

**CHAPTER 10**  
**INSPECTIONS AND INVESTIGATIONS**

**PART A      INSPECTIONS**

**10.01 Exchange's Right to Inspection**

- (1) The Exchange may conduct an inspection on a Participant or Registered Person on any matter in relation to these Rules, the Participant's internal policies and procedures and any other rules and regulations related to its business in dealing in derivatives.
- (2) A Participant and 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)(i).

**10.02 Reporting**

- (1) The Exchange will notify the Participant of the findings from the Exchange's inspection.
- (2) A Participant must table the Exchange's findings to the Participant's board of directors as soon as possible.
- (3) A Participant 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 Participant's board of director's decided course of action and corrective measures taken (if any) to address the Exchange's findings.

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**PART B      INVESTIGATIONS**

**10.03 Power of investigation**

- (1) The Exchange may conduct an investigation on a Participant or Registered Person on any matter in relation to these Rules, the Participant's internal policies and procedures and any other rules and regulations related to its business in dealing in derivatives.
- (2) A Participant and 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 issued pursuant to Rule 2.01(2)(i).

[End of Chapter 10]