	14.03	<p><del>Inspection Cost</del></p> <p><del>The Exchange may require the Participating Organisation concerned to pay the Exchange a fee for carrying out the inspection. [deleted]</del></p>
14.05	<p><b>Provisions of Audit Report to the Exchange</b></p> <p>(1) The Exchange may, by notice to the Participating Organisation or Registered Person, require the Participating Organisation to provide a report from an independent auditor or other expert approved by the Exchange expressing an opinion as to:</p> <p>(a) the performance by the Participating Organisation or the Registered Person of the Participating Organisation's or Registered Person's obligations under these Rules and Directives;</p> <p>(b) the Participating Organisation's or Registered Person's capacity to continue to meet the requirements for admission as a</p>	14.05	<p><del>Provisions of Audit Report to the Exchange</del></p> <p><del>(1) The Exchange may, by notice to the Participating Organisation or Registered Person, require the Participating Organisation to provide a report from an independent auditor or other expert approved by the Exchange expressing an opinion as to:</del></p> <p><del>(a) the performance by the Participating Organisation or the Registered Person of the Participating Organisation's or Registered Person's obligations under these Rules and Directives;</del></p> <p><del>(b) the Participating Organisation's or Registered Person's capacity to continue to meet the requirements for admission as a</del></p>



RULE	EXISTING PROVISIONS	RULE	AMENDED PROVISIONS
	<p>Participating Organisation or registration as a Registered Person; or</p> <p>(c) any other matter necessary to assist the Exchange in the discharge of the Exchange's functions under these Rules.</p> <p>(2) The Participating Organisation that is required to provide the report referred to in Rule 14.05(1) must bear the costs in connection with obtaining the report.</p>		<p><del>Participating Organisation or registration as a Registered Person; or</del></p> <p><del>(c) any other matter necessary to assist the Exchange in the discharge of the Exchange's functions under these Rules.</del></p> <p><del>(2) The Participating Organisation that is required to provide the report referred to in Rule 14.05(1) must bear the costs in connection with obtaining the report. [deleted]</del></p>
<p><b>14.07</b></p>	<p><b>14.07 Investigation cost</b></p> <p>The Exchange may require the Participating Organisation concerned to reimburse the Exchange all costs the Exchange incurs in connection with an investigation.</p>	<p><b>14.07</b></p>	<p><del><b>Investigation cost</b></del></p> <p><del>The Exchange may require the Participating Organisation concerned to reimburse the Exchange all costs the Exchange incurs in connection with an investigation. [deleted]</del></p>
<p><b>15.02</b></p>	<p><b>Disciplinary Powers</b></p> <p>The Exchange may exercise its disciplinary powers under Part A of this Chapter 15 against a Participant if the Participant is found to have breached any of these Rules and Directives. The Exchange's disciplinary powers include the taking of one or more of the following actions:</p> <p>(h) mandating education, training or such other types of programme as may be determined by the</p>	<p><b>15.02</b></p>	<p><b>Disciplinary Powers</b></p> <p>The Exchange may exercise its disciplinary powers under Part A of this Chapter 15 against a Participant if the Participant is found to have breached any of these Rules and Directives. The Exchange's disciplinary powers include the taking of one or more of the following actions:</p> <p>(h) mandating education, training or such other types of programme as may be determined by the Exchange to be undertaken or implemented by the Participant for its employees; <u>or</u></p>

**ANNEXURE 1  
RULE AMENDMENTS**

**In relation to Reimbursement of Costs from Participants arising from  
Inspections, Investigations and Enforcement Proceedings**



RULE	EXISTING PROVISIONS	RULE	AMENDED PROVISIONS
	<p>Exchange to be undertaken or implemented by the Participant for its employees;</p> <p>(i) directing payment of all or part of the costs incurred by the Exchange in connection with the disciplinary proceedings commenced against the Participant, subject to an internal criteria as approved by the Commission; or</p>		<p>(i) <del>directing payment of all or part of the costs incurred by the Exchange in connection with the disciplinary proceedings commenced against the Participant, subject to an internal criteria as approved by the Commission; or</del> <i>[deleted]</i></p>

[End of Rule Amendments]