

Chapter 16

Fees

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Explanatory note

This chapter sets out the obligation to pay fees, the refunds available and how fees are calculated. The scales of fees and other related matters are published separately.

Fees for admission

Entity to pay fees for admission

16.1 An entity seeking admission to the *official list and *quotation of *securities must pay the fees set and published by ASX. It must do so when, and in the manner that, ASX specifies.

Introduced 01/07/96 Origin: Listing Rules 1B(1)(e), 4A(1), 4A(2), 4C(1)

Refund if entity is not admitted

16.2 If an entity's application for admission to the *official list is not accepted, ASX will refund an amount set and published by ASX.

Introduced 01/07/96

Fees under rule 11.1 (change to activities)

16.3 If ASX applies rule 11.1 and requires compliance with chapters 1 and 2, an entity must pay the fees set and published by ASX. It must do so when, and in the manner that, ASX specifies.

Introduced 01/07/96

Fees for quotation of additional securities

16.4 An entity must pay the fees for *quotation of additional *securities set and published by ASX. It must do so when, and in the manner that, ASX specifies. However no fee is payable in any of the following cases, except under rule 16.7.

- +Quotation of shares or +units following the +conversion of quoted +securities.
- +Quotation of fully paid +securities following the payment up in full of the amount unpaid on quoted partly paid +securities.
- Re-quotation of forfeited shares after they have been sold, or redeemed by the former holder.

Introduced 01/07/96 Origin: Listing Rules 3J(5), 4B(1), 4B(2), 4B(3), 4B(6) Amended 01/09/99, 01/12/19

Note: ASX generally prepares a tax invoice when the Appendix 3B seeking quotation of additional securities has been processed and the securities have been quoted, and payment must be made within 7 days of the date of the invoice.

Cross reference: Listing rule 2.11; Guidance Note 15 – Schedule of Fees.

Annual fees

Entity to pay annual fee

- 16.5 An entity must pay an annual fee as set and published by ASX. It must do so when, and in the manner that, ASX specifies. Fees paid more than 15 +business days after the due date must be paid in cleared funds or by bank cheque.

Introduced 01/07/96 Origin: Listing Rules 3J(5), 4C(1), 4C(3), 4C(5)(b), 4E(1) Amended 01/07/97, 01/12/19

Cross reference: Listing rule 17.6.

16.5.1 [Deleted]

Introduced 01/07/96 Deleted 01/07/97

Refund if entity is removed on request or after a takeover bid

- 16.6 If an entity is removed from the +official list before the end of the first half of the year for which the annual fee is payable, ASX will, on application, refund half the annual fee paid if one of the following applies.

16.6.1 The removal is at the request of the entity.

16.6.2 The removal is under rule 17.14 or rule 17.4A.

Introduced 01/07/96 Origin: Listing Rule 4C(4) Amended 01/07/97, 13/03/00

Additional fees

- 16.7 An entity must pay additional fees as set and published by ASX. It must do so when, and in the manner that, ASX specifies.

Introduced 01/07/96 Origin: Listing Rules 3J(5), 4D

Example: Additional fees are payable for:

- Reviewing draft documents.
- Making inquiries of the entity about compliance with the listing rules.
- Reinstating quotation of securities that have been suspended from quotation.

Calculation of fees

- 16.8 A fee calculated by reference to the value of +securities is calculated by reference to the value as set and published by ASX.

Introduced 01/07/96 Origin: Listing Rules 4A(4), 4B(5), 4C(5)

- 16.9 A fee calculated by reference to quoted +securities is calculated as if quoted +securities include each of the following.

16.9.1 *Securities for which *quotation has been granted, even if *quotation has been deferred, suspended or subject to a *trading halt.

16.9.2 Forfeited shares which have not been cancelled.

Introduced 01/07/96 Origin: Listing Rules 4C(5)(a), 4C(8)

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