

# LISTING RULE AMENDMENTS

## Requirement for a Trading Policy

### Definitions

19.12 The following expressions have the meanings set out below.

Introduced 1/7/96. Origin: Definitions.

#### Expressions

#### meanings

key management personnel

the meaning in Accounting Standard AASB 124 Related Party Disclosure.

prohibited period

means:

i. any +closed period; or

ii. additional periods when an entity's +key management personnel are prohibited from trading, which are imposed by the entity from time to time when the company is considering matters which are subject to Listing Rule 3.1A.

closed period

fixed periods specified in the +trading policy when an entity's +key management personnel are prohibited from trading in the entity's securities.

trading policy

an entity's policy relating to trading in the entity's securities by the entity's +key management personnel during +prohibited periods.

### ASX Listing

#### Requirements for ASX Listing

1.1 For an entity (except an entity admitted as an ASX Foreign Exempt Listing or an ASX Debt Listing) to be admitted to the +official list, the following conditions must be met to ASX's satisfaction.

Introduced 1/7/96. Amended 30/9/2001.

#### *Condition 1*

The entity's structure and operations must be appropriate for a listed entity.

Introduced 1/7/96.

Example: When deciding if an entity's structure and operations are appropriate for that entity to be listed, ASX may have regard to whether the principles on which the listing rules are based have been and will be complied with. See the Introduction.

...

#### Condition 15

The entity must have a +trading policy that complies with ASX listing rule 12.9.

## Disclosure of directors' interests

3.19A An entity must tell ASX the following.

...

3.19A.2 A change to a +notifiable interest of a director of the entity (or in the case of a trust, a director of the responsible entity of the trust) including whether the change occurred during a +closed period where prior written clearance was required and, if so, whether prior written clearance was provided. The entity must complete Appendix 3Y and give it to ASX no more than 5 business days after the change occurs.

Introduced 30/9/2001.

Note: An entity is not required to give information to ASX under this rule that, notwithstanding that it has complied with listing rule 3.19B, it does not have.

Cross reference: Guidance Note 22 - Disclosure of Directors' Interests.

If a director has no interests at the time when the entity is required to complete an Appendix 3X under Listing rule 3.19A.1, the entity must lodge an Appendix 3Y when the director first acquires an interest.

Example: The events giving rise to the requirement to give ASX an Appendix 3Y in relation to an on market purchase or sale of shares are the trades being effected on SEATS. The entity has five business days after the date the SEATS trades were effected to give ASX the appendix.

The events giving rise to the requirement to give ASX an Appendix 3Y in relation to an exercise of options are the exercise of the options. The entity has five business days after the date the options were exercised to give ASX the Appendix.

## Trading Policy

12.9 An entity must have a +trading policy that complies with the requirements of ASX listing rule 12.12. An entity must give its +trading policy to the +company announcements office for release to the market.

12.10 Where an entity makes a material change to their +trading policy such entity must give the amended +trading policy to the +company announcements office for release to the market within 5 +business days of the material changes taking effect.

12.11 An entity must give its +trading policy to ASX immediately on request by ASX.

## Content of Trading Policy

12.12 At a minimum, an entity's +trading policy must include the following information:

12.12.1 The entity's +closed periods.

12.12.2 The restrictions on trading that apply to the entity's +key management personnel.

12.12.3 Any trading which is not subject to the entity's +trading policy.

12.12.4 Any exceptional circumstances in which the entity's +key management personnel may be permitted to trade during a +prohibited period with prior written clearance.

12.12.5 The procedures for obtaining prior written clearance for trading under rule 12.12.4.

Cross-reference: [ASX Guidance Note 27 – Trading Policies](#).

# 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 30/9/2001.

Name of entity
ABN

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	
Date of last notice	

### 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	
Nature of indirect interest (including registered holder) <small>Note: Provide details of the circumstances giving rise to the relevant interest.</small>	
Date of change	
No. of securities held prior to change	
Class	
Number acquired	
Number disposed	
Value/Consideration <small>Note: If consideration is non-cash, provide details and estimated valuation</small>	
No. of securities held after change	
Nature of change <small>Example: on-market trade, off-market trade, exercise of options, issue of securities under dividend reinvestment plan, participation in buy-back</small>	

### 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	
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 <small>Note: Details are only required for a contract in relation to which the interest has changed</small>	
Interest acquired	
Interest disposed	
Value/Consideration <small>Note: If consideration is non-cash, provide details and an estimated valuation</small>	
Interest after change	

**Part 3 – +Closed period**

<u>Were the interests in the securities or contracts detailed above traded during a +closed period where prior written clearance was required?</u>	
<u>If so, was prior written clearance provided to allow the trade to proceed during this period?</u>	
<u>If prior written clearance was provided, on what date was this provided?</u>	