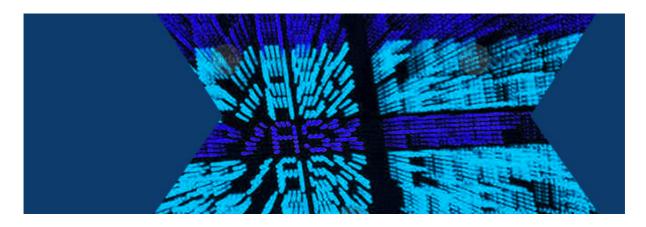# ASX Investment Products

ETP Update - October 2019

On Monday 30 September 2019 a technical issue with an iNAV calculation agent meant that several AQUA Products were not calculating or disseminating the iNAVs for a portion of the Trading Day. Issuers are reminded of their notification obligations to ASX under ASX Operating Rule Schedule 10A.2.4. In particular, Item 7 of the Procedures to ASX Operating Rule Schedule 10A.2.4 which requires the following,

"An AQUA Product Issuer must notify ASX in writing of… any system malfunction or other issue that prevents the AQUA Product Issuer from materially complying with any requirement it may be under as an AQUA Product Issuer (including, without limitation, to comply with its market making obligations or its obligations to create and redeem units, publish the actual or indicative net asset value of the AQUA Product or the composition of its investment portfolio), immediately upon becoming aware of the malfunction or other issue."

Note that this notification obligation extends to any conditions of admission that may be imposed by ASX on an AQUA Product Issuer.

ASX generally expects to be made aware of the issue before commencement of trading of the AQUA Product. This will enable ASX to determine the appropriate course of action, including whether it is appropriate for an Issuer to apply for a trading halt or suspension. These notifications should be emailed to investmentproducts@asx.com.au and investmentproducts.compliance@asx.com.au.

For the avoidance of doubt, please notify ASX prior to 9:30AM if it is likely that a trading halt or suspension in the AQUA Product is sought to ensure that the market in that AQUA Product does not open.

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