



ASX Investment Products

ETP Update - February 2019

1. New AQUA Product Application Forms and Checklist for exchange traded funds (ETFs), exchange traded managed fund (ETMFs) and structured products

ASX has updated the application forms and introduced a checklist for each new ETF, ETMF and Structured Product that is applying to be admitted to Trading Status for the purposes of ASX Operating Rule Schedule 10A.3.3(a). ASX has also introduced a checklist for Issuers applying for approval to be an AQUA Product Issuer under ASX Operating Rule Schedule 10A.2.1. The Admission Application Form and Checklist can be completed as one application for multiple ETFs, ETMFs or Structured Products if it is sensible to do so.

These forms replace the old Schedule 10A form that was previously in the Appendices to ASX Operating Rules.

The new forms are available on the [ASX Compliance Downloads page](#) on the ASX website under the heading "AQUA Products (mFund and Traded Market)". The updated forms all have an effective date of 1 March 2019.

- AQUA Admission Application and Agreement
- AQUA Product Issuer Checklist
- ETF Checklist
- Exchange Traded Managed Fund Checklist
- Structured Product Checklist

Applications received by ASX under the old application form will continue to be considered up until 1 March 2019. Following this date, the updated application form and accompanying checklist must be provided.

If you have any queries, please contact the Investment Products team by email at andrew.weaver@asx.com.au.

2. Application of ASX Operating Rule Schedule 10A.3.3(c) – London Stock Exchange Group added as a member of WFE

In October 2018, the World Federation of Exchanges (WFE) announced that the London Stock Exchange Group (“LSEG”) has joined the WFE as a full member.

Where an exchange traded product (“ETP”) invests in securities, derivatives, debentures, bonds or other financial products listed on stock exchanges part of the LSEG, the acceptable underlying instruments tests of ASX Operating Rule 10A.3.3(c)(i)(C) were previously applied by Issuers. This approach was taken as the LSEG was not a member of WFE or the Federation of European Securities Exchanges (“FESE”) and therefore Issuers were required to provide a submission for ASX Operating Rule 10A.3.3(c)(i)(C).

Following this change, ASX expects that where an ETP invests in securities, derivatives, debentures, bonds or other financial products listed on stock exchanges part of the LSEG, ASX Operating Rule 10A.3.3(c)(i)(B) will apply.

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