



ASX

AUSTRALIAN SECURITIES EXCHANGE

ASTC Settlement Rules

Guidance Note No. 3

KEY TOPICS

ASTC Settlement Rules

1. Section 12

Cross-reference

1. s 821A Corps Act
2. s 822B Corps Act
3. ASTC Guidance Note No. 06 – Issue of Management Letters
4. ASTC Guidance Note No. 09 – Monitoring Compliance - Investigations

Guidance Note History

Amended:

31 March 2008

01 November 2006

Introduced:

11 March 2004

Introduction of New Rule Book

DISCIPLINARY PROCEEDINGS

Please refer to the Guidance Note that relates to the Australian Securities Exchange Disciplinary Procedures and Appeals Rulebook.