

## **SECTION 1**

### **GENERAL**

#### **1.1 Introduction**

The Dispute Resolution Rules of the CSE Group (hereinafter referred to as “these Rules”) shall be applicable to the resolution of disputes between the parties referred to in Rule 1.2 below, arising from an exercise or failure to perform the duties, rights and/or functions by and of them in terms of the Rules of the CSE and/or the CDS or circulars, operational guidelines, procedures issued thereunder and directives issued by the SEC.

#### **1.2 Applicability**

Any disputes between the following parties shall be resolved in terms of these Rules;

- (a) Trading Participants and Clients;
- (b) Trading Participants;
- (c) Trading Participants and the CSE, Central Depository - CDS or the Clearing House - CDS;
- (d) Listed Entities and the CSE;
- (e) Depository Participants and the Central Depository - CDS;
- (f) Depository Participants;
- (g) Clearing Members and the Clearing House - CDS;
- (h) Clearing Members; and,
- (i) Trading Participants and/or Depository Participants and/or Clearing Members.

#### **1.3 Confidentiality**

The parties to disputes and the Dispute Resolution Panel shall, at all times, treat all matters relating to the dispute as confidential.

Parties to disputes and members of the Dispute Resolution Panel shall not, without the prior written consent of the other party or parties, as the case may be, disclose to a third party any such matter except to the extent;

- a. as required by law; or,
- b. as required by an order of a competent court in Sri Lanka