



## Listed@ASX

### Compliance Update 31 October 2019 Update no 10/19

#### 1. Changes to ASX online forms and other ASX Listing Rule appendices effective 1 December 2019

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On 14 October 2019, in [Listed@ASX Compliance Update 09/19](#), ASX provided details of major ASX Listing Rule changes due to come into effect on 1 December 2019, subject to the receipt of the necessary regulatory approvals. These include the introduction of the following new and updated forms to notify ASX of various corporate actions:

- New online forms to notify ASX of:
  - proposed issues of securities by listed entities (Appendix 3B); and
  - for those dual-listed entities that have CDIs issued over their quoted securities, the number of CDIs on issue on a monthly basis (Appendix 4A).
- New Microsoft Word forms to be used to:
  - apply for quotation of securities (Appendix 2A); and
  - notify issues, conversions or payment up of unquoted securities (Appendix 3G).

It is envisaged that the new Word forms mentioned above, as well as a number of other Listing Rule forms, will, in due course, also be made available as online forms in ASX Online.

In conjunction with these changes, ASX is also taking the opportunity to update:

- The existing online forms used to announce:
  - dividends/distributions (Appendix 3A.1);
  - interest payments (Appendix 3A.2);
  - security consolidations/splits (Appendix 3A.3); and

- cash returns of capital (Appendix 3A.4).
- The existing Microsoft Word forms used to announce:
  - returns of capital by way of an in specie distribution in another entity (Appendix 3A.5); and
  - notification of calls (Appendix 3A.6).

All of the above new or updated forms are expected to be available for use from Monday 2 December 2019, on the ASX Online for Companies website.

Ahead of this change, ASX will provide a **new ASX Online training environment** from today, Thursday 31 October to Friday 29 November 2019 for issuers to preview the new and updated online forms. ASX will also provide a summary of the updates and additional training material on the Login and Help pages.

In summary, the ASX Online environments available for issuers are:

- **ASX Online for Companies:** <https://www.asxonline.com/login/>  
Login information: Use ASX Online for Companies credentials  
Functions: Full, per user profile. Live site for elodgement, online forms and other activities  
Availability: 24/7  
Version: Current state. Will be updated on 1 December for changes, including online form user information.
  
- **ASX Online for Companies training environment:**  
<https://trainwww.asxonline.com/login/>  
Login information: Users can login to the training environment using credentials for ASX Online for Companies.  
Functions: The training environment reproduces ASX Online for Companies but is not connected to the ASX market announcement platform or any other system. For example you can use the PDF or online form announcement process, but release of the announcement and resulting confirmations are simulated.  
Availability: 24/7. The data is refreshed every week on Friday evening. Data changes saved by users in the training environment (including any announcements drafted or submitted) will be deleted at the time the data refresh occurs.  
Version: Mirrors current state. Will be updated on 1 December for changes, including online form user information.
  
- **ASX Online for Companies new training environment:**  
<https://train2www.asxonline.com/login/>  
Login information: Users can login to the training environment using credentials for ASX Online for Companies.  
Functions: The training environment reproduces ASX Online for Companies but is not connected to the ASX market announcement platform or any other system. For example you can use the PDF or online form announcement process, but release of the announcement and resulting confirmations are simulated.  
Availability: 24/7 during 31 October to 29 November 2019, unless advised

otherwise  
Version: Content @ 1 December 2019 changes.

It is important that users also check the supported browser information available in the Help page.

Users should note that the ASX Online for Companies webpage and training environments will not be available over the weekend of 30 November - 1 December 2019.

A further Listed@ASX Compliance Update will confirm the effective date prior to December 2019.

To assist listed entities to make the transition to the new online Appendix 3B, ASX will also make that Appendix available in Microsoft Word format for 2 months. The Word version will be available in ASX Online to download, complete, convert to a PDF and then lodge on MAP in the same way as any other announcement.

From 1 February 2020, ASX will only accept online lodgement of the new Appendix 3B. It will not accept lodgement of PDFs.

If you require any assistance regarding ASX Online access please contact [ASX.Online@helpdesk.com.au](mailto:ASX.Online@helpdesk.com.au), ph 1800 028 302 or +61 2 9227 0905. For all other queries please contact your ASX Listings Compliance Adviser.

## 2. Subscribe to Listed@ASX - Compliance Update

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Listed@ASX Compliance Update is a free publication for listed entities and their advisers about ASX rules and requirements. [Subscribe](#) or download the free Listed@ASX app from the [Apple app](#) store and [Google Play](#).

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