

Listed@ASX Compliance Update no. 08/23

18 October 2023

1. Updates to Guidance Note 15- ASX Listing Fees – effective 1 January 2024

ASX has made updates to Guidance Note 15- ASX Listing Fees ('GN 15') and associated fee arrangements.

The key change is an update to the method used for the calculation of fees for quotation of additional securities that are quoted on different dates.

Where securities are issued in multiple tranches and quoted on different dates, for example in the case of an institutional placement, rights issue and shortfall issue, each tranche will be treated separately for the purpose of calculating fees for quotation of additional securities.

This change enables a consistent fee calculation approach across all event types.

The other changes are:

- Clarification of the price used for the calculation of fees for quotation of additional securities in the case of a takeover, merger or acquisition.
- Clarification of the timing requirements for quotation of additional securities issued under an employee incentive scheme in accordance with Listing Rule 2.8.6. Listed entities who have agreed semi-annual aggregation arrangements with ASX will receive a separate communication about these arrangements.

A marked-up version comparing the updated GN 15 to its current version is available [here](#). The updated GN 15 will come into effect on 1 January 2024.

If you require any further information please refer to the [Listing fees page](#) on the ASX website or contact the Listed Company Services team by email to listed@asx.com.au.

Scheduled for 2024, the fees payable for quotation of additional securities will be itemised and sent in a monthly invoice. Further updates will be shared as they become available, and communicated through a future [Listed@ASX Compliance Update](#).

2. Upcoming deadlines for periodic reports

Listed entities are reminded of upcoming deadlines for periodic reports:

- Annual reports for listed companies with a June year-end – Tuesday 31 October 2023.
- Quarterly reports for mining, oil and gas, and commitments test entities – Tuesday 31 October 2023.
- An investment entity must notify the NTA backing of its quoted securities within 14 days of the end of each month.

A failure to lodge the relevant documents on time (i.e. by close of the ASX Market Announcements Office on the due date) will result in an automatic suspension of the entity's securities under Listing Rule 17.5.

Listed entities with a dual listing that have CDIs issued over quoted securities are reminded that they must also lodge an Appendix 4A within 5 business days of the end of each month.

If you missed any of our historical Compliance Updates, you can download past editions [here](#).
