



ASX Limited
ABN 98 008 624 691

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4 August 2011

Mr Oliver Harvey
Australian Securities and Investments Commission
Level 5
100 Market Street
Sydney NSW 2000

Cc: Nick Barnett, Australian Securities and Investments Commission

BY EMAIL: Oliver.Harvey@asic.gov.au; Nick.Barnett@asic.gov.au

Dear Oliver,

Appendix 3Y - Mr Peter Warne

The attached Appendix 3Y relates to an acquisition of 390 ASX shares on 20 December 2007. The shares were acquired by Mr Peter Warne through his broker, Next Financial Limited.

The shares were acquired without Mr Warne's knowledge under a discretionary account. The account operated at the time under an agreed investment mandate, but subject to that mandate, investment decisions are, and were at the time, made by the broker. The account is subject to a standing instruction restricting the acquisition or disposal of ASX shares.

In this case, the 390 ASX shares were purchased on behalf of Mr Warne by his broker at the time, but specific notification of the purchase was not provided to Mr Warne. The purchase was contrary to the standing instruction, and so not expected by Mr Warne.

Since that time, Mr Warne has not updated the notification of his holding of ASX shares, as to his knowledge – until he became aware of this matter – there had been no change in his holding and because of his instructions, he had no cause to enquire.

To Mr Warne's knowledge, the only ASX shares held by him were those he received on conversion of his SFE shares at the time of the ASX/SFE merger in 2006.

In the course of confirming his details for purposes of preparation of ASX's 2011 Annual Report, Mr Warne recently became aware that the 390 ASX shares referred to in the attached Appendix 3Y were purchased on his behalf and that this acquisition had not been notified. After making enquiries to confirm that the information was correct, Mr Warne confirmed this matter to ASX on 3 August 2011.

The delay in notifying the market of this acquisition of shares was due to oversight and an error by Mr Warne's broker with respect to the standing instruction. This situation has arisen because Mr Warne had no reason to expect that his details would need to be updated, on the basis that the standing instruction was in place.

There have been no previous instances of late lodgement of an Appendix 3Y by Mr Warne.

ASX has the following procedures in place to meet its obligations under listing rule 3.19A (and the obligations of directors under section 205G of the Corporations Act 2001 (Cth)):

- The procedure for appointment of new directors includes a shareholding check, confirmation of the new director's ASX share holding with our share registry.
- Directors are obliged to provide ASX with the information required to make its disclosures under listing rule 3.19A.
- The procedure for preparation of ASX's Annual Report includes confirmation by directors and senior executives of the number of ASX shares held directly and indirectly by them as at 30 June in the relevant financial year.

While ASX considers that these procedures are adequate to enable compliance with the relevant obligations, all directors and senior executives are being reminded of their obligations and asked to re-confirm their shareholding details in the course of preparation of the 2011 Annual Report. Mr Warne has reiterated his standing instructions to his broker in relation to ASX shares.

Both ASX and Mr Warne regret this oversight.

Yours sincerely,



Amanda J Harkness
Group General Counsel & Company Secretary

Appendix 3Y

Change of Director's Interest Notice

Information or documents not available now must be given to ASX as soon as available. Information and documents given to ASX become ASX's property and may be made public.

Introduced 30/09/01 Amended 01/01/11

Name of entity	ASX Limited
ABN	98 008 624 691

We (the entity) give ASX the following information under listing rule 3.19A.2 and as agent for the director for the purposes of section 205G of the Corporations Act.

Name of Director	Peter Hastings Warne
Date of last notice	27 July 2006

Part 1 - Change of director's relevant interests in securities

In the case of a trust, this includes interests in the trust made available by the responsible entity of the trust

Note: In the case of a company, interests which come within paragraph (i) of the definition of "notifiable interest of a director" should be disclosed in this part.

Direct or indirect interest	Indirect
Nature of indirect interest (including registered holder) Note: Provide details of the circumstances giving rise to the relevant interest.	P & F Super Pty Limited ATF The Warne Family Superannuation Fund (previously Fortis Clearing Sydney Pty Limited)
Date of change	20 December 2007
No. of securities held prior to change	Indirect Interest: 5,610
Class	Ordinary Shares
Number acquired	390
Number disposed	N/A
Value/Consideration Note: If consideration is non-cash, provide details and estimated valuation	\$22,237.81
No. of securities held after change	6,000 (Indirect)

+ See chapter 19 for defined terms.

Appendix 3Y Change of Director's Interest Notice

Nature of change Example: on-market trade, off-market trade, exercise of options, issue of securities under dividend reinvestment plan, participation in buy-back	On market trade
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Part 2 – Change of director's interests in contracts

Note: In the case of a company, interests which come within paragraph (ii) of the definition of "notifiable interest of a director" should be disclosed in this part.

Detail of contract	Not applicable
Nature of interest	
Name of registered holder (if issued securities)	
Date of change	
No. and class of securities to which interest related prior to change Note: Details are only required for a contract in relation to which the interest has changed	
Interest acquired	
Interest disposed	
Value/Consideration Note: If consideration is non-cash, provide details and an estimated valuation	
Interest after change	

Part 3 – ⁺ Closed period

Were the interests in the securities or contracts detailed above traded during a ⁺ closed period where prior written clearance was required?	Yes
If so, was prior written clearance provided to allow the trade to proceed during this period?	No
If prior written clearance was provided, on what date was this provided?	Not applicable

⁺ See chapter 19 for defined terms.