



ASX Investment Products

ETP Update - October 2017

1. Units on Issue Disclosure

ASX prepares a monthly report on all ASX-Listed Investment Products to a database of 1,300 contacts. Among other things this report shows the total unit inflow/outflow on a monthly basis. The calculation of this figure is reliant on the timely lodgement of ETP units on issue.

All Issuers are requested to lodge their end of month units on issue as soon as practicable.

2. Declaration of Special Distribution

Issuers are requested to announce to ASX (on the Market Announcements Platform and by emailing IssuerOps@asx.com.au) as soon as possible when a Special Distribution is declared. This is important as ASX is unable to support distributions with market signals (i.e. creation of cum-dividend (CD) and ex-dividend (XD) markets and CHES entitlement balances for the registry) if the distribution is announced on or after the ex-date.

ASX can support a distribution where a timetable is provided, with the amount of the distribution provided at a later date.

3. Inclusion of indices in ASX Operating Rules Procedure 10A.3.3

ASX amended [ASX Operating Rules Procedure 10A.3.3](#) to include each of the following indices ('Indices'):

1. the Markit iBoxx EUR High Yield main cum crossover LC Index;
2. the Markit iBoxx ABF Pan-Asia Index;
3. the Markit iBoxx EUR Overall Index;

4. the Markit iBoxx GBP Overall Index;
5. the Markit iBoxx Global Inflation-Linked All USD Index;
6. the Markit iBoxx USD Overall Index; and
7. the Markit iBoxx USD Emerging Markets Sovereigns Index

as specified indices for the purposes of ASX Operating Rule 10A.3.3 (c)(ii). The amendment facilitates admission of proposed AQUA Products where the capital value or distributions of the proposed AQUA Products are linked to debentures or bonds included in the Indices.

The amendments were effective on 29 September 2017.

4. New ISO Financial Instrument Identifiers and changes to International Securities Identification Numbers (ISIN)

ASX in its capacity as National Numbering Agency is a full member of the Association of National Numbering Agencies (ANNA) for Australia. ANNA is the international organisation that governs financial instrument identification and has recently introduced new standardised financial instrument identifiers to be assigned alongside ASX Code and ISINs:

- Classification of Financial Instrument (CFI): identifies the type of financial instrument and the main attributes.
- Financial Instrument Short Name (FISN): a unique and standardised naming convention for a financial instrument.
- Legal Entity Identifier (LEI): identifies the issuer of a financial instrument.

The CFI and FISN will be automatically assigned by ASX for every financial instrument. **Issuers will be requested to provide Legal Entity Identifiers (LEI) on a voluntary basis to ASX and this is intended to assist Issuers in connection with international reporting regimes where the Issuer LEI is mandated.**

In conjunction with the assignment of CFI and FISN security identifiers, ASX will implement the change to the current ISIN Basic Number regime by replacing the ASX Code or market ticker with a unique basic number effective Q1 2018. The introduction of the new ISIN format will remove the ASX Code (or market identifier) from the ISIN structure and allow ASX to re-use codes more frequently whilst complying with the ISIN Uniform Guidelines. The new ISIN format will apply only to new financial products and cash market deferred settlement trading codes associated with certain corporate actions. Existing product ISINs will not be affected by the new format unless the Issuer undertakes an ASX Code or market ticker change post the implementation date.

New ISIN format will apply to the following financial products:

- ASX Cash Market Equity and Interest Rate Products (including Exchange Traded Funds and Listed Managed Funds)
- ASX Exchange Traded Options
- CHESS Eligible Financial Products listed for Approved Market Operators

Existing ISIN format will continue to apply to the following financial products:

- ASX Warrants and Structured Products
- mFund Products

Further information can be found [here](#).

If you have any questions please email steven.ball@asx.com.au or

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5. Subscribe to the ASX Investment Products - ETP Update

The ETP Update is for all Issuer and their providers about ASX rules, compliance, operational and general matters for exchange traded products. To subscribe, email investment.products@asx.com.au. Past updates can be accessed [here](#).

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