PART I DI DEFINITION AND INTERPRETATION

PART II ADA

Chapter 1.0	Definition and Interpretation
Rule 1.01 Rule 1.02 Rule 1.03	Definition Additional definitions Interpretation
RULES RELATING TO AUTHORISED DEPOSITORY AGENTS	
Chapter 2.0	Appointment of Authorised Depository Agents
Rule 2.01 Rule 2.02	Deleted Appointment of authorised depository agents
Rule 2.03 Rule 2.03A Rule 2.04 Rule 2.05 Rule 2.05A	Deleted Fees and other charges Conditions of appointment Additional conditions Opening of an authorized depository agent's securities
Rule 2.06 Rule 2.07 Rule 2.08	accounts Identity codes Commencement of operations Rules of the Stock Exchange, etc
Rule 2.09 Rule 2.10 Rule 2.11	Indemnity Inspection Statement of Accounts and Notices
Rule 2.12 Rule 2.13	Outsourcing by Authorised Depository Agents Investment Bank

Chapter 3.0 Suspension as an Authorised Depository Agent, etc.

- Rule 3.01Circumstances and ActionsRule 3.02DeletedRule 3.02AAppealRule 3.03Appointment of managerRule 3.04Actions against branch
offices
- Rule 3.05 Variation of procedures
- Rule 3.06 Deleted
- Rule 3.07 Obstruction
- Rule 3.08 Liability
- Rule 3.09 Indemnification
- Rule 3.10 Rights or liabilities of the authorized depository agent prior to termination

Chapter 4.0 Procedures Manual and Standard of Facilities

Rule 4.01DirectionsRule 4.02Standard of facilities

Chapter 4A.0 Miscellaneous

Rule 4A.01Authorised depository
agent shall refuse to actRule 4A.02Authorised depository
agent shall not perform
certain transactionsRule 4A.03AuthorisationRule 4A.04Compliance with Rules, etcRule 4A.05Authorised Depository Agent
to include other persons

Chapter 5.0 Opening and Maintenance of Securities Accounts

Rule 5.01 Rule 5.02 Rule 5.02A	Account details Processing period Opening of securities accounts
Rule 5.03	Approval or rejection
Rule 5.04	Criteria for opening of clients' accounts
Rule 5.05	Responsibility for entries in securities accounts
Rule 5.06	Prohibition against variation of contract
Rule 5.07	Closing of securities account
Rule 5.08	Balance enquiry
Rule 5.09	Dormant account
Rule 5.10	Inactive account
Chapter 6.0	Deposit of Scrips by
	Authorised Depository Agents
Rule 6.01	Agents Prescribed securities and
Rule 6.01 Rule 6.01A	Agents Prescribed securities and Unlisted securities
	Agents Prescribed securities and
Rule 6.01A	Agents Prescribed securities and Unlisted securities Mandatory deposits
Rule 6.01A Rule 6.02	Agents Prescribed securities and Unlisted securities Mandatory deposits Deleted
Rule 6.01A Rule 6.02 Rule 6.03	Agents Prescribed securities and Unlisted securities Mandatory deposits Deleted Deposit Period
Rule 6.01A Rule 6.02 Rule 6.03 Rule 6.04	Agents Prescribed securities and Unlisted securities Mandatory deposits Deleted Deposit Period Procedures for deposits
Rule 6.01A Rule 6.02 Rule 6.03 Rule 6.04 Rule 6.05	Agents Prescribed securities and Unlisted securities Mandatory deposits Deleted Deposit Period Procedures for deposits Processing of deposits Status of securities pending
Rule 6.01A Rule 6.02 Rule 6.03 Rule 6.04 Rule 6.05 Rule 6.06	Agents Prescribed securities and Unlisted securities Mandatory deposits Deleted Deposit Period Procedures for deposits Processing of deposits Status of securities pending verification Time is of essence Deposit reference number
Rule 6.01A Rule 6.02 Rule 6.03 Rule 6.04 Rule 6.05 Rule 6.06 Rule 6.07	Agents Prescribed securities and Unlisted securities Mandatory deposits Deleted Deposit Period Procedures for deposits Processing of deposits Status of securities pending verification Time is of essence Deposit reference number and deposit request forms
Rule 6.01A Rule 6.02 Rule 6.03 Rule 6.04 Rule 6.05 Rule 6.06 Rule 6.07 Rule 6.08	Agents Prescribed securities and Unlisted securities Mandatory deposits Deleted Deposit Period Procedures for deposits Processing of deposits Status of securities pending verification Time is of essence Deposit reference number

Rule 6.12 Bare trustee

Rule 6.13	Misplaced, lost or
	destruction of scrips
Rule 6.14	Deleted
Rule 6.14A	Deposits to the principal or
	nominee accounts
Rule 6.15	No deposits during
	corporate actions.

Chapter 7.0 Withdrawal of Securities

Rule 7.01	Prohibitions
Rule 7.01A	Processing of withdrawal of
	securities
Rule 7.02	Deleted
Rule 7.03	Deleted
Rule 7.04	Deleted
Rule 7.05	Deleted
Rule 7.06	Deleted
Rule 7.07	Deleted
Rule 7.08	Deleted
Rule 7.09	Deleted
Rule 7.10	No withdrawals during
	corporate actions

Chapter 8.0 Transfer of Securities between Securities Accounts held by the Same Depositor

Rule 8.01	Deleted
Rule 8.02	Deleted
Rule 8.03	Deleted
Rule 8.03A	Deleted
Rule 8.04	Deleted
Rule 8.05	Deleted
Rule 8.05A	Deleted
Rule 8.06	Deleted

Chapter 9.0 Transfer of Securities

Rule 9.01	Transfer of securities
Rule 9.02	Restriction
Rule 9.03	Processing
Rule 9.03A	Deleted
Rule 9.03B	Transfer entered into the
	computer system
Rule 9.04	Deleted
Rule 9.05	Deleted
Rule 9.06	Deleted
Rule 9.07	Deleted
Rule 9.08	Rejected transfers
Rule 9.09	Deleted
Rule 9.10	Deleted
Rule 9.11	Deleted
Rule 9.11A	Deleted
Rule 9.12	Deleted
Rule 9.13	Deleted

Chapter 10.0

Depository Trade Delivery and Settlement

Rule 10.01	Deleted
Rule 10.02	Stock Exchange rules
Rule 10.03	Application of this chapter
Rule 10.04	Pre-requisite to trade
Rule 10.05	Delivery of securities
Rule 10.06	Deleted
Rule 10.07	Deleted
Rule 10.08	Deleted
Rule 10.09	Deleted
Rule 10.10	Deleted
Rule 10.11	Cash settlement

Chapter 11.0 Buying-In

Rule 11.01	Deleted
Rule 11.02	Report for insufficient
	securities for delivery
Rule 11.03	Deleted

Chapter 12.0 Selling-Out

Rule 12.01	Application of this chapter
Rule 12.02	Condition
Rule 12.03	Deleted
Rule 12.04	Deleted
Rule 12.05	Deleted
Rule 12.06	Deleted
Rule 12.07	Deleted

Chapter 13.0 Direct Business

Rule 13.01	Deleted
Rule 13.02	Deleted

PART III ADM RULES RELATING TO AUTHORISED DIRECT MEMBERS

Chapter 14.0	Appointment of
	Authorised Direct Member

Rule 14.01	Depository to appoint authorised direct members
Rule 14.02	Eligibility as an authorised direct member
Rule 14.03	Application to be an authorised direct member
Rule 14.04	Accompanying information
Rule 14.05	Additional information
Rule 14.06	Fees and other charges
Rule 14.07	Availability

Rule 14.08 Rule 14.09 Rule 14.10 Rule 14.11	Deleted Deleted Conditions of appointment Statement of Accounts and Notices
Rule 14.12 Rule 14.13	Identity codes Outsourcing by Authorised Direct Members
Chapter 15.0	Securities Account
Rule 15.01	Opening of an authorized direct member's securities accounts
Rule 15.02	Allocation of account
Rule 15.03	Single entity
Chapter 16.0	Miscellaneous
Rule 16.01	Application of other rules
D 1. 40.00	
Rule 16.02	Agreements
Rule 16.02 Rule 16.03	Agreements Clearance on security measures and controls
	Clearance on security
Rule 16.03	Clearance on security measures and controls Responsible for entries in
Rule 16.03 Rule 16.04	Clearance on security measures and controls Responsible for entries in securities accounts Authorised direct member shall not perform certain
Rule 16.03 Rule 16.04 Rule 16.05	Clearance on security measures and controls Responsible for entries in securities accounts Authorised direct member shall not perform certain transactions

Rule 16.08 Compliance with Rules, etc Rule 16.09 Authorised Direct Member to include other persons

Part IV I RULES RELATING TO ISSUERS

Chapter 17.0 General Rules

Rule 17.01	Compliance with rules, etc.
Rule 17.01A	Indemnity
Rule 17.01B	Rectification of error or omission
Rule 17.01C	Documents required to be provided by foreign corporations
Rule 17.02	Identity code
Rule 17.03	Deleted
Rule 17.04	Deleted
Rule 17.05	Issuer to ensure all
	information pertaining to
	corporate actions are correct and accurate
Rule 17.06	
Rule 17.06	Compliance with the law,
Rule 17.07	regulations, requirements etc
Rule 17.07	Application for deposit of unlisted securities
Rule 17.08	Non-payment of Securities of
	Unlisted Public Companies ("SUPCO") Fee
Rule 17.09	Undertaking
Rule 17.10	Termination of central
	depository services in relation to unlisted securities
Rule 17.11	eRAPID

Chapter 18.0	Deposit of Physical Scrips, Verification and Registration
Rule 18.01	Prescription of security by the Stock Exchange
Rule 18.02	Duty to notify member (or debenture/interest holder) on conversion as a prescribed security
Rule 18.03	Verification of scrips and transfer into the name of the Depository or its nominee company
Rule 18.04	Notification of late delivery to the Depository
Rule 18.05	Notification and record of bad scrips
Rule 18.06	Deleted
Rule 18.07	Arrangement for delivery
Rule 18.08	Transmission of securities to be deposited with the Depository
Rule 18.09	Deposited securities being held by a third party
Chapter 19.0	Withdrawals of Deposited Securities
Rule 19.01	Prohibitions
Rule 19.02	Processing of withdrawal of securities
Rule 19.03	Transmission of securities out from the Depository

Chapter 2	20.0	Public	Offer
-----------	------	--------	-------

Rule 20.01 Rule 20.02	Section 37 of the Act Procedures for handling of applications for the said securities
Rule 20.03	No physical securities
Rule 20.03A	Deleted
Rule 20.04	Depository to process Allotment List
Rule 20.05	Verification by the computer system
Rule 20.06	Allotment List
Rule 20.07	Finalisation of successful applicants
Rule 20.08	Deleted
Rule 20.09	Book entries
Rule 20.10	Notice
Rule 20.11	Construction

Chapter 20A.0 Non-equity Securities

Rule 20A.01 Rule 20A.02	Application of this chapter Compliance with section 38 of the Act
Rule 20A.03	Exercise of rights upon
Rule 20A.04	given notice Procedure for handling of application for exercise of rights prior to the maturity of non-equity securities
Rule 20A.05	Procedure for handling exercise of rights prior to maturity of non-equity securities

Rule 20A.06	Redemption or conversion of non-equity securities or any other action resulting in a cancellation of the non-equity securities prior to maturity
Rule 20A.07	Cancellation of non-equity securities
Rule 20A.08	Procedures upon maturity of non-equity securities
Rule 20A.09	Payment in cash
Rule 20A.09A	Issuer to ensure information
	is correct and accurate
Rule 20A.09B	Procedures for handling
	creation of new exchange traded fund units
Rule 20A.09C	Procedures for handling
	redemption of exchange
	traded fund units
Rule 20A.09D	Trustee to ensure information is accurate and complete
Rule 20A.10	•
Rule 20A.10 Rule 20A.11	Indemnity Construction
Rule 20A.10 Rule 20A.11	Indemnity
	Indemnity
Rule 20A.11 Chapter 21.0	Indemnity Construction Bonus Issue, Rights Issue and other Rights or Options
Rule 20A.11 Chapter 21.0 Rule 21.01	Indemnity Construction Bonus Issue, Rights Issue and other Rights or Options Application of this chapter
Rule 20A.11 Chapter 21.0	Indemnity Construction Bonus Issue, Rights Issue and other Rights or Options Application of this chapter No physical securities and crediting in third parties'
Rule 20A.11 Chapter 21.0 Rule 21.01	Indemnity Construction Bonus Issue, Rights Issue and other Rights or Options Application of this chapter No physical securities and crediting in third parties' names No rights or bonus upon
Rule 20A.11 Chapter 21.0 Rule 21.01 Rule 21.01A Rule 21.02	Indemnity Construction Bonus Issue, Rights Issue and other Rights or Options Application of this chapter No physical securities and crediting in third parties' names No rights or bonus upon given notice
Rule 20A.11 Chapter 21.0 Rule 21.01 Rule 21.01A Rule 21.02 Rule 21.03	Indemnity Construction Bonus Issue, Rights Issue and other Rights or Options Application of this chapter No physical securities and crediting in third parties' names No rights or bonus upon given notice Entitlement for depositors
Rule 20A.11 Chapter 21.0 Rule 21.01 Rule 21.01A Rule 21.02	Indemnity Construction Bonus Issue, Rights Issue and other Rights or Options Application of this chapter No physical securities and crediting in third parties' names No rights or bonus upon given notice Entitlement for depositors Notification and request
Rule 20A.11 Chapter 21.0 Rule 21.01 Rule 21.01A Rule 21.02 Rule 21.03 Rule 21.04	Indemnity Construction Bonus Issue, Rights Issue and other Rights or Options Application of this chapter No physical securities and crediting in third parties' names No rights or bonus upon given notice Entitlement for depositors Notification and request for Record of Depositors
Rule 20A.11 Chapter 21.0 Rule 21.01 Rule 21.01A Rule 21.02 Rule 21.03	Indemnity Construction Bonus Issue, Rights Issue and other Rights or Options Application of this chapter No physical securities and crediting in third parties' names No rights or bonus upon given notice Entitlement for depositors Notification and request
Rule 20A.11 Chapter 21.0 Rule 21.01 Rule 21.02 Rule 21.03 Rule 21.04 Rule 21.05	Indemnity Construction Bonus Issue, Rights Issue and other Rights or Options Application of this chapter No physical securities and crediting in third parties' names No rights or bonus upon given notice Entitlement for depositors Notification and request for Record of Depositors Depositors Entitlement List

Rule 21.06A Rule 21.07 Rule 21.08 Rule 21.09 Rule 21.10 Rule 21.10A Rule 21.10C Rule 21.11C Rule 21.11A Rule 21.11A Rule 21.11C Rule 21.12 Rule 21.13	Provisional Letters of Offer List of allottees Entries Indemnity Cash Distributions Other Cash Payments General Rules on Bank Account Information "Issuer" to include offeror in a take-over Renounces, etc to open securities accounts Specified Bonus Issue SPEEDS Processing for Provisional Letter of Allotment SPEEDS Processing for Provisional Letter of Offer Deleted Construction
Chapter 22.0	Subdivision of Shares, Share Consolidation and Capital Restructuring
Rule 22.01 Rule 22.02	Application of this chapter No subdivision of shares, share consolidation or capital restructuring
Rule 22.03 Rule 22.03A	upon given notice Scope of exercise Notification and request for
Rule 22.04	Record of Depositors Record of Depositors and
Rule 22.05 Rule 22.06	return of scrips List of Allottees Entries

Rule 22.06A Rule 22.06B Rule 22.07	Specified Subdivision or Specified Consolidation Specified Capital Restructuring Construction
Chapter 23.0	Jumbo Certificates
Rule 23.01 Rule 23.02 Rule 23.03 Rule 23.04 Rule 23.05 Rule 23.06	Definition Issuance Denominations Completion and delivery of certificate Rejections Splitting and consolidation

Chapter 23A.0 Bearer Securities

Rule 23A.01Deposit of bearer securitiesRule 23A.02Modification of provisions

Chapter 24.0 Record of Depositors

Rule 24.01RequestRule 24.01APayment of ROD FeesRule 24.01BRejection of ROD RequestRule 24.02Books closing dateRule 24.03DeletedRule 24.04Deposits pendingRule 24.05Retention of copy of Record
of Depositors

Chapter 24A.0 Foreign Ownership

Rule 24A.01Application of this chapterRule 24A.02Classification of issuerRule 24A.03Foreign LimitationSummary Report

Rule 24A.04	Foreign Shares Transaction Report
Rule 24A.05	Determination of entitlement to rights and obligations
Rule 24A.06	Deleted
Rule 24A.07	Cross transfers
Rule 24A.08	Conversion of shares

PART V D RULES RELATING TO DEPOSITORS

Chapter 25.0 General

Rule 25.01 Rule 25.02 Rule 25.02A Rule 25.02B Rule 25.02C	Application to be a depositor Eligibility Classification of depositor Authorised nominee Declaration by a beneficial owner or an authorised nominee
Rule 25.03	Compliance with Rules, etc
Rule 25.04	Authorisation
Rule 25.04A	Authorisation for Bursa SBL Transactions
Rule 25.04B	Authorisation in connection with the default proceedings under the Rules of the Clearing House
Rule 25.04C	Authorisation for ISSB Negotiated Transaction
Rule 25.05	Change of particulars
Rule 25.05A	Depositors' Information
Rule 25.05B	Requirement to keep original documents
Rule 25.06	Notices
Rule 25.07	Suspension
Rule 25.08	Amendments of these Rules
Rule 25.09	Deleted

Rule 25.10	Complaints
Rule 25.11	Compensation
Rule 25.12	Variation of procedures
Rule 25.13	Non-payment of Securities of
	Unlisted Public Companies
	("SUPCO") Fee
Rule 25.14	Termination of central
	depository services in
	relation to unlisted securities
Chapter 26.0	Securities Account
Rule 26.01	Operation of an account
Rule 26.02	"One Person One Account"
	rule for individuals
Rule 26.03	Body corporate
Rule 26.04	Deleted
Rule 26.04A	Establishment of share
	buy-back accounts
Rule 26.05	Account details
Rule 26.06	Closing of account
Rule 26.06A	Closing of dormant account
	by Depository
Rule 26.07	Opening of accounts
	through an application
	for new issues
Rule 26.08	Deleted
Rule 26.09 Rule 26.10	Available balance
Rule 26.10 Rule 26.11	Dormant account Inactive account
100 20.11	
Chapter 27.0	Deposit of Scrips
Rule 27.01	Prescribed securities
Rule 27.01A	Mandatory deposits
Rule 27.02	Prescribed securities and
	unlisted securities

- Rule 27.03 Precondition for deposit
- Rule 27.04 **Deposit Period**

Rule 27.04A Rule 27.05 Rule 27.05A Rule 27.05B Rule 27.06 Rule 27.07 Rule 27.08	Processing of deposits Deleted Rejection of deposit Moratorium securities Suspension of securities "Free Securities" Transmission of securities to be deposited with the Depository
Chapter 28.0	Withdrawal of Securities
Rule 28.01	Prohibitions
Rule 28.01A	Deleted
Rule 28.01B	Processing of withdrawal of securities
Rule 28.02	Deleted
Rule 28.02A	Deleted
Rule 28.03	Deleted
Rule 28.04	Deleted
Rule 28.05	Deleted
Rule 28.06	No withdrawals during corporate actions
Rule 28.07	Transmission of securities out from the Depository
Chapter 29.0	Transfer of Securities
Rule 29.01	Transfer of securities
Rule 29.02	Restriction
Rule 29.03	Deleted
Rule 29.03A	Processing
Rule 29.03B	Transfer entered into the
Rule 29.04	computer system Deleted
Rule 29.04 Rule 29.04A	Deleted
Rule 29.04A Rule 29.05	Implied terms
Rule 29.05	Deleted
Rule 29.00 Rule 29.07	Disclaimer of liability
	Discialities of liability

Rule 29.08	Deleted
------------	---------

Chapter 30.0 Public Offers

Rule 30.01	Application
Rule 30.01A	Deleted
Rule 30.02	Allotment in a public offer
Rule 30.03	Deleted
Rule 30.04	Notice
Rule 30.05	Construction
Rule 30.06	No physical securities and crediting in third parties'
	names
Rule 30.07	Saving and transitional provision

Chapter 31.0 Rights and Bonuses, etc

Rule 31.01 Rule 31.02 Rule 31.03 Rule 31.03A	Deleted Entitlement Cash Distributions General Disclosure of Bank Account Information
Rule 31.03B	Issuer's responsibility to make payment
Rule 31.03C	Issuer unable to credit account
Rule 31.03D	Omission of depositor from list
Rule 31.03E	"Issuer" to include offeror in a take-over
Rule 31.04	Trading of Provisional Letters of Allotment and Provisional Letters of Offer
Rule 31.05	No physical securities and crediting in third parties' names

Chapter 31A.0 Non-equity Securities

Rule 31A.01 Rule 31A.02 Rule 31A.02A	Deleted Application Reliance on information provided by the issuers or trustees of exchange traded funds
Rule 31A.03	Exercise of rights
Rule 31A.04	No dealings with non-equity securities
Rule 31A.05	Entitlement in relation to the maturity of non-equity securities
Rule 31A.06	Payment in cash
Rule 31A.07	No physical securities and crediting in third parties' names

Chapter 32.0 Statement of Accounts

Rule 32.01	Issuance
Rule 32.02	Additional statements
Rule 32.03	Discrepancies
Rule 32.04	Statement of Accounts and notices to depositors on CDS eServices

Chapter 32A.0 Foreign Ownership

Rule 32A.01	Application of this chapter
Rule 32A.02	Cross transfers

PART VI GR GENERAL RULES OF THE DEPOSITORY

Chapter 33.0 Types of Securities Accounts

Rule 33.01	Classification of securities accounts
Rule 33.02	
Rule 33.02	Principal and pledged
D 1. 00 00	accounts
Rule 33.03	Non-principal accounts
Rule 33.04	Mechanics of pledged
	securities accounts
Rule 33.05	Responsibility and
	accountability
Rule 33.06	"One Person One Account"
	Rule for individual clients
Rule 33.07	Body corporate clients
Rule 33.08	Deleted
Rule 33.09	Nominee accounts
Rule 33.10	Share buy-back accounts
Rule 33.11	Dormant account
Rule 33.12	Inactive account
Chapter 34.0	Compensation Scheme
Chapter 34.0	Compensation Scheme
	Compensation Scheme Depository to
Chapter 34.0	Compensation Scheme Depository to maintain a compensation
Chapter 34.0 Rule 34.01	Compensation Scheme Depository to maintain a compensation scheme
Chapter 34.0 Rule 34.01 Rule 34.02	Compensation Scheme Depository to maintain a compensation scheme Details to be freely available
Chapter 34.0 Rule 34.01 Rule 34.02 Rule 34.03	Compensation Scheme Depository to maintain a compensation scheme Details to be freely available <i>Force Majeure</i>
Chapter 34.0 Rule 34.01 Rule 34.02	Compensation Scheme Depository to maintain a compensation scheme Details to be freely available
Chapter 34.0 Rule 34.01 Rule 34.02 Rule 34.03 Rule 34.04	Compensation Scheme Depository to maintain a compensation scheme Details to be freely available <i>Force Majeure</i> Quantum of claim
Chapter 34.0 Rule 34.01 Rule 34.02 Rule 34.03	Compensation Scheme Depository to maintain a compensation scheme Details to be freely available <i>Force Majeure</i>
Chapter 34.0 Rule 34.01 Rule 34.02 Rule 34.03 Rule 34.04 Chapter 35.0	Compensation Scheme Depository to maintain a compensation scheme Details to be freely available <i>Force Majeure</i> Quantum of claim Security Measures and Controls
Chapter 34.0 Rule 34.01 Rule 34.02 Rule 34.03 Rule 34.04 Chapter 35.0	Compensation Scheme Depository to maintain a compensation scheme Details to be freely available Force Majeure Quantum of claim Security Measures and Controls Security measures
Chapter 34.0 Rule 34.01 Rule 34.02 Rule 34.03 Rule 34.04 Chapter 35.0 Rule 35.01 Rule 35.02	Compensation Scheme Depository to maintain a compensation scheme Details to be freely available Force Majeure Quantum of claim Security Measures and Controls Security measures Data Entry Supervisors
Chapter 34.0 Rule 34.01 Rule 34.02 Rule 34.03 Rule 34.04 Chapter 35.0	Compensation Scheme Depository to maintain a compensation scheme Details to be freely available Force Majeure Quantum of claim Security Measures and Controls Security measures

Rule 35.05	Statutory declarations
------------	------------------------

Chapter 36.0 Securities in suspense

- Rule 36.01 Securities in suspense
- Rule 36.02 Securities under suspense
- Rule 36.03 Discretion
- Rule 36.04 Interpretation
- Rule 36.05 Self-imposed suspension
 - by authorised depository
 - agents by refusing to act

Chapter 37.0 Complaints, Investigations and Arbitration

- Rule 37.01 Complaints procedures
- Rule 37.02 Findings of the report
- Rule 37.03 Complaints directed at
 - the Depository
- Rule 37.04 Disputes authorised depository agents,
 - authorised direct members
 - and issuers
- Rule 37.05 Arbitration
- Rule 37.06 Supply of information to the Depository and power of investigations

Chapter 37A Exchange Holding Company

Rule 37A.01 Powers of the Exchange Holding Company

Chapter 37B Fees and Charges

Rule 37B.01Fees and charges payableRule 37B.02Deduction

Chapter 37C Goods and Services Tax

Rule 37C.01	Goods and Services Tax payable
Rule 37C.02	Power to issue directions
Chapter 38.0	Miscellaneous
Rule 38.01	Forms
Rule 38.02	Deleted
Rule 38.03	Power of waiver or
	modification
Rule 38.03A	Additional action that may be
	taken by the Depository
	pursuant to an inspection or
	investigation
Rule 38.04	Incidental powers etc. of the Depository
Rule 38.05	Appeals against decisions of
	the Depository
Rule 38.06	Liability
Rule 38.07	Conduct
Rule 38.08	Personal Data Notice
Rule 38.09	Disclosure of actions
Rule 38.10	Referral of conduct to other authorities
Rule 38.11	Appointment of committee, sub-committee or officers
Rule 38.12	Confidentiality

Chapter 39.0 Enforcement

Rule 39.01	Interpretation
Rule 39.02	Enforcement powers
Rule 39.03	Procedures
Rule 39.04	Agreed settlement
Rule 39.05	Request for oral
	representations
Rule 39.06	Standard of proof

Rule 39.07	Other rights
Rule 39.08	Acts or omissions of
	employees, agents or
	directors
Rule 39.09	Enforcement proceedings
Rule 39.10	Scope of expedited
	proceedings
Rule 39.11	Procedures for expedited
	proceedings
Rule 39.12	No limitation
Rule 39.13	Right of appeal
Rule 39.14	Notice of appeal
Rule 39.15	Deliberation of appeal
Rule 39.16	Notification of decision on
	appeal
Rule 39.17	Effect of an enforcement
	action
Rule 39.18	Period of payment and effect
	of non-payment of fine
Rule 39.19	Effect of suspension
Rule 39.20	Enforcement action initiated
	prior to the Effective Date
Rule 39.21	Enforcement action initiated
	on or after the Effective Date

PART VII FC FEES AND CHARGES

[DELETED]

PART VIII AN AUTHORISED NOMINEE

APPENDIX 1

[DELETED]

APPENDIX II

[DELETED]

APPENDIX III

UNDERTAKING BY (NAME OF ISSUER OF UNLISTED SECURITIES)

APPENDIX IV

UNDERTAKING BY (NAME OF THE TRUSTEE OF AN ENCHANGE TRADED FUND)

APPENDIX V

LETTER OF UNDERTAKING BY AN ISSUER WHICH IS A FOREIGN CORPORATION