

# Listed@ASX Compliance Update

December 2015

## Update no 13/15

### 1. Updated Guidance Notes- ASX Foreign Exempt Listing fees - Trading halt email addresses

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On 11 December 2015, ASX published updated versions of Listing Rules Guidance Notes 4, 15, 15A and 16.

Guidance Notes 4, 15 and 15A have been updated to clarify the listing fees payable by entities listed in the ASX Foreign Exempt Listing category and foreign entities listed in the ASX Listing category that are also listed on another exchange.

Guidance Note 16 has been updated to include information about the general trading halt email addresses in the Sydney, Melbourne and Perth home branches referred to in [Listed@ASX Compliance Update no 12/15](#).

Copies of the new Guidance Notes may be downloaded from the [ASX Listing Rules, Guidance Notes and waivers page on the ASX website](#).

### 2. Security holder communications with changes to Australia Post delivery schedule

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ASX understands that from 4 January 2016 Australia Post will offer 3 delivery speeds for letters sent within Australia (Regular, Priority and Express Post). Listed entities will need to consider the impact of the different delivery speeds on their security holder communications within Australia.

In particular, listed entities undertaking corporate actions that have timeframes for security holders to receive notice of their entitlements and return acceptance forms (such as pro rata issues, accelerated entitlement offers and equal access schemes) should consider the use of priority or express postal services for their communications, especially for addresses in non-metropolitan areas.

ASX is not intending to lengthen the corporate action timetables in Appendices 6A and 7A of the Listing Rules to reflect the changes to Australia Post's delivery speeds as it views that as contrary to the interests of the market overall.

ASX is committed to ensuring that capital raisings and other corporate actions can be conducted in the most efficient manner possible and see the changes to Australia Post delivery speeds as impetus to conduct a further review of the processes around the conduct of pro rata offers in particular. ASX will be engaging with its regulators and key stakeholders on this issue in 2016 to determine an appropriate way forward.

### 3. ASX Online Training environment

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ASX has created an ASX Online training environment at [Training - ASX Online](#) which reproduces ASX

Online for listed entities, but is not connected to the ASX market announcements platform or any other ASX system. The training environment allows users to practice using the online forms and to simulate their lodgment.

Some users have confused the training environment with ASX Online ([ASX Online](#)) and have inadvertently submitted online forms intended for release to the market through the training environment. ASX has recently made changes to make it more obvious to users that they are in the training environment. When submitting an online form for release to the market, please check the URL to ensure that you are logged into the correct site.

## 4. T+2 Trading Update

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ASX is on track for the implementation of T+2 settlement in March 2016 and has commenced a series of checkpoints with market participants to gauge readiness for the transition. In late February 2016 ASX will confirm the transition date. The current target is Monday 7 March 2016.

Listed entities are reminded that the transition to T+2 settlement also impacts corporate action timetables. Please refer to Listed@ASX Compliance updates published on [24 November](#), [20 August](#), [31 July](#), [10 June 2015](#) for more information.

If you have any queries on the transition to T+2 Settlement you can find more information at [Transition to T+2 Settlement for Cash Equities](#), contact your listings compliance adviser or email the ASX project team at [T2Settlement@asx.com.au](mailto:T2Settlement@asx.com.au).

ASX will continue to provide information on the transition to T+2 Settlement relevant to ASX-listed entities in these updates.

## 5. Christmas/New Year period closures

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The following dates over the Christmas/New Year period are non-business days and non-settlement days:

- 25 December 2015;
- 28 December 2015;
- 1 January 2016.

ASX will be closed on these days.

On Christmas Eve, Thursday 24 December 2015 and New Year's Eve, Thursday 31 December 2015, the ASX Market Announcements Office will close at 4.30pm AEDT.

## 6. Periodic report due date reminders

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Listed entities are reminded of upcoming deadlines for periodic reports:

- Quarterly reports for Mining and Commitments Test Entities - Friday 29 January 2016
- Half Yearly reports & Half Year accounts/ Preliminary Final reports - Monday 29 February 2016
- Half Year accounts - Mining Exploring Entities only - Tuesday 15 March 2016
- Full Year audited accounts/auditor's report/directors' statement - Thursday 31 March 2016.

## 7. ASX Spotlight: investor roadshows for listed entities

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ASX has been running international investor conferences in New York, London, Singapore and Hong Kong since 2008 and in that time has showcased over 180 ASX listed companies. The aim of the event is to:

- create an international forum for quality ASX listed companies to present their investment propositions
- use the ASX brand to attract international institutional investors
- work with ASX brokers to ensure high quality participation
- utilise the best event management software to deliver optimum one-on-one meeting scheduling
- provide a productive and enjoyable networking event.

ASX Spotlight New York will be held on 3 March 2016 in New York and ASX Spotlight Asia will be held in Singapore and Hong Kong in May and October 2016. For information or to apply to attend contact [giri.tenneti@asx.com.au](mailto:giri.tenneti@asx.com.au).

## 8. Upload your logo for your ASX company information pages

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The ASX website is a leading destination for company research so make sure you take the opportunity to upload your logo and thereby reinforce your brand when people search your company.

You can upload your logo and an icon via ASX Online using the "Company Logo" menu item. The logo will then appear next to your company name when a search is performed on the company information page.

## 9. Dividend and distribution information

As stated in [Listed@ASX Compliance Update no 12/15](#), entities declaring a dividend or distribution for the period ending 31 December 2015 are reminded that they must use ASX Online forms to announce the dividend or distribution and that if they wish to set a record date of 31 December 2015, they will need to announce the dividend or distribution by no later than 22 December 2015 (Day 0 in the Appendix 6A

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Paragraph 1 timetable).

Listed entities should include the following information in their announcements (see [Appendix 6A](#) paragraph 1):

- Conduit foreign income - where an entity announces a dividend or distribution that is fully or partially unfranked, the announcement should make clear the conduit foreign income (CFI) component of that dividend or distribution, even if the CFI component is nil.

In the online form, please note that questions 3A.4 Franked amount, 3A.6 Unfranked amount and 3A.7 Conduit Foreign Income amount should all add up to the total amount of the dividend/distribution as advised at question 3A.1b (that is, the Conduit Foreign Income amount is exclusive of the Unfranked amount).

The announcement of franking details is not compulsory when announcing an estimate of a dividend or distribution.

- Dividend/distribution reinvestment plans (DRP) - where an entity has a DRP or other plan in place, ASX requests that the entity make it clear in the announcement whether the DRP will operate or will be suspended for that particular dividend or distribution. If the DRP will operate, the following information should also be given:

- the last date for electing to participate in the DRP (question 4A.2 in the online form);
- the discount rate, if applicable (question 4A.3 in the online form);
- the ranking of the securities to be issued pursuant to the DRP (question 4A.8a in the online form); and
- pricing period and the pricing methodology for determining the issue price under the DRP (questions 4A.4 and 4A.5 in the online form).

If at the time when the dividend or distribution is announced it has not been decided by the entity whether the DRP will operate, or the above details are not known, the entity should give an indication of when the entity expects to confirm details of the DRP's operation (using Part 5 Further information if advising by online form).

**Listed entities are also reminded to advise any update to dividend information (including actual amounts, DRP prices) by completing and submitting an Update Online Form.**

If you have any questions please contact your Listings Compliance Adviser or email: [onlineforms@asx.com.au](mailto:onlineforms@asx.com.au)

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