

ASX Investment Products Compliance

ETP update - March 2025

1. Guidance on notification obligations under Schedule 10A of the ASX Operating Rules

AQUA Product Issuers are required to notify ASX, in writing, upon the occurrence of certain matters specified within Schedule 10A of the ASX Operating Rules (the '**Rules**') and the ASX Operating Procedures (the '**Procedures**'). This includes the matters specified for the purpose of Rule 10A.4.2, and other matters specified under other Rules.

ASX has prepared guidance for AQUA Product Issuers about the matters that must be notified to ASX under the Rules which is available [here](#). We have also released a suite of notification forms which should be used by AQUA Product Issuers when notifying ASX of a matter specified under Rule 10A.2.4. The notification forms are available in the [ASX Compliance downloads](#) section of the ASX website. Each notification form includes instructions about how to complete the form and where completed forms should be sent.

2. Overview of disclosure obligations under Schedule 10A of the ASX Operating Rules

AQUA Product Issuers are required to comply with a number of disclosure obligations under the Rules and Procedures. To meet these obligations, AQUA Product Issuers must disclose certain information via the ASX Market Announcements Platform and/or on the AQUA Product Issuer's website within a prescribed timeframe. Each of these requirements is detailed within the individual Rule(s) and the corresponding Procedure applicable to each disclosure obligation.

To assist AQUA Product Issuers to comply with their disclosure obligations, ASX has prepared an overview that outlines each disclosure obligation under the applicable Rule(s) and the corresponding Procedure which is available [here](#).

If you have any questions, please email InvestmentProducts.Compliance@asx.com.au.

Kind regards,
ASX Investment Products Compliance