

their laws and practices, each Authority will be sensitive on the events subject to its jurisdiction which may adversely affect Regulated Markets in another jurisdiction and consider whether it could be appropriate to notify relevant Authority of such event.

4. SCOPE OF MUTUAL ASSISTANCE

- 4.1.** To the extent permitted by their respective national legislation, the Authorities will provide the fullest mutual assistance within the framework of this MoU. Such assistance will be provided to facilitate the enforcement of national legislation of Authorities' States applicable to Regulated Markets.
- 4.2.** The Authorities agree to provide mutual assistance and the exchange of information in response to requests to assist them to perform their respective functions in relation to the following areas, among others:
- (a)** Insider dealing, market manipulation, and other fraudulent, deceptive, and manipulative practices in relation to securities;
 - (b)** Enforcement of national legislation of Authorities' States relating to issuing, dealing in, arranging deals in, managing and advising on securities;
 - (c)** Fitness and properness of the natural and legal persons who are authorized to conduct the business referred to above, and promoting high standards of fair dealing and integrity in the conduct of that business;
 - (d)** The duties, of issuers and of offerors for securities, to make disclosure of information relevant to investors;
 - (e)** The disclosure of interests in the securities of companies;
 - (f)** Other matters agreed upon by the Authorities.

5. REQUESTS

- 5.1.** Any request for information or assistance made under this MoU will, wherever possible, be made by the Requesting Authority in the form of an official signed letter of request. In cases of urgency, however, the Requesting Authority may resort to the confidential diplomatic communication channel. It shall be followed by an official signed letter of the request within ten business days from the date of receiving an urgency request and addressed to the appropriate appointed contact person(s) identified in Annex I hereto.
- 5.2.** Assistance available under this MoU may include but is not limited to;
- (a)** Providing access to information in the files of the Requested Authority;
 - (b)** Obtaining documents and information from natural and legal persons; and
 - (c)** Conducting compliance inspections or examinations of investment.