

Notice reference number: 1480.15.11

Notice date: 30/11/2015

## What's this about?

Effective date: 30/11/2015

- 
- |   |  |  |   |  |                               |                                |  |
|---|--|--|---|--|-------------------------------|--------------------------------|--|
| <input checked="" type="checkbox"/> ASX Trade | <input checked="" type="checkbox"/> ASX 24   | <input type="checkbox"/> ASX TECH              |   |  |                               |                                |  |
| <input checked="" type="checkbox"/> Trading   | <input checked="" type="checkbox"/> Clearing | <input checked="" type="checkbox"/> Settlement | <input type="checkbox"/> ALC              | <input type="checkbox"/> ASX NET               |                               |                                |  |
| <input type="checkbox"/> Operations           | <input type="checkbox"/> Technology          | <input type="checkbox"/> Market Data           | <input checked="" type="checkbox"/> Rules | <input checked="" type="checkbox"/> Compliance | <input type="checkbox"/> Risk | <input type="checkbox"/> Other |  |
- 

### **ASX Compliance Enforcement Activity**

Under the Corporations Act, as a licensed operator of financial markets, ASX is obliged to have adequate arrangements for monitoring and enforcing compliance with the operating rules of those markets. It is also obliged, as a licensed operator of clearing and settlement facilities, to have adequate arrangements for supervising those facilities and for enforcing compliance with their operating rules.

ASX publishes quarterly circulars to notify participants in those markets and facilities of some of the enforcement activities recently undertaken by ASX Compliance, so that they are aware of potential areas of concern for ASX and of ASX's enforcement activities in those areas.

ASX is pleased to report that there were no enforcement matters finalised during the 3 month period ended 30 November 2015. However, investigations in relation to a number of enforcement matters are still ongoing.

## What do I need to do and by when?

---

For your information only.

## Need more information?

---

### **Issued by**

Kevin Lewis  
Chief Compliance Officer

### **Contact Details**

(02) 9227 0771

### **Disclaimer**