

Appendix 2

To ensure compliance, issuers must consider the following **ongoing measures**:

- **Robust policies and procedures**
- **Adequate resourced compliance function**
 - capable staff who can exercise sound judgment and timely escalate issues to senior management
- **Oversight by directors and senior management**
- **Regular training**
 - for senior management and relevant personnel to enhance their understanding of the Rules and compliance requirements
- **Seek professional advice**