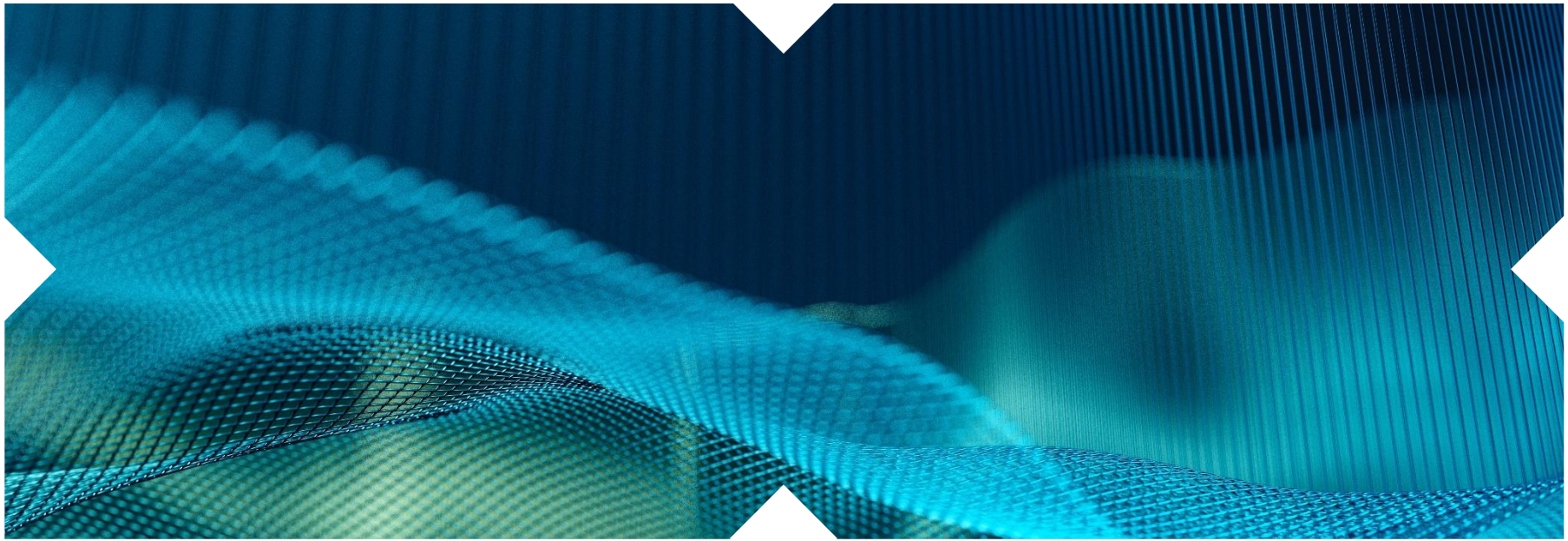
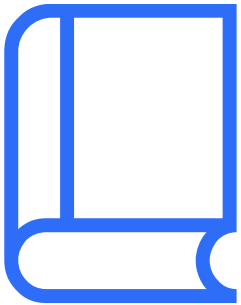
ASX Listing Rules Compliance Course

Introduction



ASX Listing Rules Compliance Course

About this course



This course is an **Approved Listing Rule Compliance Course** for the purposes of the ASX Listing Rules.

- All ASX listed entities are obliged to nominate a person to be responsible for its communications with ASX in relation to Listing Rule matters (a '**nominated ASX contact**').
- Typically, a listed entity will appoint its company secretary or its investor relations officer to be its nominated ASX contact. It may, and often will, appoint more than one nominated ASX contact to cater for situations where the primary contact is on leave or not available.
- Any person appointed on or after 1 July 2022 to be a nominated ASX contact for an entity admitted to the official list in the 'ASX listing' category* must have completed an 'Approved Listing Rule Compliance Course' and attained a satisfactory pass mark in the examination for that course.

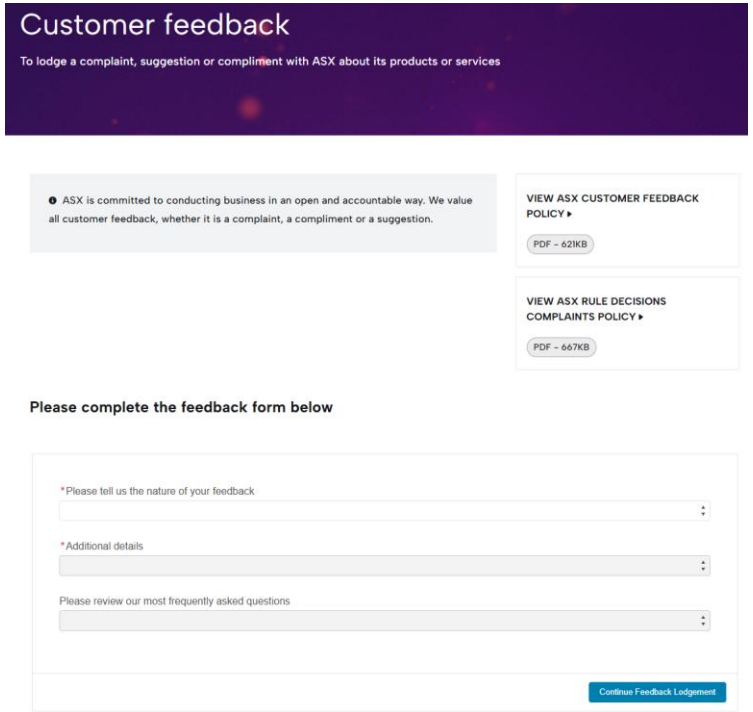
*See Listing Rules 1.1 condition 13 and 12.6. Note that this obligation only applies to the nominated ASX contact for an entity admitted to the ASX official list in the 'ASX listing' category. It does not apply to the nominated ASX contact for an entity admitted to the ASX official list in the 'ASX debt listing' or 'ASX foreign exempt listing' category.

ASX Listing Rules Compliance Course

About this course (cont.)

- This course (and the accompanying exam) is not confined to persons who are, or wish to be, nominated ASX contacts.
- Anyone who has an interest in improving or testing their knowledge of the ASX Listing Rules is free to take the course and/or the exam.
- ASX welcomes any suggestions you may have on how to improve this course, including topics you think ASX should add to, or cover in greater detail in, the course.
- Please use the customer feedback page on the ASX website to pass on your suggestions:

https://www.asx.com.au/about/contact-asx/customer-feedback



ASX Listing Rules Compliance Course

The modules in this course

- This course has 11 modules, each covering different aspects of the Listing Rules (as set out in the table to the right).
- You can access each module from the home page for the course on the ASX web site:

ASX Listing Rules Compliance Course

You do not need to register as a user to access a module – just click on the link for the module that you wish to study to open it.

Module	Name of module
Module 1	Continuous disclosure
Module 2	Periodic reporting
Module 3	Issue of equity securities
Module 4	Transactions with persons in a position of influence
Module 5	Significant transactions
Module 6	Corporate governance disclosures
Module 7	General meetings
Module 8	Lodging documents with ASX
Module 9	Trading halts and suspensions
Module 10	Waivers and in-principle advice
Module 11	Directors' interest notifications

ASX Listing Rules Compliance Course

The structure of the modules

- Each module in the course is in the form of a PowerPoint presentation like this one.
- Each module is likely to take you somewhere between 15 and 30 minutes to read carefully and absorb its contents.
- Reading all 11 modules is therefore a significant time commitment that you should plan for.
- As illustrated on the next slide, in each module:
    - the dark blue title at the top of the page describes, at a high level, the subject matter being addressed on that page
    - where applicable, the light blue sub-title at the top of the page identifies the Listing Rule or Guidance Note supporting the materials on that page.
    - This latter feature should assist you in answering any questions in the exam that refer to a particular Listing Rule or Guidance Note.

ASX Listing Rules Compliance Course

A sample slide from one of the modules

How to request a halt or suspension

Rules 17.1 and 17.2 and GN 16 (cont.)

- A letter requesting a trading halt or voluntary suspension must include:
  - the entity's reasons for the halt or suspension
  - how long it wants the halt or suspension to last
  - the event it expects to happen that will end the halt or suspension
  - that it is not aware of any reason why the halt or suspension should not be granted, and
  - any other information necessary to inform the market about the halt or suspension or that ASX asks for.
- In giving the reasons for the halt or suspension, it is not sufficient to simply say that an announcement is pending. The request must state the general nature of the matter to be announced (including if it is about an agreement or transaction, the general nature of the agreement or transaction).

ASX

A high level description of the subject matter addressed on the slide

'(cont.)' indicates this is a continuation of an earlier slide addressing the same subject matter

Where applicable, the Listing Rule or Guidance Note supporting the materials on the slide

ASX Listing Rules Compliance Course

The structure of the exam



The exam for this course is conducted online and is free of charge.

- The exam consists of 30 multiple choice questions chosen randomly from a bank of over 100 questions. There will be at least 2 questions on each module in the course, ensuring all 11 modules are covered in the exam.
- You need to answer 24 questions (80%) correctly to pass the exam.
  - If you answer a question incorrectly the first time, you will be prompted to try again.
  - If you answer the same question incorrectly a second time, you will be told the correct answer and will be taken to have failed that question.
- Some of the exam questions only allow the selection of one answer, while others allow the selection of multiple answers. If more than one answer is required, there will be a hint on-screen to that effect.

ASX Listing Rules Compliance Course

The structure of the exam (cont.)

- The exam is ‘open book’.
- Each question in the exam includes an on-screen hint referring to the number and title of the module where the materials needed to answer the question can be found.
- When you do the exam, we recommend that you have the home page for the course: ASX Listing Rules Compliance Course open on your computer at the same time, so that you can quickly access the slides in the relevant module to assist you in answering the questions.
- A number of the questions in the exam also include a reference to the specific Listing Rule or Guidance Note that addresses the subject matter of the question. To assist you in answering those questions, we recommend that you have a copy of the Listing Rules and Guidance Notes handy for reference.
- The Listing Rules and Guidance Notes can be accessed online at: https://www.asx.com.au/about/regulation/rules-guidance-notes-and-waivers/asx-listing-rules-guidance-notes-and-waivers.

ASX Listing Rules Compliance Course

Taking the exam

- The exam can be accessed from the home page for the course on the ASX website: ASX Listing Rules Compliance Course.
- You can sit the exam for this course at any time. You don't have to have studied the 11 modules in the course (although you will find it easier to pass the exam if you do).
- To sit the exam, you will need to provide your name, email address and employer name so that we can keep a record of your exam results and send you a certificate of completion if you pass.
- There is no limit on the time you take to complete the exam. Once you start the exam, however, you must complete it in the one session – you are not able to save your partially completed answers and return to complete the exam at a later time.
- There is no limit on the number of times you can sit the exam. If you don't pass, you can always try again.
- When you do pass the exam, we will send you a certificate of completion to your nominated email address that you can use to demonstrate that you have met the requirements of Listing Rules 1.1 condition 13 and 12.6.

ASX Listing Rules Compliance Course

Definitions

In the modules, unless the context requires otherwise, the highlighted words have the following meanings:

AGM	Annual General Meeting
ASIC	the Australian Securities and Investments Commission
ASX	ASX Limited, the licensed operator of the ASX market
Corporations Act	the *Corporations Act 2001* (Cth)
entity	an entity admitted to the ASX official list in the 'ASX listing' category
GN	an ASX Listing Rules Guidance Note
governing body	in relation to: • a managed investment scheme that is not a foreign passport entity, the responsible entity of the managed investment scheme • a CCIV sub-fund, the CCIV corporate director, or • a foreign passport entity, the operator of the foreign passport entity
home branch	the ASX office (Sydney, Melbourne or Perth) ASX designates as an entity's home branch

ASX Listing Rules Compliance Course

Definitions (cont.)

In the modules, unless the context requires otherwise, the highlighted words have the following meanings:

listings adviser	The Listings Supervision manager/adviser assigned to be an entity's primary contact at ASX for rule matters
Listings Supervision	the division of that name at ASX
MAP	the ASX Market Announcements Platform
PDS	a product disclosure statement under the Corporations Act
rule	an ASX Listing Rule

Before we go further

An important legal notice

The information provided in the course modules is for educational purposes only.

The course modules do not purport to cover all aspects of the Listing Rules relevant to the subject matter in their respective titles. There may also have been changes to a Listing Rule, or to ASX's policy or guidance on the application of a Listing Rule, mentioned in a module since the module was last updated.

Accordingly, readers should not rely on the contents of the course modules in determining their obligations under the Listing Rules but instead should refer to the Listing Rules and relevant ASX Guidance Notes and, if in doubt, obtain advice from a qualified professional person in respect of the matter.

Nothing in the course modules binds ASX in the application of the Listing Rules in a particular case.

To the extent permitted by law, ASX and its officers, employees and contractors shall not be liable for any loss or damage to any person arising in any way (including because of negligence) from or in connection with any information provided, or omitted to be provided, in the course modules, or from anyone acting or refraining to act in reliance on the materials in the course modules.

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ASX Listing Rules Compliance Course

Next steps

To start your review of the modules in the course, click on the link for the relevant module below:

1. Continuous disclosure
2. Periodic reporting
3. Issue of equity securities
4. Transactions with persons in a position of influence
5. Significant transactions
6. Corporate governance disclosures
7. General meetings
8. Lodging documents with ASX
9. Trading halts and suspensions
10. Waivers and in-principle advice
11. Directors' interest notifications

To return to the home page for the course, click the link below:

ASX Listing Rules Compliance Course

To sit the exam for the course, click here. We wish you good luck!

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