



AIM Rules for Companies – track changes as amended October 2018

Sanctions and appeals

Sanctions ~~Disciplinary action~~ against an AIM company

42. If the **Exchange** considers that an **AIM company** has contravened these rules, it may take one or more of the following measures in relation to such **AIM company**:
- issue a **warning notice**;
 - fine it;
 - censure it; or
 - cancel the admission of its **AIM securities**; and
 - publish the fact that it has been fined or censured and the reasons for that action.

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Disciplinary process

44. ~~Where the~~ **Exchange** will take any proposed disciplinary action against an AIM company in accordance with ~~proposes to take any of the steps described in rule 42, the~~ **Exchange** will follow the procedures set out in the **Disciplinary Procedures and Appeals Handbook**.

Appeals

45. Any decision of the **Exchange** in relation to these rules may be appealed in accordance with ~~the procedures set out in~~ the **Disciplinary Procedures and Appeals Handbook**.

AIM Rules for Nominated Advisers – track changes as amended October 2018

29 **Sanctions** ~~Disciplinary action~~ against a nominated adviser

If the **Exchange** ~~(in accordance with the procedures set out in the~~ **Disciplinary Procedures and Appeals Handbook**) considers that a **nominated adviser** is either in breach of its responsibilities under these rules or the **AIM Rules for Companies** or that the reputation and/or integrity of **AIM** has been or may be impaired as a result of its conduct or judgment, the **Exchange** may in relation to such **nominated adviser** take one or more of the following actions:

- issue a **warning notice**;
- levy a fine;
- issue a censure; or
- remove the **nominated adviser** from the **register**; and
- publish the action the **Exchange** has taken and the reasons for that action.

The **Exchange** will take any proposed disciplinary action against a nominated adviser in accordance with the **Disciplinary Procedures and Appeals Handbook**.

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33 Publication of the removal of nominated adviser status

Where the **Exchange** removes **nominated adviser** status (for example, due to **disciplinary** action **pursuant to rule 29 of these rules** or it failing to continue to meet the **eligibility criteria** set out in Part One of these rules) or where a **nominated adviser** requests to have that status removed, the **Exchange** will notify such removal by way of an AIM notice published on **RNS** and/or mark the **register** accordingly.