



SFE NOTICE NO.

141/07

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ASX MARKETS SUPERVISION – “IMPROVEMENTS AND EXPECTATIONS” ROADSHOW

ASX Markets Supervision will be conducting seminars in Brisbane, Melbourne, Adelaide, Perth and Sydney in October and November 2007.

Content

These two hour sessions will provide an overview of the processes and workings of:

- Compliance – supervisory compliance initiatives and current issues;
- Investigations – what is the new approach? How do the new methods used by Investigations impact on Participants?
- Futures Compliance – CFDs: how will this new product impact on Participants’ business and what are the supervisory implications?
- Enforcement – the structure and operation of the integrated Tribunals.

Attendees who successfully complete the assessment at the end of the workshop will be entitled to 2 structured CPD hours.

Who should attend?

Responsible Executives, Responsible Officers, Compliance Executives and other industry participants responsible for supervision and operational management of trading, clearing or settlement functions.

Timetable

Date	City	Venue	Time
Monday 29 October 2007	Brisbane	Regus Riverside Level 18, 123 Eagle Street	11:00 – 1:00
Tuesday 30 October 2007	Melbourne	Fortyone at the Rialto 525 Collins Street	11:30 – 1:30
Wednesday 31 October 2007	Adelaide	ASX Boardroom Level 1, 89 King William St.	11:30 – 1:30
Thursday 1 November 2007	Perth	Exchange Plaza 2 The Esplanade	9:30 – 11:30
Wednesday 7 November 2007	Sydney	ASX Auditorium 18 – 20 Bridge Street	11:30 – 1:30
Thursday 8 November 2007	Sydney	ASX Auditorium 18 – 20 Bridge Street	11:30 – 1:30

Registration for the workshops can be made online by clicking on the links above.

Any questions regarding these workshops can be directed to Anthea Piddington on (02) 9227 0394 or anthea.piddington@asx.com.au