AIM Rules for Companies – track changes as amended October 2018

Sanctions and appeals

SanctionDisciplinary 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.

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 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.

…
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.