

## Issuer Code Allocation

ASX allocates a three to six character code to each exchange traded product. In most cases the allocation of codes is straightforward. When a request to use a code raises questions about its availability and suitability ASX will have regard to the following principles.

**Type of product.** The number of characters may depend on the type of product (e.g. a three character code is typically used for an ordinary share/unit in a company/trust, a six character code is used for a warrant). For further information on the structure of codes please see [Understanding ASX Ticker Codes](#).

**Availability.** Codes already used by other issuers are not available. Where a code has been used by another issuer in the past but is no longer used, to avoid any confusion it will not be available for a period of time. A small number of codes are not available as they are used by ASX for other purposes.

**Codes to identify the type of security.** Certain coding conventions apply to different types of product: For example,

- Ordinary shares/units on the ASX market - the first character of the code will typically match the first character of the name of the company/trust.
- Exchange traded products – most exchange traded funds and managed funds will have a three or four character code that reflects the name of the fund, structured products (and single asset funds) will have a six character code with the first three characters reflecting the name of the issuer or fund.
- Warrants – the six characters of the code will represent the underlying instrument (first three characters), type of warrant, issuer and series.
- Australian Government bonds – codes will commence with GSB or GSI.
- Interest rate securities – the code will consist of a three character issuer code followed by character(s) to identify the type of security, maturity etc.

**Relevance.** Codes on the ASX market should have a meaningful connection to the name or activities of the issuer or the features of the product.

**Consumer law.** Codes which may result in a real risk that consumers will be misled as to the nature of the issuer or the product will not be permitted.

**Acceptability.** A code that is not considered by ASX as acceptable to be associated with the ASX market will not be permitted. For example, a code that when sighted may be considered offensive or inappropriate would not be permitted. ASX may commission consumer or other testing to assist in making decisions on code allocations.

**Reservation of codes.** An issuer may reserve a code from the time that they commence the listing process. For markets other than ASX, the market operator may reserve the code for the issuer. The name of the issuer must be provided with a reservation request. Only one code may be reserved per product. An issuer must be in a position to be able to substantiate the issuer's reason for reserving a code or seeking an extension of a reservation and, if requested by ASX, promptly provide ASX with that information.

Codes will be reserved on a first come, first served basis based on the time of receipt of an email requesting reservation of a code by ASX operations.

A code may remain reserved for up to 12 months pending commencement of quotation. Where quotation has not commenced within 12 months of reservation, the reservation will lapse unless the issuer notifies ASX by email that it

wishes ASX to maintain the reservation, in which case the code may remain reserved for one further period of up to 12 months and at the expiration of which the reservation will lapse. ASX may agree to a short extension of the deadline for expiration of the reservation if the issuer can demonstrate to ASX's satisfaction that quotation is imminent.

Where a reservation of a code has lapsed, a request to reserve that code again cannot be made by the same issuer for a period of 1 month from the lapsing of the reservation unless accepted by ASX in its absolute discretion.

#### **Further information.**

If you require any further information on code allocations please contact [info@asx.com.au](mailto:info@asx.com.au).

### **International Securities Identification Number (ISIN) Allocation**

ASX is a member of the Association of National Numbering Agencies (ANNA) and is the national numbering agency for Australia. Under this membership ASX allocates ISINs for instruments whose issuer is domiciled in Australia. For further information please see <http://www.asx.com.au/prices/asx-codes.htm>.