

ASX Market Rules

Source of Rules

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
1.	INTRODUCTION	None	None	New
1.1	THE MARKET OPERATOR	None	None	New, summarises the purpose of and the services provided by the Market Operator.
1.1.1	Operation by ASX	None	None	New
1.1.2	Services provided by ASX	None	None	New
1.1.3	No limit on services or facilities to be provided	None	None	New
1.2	APPLICATION AND EFFECT OF THESE RULES	None	None	New
1.2.1	Operating rules of ASX	None	None	New, details the operation of the Rules.
1.2.2	Binding effect of Rules	None	None	New
1.2.3	Covenants to observe Rules	None	None	New
1.3	PROCEDURES	None	None	New
1.3.1	ASX may approved Procedures	None	None	New
1.3.2	Procedures are not part of the Rules	None	None	New
1.3.3	Changes to Procedures	None	None	New

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
1.4	DEFECTS, IRREGULARITIES AND DEFICIENCIES	11.9	20.9	Adapts ASXF
1.4.1	Notices of time	11.9	20.9	Adapts ASXF
1.4.2	Validity of actions	11.9.2	20.9.2	Adapts ASXF
1.4.3	Partial invalidity of Rules	11.9.1	20.9.1	Adapts ASXF
1.5	WAIVER	5B.10 5A.3 1A.3.4 11.6	20.5 20.8	Adapts ASXF
1.5.1	Waiver of Rules and Procedures	5B.10 5A.3 1A.3.4	20.8	Adapts ASXF
1.5.2	Compliance with conditions	None	None	New
1.5.3	No relief from certain provisions	None	None	New
1.5.4	Period during which relief applies	None	None	New
1.5.5	Register of relief	None	None	New
1.5.6	Inspection of register	None	None	New
1.5.7	Waiver generally	11.6	20.5	Adapts ASXF 20.5
1.6	NOTICE, NOTIFICATION AND SERVICE OF DOCUMENTS	5D.4, 11.7	20.6	Adapts ASXF 20.6

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
1.6.1	Notice must be in writing	5D.4.1	20.6.2	Adapts ASXF 20.6.2
1.6.2	Methods of giving notice in writing	5D.4.2	20.6.3(a)	Adapts ASXF 20.6.3(a)
1.6.3	Delivery of notice	5D.4.3, 5D.4.4	20.6.3(b), 20.6.4	Adapts ASXF 20.6.3(b), 20.6.4
1.6.4	Market Participant to have e-mail	5D.4.5	20.6.7	Adapts ASXF
1.6.5	Failure to notify	5D.4.6	20.6.8	Adapts ASXF
1.7	DISCLOSURE OF INFORMATION	3.15, 11.10	20.10	Adapts ASXF
1.7.1	Disclosure of information regarding Market Participants	3.13(3), 11.10.1, 11.10.3	20.10.1	Adapts ASXF
1.7.2	ASX may disclose information	3.15(1)	20.10.2	ADAPTS ASXF
1.7.3	Information provided by scheme operator	3.17(1)	None	Adapts ASXBR
1.7.4	Disclosure of information to scheme operator	3.17(2)	None	Adapts ASXBR
1.7.5	Use of information to scheme operator	3.17(3)	None	Adapts ASXBR
1.8	DISCLAIMERS	11.11	20.11	Adapts ASXF
1.8.1	Exclusions of liability of ASX	11.11.1	20.11.1	Adapts ASXF
1.8.2	Certain liability not excluded	11.11.2	20.11.2	Adapts ASXF
1.8.3	Limitation of liability	11.11.5	20.11.3	Adapts ASXF
1.9	EXTENSION OF INDEMNITIES AND DISCLAIMERS	11.11.6	20.12	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
1.9.1	Benefits extend to others	11.11.6	20.12.1	Adapts ASXF
1.9.2	Benefit held by ASX on behalf of those persons	11.11.6	20.12.2	Adapts ASXF
1.10	EXERCISE AND DELEGATION OF FUNCTIONS AND POWERS	14.1	20.14	Adapts ASXF
1.10.1	Exercise of powers	14.1(1)	20.14.1	Adapts ASXF
1.10.2	Delegations to officers and other representatives	14.1(2)	20.14.1	Adapts ASXF
1.10.3	Sub-delegation permitted	None	None	New
1.10.4	Other rules concerning delegation	None	None	New
1.11	GOVERNING LAW	5D.7	20.16.1	Adapts ASXF
1.11.1	Governing law of contracts and agreements	5D.7	20.16.1	Adapts ASXF
1.12	SUBMISSION TO JURISDICTION	5D.8	10.16.2	Adapts ASXF
1.12.1	Submission to jurisdiction by parties	5D.8	10.16.2	Adapts ASXF
1.13	REFERENCES TO ASX EXERCISING DISCRETION WHERE IT CONSIDERS IT "APPROPRIATE"	None	None	New
1.13.1	Matters ASX will have regard to	None	None	New
1.14	MULTIPLE ACTION	None	None	New
1.14.1	Taking action does not restrict ASX from	None	None	New

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
	taking any other action			
1.15	FEES AND OTHER CHARGES	5D.5 11.3	20.2	Adapts ASXF
1.15.1	ASX Fees	5D.5.1 11.3.1 11.3.4	20.2.1	Adapts ASXF
1.15.2	Late Fees	5D.5.2	20.2.1 (end)	Adapts ASXF
1.15.3	Payment of Fees	5D.5.3 11.3.3	20.2.2	Adapts ASXF
1.16	DUTIES AND TAXES	None	None	New
1.16.1	Market Participant liability	None	None	New
2.	DEFINITIONS AND INTERPRETATION	Various	21	Adapts ASXF
2.1	GENERAL PRINCIPLES OF INTERPRETATION	Interpretation	21.2	Various
2.2	WORDS AND EXPRESSIONS DEFINED IN THE CORPORATIONS ACT	Interpretation	21.2.3	Adapts ASXF
2.2.1	Words and expressions define have the same meaning in these Rules	Interpretation	21.2.3	Adapts ASXF
2.3	HEADINGS AND INTRODUCTORY REVIEW	Interpretation	21.2.2	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
2.3.1	Headings and introductory overview for convenience of reference only	Interpretation	21.2.2	Adapts ASXF
2.4	CONDUCT, ACTS AND OMISSIONS	None	None	New
2.4.1	References to conduct or doing any act or thing	None	None	New
2.4.2	Conduct by officers, Employees or agents	None	None	New
2.4.3	State of mind of a person	None	None	New
2.5	REGARD TO BE HAD TO PURPOSE OR OBJECT OF RULE	Interpretation	1.3	Adapts ASXF
2.5.1	Construction to promote purpose of Rules	Interpretation	1.3	Adapts ASXF
2.6	EXAMPLES AND NOTES	None	None	New
2.6.1	Use of examples and notes	None	None	New
2.7	CHANGE OF NAME	None	None	New
2.7.1	Reference to a body or office under a former name	None	None	New
2.8	EFFECT OF AMENDMENT TO RULES AND PROCEDURES	Interpretation	21.2.4	Adapts ASXF
2.8.1	Where amendments to Rules and Procedures are made	Interpretation	21.2.4	Adapts ASXF
2.9	RULES IN FORCE AT TIME OF CONTRAVENTION	Interpretation	21.2.5	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
2.9.1	Determining a contravention of the Rules	Interpretation	21.2.5	Adapts ASXF
2.10	DEFINITIONS	Various	Various	Consolidates various definitions provisions from the two rulebooks.
3.	PARTICIPANTS AND REPRESENTATIVES	5	2	Adapts and combines ASX BR and ASXF BR provisions. Establishes new concept of Market Participant.
3.1	APPLICATION FOR ADMISSION	5.1	2.2	Adapts ASX BR
3.1.1	Application process	5.1.1	2.2.1	Adapts ASX BR
3.1.2	ASX may request further information	5.1.3	2.2.2	Adapts ASX
3.1.3	ASX to determine application within reasonable time	5.1.5	None	Adapts ASX BR
3.1.4	Conditions on admission	5.1.4	2.2.3	Adapts ASX
3.1.5	Breach of Condition does not automatically terminate approval	None	None	New
3.2	ADMISSION REQUIREMENTS FOR ALL APPLICANTS	5A.1.1	3.1	Adapts ASXF
3.2.1	Requirements	5A.1.1	3.1	Adapts ASXF
3.3	ADMISSION REQUIREMENTS FOR NATURAL PERSONS	5.3	2.5	Adapts ASX BR
3.3.1	Requirements	None	3.2.1	Adapts ASXF
3.3.2	Assessment of character	None	3.2.2	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
3.4	ADMISSION REQUIREMENTS FOR BODIES CORPORATE	None	3.3.1	Adapts ASXF
3.4.1	Requirement for Australian presence	None	3.3.1	Adapts ASXF
3.5	ADDITIONAL REQUIREMENTS FOR FOREIGN APPLICANTS	None	3.3.3	Adapts ASXF
3.5.1	Additional requirements	None	3.3.3	Adapts ASXF
3.5.2	Integrity of applicant which is a body corporate	None	3.3.4	Adapts ASXF
3.6	MANAGEMENT ARRANGEMENTS	5A.2	4.1	Adapts ASX
3.6.1	Management structure	5A.2.1	4.1.2	Adapts ASX
3.6.2	Branch offices	5A.2.2	None	Adapts ASX
3.6.3	Supervisory procedures	5A.2.3	4.1.3	Adapts ASX
3.6.4	Persons involved in the business	5A.2.4	3.3.2	Adapts ASX
3.6.5	Responsible Executive requirements	5A.2.5	3.2.1, part 3.2.3	Adapts ASX
3.6.6	Suitably qualified affiliate	5A.2.7	None	Adapts ASX
3.7	AFSL REQUIREMENT	5.11	3.1	Adapts ASXF
3.7.1	AFSL required unless participating as a Principal trader only	5.11	3.1	Adapts ASXF
3.8	REJECTION OF APPLICATION FOR	5.2	2.4	Adapts ASX

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
	ADMISSION AS PARTICIPANT			
3.8.1	Notice of proposed rejection	5.2.1	2.4.1	Adapts ASX
3.8.2	Notice of rejection	5.2.2	2.4.2	Adapts ASX
3.8.3	Right to appeal to Appeal Tribunal	5.2.3	2.4.3	Adapts ASX
3.9	RESIGNATION OF MARKET PARTICIPANT	5.3	2.5	Adapts ASX
3.9.1	Market Participant to notify ASX of intended resignation	5.3.1	2.5.1	Adapts ASX
3.9.2	Resignation only effective when accepted by ASX	5.3.2	2.5.2	Adapts ASX
3.10	SUBSTANTIALLY INACTIVE MARKET PARTICIPANTS	5.4	None	Adapts ASX BR
3.10.1	ASX may give notice	5.4.1	None	Adapts ASXBR
3.10.2	Meaning of substantially inactive	None	None	New
3.10.3	Market Participant may make submissions	5.4.2	None	Adapts ASX BR
3.10.4	Termination of approval if no submission received	5.4.3	None	Adapts ASX BR
3.10.5	Termination of approval if submission received	5.4.4	None	Adapts ASX BR
3.11	EFFECT OF RESIGNATION OR TERMINATION ON OBLIGATIONS	5.5	2.6	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
3.11.1	Obligations of Market Participant before resignation and termination	5.5.1	2.6.1	Adapts ASX BR
3.11.2	Certain obligations to continue following resignation or termination	5.5.2	2.6.2	Adapts ASX BR
4.	RIGHTS AND OBLIGATIONS OF MARKET PARTICIPANTS AND RESPONSIBLE EXECUTIVES			
4.1	ONGOING COMPLIANCE AND SUPERVISION	5B.1	4.1	Adapts ASX
4.1.1	General compliance	5B.1.1	4.1.1	Adapts ASX
4.1.2	Responsibility for individuals involved in business	5B.1.2	4.1.4	Adapts ASX
4.1.3	Responsibilities of Responsible Executive	5B.1.4	None	Adapts ASX
4.2	UNDERTAKINGS FOR NEW INDIVIDUALS INVOLVED IN BUSINESS	5B.2	4.3	Adapts ASX
4.2.1	Undertakings by Responsible Executives	5B.2.1	4.3.1	Adapts ASX
4.2.2	Exchange may request information in relation to a new Responsible Executive	5B.2.2	4.3.2	Adapts ASX
4.3	NOTIFICATIONS OF CHANGE OF DETAILS	5B.3	4.4	Adapts ASX
4.3.1	Change of name or address	5B.3.1	4.4.1	Adapts ASX
4.3.2	Change of Directors, Responsible	5B.3.2	4.4.2	Adapts ASX

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
	Executive, management structure and other details			
4.4	NOTIFICATION OF REGULATORY ACTION	5B.4	4.5	Adapts ASX
4.4.1	Notification of action by commission or other entity	5B.4.1	4.5.1	Adapts ASX
4.4.2	Notification to Market Participant by Responsible Executive	5B.4.3	4.5.3	Adapts ASX
4.5	FOREIGN MARKET PARTICIPANTS AND OTHER MARKET PARTICIPANTS WITH OVERSEAS ACTIVITY	5B.5	4.8	Adapts ASX
4.5.1	Approvals in respect of overseas activity	5B.5.1 2.2.6(1)	4.8.1	Adapts ASX
4.5.2	Duty to disclose taxes	5B.5.3	4.8.3	Adapts ASX
4.5.3	Indemnity	5B.5.4 2.2.6(2)	4.8.4	Adapts ASX
4.6	INSURANCE REQUIREMENTS	5B.6	4.9	Adapts ASX
4.6.1	Obligation to have insurance	5B.6.1	4.9.1	Adapts ASX
4.6.2	Insurance with related body corporate	5B.6.2	4.9.2	Adapts ASX
4.6.3	Notification of amount and period of cover	5B.6.3	4.9.3	Adapts ASX
4.6.4	Notification of claims	5B.6.4	4.9.4	Adapts ASX
4.6.5	Notification of other matters	5B.6.5	4.9.5	Adapts ASX

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
4.7	BUSINESS CONNECTIONS BETWEEN MARKET PARTICIPANTS	5B.7	3.4	Adapts ASX
4.7.1	Connections requiring ASX consent	5B.7.1	3.4.1, 3.4.2	Adapts ASX
4.7.2	Access to records	5B.7.2	3.4.3	Adapts ASX
4.7.3	Undertakings	5B.7.3	3.4.4	Adapts ASX
4.8	CONTINUING EDUCATION OF RESPONSIBLE EXECUTIVES	5B.8	None	Adapts ASX
4.8.1	Responsible Executive compliance	5B.8	None	Adapts ASX
4.9	RECORDS, ACCOUNTS, AUDIT AND RETURNS	1	4.2	Adapts ASXF
4.9.1	Application	None	4.2.1	Adapts ASXF
4.9.2	Records	1.2.1.1, 1.2.1.3(b)	4.2.2	Adapts ASXF
4.9.3	Auditor	1.3(4)	4.2.3	Adapts ASXF
4.9.4	Notification of change of auditor	1.3(5)	4.2.4	Adapts ASXF
4.9.5	Financial statements	1.3(1), 1.3(3), 1.3(6), 1.3(9)	4.2.5	Adapts ASXF
4.9.6	Extension of time for lodgement	1.3(6)	4.2.6	Adapts ASXF
4.9.7	Audit of internal control procedures	1.3(10)	4.2.7	Adapts ASXF
4.9.8	Scope of audits	1.3(7), 1.3(8), 1.3(10)	4.2.8	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
4.9.9	Additional audits may be required	1.3(10)	4.2.9	Adapts ASXF
4.9.10	Returns and reports generally	1.5.5, 1.5.6	4.2.10	Adapts ASXF
4.10	TRADING RECORDS	1.2, 7.3	4.6	Adapts ASXF
4.10.1	Records of dealings for clients	1.2.1.2(a)-(c), (e), (f) 7.3.2.5(a), (b), (c), (h)	4.6.1	Adapts ASXF
4.10.2	Records of dealings on own account	1.2.1.2(d), (f) 7.3.2.5(d), (e), (f), (h)	4.6.2	Adapts ASXF
4.10.3	Separate maintenance of client records	None	4.6.3	Adapts ASXF
4.10.4	Amended order records	1.2.1.5 7.3.2.8	4.6.4	Adapts ASXF
4.10.5	Records to be made immediately	1.2.1.3(a) 7.3.2.6	4.6.5	Adapts ASXF
4.10.6	Records to be retained for prescribed period	1.2.1.4 7.3.2.7	4.6.6	Adapts ASXF
4.11	ACCESS TO RECORDS	1.2.1.1A	4.7	Adapts ASXF
4.11.1	Records to be in writing and in English	1.2.1.1A	4.7.1	Adapts ASXF
4.11.2	Records kept outside of Australia	1.2.1.1A	4.7.2	Adapts ASXF
4.11.3	Costs of obtaining or translating information.	None	None	New

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
4.12	REPORTING OPEN DTP PRODUCT POSITIONS TO EXCHANGE	None	4.10	Adapts ASXF
4.12.1	Market Participants must report these details	None	4.10	Adapts ASXF
4.13	ONGOING COMPLIANCE FOR PARTNERSHIPS	5B.9	None	New
4.13.1	Admission requirements	None	None	New
4.13.2	Partnership treated as a separate person	None	None	New
4.13.3	Breach of Rules	None	None	New
4.13.4	Change in Composition of Partnership	5B.9.2	None	Adapts ASX
4.13.5	New partners must give undertaking	5B.9.3	None	Adapts ASX
4.13.6	Overseas partnerships	None	None	New
4.13.7	Disciplinary action	None	None	New
4.13.8	Interpretation of Rules	None	None	New
4.14	COMPLIANCE WITH CHAPTER 7 OF THE CORPORATIONS ACT AND AFSL	2.2.4 7.5.4.1	13.4.6-13.4.9	New
4.14.1	MARKET PARTICIPANT MUST COMPLY	2.2.4 7.5.4.1	13.4.6-13.4.9	New
4.15	PAYMENT OF LEVIES	None	None	New
4.15.1	Market participant to pay any levies raised	None	None	New

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
	against it			
4.16	AUTHORISED SIGNATORIES	11.2	20.1	Adapts ASXF
4.16.1	Participant to submit list of signatories	11.2.1	20.1.1	Adapts ASXF
4.16.2	Changes to list	11.2.2	20.1.2	Adapts ASXF
4.16.3	ASX entitled to rely on list	11.2.3	20.1.3	Adapts ASXF
4.17	RECORDS	11.5	20.4	Adapts ASXF
4.17.1	MARKET PARTICIPANT MAY INSPECT RELEVANT RECORDS	11.5	20.4	Adapts ASXF
4.18	LEGAL PROCEEDINGS REQUIREMENTS	13.12	20.13	Adapts ASXF
4.18.1	OBLIGATION TO NOTIFY	13.12	20.13.1	Adapts ASXF
4.18.2	RIGHT OF ASX TO PARTICIPATE IN PROCEEDINGS	13.12	20.13.2	Adapts ASXF
4.19	INFORMATION REQUIREMENTS	None	20.15	Adapts ASXF
4.19.1	INFORMATION GIVEN BY MARKET PARTICIPANT	None	20.15	Adapts ASXF
4.19.2	INFORMATION GIVEN BY RESPONSIBLE EXECUTIVE	None	None	New
5.	CLEARING AND SETTLEMENT ARRANGEMENTS	2.1A 7.2	6	Adapts ASXF
5.1	APPROPRIATE CLEARING AND SETTLEMENT ARRANGEMENTS	None	None	New

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
5.1.1	General obligations	None	None	New
5.1.2	Where Trading Participant is not a Clearing Participant	None	None	New
5.2	THIRD PARTY CLEARING ARRANGEMENT		6.1	Adapts ASXF
5.2.1	Description of Arrangement	2.1A.2(2), (3) 7.2.1.2(b) 7.2.1A.4 7.2.1A.5	6.1.1	Adapts ASXF
5.2.2	Nature of Clearing Obligations	None	None	New
5.3	CLEARING AGREEMENTS	2.1A.4 7.2.1A	6.2	Adapts ASXF
5.3.1	Written agreement required	2.1A.4(1) 7.2.1A.1	6.2.1	Adapts ASXF
5.3.2	Obligation to notify ASX of amendments	2.1A.4(3) 7.2.1A.3	6.2.3	Adapts ASXF
5.3.3	ASX requirements concerning amendments	2.1A.4(3) 7.2.1A.3	6.2.4	Adapts ASXF
5.4	SUSPENSION OF TRADING PARTICIPANT OR CLEARING PARTICIPANT	2.1A.6(b) 7.2.1C.1	6.3.1	Adapts ASXF
5.4.1	Suspension by an Approved Clearing Facility	2.1A.6(b) 7.2.1C.1	6.3.1	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
5.5	TERMINATION OF CLEARING ARRANGEMENTS			
5.5.1	Trading Participant to give notice	2.1A.5(1) 7.2.1B.1	6.4.1	Adapts ASXF
5.5.2	Short notice of termination	2.1A.5(3) 7.2.1B.3	6.4.3	Adapts ASXF
5.5.3	Effect of termination	2.1A.5(4) 7.2.1B.4	6.4.4	Adapts ASXF
5.6	PRINCIPAL TRADERS - NOMINATING BROKER PARTICIPANT ARRANGEMENTS			
5.6.1	Application	None	None	New
5.6.2	Principal Trader may clear DTP Products through a Nominating Trading Participant	None	6.5.1	Adapts ASXF
5.6.3	Clearing Obligations under Nominating Trading Participant arrangement	None	6.5.2	Adapts ASXF
5.6.4	Obligation to provide agreement and notify ASX of amendments	None	6.5.3	Adapts ASXF
5.6.5	ASX may suspend Principal Trader	None	6.5.4	Adapts ASXF
5.6.6	Effect on obligations of Nominating Trading Participant and its Clearing Participant	None	6.5.5	Adapts ASXF
5.6.7	Principal Trader to give notice	None	6.5.6	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
5.6.8	Nominating Trading Participant to give notice	None	6.5.7	Adapts ASXF
5.6.9	Short notice of termination	None	6.5.8	Adapts ASXF
5.6.10	Effect of termination	None	6.5.9	Adapts ASXF
5.6.11	Effect on obligations of Nominating Trading Participant	None	6.5.10	Adapts ASXF
5.6.12	Compliance with Nominating Trading Participant Agreement	None	None	New
5.7	SETTLEMENT ARRANGEMENTS FOR TRADED PRODUCTS	4	None	New
5.7.1	Application	None	None	New
5.7.2	General settlement arrangements	None	None	New
5.7.3	Time for settlement	4.33(1), (2)	None	Adapts ASX BR
5.7.4	Ex Periods for trading before Record Date in respect of corporate action	None	None	New
5.7.5	Settlement of Non-CS Approved Products	4	None	New
5.8	CHOOSING AN ALTERNATIVE CLEARING FACILITY	7.7.7	None	Adapts ASX BR
5.8.1	With the consent of ASX	7.7.7	None	Adapts ASX BR
5.9	CORNERS			

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
5.9.1	Postponement of deliveries			
5.9.2	Establishment of a fair settlement price			
5.9.3	Appointment of a special committee			
6.	CAPITAL REQUIREMENTS	1A	5	Adapts ASXF
6.1	GENERAL REQUIREMENT		5.2	Adapts ASXF
6.2	PARTICIPANT WITHOUT TRADING PERMISSION IN PRODUCTS OTHER THAN FUTURES		5.1	Adapts ASXF
6.2.1	Certain Market Participant may choose regime		5.1.1	Adapts ASXF
6.2.2	Change of Capital Requirements		5.1.2	Adapts ASXF
6.2.3	Expansion of business beyond Futures		None	New
6.3	OTHER REGIMES OF PRUDENTIAL SUPERVISION		5.3	Adapts ASXF
6.3.1	ASX may recognise other prudential supervision regimes		5.3.1	Adapts ASXF
6.3.2	ASX may impose conditions		5.3.2	Adapts ASXF
6.3.3	Provision of information		5.3.3	Adapts ASXF
6.3.4	Exchange of information between other regulator and the Exchange		5.3.4	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
6.3.5	Costs of obtaining and translating information		5.3.5	Adapts ASXF
6.3.6	Obligation to comply with Other Capital Regime		5.3.6	Adapts ASXF
6.3.7	Obligation to report non-compliance with Other Capital Regime		5.3.7	Adapts ASXF
7.	RELATIONSHIP WITH CLIENTS AND DEALINGS FOR EMPLOYEES AND RELATED PERSONS			
7.1	NEW CLIENTS OR CLIENTS TRADING IN NEW PRODUCTS FOR FIRST TIME	3.1A, 7.3.1	7.1	Adapts ASXF
7.1.1	Steps to be taken before accepting order from a client	3.1A 7.3.1.1 7.3.1.7	7.1.1	Adapts ASXF
7.1.2	Client Agreement required for some Products	7.3.1.1(e) 7.3.1.2 8.14.1 (Warrants)	7.1.2	Adapts ASXF
7.1.3	Market Participant to keep copy of Client Agreement and disclosures	3.1A(3) 7.3.1.3	7.1.3	Adapts ASXF
7.1.4	Client must have clearing agreement with Clearing Participant (Options only)	3.1A(d) 7.3.1.1(e)	None	New
7.2	UPDATES TO INFORMATION GIVEN TO CLIENTS	7.3.3.7	None	Adapts ASX
7.2.1	ASX notice to provide updates	7.3.3.7	None	Adapts ASX

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
7.3	TRADING AS PRINCIPAL	3.1 (see also 7.3.1C)		Adapts ASX
7.3.1	Application	None	None	New
7.3.2	Disclosure and consent	3.1(2)	7.3	Adapts ASX
7.3.3	Confirmation must include disclosure	3.1(3)	7.3	Adapts ASX
7.3.4	Brokerage and commission	3.1(4)-(6)		Adapts ASX
7.3.5	Extended meaning of dealing as principal	3.1(1)	None	Adapts ASX
7.3.6	Register of persons who are regarded as Principal	3.1(1)	None	Adapts ASX
7.4	CLIENT INSTRUCTIONS	None (see 5.5 below)	7.4.1 7.4.2(b)	Adapts ASXF
7.4.1	Market Participant Restrictions	None (see 5.5 below)	7.4.1 7.4.2(b)	Adapts ASXF
7.5	CLIENT ORDER PRIORITY	5D.2	None (see 5.4 above)	Adapts ASX
7.5.1	Application and meaning of dealing on "own account"	5D.2.1	None	Adapts ASX
7.5.2	Exceptions	5D.2.2	None	Adapts ASX
7.5.3	Fairness and priority in dealing	5D.2.3	None	Adapts ASX
7.5.4	Relevant factors	5D.2.4	None	Adapts ASX

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
7.5.5	Fairness and priority in allocation	5D.2.5	None	Adapts ASX
7.5.6	Relevant factors	5D.2.6	None	Adapts ASX
7.6	MARKET FACILITATION FOR LARGE ORDERS - FUTURES	7.3.2	7.4.2	Adapts ASX
7.6.1	Action a Market Participant may take when insufficient opposite orders	7.3.2	7.4.2	Adapts ASX
7.7	ALLOCATION POLICY AND AUTOMATED CLIENT ORDER PROCESSING CROSSINGS	3.3 (see also 7.3.1C)	None	Adapts ASX
7.7.1	Disclosure to client	3.3 (see also 7.3.1C)	None	Adapts ASX
7.8	TRANSACTIONS BY PRESCRIBED PERSON (INCLUDING PERSON CONNECTED WITH OTHER MARKET PARTICIPANTS)	5D.1 (see also 7.3.2.3)	7.4.4	Adapts ASX
7.8.1	Application	5D.1.5	None	New
7.8.2	Internal consent required for trading by Prescribed Persons	5D.1.5	None	Adapts ASX
7.9	REPORTING TO CLIENTS			
7.9.1	Confirmations - form and timing	3.8 7.3.3.2	7.5	Adapts ASXF
7.9.2	Confirmations - accumulation and price averaging	3.8A 7.3.3.2B	7.5.4 7.5.5	Adapts ASX

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
7.9.3	Period of accumulation - Traded Products	None	None	New
7.9.4	Period of Accumulation -DTP Products	None	None	New
7.10	DISCRETIONARY ACCOUNTS			
7.10.1	Authorisation and approval	3.4.1(1) 7.3.4.1	7.7.1	Adapts ASXF
7.10.2	DTP Products and Warrants	None (but see 7.3.4.1(b))	7.7.1	Adapts ASX
7.10.3	Dealing in Quoted Products of Trading Participant	3.4.1(2)	None	Adapts ASX
7.10.4	Register	3.4.4 (see also 7.3.4.1)	7.7.2	Adapts ASX
7.10.5	Excessive transactions in Discretionary Account	1.2 7.3.4.2	7.7.3	Adapts ASXF
7.10.6	Record of Market Transactions	1.2 7.3.4.3	7.7.4	Adapts ASXF
7.10.7	Reports	3.4.3	None	Adapts ASX
7.11	CLIENT MONEY AND PROPERTY	1.2 7/8		Adapts ASXF
7.11.1	Obligation to comply with Corporations Act	None	7.8.1	Adapts ASXF
7.11.2	Trust accounts - Traded Products and Options	1.2.2	None	New

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
7.11.3	Segregated accounts or trust accounts - Futures	None	7.8.1	New
7.11.4	Bank accounts to be with Australian ADI	1.2.1(1)	7.8.2	Adapts ASXF
7.11.5	Approved foreign banks	1.2.1(1)	7.8.3	Adapts ASXF
7.11.6	Change of rating or approval of ADI	1.2.2(1)	None	Adapts ASX
7.11.7	Liquidity requirement - clients' segregated accounts - Futures	None	7.8.4	Adapts ASXF
7.11.8	Top up requirement - clients' segregated accounts - Futures	None	7.8.5	Adapts ASXF
7.12	PAYMENT BY CLIENT (FUTURES)			
7.12.1	Application	None	None	New
7.12.2	Initial margin calls	None	7.9.1	Adapts ASXF
7.12.3	Settlement amounts	None	7.9.2	Adapts ASXF
7.12.4	Circumstances where call need not be made	None	7.9.3	Adapts ASXF
7.12.5	Payments due to Trading Participant	None	7.9.4	Adapts ASXF
7.12.6	If no time agreed	None	7.9.5	Adapts ASXF
7.12.7	Maximum time	None	7.9.6	Adapts ASXF
7.13	DEATH OF CLIENT AND OTHER CIRCUMSTANCES (FUTURES)	3.7	7.10	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
7.13.1	Application	None	None	New
7.13.2	No knowledge of client's legal representative	None	7.10	Adapts ASXF
7.13.3	No undertaking from legal representative	None	7.10.2	Adapts ASXF
7.13.4	Client unable to be contacted	None	7.10.3	Adapts ASXF
7.13.5	Powers of Trading Participant	None	7.10.4	Adapts ASXF
7.13.6	Records	None	7.10.5	Adapts ASXF
7.14	DEFAULT BY A CLIENT (FUTURES)	None	7.11	Adapts ASXF
7.14.1	Application	None	None	New
7.14.2	Consequences of Default	None	7.11	Adapts ASXF
7.15	TELEPHONE RECORDING OF CLIENT DEALINGS (FUTURES)	None	7.13	Adapts ASXF
7.15.1	Market Participant must record	None	7.13	Adapts ASXF
7.16	CLIENT COMPLAINTS	5D.3	16.1	Adapts ASX
7.16.1	Register of Complaints and Correspondence	5D.3.1	None	Adapts ASX
7.16.2	Records to be kept	5D.3.2	None	Adapts ASX
7.16.3	Provision of information to ASX	5D.3.3	17.1.1	Adapts ASX
7.16.4	Reporting requirement	5D.3.4	None	Adapts ASX

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
7.17	MONTHLY REPORTING REQUIREMENTS - DTP PRODUCTS	None	7.6	Adapts ASXF
7.17.1	Application	None	None	New
7.17.2	Monthly Statement to clients	None	None	New
7.17.3	Electronic Monthly Statements	None	None	New
7.18	PROHIBITION OF ADVICE TO CLIENT	3.5	None	Adapts ASX BR
7.18.1	Definitions used within this rule 7.18	3.5(1)	None	Adapts ASX BR
7.18.2	Market Participant possesses information that is not generally available	3.5(2)	None	Adapts ASX BR
7.18.3	Chinese Walls in place	3.5(3)	None	Adapts ASX BR
7.18.4	Certain actions do not constitute giving advice	3.5(4)	None	Adapts ASX BR
7.19	NOMINEE HOLDINGS	3.12	None	Adapts ASX BR
7.19.1	Restrictions on when an Equity Security can be recorded in the name of a nominee company	3.12	None	Adapts ASX BR
7.20	DISCLOSURE OF SHORTFALL	3.13	None	Adapts ASX BR
7.20.1	Must disclose to client	3.13	None	Adapts ASX BR
7.21	NATIONAL GUARANTEE FUND - LOANS AND PROVISION OF PROPERTY TO MARKET PARTICIPANT	3.16	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
7.21.1	Meaning of Property in this rule 7.21	3.16(1) (1 st part)	None	Adapts ASX BR
7.21.2	Loans and provision of property to a Market Participant	3.16(1) (2 nd part)	None	Adapts ASX BR
7.21.3	Excluded Persons	3.16(2)	None	Adapts ASX BR
7.22	DIVISION 3 COMPENSATION ARRANGEMENTS	None	None	New
7.22.1	Rules for Division 3 Compensation Arrangements	None	None	New
8.	DESIGNATED TRADING REPRESENTATIVES AND ACCREDITATION OF ADVISERS	7.3.1B 8.14A	8	Adapts ASXF
8.1	GENERAL	None	None	New
8.1.1	APPLICATION OF RULE 8	None	None	New
8.2	REGISTRATION OF DESIGNATED TRADING REPRESENTATIVES	2.2.9 7.2.3	9.3	Adapts ASXF
8.2.1	Registration by ASX	2.2.9(2) 7.2.3.2	9.3.2	Adapts ASXF
8.2.2	Proposed rejection of application	2.2.9(11) 7.2.3.2 & 7.12.1.1	9.3.3	Adapts ASXF
8.2.3	Registration criteria	2.2.9(3) 7.2.3.3	9.3.4	Adapts ASXF
8.2.4	ASX may request further information	2.2.9(4) 7.2.3.4	9.3.5	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
8.2.5	ASX may grant conditional registration	2.2.9(5) 7.2.3.5	9.3.6	Adapts ASXF
8.2.6	Ongoing requirements for DTRs	2.2.9(6) 7.2.3.6	9.3.7	Adapts ASXF
8.2.7	ASX may suspend or withdraw registration	2.2.9(8) 2.2.9(9) 7.2.3.7	9.3.8	Adapts ASXF
8.2.8	Proposed withdrawal of registration under Rule 8.2.7	2.2.9(11) 7.12.1.2	9.3.9	Adapts ASXF
8.2.9	Effect of suspension	2.2.9(10) 2.2.9(11) 7.2.3.8	9.3.10	Adapts ASXF
8.2.10	Appeal	None	9.3.11	Adapts ASXF
8.2.11	Withdrawal of registration after notification by Trading Participant	2.2.9(13) 7.2.3.9	9.3.12	Adapts ASXF
8.2.12	Restrictions on DTRs	2.2.9(14) 7.2.3.10	9.3.13	Adapts ASXF
8.2.13	Continuing professional educational requirements	2.2.9A 7.2.3.6A	None	Adapts ASX BR
8.2.14	Trading Participant must ensure DTR compliance	2.17.1(1)	None	Adapts ASX BR
8.3	RETAIL CLIENT ADVISERS MUST BE ACCREDITED	7.3.1B.1 7.3.1B.2	7.2	Adapts ASXF
8.3.1	Accreditation required	7.3.1B.1	7.2.1	Adapts ASXF
8.3.2	Purporting to be an Accredited Adviser	7.3.1B.2	7.2.2	Adapts ASXF
8.4	TYPES OF ACCREDITED ADVISERS	7.3.1B.7	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
		7.3.1B.10		
8.4.1	Types of accredited advisers	7.3.1B.7 7.3.1B.10	None	Adapts ASX BR
8.5	APPLICATION FOR ACCREDITED ADVISER	7.3.1B.5 7.3.1B.8	8.1	Adapts ASXF
8.5.1	Initial Application	7.3.1B.5 7.3.1B.8	8.1	Adapts ASXF
8.5.2	Rejection of application	None	8.1.2	Adapts ASXF
8.6	EXEMPTION FROM EXAMINATION REQUIREMENT		8.2	Adapts ASXF
8.6.1	Exemption for other accreditation and experience	None	8.2.1	Adapts ASXF
8.6.2	Further information	None	8.2.2	Adapts ASXF
8.6.3	Examination may be required	None	8.2.3	Adapts ASXF
8.6.4	Perpetual exemptions previously granted continue to remain in force	7.3.1B.12A	None	Adapts ASX BR
8.7	EXAMINATIONS	7.3.1B.6 7.3.1B.9	8.3	Adapts ASXF
8.7.1	Maximum number of examinations	7.3.1B.6 7.3.1B.9	8.3.1	Adapts ASXF
8.7.2	Permission to sit additional examination	7.3.1B.6 7.3.1B.9	8.3.2	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
8.8	RENEWAL OF ACCREDITATION		8.4	Adapts ASXF
8.8.1	Renewal	7.3.1B.15	8.4.1	Adapts ASXF
8.8.2	Renewal subject to conditions	7.3.1B.16	8.4.2	Adapts ASXF
8.8.3	Effect of non-renewal	7.3.1B.14	8.4.3	Adapts ASXF
8.8.4	Recently accredited Advisers	None	None	New
8.9	CEASING TO BE ACCREDITED	7.3.1B.17 7.3.1B.18	8.5	Adapts ASXF
8.9.1	Automatic withdrawal	7.3.1B.17	8.5.1	Adapts ASXF
8.9.2	Notice of events resulting in automatic withdrawal	7.3.1B.17	8.5.2	Adapts ASXF
8.9.3	Voluntary withdrawal	7.3.1B.18	8.5.3	Adapts ASXF
8.9.4	Notice of voluntary withdrawal	7.3.1B.18	8.5.4	Adapts ASXF
8.9.5	Suspension or withdrawal by Exchange	None	8.5.5	Adapts ASXF
8.10	RE-ACCREDITATION AFTER WITHDRAWAL OR EXPIRY	7.3.1B.19	8.6	Adapts ASXF
8.10.1	Re-accreditation	7.3.1B.19	8.6	Adapts ASXF
8.11	CONTINUING PROFESSIONAL EDUCATION REQUIREMENTS	7.3.1B.20	8.7	Adapts ASXF
8.11.1	Market Participant to ensure professional education requirements met	7.3.1B.20	8.7	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
8.12	APPEALS		8.8	Adapts ASXF
8.12.1	Decisions which may be appealed	7.3.1B.21	8.8.1	Adapts ASXF
8.12.2	No action during appeal period	7.3.1B.24	8.8.2	Adapts ASXF
9.	LEGAL DESCRIPTIONS OF CLASSES OF FINANCIAL PRODUCTS	None	None	New
9.1	PRODUCTS	None	None	New
9.1.1	Nature of the classes of financial products	None	None	New
9.2	DTP PRODUCTS	None	None	None
9.2.1	Description of derivatives in section 11	None	None	New
10.	WARRANTS	8	None	Adapts ASX BR
10.1	WARRANT RULES	8.1	None	Adapts ASX BR
10.1.1	Warrant Rules	8.1	None	Adapts ASX BR
10.2	WARRANT-ISSUERS	8.6	None	Adapts ASX BR
10.2.1	Eligible Warrant-Issuers	8.6.1	None	Adapts ASX BR
10.2.2	Guarantors	8.6.2	None	Adapts ASX BR
10.2.3	ASX has discretion regarding Trading Status	8.6.3	None	Adapts ASX BR
10.2.4	Admission to Trading Status no guarantee of viability	8.6.4	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
10.3	ADMISSION TO TRADING STATUS	8.4 8.5AA 8.21	None	Adapts ASX BR
10.3.1	ASX's discretion	8.5AA.1	None	Adapts ASX BR
10.3.2	Requirement for specific Warrant Series	8.5AA.2	None	Adapts ASX BR
10.3.3	Requirements for admission to Trading Status	8.5AA.3-6	None	Adapts ASX BR
10.3.4	Amendment of expiry date	8.5AA.7	None	Adapts ASX BR
10.3.5	Amendment of Terms of Issue by approval	8.5AA.8	None	Adapts ASX BR
10.3.6	Amendment of Terms of Issue with ASX's consent	8.5AA.8A	None	Adapts ASX BR
10.3.7	Authorisation to use index	8.5AA.9	None	Adapts ASX BR
10.3.8	Contents of Terms of Issue	8.5AA.12	None	Adapts ASX BR
10.3.9	Issue limits	8.4.1(1) & (2)	None	Adapts ASX BR
10.3.10	Exemption from Rule 10.3.9	8.4.1(3)	None	Adapts ASX BR
10.3.11	Spread of Warrant-Holders	8.4.2	None	Adapts ASX BR
10.3.12	Short Selling of Warrants	8.4.2	None	Adapts ASX BR
10.3.13	Application of Rule 10.3.12	8.4.2	None	Adapts ASX BR
10.3.14	Fees	8.21	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
10.4	FULLY COVERED WARRANTS	8.5A	None	Adapts ASX BR
10.4.1	Fully Covered Warrants	8.5A	None	Adapts ASX BR
10.5	OFFERING CIRCULARS	8.4A.4 8.8 8.10	None	Adapts ASX BR
10.5.1	Application	8.4A.4	None	Adapts ASX BR
10.5.2	Supplementary Offering Circular required	8.8.1 8.8.2	None	Adapts ASX BR
10.5.3	Requirements of Supplementary Offering Circulars	8.8.3	None	Adapts ASX BR
10.5.4	Liability for Supplementary Offering Circulars	8.8.4	None	Adapts ASX BR
10.5.5	Indemnity for claims arising from Supplementary Offering Circulars	8.8.5	None	Adapts ASX BR
10.5.6	Availability of Offering Circulars	8.7.2	None	Adapts ASX BR
10.6	WARRANT-ISSUER REPORTS	8.9	None	Adapts ASX BR
10.6.1	Information concerning Warrant-Issuers and Guarantors	8.9.1	None	Adapts ASX BR
10.6.2	Number of Warrants in a Warrant Series	8.9.2	None	Adapts ASX BR
10.6.3	False market in Warrants	8.9.3	None	Adapts ASX BR
10.6.4	Quarterly Warrant information	8.9.4	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
10.6.5	Annual report	8.9.5	None	Adapts ASX BR
10.6.6	Statement of assets, liabilities and equity	8.9.6	None	Adapts ASX BR
10.6.7	Current annual report	8.9.8	None	Adapts ASX BR
10.6.8	Documentation forwarded to ASX	8.9.9	None	Adapts ASX BR
10.6.9	Amended, supplementary and replacement Product Disclosure Statements and Prospectuses	None	None	New
10.7	TRANSFERS AND REGISTERS	8.18	None	Adapts ASX BR
10.7.1	Transfer of Warrants	8.18.1	None	Adapts ASX BR
10.7.2	Comply with Clearing Rules and Settlement Rules	8.18.1D	None	Adapts ASX BR
10.7.3	Issuer Sponsored Subregister	8.18.1E	None	Adapts ASX BR
10.7.4	Register of Warrant-Holders	8.18.2	None	Adapts ASX BR
10.7.5	Comply with the Listing Rules	8.18.3	None	Adapts ASX BR
10.7.6	Transfer between Australian Registers	8.18.7	None	Adapts ASX BR
10.7.7	Transfer between Australian Register and Register maintained outside Australia	8.18.8	None	Adapts ASX BR
10.7.8	Notings	8.18.9	None	Adapts ASX BR
10.7.9	Endorse transfer forms	8.18.10	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
10.7.10	Audit of Register of Warrants	8.18.12	None	Adapts ASX BR
10.7.11	Independent auditor's certificate	8.18.13	None	Adapts ASX BR
10.7.12	Offices open on week days	8.18.14	None	Adapts ASX BR
10.7.13	Deliverable Warrants	8.18.16	None	Adapts ASX BR
10.7.14	Cash Settled Warrants	8.18.17	None	Adapts ASX BR
10.8	WARRANT EXPIRY NOTIFICATION	8.11	None	Adapts ASX BR
10.8.1	Cash Settled Warrants	8.11.1	None	Adapts ASX BR
10.8.2	Deliverable Warrants	8.11.2	None	Adapts ASX BR
10.9	SUSPENSION OF TRADING BY ASX	8.12	None	Adapts ASX BR
10.9.1	Suspension of Trading by ASX	8.12	None	Adapts ASX BR
10.10	EXPIRY OF UNEXERCISED CASH SETTLED WARRANTS	8.16	None	Adapts ASX BR
10.10.1	Intrinsic value paid	8.16.1(a)	None	Adapts ASX BR
10.10.2	Calculation of intrinsic value	8.16.1(b)	None	Adapts ASX BR
10.10.3	Dispute regarding intrinsic value	8.16.1(c)	None	Adapts ASX BR
10.11	EXPIRY OF UNEXERCISED DELIVERABLE WARRANTS	8.17A	None	Adapts ASX BR
10.11.1	Lapse of Deliverable Warrant	8.17A.1	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
10.11.2	Underlying Instrument is a class of Traded Productt	8.17A.2	None	Adapts ASX BR
10.11.3	Intrinsic value	8.17A.3	None	Adapts ASX BR
10.11.4	Settlement by cash adjustment	8.17A.4	None	Adapts ASX BR
10.12	NON-DELIVERY OF EXERCISED DELIVERABLE WARRANTS	8.17B	None	Adapts ASX BR
10.12.1	Deliverable Warrant exercised	8.17B.1	None	Adapts ASX BR
10.12.2	Other legal rights available	8.17B.2	None	Adapts ASX BR
10.13	INDEMNITY	8.23	None	Adapts ASX BR
10.13.1	Indemnity	8.23	None	Adapts ASX BR
11.	DTP PRODUCTS	7.4	10	Adapts ASXF
11.1	UNDERLYING FINANCIAL PRODUCTS, INDICES, INSTRUMENTS ETC.	7.4.1	10.1	Adapts ASXF
11.1.1	Options	7.4.1.1 7.4.1.2	None	Adapts ASX BR
11.1.2	Futures	None	10.1.1	Adapts ASXF
11.1.3	Futures Options	None	None	New
11.1.4	Withdrawal of approval	7.4.2.4 7.4.2.5	10.1.2	Adapts ASXF
11.2	CONTRACT SERIES OPEN FOR	7.4.2	10.2	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
	TRADING			
11.2.1	Contract Series	7.4.2.1	10.2.1	Adapts ASXF
11.2.2	Series Specifications	7.4.2.2 7.4.2.3	None	New
11.2.3	Close of trading in a Contract Series	7.4.2.6	10.2.2	Adapts ASXF
11.3	ADJUSTMENTS	7.4.3	10.3	Adapts ASXF
11.3.1	Power to make adjustments	7.4.3.1	10.3.1	Adapts ASXF
11.3.2	Notification of adjustments	7.4.3.3	10.3.3	Adapts ASXF
11.3.3	Type and basis for adjustments	None	10.3.4	Adapts ASXF
11.3.4	Termination if adjustment not practicable	None	10.3.5	Adapts ASXF
12.	TRADING PERMISSION	7.5.1	9.1	Adapts ASXF
12.1	TRADING PERMISSION	7.5.1.1	9.1.1	Adapts ASXF
12.1.1	Application for Trading Permission	7.5.1.1	9.1.1	Adapts ASXF
12.1.2	Principal Trader condition	None	None	New
12.1.3	Other conditions	None	None	New
12.1.4	Breach of a condition is a breach of the Rule	None	None	New
12.1.5	Breach of condition does not automatically terminate Trading Permission	None	None	New
12.1.6	Appeal	None	None	New

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
12.1.7	Scope of Trading Permission	None	None	New
12.2	SUSPENSION OR WITHDRAWAL OF TRADING PERMISSION	7.5.1.2	9.1.2	Adapts ASXF
12.2.1	In whole or part	7.5.1.2	9.1.2	Adapts ASXF
12.3	THROUGHPUT CAPACITY	7.5.1.3	9.1.3	Adapts ASXF
12.3.1	Trading Participant entitled to maximum Throughput Capacity	7.5.1.3	9.1.3	Adapts ASXF
12.4	SUBSTANTIALLY INACTIVE TRADING PARTICIPANTS	5.4	None	Adapts ASX BR
12.4.1	ASX may give notice	5.4.1	None	Adapts ASX BR
12.4.2	Meaning of substantially inactive	None	None	New
12.4.3	Trading Participant may make submissions	5.4.2	None	Adapts ASX BR
12.4.4	Termination of Trading Permission if no submission received	5.4.3	None	Adapts ASX BR
12.4.5	Termination of Trading Permission if submission received	5.4.4	None	Adapts ASX BR
12.5	ALLOCATION OF UNIQUE IDENTIFIERS	2.3.4	None	Adapts ASX BR
12.5.1	ASX will allocate unique identifiers	2.3.4(1)	None	Adapts ASX BR
12.5.2	Trading Participant must allocate unique identifier	2.3.4(2)	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
12.6	TRADING MESSAGES	2.2.7(2)	None	Adapts ASX BR
12.6.1	Unique identifier to be included	2.2.7(2)	None	Adapts ASX BR
13.	TRADING OBLIGATIONS OF TRADING PARTICIPANTS	2.2 7.5	9	Adapts ASXF
13.1	TRADING OBLIGATIONS OF TRADING PARTICIPANTS	2.2.1 7.5.2	9.2	Adapts ASXF
13.1.1	Responsibility of Trading Participant	2.2.1(1) 7.5.2.1	9.2.1	Adapts ASXF
13.1.2	Knowledge of Trading Participant	2.2.1(2) 7.5.2.2	9.2.2	Adapts ASXF
13.1.3	Trading in a Trading Platform	7.5.2.3	9.2.3	Adapts ASXF
13.1.4	Operational Requirements	2.2.1(3) 2.2.1(4) 7.5.2.4 7.5.2.5	9.2.4	Adapts ASXF
13.1.5	Organisational and technical resources	2.2.1(5) 7.5.2.6	9.2.5	Adapts ASXF
13.1.6	Trading management arrangements	2.2.1(6) 7.5.2.7	9.2.6	Adapts ASXF
13.1.7	Security arrangements	2.2.1(7) 7.5.2.8	9.2.7	Adapts ASXF
13.1.8	Information and certification	2.2.1(8) 7.5.2.9	9.2.8	Adapts ASXF
13.1.9	Audit	2.2.1(9) 7.5.2.10	9.2.9	Adapts ASXF
13.1.10	Records – identification of order source	2.2.7(1) 7.5.2.11	9.2.10	Adapts ASXF
13.2	DTRS	2.2.9 7.2.3	9.3	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
13.2.1	Trading Participant must have a DTR	None	None	New
13.2.2	DTRs may submit Trading Messages	2.2.9(1) 7.2.3.1	9.3.1	Adapts ASXF
13.3	AUTOMATED ORDER PROCESSING	2.2.2 7.5.3	9.4	Adapts ASXF
13.3.1	Automated Order Processing	2.2.2(1) 7.5.3.1	9.4.1	Adapts ASXF
13.3.2	Authorised Persons for Automated Client Order Processing	2.2.2(2) 7.5.3.2	9.4.2	Adapts ASXF
13.3.3	Records regarding Authorised Persons	2.2.2(3) 7.5.3.3	9.4.3	Adapts ASXF
13.3.4	Certification prior to conducting Automated Client Order Processing	2.2.2(4) 7.5.3.4	9.4.4	Adapts ASXF
13.3.5	Material changes	2.2.2(5) 7.5.3.5	9.4.5	Adapts ASXF
13.3.6	Further certification	2.2.2(6) 7.5.3.6	9.4.6	Adapts ASXF
13.3.7	Audit	2.2.2(7) 7.5.3.7	9.4.7	Adapts ASXF
13.3.8	Limitations on Automated Order Processing	2.2.2(8) 7.5.3.8 7.5.3.9	9.4.8	Adapts ASXF
13.3.9	Failure to comply with direction	2.2.2(9) 2.2.2(11) 7.5.3.10 7.5.3.12	9.4.9	Adapts ASXF
13.3.10	Direction remains in force	2.2.2(10) 7.5.3.11	9.4.10	Adapts ASXF
13.3.11	Trading Participant right to hearing	2.2.2(11) 7.5.3.13	9.4.11	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
13.4	PREVENTION OF MANIPULATIVE TRADING	2.2.4 7.5.4	13.4.9	Adapts ASX BR
13.4.1	False or misleading appearance	2.2.4(1) 7.5.4.1	None	Adapts ASX BR
13.4.2	Circumstances of Order	2.2.4(2) 7.5.4.2	None	Adapts ASX BR
13.4.3	Change of beneficial ownership in Market Transactions - Traded Products	2.2.4(3)	None	Adapts ASX BR
13.4.4	Obligations apply to Automated Order Processing	2.2.4(4) 7.5.4.3	None	Adapts ASX BR
13.5	PROHIBITION ON WASH TRADES, PRE ARRANGED TRADES AND DUAL TRADING - FUTURES	None	13.4.6 13.4.7 13.4.8	Adapts ASXF
13.5.1	Application of Rule 13.5	None	None	New
13.5.2	Wash Rules	None	13.4.6	Adapts ASXF
13.5.3	Pre-arranged trades	None	13.4.7	Adapts ASXF
13.5.4	Dual Trading	None	13.4.8	Adapts ASXF
14.	MARKET SUSPENSIONS, TECHNICAL FAILURE AND OTHER ORDERLY MARKET POWERS		13	Adapts ASXF
14.1	FAIR AND ORDERLY MARKETS POWER	None	13.4.1 13.5	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
14.1.1	Market must remain fair and orderly	2.2.3(1) 7.9.3.1	13.4.1	New
14.1.2	Market Participant must comply with instructions of Market Control	2.2.3(1)(a) 7.9.3.1(a)	13.4.1(a)	Adapts ASXF
14.1.3	DTR must be available	2.2.3(1)(c) 7.9.3.1(b)	13.4.1(b)	Adapts ASXF
14.1.4	Must not take advantage of breakdown or malfunction	2.2.3(1)(d) 7.9.3.1(c)	13.4.1(c)	Adapts ASXF
14.1.5	ASX orderly markets power	None	13.5	Adapts ASXF
14.2	TECHNICAL FAILURE	2.3.2(4) 7.9.2	13.2	Adapts ASXF
14.2.1	Suspension of trading for technical failure	2.3.2(4) 7.9.2.1	13.2.1	Adapts ASXF
14.2.2	Consequences of suspension of trading for technical failure	2.3.2(4) 7.9.2.2	13.2.2	Adapts ASXF
14.2.3	Resumption of trading following suspension of trading for technical failure	2.3.2(4) 7.9.2.3	13.2.3	Adapts ASXF
14.2.4	Notification of Trading Participant connection failure	2.3.2(6) 7.9.2.4	13.2.4	Adapts ASXF
14.2.5	Application of Rules 14.2.6 and 14.2.7	7.9.2.5	13.2.5	Adapts ASXF
14.2.6	Consequences of Trading Participant connection failure - DTP	7.9.2.6	13.2.6	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
14.2.7	Emergency facilities	7.9.2.7	13.2.7	Adapts ASXF
14.2.8	Indemnity for emergency assistance	None	13.2.8	Adapts ASXF
14.3	COMMUNICATIONS WITH A TRADING PLATFORM	2.3.2A 7.9.2A	13.3	Adapts ASXF
14.3.1	Testing	2.3.2A(1)7.9.2A.1	13.3.1	Adapts ASXF
14.3.2	ASX powers	2.3.2A(2)7.9.2A.2	13.3.2	Adapts ASXF
14.3.3	Trading Participant's obligations	2.3.2A(3)7.9.2A.3	13.3.3	Adapts ASXF
14.3.4	Notification to Trading Participant	2.3.2A(4)7.9.2A.4	13.3.4	Adapts ASXF
14.3.5	Trading Participant's right to hearing	2.3.2A(5)7.9.2A.5	13.3.5	Adapts ASXF
14.4	EFFICIENCY AND INTEGRITY OF TRADING PLATFORM	7.9.3	13.4.1-13.4.5	Adapts ASXF
14.4.1	ASXpowers	2.3.2(1) 7.9.3.3	13.4.3	Adapts ASXF
14.4.2	Notification to Trading Participant	2.3.2(2) 7.9.3.4	13.4.4	Adapts ASXF
14.4.3	Trading Participant right to hearing	2.3.2(3) 7.9.3.5	13.4.5	Adapts ASXF
14.5	STATE OF EMERGENCY	2.3.2(7) 7.10.4	13.6	Adapts ASXF
14.5.1	Action ASX may take in a state of emergency	2.3.2(7) 7.10.4	13.6	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
15.	TRADE ERRORS, CANCELLATIONS AND DEALING DISPUTES	2.17 2.18	None	New - contains the new ASX trade cancellation power as well as provisions corresponding to the previous rules dealing with dealing disputes and cancellation of trades by agreement.
15.1	MEANING OF ERROR	None	None	New
15.1.1	Detail on what will constitute an error under these Rules	None	None	New
15.2	ERRORS	None	15.1	New
15.2.1	Obligation to notify ASX of Error	2.17.1(3) 2.17.1(4)	15.1.1	New
15.2.2	ASX may notify Market Participants of an Error	None	None	New
15.2.3	ASX may impose trading halt	None	None	New
15.2.4	Errors resolved by agreement	2.17.1(5)	15.1.2	New
15.2.5	Cancellation or amendment binding	None	15.1.3	New
15.2.6	Errors not resolved by agreement	None	15.1.4	New
15.2.7	ASX may refer to Dispute Governors Committee	None	None	New
15.3	OTHER MATTERS REFERRED TO EXCHANGE	None	15.2.2	New
15.3.1	Dealing Dispute may be referred to ASX	None	None	New

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
15.3.2	Crossing Dispute may be referred to ASX	None	None	New
15.4	RESOLUTION OF ERROR DISPUTES, CROSSING DISPUTES AND DEALING DISPUTES	None	15.2	New
15.4.1	Appointment of Dispute Governors	None	15.2.3	New
15.4.2	Dispute Governors Committee to consider dispute	None	15.2.4	New
15.4.3	Conflict of interest	None	15.2.5	New
15.4.4	Powers of Dispute Governors Committee	None	15.2.6	New
15.4.5	Recommendation in relation to the Error Dispute, Crossing Dispute or Dealing Dispute	None	15.2.9	New
15.4.6	Process of Dispute Governors Committee	None	15.2.8	New
15.4.7	Powers of ASX after recommendation from Dispute Governors Committee in relation to Error Dispute or Crossing Dispute	None	15.2.10	New
15.4.8	Powers of ASX after recommendation from Dispute Governors Committee in relation to Dealing Dispute	None	None	New
15.4.9	Decision final and binding	None	15.2.11	New
15.4.10	Compliance	None	15.2.12	New
15.4.11	Resolution of Error Dispute or Dealing	None	15.2.13	New

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
	Dispute by Participants or action by ASX			
15.4.12	Disciplinary and other action	None	15.2.14	New
15.4.13	Fee for Error Dispute or Dealing Dispute	None	None	New
15.5	APPEAL OF DECISION OF ASX	None	15.3	New
15.5.1	Appeal to Appeal Tribunal	None	15.3.1	New
15.5.2	Appeal process and powers of Appeal Tribunal	None	15.3.2	New
15.5.3	Action pending appeal	None	15.3.3	New
15.5.4	Process of Appeal Tribunal	2.18.2(5)	None	Adapts ASX BR
15.5.5	Exchange may take action immediately	None	15.3.4	New
15.6	OVERRIDING POWER OF ASX TO ACT	None	None	New
15.6.1	ASX power not limited	None	None	New
15.7	NO LIABILITY OF ASX	None	None	New
15.7.1	ASX not liable for bona fide exercise of powers, right or discretion	None	None	New
15.8	NOTIFICATION TO CLIENTS	None	None	New
15.8.1	Market Participants must notify clients	None	None	New
15.8.2	Effects of failure to notify clients	None	None	New
15.9	CANCELLATIONS PRIOR TO	2.17.2(1)	None	New

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
	MATCHING			
15.9.1	Trading Participant may amend, cancel or withdraw	2.17.2(1)	None	New
16.	SEATS - TRADED PRODUCTS		None	Adapts ASX BR
16.1	DEALING IN FINANCIAL PRODUCTS NOT YET GRANTED OFFICIAL QUOTATION	2.4	None	Adapts ASX BR
16.1.1	Trading Participants may not deal in Financial Products for which Official Quotation will be sought	2.4.1(1)	None	Adapts ASX BR
16.1.2	When Trading Participants may deal in Financial Products for which Official Quotation will be sought	2.4.1(2)	None	Adapts ASX BR
16.1.3	Dealings in Securities for which Official Quotation will not be sought	2.4.2	None	Adapts ASX BR
16.1.4	Dealings in Traded Products suspended from Official Quotation	2.4.3	None	Adapts ASX BR
16.2	DEALINGS IN TRADED PRODUCTS	2.5	None	Adapts ASX BR
16.2.1	Dealings in SEATS	2.5.1	None	Adapts ASX BR
16.2.2	New Zealand Stock Exchange exemption	2.5.2	None	Adapts ASX BR
16.3	DEALING IN SEATS	2.6	None	Adapts ASX BR
16.3.1	Order Priority in SEATS	2.6.1 2.6.4(2)	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
16.3.2	Pre-Opening Phase	2.6.2	None	Adapts ASX BR
16.3.3	Opening Phase	2.6.3	None	Adapts ASX BR
16.3.4	Normal Trading	2.6.4(1)	None	Adapts ASX BR
16.3.5	Prohibitions in period prior to commencement of Normal Trading	2.6.5	None	Adapts ASX BR
16.3.6	Closing Single Price Auction	2.6.5A	None	Adapts ASX BR
16.3.7	Closing Phase	2.6.6	None	Adapts ASX BR
16.3.8	After Hours Adjust Phase	2.6.7	None	Adapts ASX BR
16.3.9	The Enquire Phase	2.6.8	None	Adapts ASX BR
16.4	SUSPENSIONS AND TRADING HALTS	2.16	None	Adapts ASX BR
16.4.1	Suspensions	2.16.1	None	Adapts ASX BR
16.4.2	Trading halts	2.16.2	None	Adapts ASX BR
16.5	ETF SPECIAL TRADES	2.8A	None	Adapts ASX BR
16.5.1	ETF Special Trade permitted	2.8A.1	None	Adapts ASX BR
16.5.2	Notification to ASX	2.8A.2	None	Adapts ASX BR
16.5.3	No NGF cover for ETF Special Trades	2.8A.3	None	Adapts ASX BR
16.6	QUOTATION - CORPORATE ACTIONS	None	None	New

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
16.6.1	Reflections of corporate actions	None	None	New
16.7	BASIS OF QUOTATION AND DEALING ON A DIFFERENT BASIS OF QUOTATION	2.9	None	Adapts ASX BR
16.7.1	General Rule	2.9.1	None	Adapts ASX BR
16.7.2	Exception if market for dealing is established	2.9.2(1)	None	Adapts ASX BR
16.7.3	Exception for Special Crossings	2.9.2(2)	None	Adapts ASX BR
16.8	DISCLOSURE OF QUANTITY OF TRADED PRODUCTS BID OR OFFERED	2.10	None	Adapts ASX BR
16.8.1	Trading Participant must disclose quantity	2.10.1(1)	None	Adapts ASX BR
16.8.2	Undisclosed of quantity	2.10.1(2)	None	Adapts ASX BR
16.8.3	Prohibitions	2.10.1(3)	None	Adapts ASX BR
16.9	CONDITIONAL TRADING	2.12	None	Adapts ASX BR
16.9.1	Conditional Sale	2.12.1	None	Adapts ASX BR
16.9.2	When ASX may declare a Conditional Market	2.12.2(1) 2.12.2(3)	None	Adapts ASX BR
16.9.3	Conditions	2.12.2(2)	None	Adapts ASX BR
16.9.4	Conditional Market operation	2.12.3(1)	None	Adapts ASX BR
16.9.5	Trading on a Conditional Market	2.12.3(2)	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
16.9.6	Non-Fulfilment of Condition	2.12.4(1)	None	Adapts ASX BR
16.9.7	Cancellation after non-fulfilment of a Condition	2.12.5	None	Adapts ASX BR
16.9.8	Fulfilment of Condition	2.12.4(2) 2.12.4(3)	None	Adapts ASX BR
16.9.9	Alternative settlement arrangements	2.12.4(4)	None	Adapts ASX BR
16.10	FORWARD DELIVERY	2.13	None	Adapts ASX BR
16.10.1	Requirements for beneficial ownership	2.13.1(1)	None	Adapts ASX BR
16.10.2	Compliance with Clearing Rules	None	None	New
16.10.3	Dividends	2.13.3	None	Adapts ASX BR
16.10.4	Reporting	2.13.4	None	Adapts ASX BR
16.11	CROSS-PLATFORM COMBINATIONS	2.14(1)	None	Adapts ASX BR
16.11.1	Compliance with Sections 21 and 22	2.14(1)	None	Adapts ASX BR
16.12	REPORTING	2.15	None	Adapts ASX BR
16.12.1	General obligation to report	2.15.2	None	Adapts ASX BR
16.12.2	Information generated automatically	7.7.6.2	None	New
16.12.3	Procedures for reporting	None	None	New
16.13	MINIMUM BIDS AND OFFERS	2.2.8	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
16.13.1	Only to be entered in prescribed minimum amounts	2.2.8	None	Adapts ASX BR
16.14	DEALING TO ASSIST AN ISSUER TO AGGREGATE SMALL HOLDINGS	3.2	None	Adapts ASX BR
16.14.1	Application of Rule	3.2(1)	None	Adapts ASX BR
16.14.2	Trading Participant may send letter offering to buy or sell Small Parcel	3.2(2)	None	Adapts ASX BR
16.14.3	Disclosure where acting as Principal	3.2(3)	None	Adapts ASX BR
16.15	INABILITY TO SATISFY CLIENT ORDER FOR MARKETABLE PARCEL	3.6.2A	None	Adapts ASX BR
16.15.1	Trading Participant can resell Traded Products	3.6.2A	None	Adapts ASX BR
16.16	EXPENSES	3.11	None	Adapts ASX BR
16.16.1	Reimbursement for out-of-pocket expenses	3.11	None	Adapts ASX BR
16.17	TERMS OF CONTRACT	None	None	New
16.17.1	Terms of contract upon matching	None	None	New
17.	CROSSINGS - TRADED PRODUCTS	2.7	None	Adapts ASX BR
17.1	GENERAL CROSSINGS RULES	Definition	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
17.1.1	Crossings permitted	None	None	New
17.2	CROSSINGS DURING NORMAL TRADING	2.7.1	None	Adapts ASX BR
17.2.1	Crossings permitted during Normal Trading	2.7.1(1)	None	Adapts ASX BR
17.2.2	Crossings using Automated Order Processing	2.7.1(1)(a)	None	Adapts ASX BR
17.2.3	Crossings using pre-existing Bid or Offer	2.7.1(1)(b)	None	Adapts ASX BR
17.2.4	Priority Crossings	2.7.1(1)(c) 2.7.1(2)	None	Adapts ASX BR
17.3	CROSSINGS DURING THE CLOSING PHASE	2.7.2	None	Adapts ASX BR
17.3.1	Crossings permitted during the Closing Phase	2.7.2(1) &(2)	None	Adapts ASX BR
17.3.2	Priority buyers or priority sellers desire to deal	2.7.2(3)	None	Adapts ASX BR
17.3.3	Must trade at Bid or Offer price	2.7.2(4)	None	Adapts ASX BR
17.3.4	Amend or remove Orders that have been Crossed	2.7.2(5)	None	Adapts ASX BR
17.3.5	Reporting requirements	2.7.2(6)	None	Adapts ASX BR
17.4	CROSSINGS DURING THE AFTER HOURS ADJUST PHASE	2.7.3	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
17.4.1	Crossings permitted during the After Hours Adjust Phase	2.7.3(1)	None	Adapts ASX BR
17.4.2	Bid to priority buyers and priority sellers	2.7.3(2)	None	Adapts ASX BR
17.4.3	Priority buyers or priority sellers desire to deal	2.7.3(3)	None	Adapts ASX BR
17.4.4	Unable to contact priority buyer or priority seller	2.7.3(4)	None	Adapts ASX BR
17.4.5	Must trade at Bid or Offer price	2.7.3(5)(a)	None	Adapts ASX BR
17.4.6	Amend or remove Orders that have been Crossed	2.7.3(5)(b)	None	Adapts ASX BR
17.5	CROSSINGS DURING THE ENQUIRE PHASE	2.7.4	None	Adapts ASX BR
17.5.1	Crossings permitted during the enquire phase	2.7.4		Adapts ASX BR
17.6	CROSSINGS PRIOR TO COMMENCEMENT OF NORMAL TRADING	2.7.4A	None	Adapts ASX BR
17.6.1	Crossings permitted prior to the commencement of normal trading in limited circumstances	2.7.4A	None	Adapts ASX BR
18.	SPECIAL CROSSINGS - TRADED PRODUCTS	2.8	None	Adapts ASX BR
18.1	GENERAL SPECIAL CROSSINGS RULES	Definition	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
		2.8.1		
18.1.1	Special Crossings permitted	2.8.1(1)	None	Adapts ASX BR
18.1.2	Reporting Special Crossings	2.8.1(2)	None	Adapts ASX BR
18.2	BLOCK SPECIAL CROSSINGS	2.8.2 2.8.3	None	Adapts ASX BR
18.2.1	What constitutes a Block Special Crossing	2.8.2 2.8.3(1) 2.8.3(2)	None	Adapts ASX BR
18.2.2	Facilitate Specified Size Block Special Crossings	2.8.3(1A)	None	Adapts ASX BR
18.3	PORTFOLIO SPECIAL CROSSINGS	2.8.4	None	Adapts ASX BR
18.3.1	What constitutes a Portfolio Special Crossing	2.8.4	None	Adapts ASX BR
18.4	INDEX REPLICATING SPECIAL CROSSINGS	2.8.4A	None	Adapts ASX BR
18.4.1	Approved Index	2.8.4A(1)	None	Adapts ASX BR
18.4.2	What constitutes an Index Replicating Special Crossing	2.8.4A(2)	None	Adapts ASX BR
18.5	UNDERWRITING DISPOSAL SPECIAL CROSSINGS	2.8.5	None	Adapts ASX BR
18.5.1	What constitutes an Underwriting Disposal	2.8.5	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
	Special Crossing			
18.6	EXCHANGE APPROVED SPECIAL CROSSINGS	2.8.6	None	Adapts ASX BR
18.6.1	What constitutes an Exchange Approved Special Crossing	2.8.6	None	Adapts ASX BR
18.7	COMPLETION OF ORDER SPECIAL CROSSINGS	2.8.7	None	Adapts ASX BR
18.7.1	What constitutes a Completion of Order Special Crossing	2.8.7	None	Adapts ASX BR
19.	SHORT SELLING - TRADED PRODUCTS	2.11	None	Adapts ASX BR
19.1	GENERAL RULE	2.11.1	None	Adapts ASX BR
19.1.1	Application limited to section 1020B products	None	None	New
19.1.2	Compliance with Rule and Corporations Act	2.11.1(1)	None	Adapts ASX BR
19.1.3	Arbitrage transactions	2.11.1(2)	None	Adapts ASX BR
19.1.4	Section 1020B(4)(e) Corporations Act transactions	2.11.1(3)	None	Adapts ASX BR
19.1.5	Section 1020B(d) Corporations Act transactions	2.11.1(4)	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
19.2	ARBITRAGE TRANSACTIONS	2.11.2	None	Adapts ASX BR
19.2.1	Bona fide arbitrage transactions	2.11.2(1)&(2)	None	Adapts ASX BR
19.2.2	Not a bona fide arbitrage	2.11.2(3)	None	Adapts ASX BR
19.3	PERMITTED SHORT SELLING OF APPROVED SHORT SALE PRODUCTS AND PUBLIC SECURITIES	2.11.3	None	Adapts ASX BR
19.3.1	Short Selling permitted	2.11.3(1)&(2)	None	Adapts ASX BR
19.3.2	Exception	2.11.7	None	Adapts ASX BR
19.3.3	Short Sale during Normal Trading	2.11.3(6)	None	Adapts ASX BR
19.3.4	Short Sale during Pre-Opening Phase	None	None	New
19.3.5	Short Sale during Closing Phase or After Hours Adjust Phase	2.11.3(7)	None	Adapts ASX BR
19.3.6	Short Sale during Enquire Phase	2.11.3(8)	None	Adapts ASX BR
19.3.7	Limitation on consecutive sales	2.11.3(9) & (10)	None	Adapts ASX BR
19.3.8	Exchange may prohibit or limit Short Sales	2.11.3(13)	None	Adapts ASX BR
19.3.9	Reporting to ASX	2.11.8	None	Adapts ASX BR
19.4	PERMITTED SHORT SELLING OF APPROVED SHORT SALE ETFs	2.11.3A	None	Adapts ASX BR
19.4.1	Short Selling of Approved Short Sale ETFs	2.11.3A(1) & (2)	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
19.4.2	Short Sale during the Enquire Phase	2.11.3A(7)	None	Adapts ASX BR
19.4.3	ASX may prohibit or limit Short Sales	2.11.3A(8)	None	Adapts ASX BR
19.5	OTHER LIMITATIONS ON SHORT SELLING	2.11.4	None	Adapts ASX BR
19.5.1	Limit on Short Sale volume	2.11.4(1)	None	Adapts ASX BR
19.5.2	Settlement date for Short Sales of Public Securities	2.11.4(3)	None	Adapts ASX BR
19.6	NET SHORT POSITION REPORTING			
19.6.1	Net Short Sale position of Approved Short Sale Products	2.11.3(3) & (4)	None	Adapts ASX BR
19.6.2	Net Short Sale position of Approved Short Sale ETFs	2.11.3A(3) & (4)	None	Adapts ASX BR
19.6.3	Net Short Sales of Public Securities	2.11.3(12)	None	Adapts ASX BR
19.7	APPROVED SHORT SALE PRODUCTS AND APPROVED SHORT SALE ETFS	2.11.6	None	Adapts ASX BR
19.7.1	Designation of Approved Short Sale Products	2.11.6	None	Adapts ASX BR
19.7.2	Designation of Approved Short Sale ETFs	2.11.6A	None	Adapts ASX BR
19.7.3	Amending list of Approved Short Sale Products and Approved Short Sale ETFs	None	None	New
19.8	CLIENT ARRANGEMENTS	None	None	New

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
19.8.1	Client must inform Trading Participant of Short Sale	2.11.3(5) & (5A)	None	Adapts ASX BR
19.8.2	Margin of cover	2.11.3A(5) & (6)	None	New
20.	TAKEOVER BIDS, SCHEMES AND ON-MARKET BUY-BACKS	2.20	None	Adapts ASX BR
20.1	DEED OF INDEMNITY	2.20.1	None	Adapts ASX BR
20.1.1	Deed of indemnity must be given	2.20.1	None	Adapts ASX
20.2	MARKET BID - ANNOUNCEMENTS BY TRADING PARTICIPANT	2.20.2	None	Adapts ASX BR
20.2.1	Announcement of Market Bid	2.20.2(1)	None	Adapts ASX BR
20.2.2	Announcement of variations to Market Bid	2.20.2(2)	None	Adapts ASX BR
20.3	ACQUISITION OF TRADED PRODUCTS DURING THE BID PERIOD			
20.3.1	Acquisition of Traded Products by Bidder	2.20.3(1)	None	Adapts ASX BR
20.3.2	Acquisition of Traded Products by another Bidder	2.20.3(2)	None	Adapts ASX BR
20.4	ACTION ASX WILL TAKE IN RESPECT OF TAKEOVER BIDS AND SCHEMES	2.3.5	None	Adapts ASX BR
20.4.1	Action ASX will take is set out in the Procedures			
20.5	MARKET PARTICIPANT ACTING FOR	3.14	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
	BIDDER OR ISSUER.			
20.5.1	Market Participation to advise seller if acting for Bidder or Issuer	3.14	None	Adapts ASX BR
20.6	LIMITATIONS ON CROSSINGS DURING A MARKET BID OR SCHEME	2.7.5	None	Adapts ASX BR
20.6.1	Limitations of Price Crossing can be effected at	2.7.5	None	Adapts ASX BR
20.7	PROHIBITION ON SHORT SELLING DURING OFFER PERIOD	2.11.4(2)	None	Adapts ASX BR
20.7.1	Short Selling prohibited	2.11.4(2)	None	Adapts ASX BR
20.8	SPECIAL CROSSINGS PROHIBITED			
20.8.1	Traded Products (excluding Warrants)	2.8.8	None	Adapts ASX BR
20.8.2	Warrants	None	None	New
21.	DTP - DTP PRODUCTS	7.7	11	Adapts ASXF
21.1	THE DTP	7.7.1	11.1	Adapts ASXF
21.1.1	The DTP	7.7.1.1	11.1.1	Adapts ASXF
21.1.2	The Central Orderbook	7.7.1.2	11.1.2	Adapts ASXF
21.1.3	The Bulletin Board	7.7.1.3	11.1.3	Adapts ASXF
21.1.4	Terms of Contract	None	None	New
21.2	DTP TRANSACTIONS AND	7.7.2	11.2	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
	COMBINATIONS			
21.2.1	DTP Transactions to be entered into in Central Orderbook or Bulletin Board and during Trading Hours	7.7.2.1	11.2.1	Adapts ASXF
21.2.2	Entering into a DTP Transaction	7.7.2.2	11.2.2	Adapts ASXF
21.2.3	Single Contract Series and Combinations	7.7.2.3	11.2.3	Adapts ASXF
21.2.4	Combinations	7.7.2.4	11.2.4	Adapts ASXF
21.2.5	DTP Transactions comprising a DTP Combination	7.7.2.5	11.2.5	Adapts ASXF
21.2.6	DTP Transactions and Non-DTP Contracts comprising a Cross-Platform Combination	7.7.2.3	11.2.6	Adapts ASXF
21.2.7	DTP Transactions and Non-Exchange Contracts comprising a Cross-Market Combination	7.7.2.3	11.2.6	Adapts ASXF
21.3	THE CENTRAL ORDERBOOK	7.7.3	11.3	Adapts ASXF
21.3.1	Orders	7.7.3.1	11.3.1	Adapts ASXF
21.3.2	Standard Combination specifications	7.7.3.2	11.3.2	Adapts ASXF
21.3.3	Creation of Standard Combinations	7.7.3.3	11.3.3	Adapts ASXF
21.3.4	Tailor-Made Combination specifications	7.7.3.4	11.3.4	Adapts ASXF
21.3.5	Creation of Tailor-Made Combinations	7.7.3.5	11.3.5	Adapts ASXF
21.3.6	Changes to Tailor-Made Combinations	7.7.3.6	11.3.6	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
21.3.7	Recording of Combinations and Derived Orders	7.7.3.7	11.3.7	Adapts ASXF
21.3.8	Treatment of Standard and Tailor-Made Combinations	7.7.3.8	11.3.8	Adapts ASXF
21.3.9	Priority of Orders in the Central Orderbook	7.7.3.9	11.3.9	Adapts ASXF
21.3.10	Time priority for Combinations and Derived Orders	7.7.3.10	11.3.10	Adapts ASXF
21.3.11	Effect of Amendment of orders by Trading Participants on priority	7.7.3.11	11.3.11	Adapts ASXF
21.3.12	Removal of orders at end of day	7.7.3.12	11.3.12	Adapts ASXF
21.3.13	Order matching	7.7.3.13	11.3.13	Adapts ASXF
21.3.14	Matching of Combinations	7.7.3.14	11.3.14	Adapts ASXF
21.3.15	No matching of orders from the same Trading Participant	7.7.3.15	11.3.15	Adapts ASXF
21.4	BULLETIN BOARD	7.7.4	11.4	Adapts ASXF
21.4.1	Advertising interest	7.7.4.1	11.4.1	Adapts ASXF
21.4.2	Orders in the Bulletin Board	7.7.4.2	11.4.2	Adapts ASXF
21.4.3	Combinations in the Bulletin Board	7.7.4.3	11.4.3	Adapts ASXF
21.4.4	Net price for different Contract Sizes	7.7.4.4	11.4.4	Adapts ASXF
21.4.5	Priority of orders in the Bulletin Board	7.7.4.5	11.4.5	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
21.4.6	Amendment and removal of items appearing in the Bulletin Board	7.7.4.6	11.4.6	Adapts ASXF
21.4.7	Clearing of the Bulletin Board at end of day	7.7.4.7	11.4.7	Adapts ASXF
21.4.8	Transaction of DTP Combinations in the Bulletin Board	7.7.4.8	11.4.8	Adapts ASXF
21.4.9	Transaction of Cross-Platform Combinations in the Bulletin Board	7.7.4.9	11.4.9	Adapts ASXF
21.4.10	Transaction of Cross-Market Combinations in the Bulletin Board	7.7.4.9	11.4.9	Adapts ASXF
21.4.11	Trading Participant may not trade with own orders	7.7.4.10	11.4.10	Adapts ASXF
21.5	REPORTING AND REGISTRATION OF DTP TRANSACTIONS	7.7.6	11.5	Adapts ASXF
21.5.1	Obligation to report DTP Transactions	7.7.6.1	11.5.1	Adapts ASXF
21.5.2	Information generated automatically	7.7.6.2	11.5.2	Adapts ASXF
21.5.3	Registration of DTP Contracts with the Approved Clearing Facility	7.7.6.3	11.5.3	Adapts ASXF
21.5.4	DTP Contracts subject to Clearing Rules	7.7.6.4	None	New
21.6	LATE TRADING	7.7.5	11.10	Adapts ASXF
21.6.1	Late trading	7.7.5.1	11.10.1	Adapts ASXF
21.6.2	Procedures for late trading	7.7.5.2	11.10.2	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
21.6.3	Cancellation and amendment of orders during late trading	7.7.5.4	11.10.4	Adapts ASXF
21.6.4	Trading Participant must amend orders	7.7.5.5	11.10.5	Adapts ASXF
21.7	TRADING ON BEHALF OF OVERSEAS CLIENTS	7.7.5.6	11.11	Adapts ASXF
21.7.1	Instructions received by Trading Participant outside Trading Hours		11.11	Adapts ASXF
21.8	EXCESSIVE ORDERS, TAILOR-MADE COMBINATIONS, AND QUOTE REQUESTS	7.9.3.2	13.4.2	Adapts ASXF
21.8.1	Trading Participant not to submit excessive orders		13.4.2	Adapts ASXF
22.	CROSSINGS - DTP PRODUCTS	7.8	11.6-11.9	Adapts ASXF
22.1	GENERAL CROSSINGS RULES	7.8.1.1 7.8.1.2	11.6	Adapts ASXF
22.1.1	Crossings permitted	None	None	New
22.2	CROSSINGS	7.8.2	11.7	Adapts ASXF
22.2.1	Crossing orders in a single Contract Series	7.8.2.1	11.7.1	Adapts ASXF
22.2.2	Cross Single Series Function	7.8.2.2	11.7.2	Adapts ASXF
22.2.3	Cross with Central Orderbook Function	7.8.2.3	11.7.3	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
22.2.4	Crossing of Standard Combinations in the Central Orderbook	7.8.2.4	11.7.4	Adapts ASXF
22.2.5	Crossing of other DTP Combinations	7.8.2.5	11.7.5	Adapts ASXF
22.2.6	Crossing of Cross-Platform Combinations	7.8.2.6	11.7.6	Adapts ASXF
22.2.7	Crossing of Cross-Market Combinations	7.8.2.6	11.7.6	Adapts ASXF
22.2.8	Reporting to ASX	7.8.2.7	11.7.7	Adapts ASXF
22.3	SPECIAL CROSSINGS	7.8.3	11.8	Adapts ASXF
22.3.1	Special Crossings permitted	None	None	New
22.3.2	Special Crossing of single Contract Series	7.8.3.1	11.8.1	Adapts ASXF
22.3.3	Special Crossing of DTP Combinations	7.8.3.2	11.8.2	Adapts ASXF
22.3.4	Special Crossing of Cross-Platform Combinations	7.8.3.3	11.8.3	Adapts ASXF
22.3.5	Special Crossing of Cross-Market Combinations	7.8.3.3	11.8.3	Adapts ASXF
22.3.6	Aggregation of orders	7.8.3.4	11.8.4	Adapts ASXF
22.3.7	Reporting of Special Crossings	7.8.3.5	11.8.5	Adapts ASXF
22.4	RESTRICTIONS ON CROSSINGS IN CERTAIN CIRCUMSTANCES	7.8.4	11.9	Adapts ASXF
22.4.1	Crossing while transacting another Crossing	7.8.4.1	11.9.1	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
22.4.2	Crossings after Trading Close	7.8.4.2	11.9.2	Adapts ASXF
22.4.3	Crossings during Offer Period	7.8.4.3	11.9.3	Adapts ASXF
22.4.4	Crossings during On-market buy-back	7.8.4.4	11.9.4	Adapts ASXF
23.	MARKET MAKERS - DTP PRODUCTS	7	12	Adapts ASXF
23.1	REGISTRATION OF MARKET MAKERS	7.2.4 7.2.4	12.1	Adapts ASXF
23.1.1	Registration by ASX	7.2.4.1	12.1.1	Adapts ASXF
23.1.2	Registration criteria	7.2.4.2 7.2.4.5	12.1.2	Adapts ASXF
23.1.3	ASX may give conditional registration	7.2.4.4	12.1.3	Adapts ASXF
23.1.4	Applicant may specify Class preferences	7.2.5.2	12.1.4	Adapts ASXF
23.1.5	ASX to assign Classes	7.2.5.3	12.1.5	Adapts ASXF
23.1.6	Changes to assigned Classes	7.2.5.4	12.1.6	Adapts ASXF
23.1.7	Notification of assignment	7.2.5.6	12.1.7	Adapts ASXF
23.1.8	Appeal	7.2.5.5 7.12.2.1(d)	12.1.8	Adapts ASXF
23.2	SEPARATION OF MARKET MAKER FUNCTIONS	7.2.7	12.2	Adapts ASXF
23.2.1	Trading Participant must separate Market	7.2.7.1 7.2.7.2	12.2.1	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
	Maker activities			
23.2.2	Throughput Capacity	7.2.7.4	12.2.2	Adapts ASXF
23.2.3	Orders in Classes with obligations	7.2.7.5	12.2.3	Adapts ASXF
23.2.4	Separate Accounts for Market Maker transactions	None	12.2.4	Adapts ASXF
23.3	GENERAL MARKET MAKING OBLIGATIONS	7.6.1	12.3	Adapts ASXF
23.3.1	Market Maker obligations	7.6.1.1	12.3.1	Adapts ASXF
23.3.2	Minimum quantity	7.6.1.2	12.3.2	Adapts ASXF
23.3.3	Maximum spreads	7.6.1.3	12.3.3	Adapts ASXF
23.3.4	Markets in Classes not assigned	7.6.1.4	12.3.4	Adapts ASXF
23.3.5	Quote Requests from ASX	7.6.3.7	12.3.5	Adapts ASXF
23.4	MAKING A MARKET ON A CONTINUOUS BASIS	7.6.2	12.4	Adapts ASXF
23.4.1	Obligations	7.6.2.1	12.4.1	Adapts ASXF
23.4.2	Making a market on a continuous basis	7.6.2.2	12.4.2	Adapts ASXF
23.4.3	Market Maker's bid or offer matches with another order	7.6.2.3	12.4.3	Adapts ASXF
23.5	MAKING A MARKET IN RESPONSE TO QUOTE REQUESTS	7.6.3	12.5	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
23.5.1	Receipt of Quote Requests	7.6.3.1	12.5.1	Adapts ASXF
23.5.2	Obligations	7.6.3.2	12.5.2	Adapts ASXF
23.5.3	Response to Quote Requests	7.6.3.3	12.5.3	Adapts ASXF
23.5.4	Market Maker may amend bids and offers	7.6.3.4	12.5.4	Adapts ASXF
23.5.5	Market Maker's bid or offer matches with another order	7.6.3.5	12.5.5	Adapts ASXF
23.5.6	Response frequency	7.6.3.6	12.5.6	Adapts ASXF
23.6	SUSPENSION AND RESUMPTION OF MARKET MAKING OBLIGATIONS	7.6.4	12.6	Adapts ASXF
23.6.1	Suspension of market making obligations	7.6.4.1	12.6.1	Adapts ASXF
23.6.2	Resumption of market making obligations	7.6.4.2	12.6.2	Adapts ASXF
23.7	SUSPENSION OF CLASS ASSIGNED TO MARKET MAKER	7.2.5A	12.7	Adapts ASXF
23.7.1	ASX may suspend assignment of a Class	7.2.5A.1	12.7.1	Adapts ASXF
23.7.2	Effect of suspension of assignment of a Class	7.2.5A.2	12.7.2	Adapts ASXF
23.7.3	Appeal	7.2.5A.3 7.12.2.1(e)	12.7.3	Adapts ASXF
23.8	SUSPENSION AND WITHDRAWAL OF MARKET MAKERS		12.8	Adapts ASXF
23.8.1	ASX may suspend or withdraw registration	7.2.6.1	12.8.1	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
23.8.2	Effect of suspension	7.2.6.2	12.8.2	Adapts ASXF
23.8.3	Withdrawal of registration under Rule 23.8.1	7.12.1.2(b)	12.8.3	Adapts ASXF
23.8.4	Appeal	7.12.2.1(e)	12.8.4	Adapts ASXF
23.9	RESIGNATION OF MARKET MAKERS		12.9	Adapts ASXF
23.9.1	Resignation as Market Maker	7.2.6.3	12.9.1	Adapts ASXF
23.9.2	Continuation as Market Maker	7.2.6.4	12.9.2	Adapts ASXF
24.	EXCHANGE FOR PHYSICAL (EFP) TRANSACTIONS - FUTURES	None	9.5	Adapts ASXF
24.1	EXCHANGE FOR PHYSICAL (EFP)	None	9.5.1	Adapts ASXF
24.1.1	General	None	9.5.1	Adapts ASXF
24.2	PERMITTED EFPS	None	9.5.2	Adapts ASXF
24.2.1	Conditions	None	9.5.2	Adapts ASXF
24.3	ENTRY INTO EFP	None	9.5.3	Adapts ASXF
24.3.1	Conditions	None	9.5.3	Adapts ASXF
24.4	REPORTING OF EFPS	None	9.5.4	AXSF
24.4.1	Reporting	None	9.5.4	AXSF
24.5	REPORTING AND REGISTRATION OF THE FUTURES TRANSACTION	None	9.5.5	AXSF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
24.5.1	Transaction effective only when Futures Transaction confirmed by ASX	None	9.5.5	AXSF
24.6	PARTIES TO EFP TRANSACTIONS	None	9.5.6	AXSF
24.6.1	Restriction	None	9.5.6	AXSF
24.7	RETENTION OF RECORDS	None	9.5.7	AXSF
24.7.1	Appropriate evidence must be retained	None	9.5.7	AXSF
25.	TRADING RESTRICTIONS AND LIMITS - DTP PRODUCTS	7.10	14	Adapts ASXF
25.1	POSITION LIMITS	7.10.1	14.1	Adapts ASXF
25.1.1	ASX may prescribe Position Limits	7.10.1.1	14.1.1	Adapts ASXF
25.1.2	Trading Participant not to breach Position Limit	7.10.1.2	14.1.2	Adapts ASXF
25.1.3	Notice of change in Position Limit	7.10.1.3	14.1.3	Adapts ASXF
25.2	EXERCISE LIMITS	7.10.2	14.2	Adapts ASXF
25.2.1	ASX may prescribe Exercise Limits	7.10.2.1	14.2.1	Adapts ASXF
25.2.2	Trading Participant not to breach Exercise Limit	7.10.2.2	14.2.2	Adapts ASXF
25.2.3	Notice of change in Exercise Limit	7.10.2.3	14.2.3	Adapts ASXF
25.3	RESTRICTIONS ON EXERCISE	7.10.3	14.3	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
25.3.1	ASX may impose restrictions	7.10.3.1	14.3.1	Adapts ASXF
25.3.2	Consequences of restriction	7.10.3.2	14.3.2	Adapts ASXF
25.3.3	Restriction to lapse	7.10.3.3	14.3.3	Adapts ASXF
25.4	UNEXECUTED ORDER IN UNDERLYING TRADED PRODUCTS	7.10.5 7.10.6	None	Adapts ASX
25.4.1	Trading Participant not to make bids or offers	7.10.5 7.10.6	None	Adapts ASX
25.5	BREACH OF RESTRICTIONS	None	14.4	Adapts ASXF
25.5.1	Actions of ASX	None	14.4	Adapts ASXF
26.	WHOLESALE LOAN SECURITIES	2D	None	Adapts ASX BR
26.1	APPLICATION OF RULE 26	2D.2	None	Adapts ASX BR
26.1.1	Effect of Rule 26	2D.2.1 2D.2.2	None	Adapts ASX BR
26.1.2	Trading Participants must enter a Bid and an Offer	2D.2.3	None	Adapts ASX BR
26.2	DEALINGS IN THE WHOLESALE LOAN SECURITIES MARKET	2D.4	None	Adapts ASX BR
26.2.1	Application of Rule 26.2	2D.4.1	None	Adapts ASX BR
26.2.2	Minimum value	2D.4.2	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
26.2.3	Prohibition on consolidation of orders	2D.4.3	None	Adapts ASX BR
26.2.4	Priority of Orders	2D.4.4	None	Adapts ASX BR
26.2.5	Remaining Offer less than certain value	2D.4.5	None	Adapts ASX BR
26.2.6	Trading Participant chooses counterparty	2D.4.6	None	Adapts ASX BR
26.2.7	Communication of Bids and Offers	2D.4.7	None	Adapts ASX BR
26.2.8	When transaction binding	2D.4.8	None	Adapts ASX BR
26.2.9	Reporting of transactions	2D.4.9	None	Adapts ASX BR
26.2.10	When transaction settled	2D.4.10	None	Adapts ASX BR
26.3	NO NGF COVER FOR WHOLESALE LOAN SECURITIES TRANSACTIONS	2D.5	None	Adapts ASX BR
26.3.1	Not reportable transactions	2D.5	None	Adapts ASX BR
26.4	CROSSINGS	2D.6	None	Adapts ASX BR
26.4.1	Application of Rules 17 and 18	2D.6.1	None	Adapts ASX BR
26.4.2	Trading Participant must notify ASX of a Crossing	2D.6.2	None	Adapts ASX BR
26.5	SUSPENSIONS	2D.7	None	Adapts ASX BR
26.5.1	Suspension of Wholesale Loan Security	2D.7.1	None	Adapts ASX BR
26.5.2	Trading Permission suspended	2D.7.2	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
26.5.3	Suspend Wholesale Loan Securities Market or Wholesale Loan Security	2D.7.3	None	Adapts ASX BR
27.	OVERSEAS MARKET LINKAGES	15	None	Adapts ASX BR
27.1	SCOPE OF RULE 27	15.2	None	Adapts ASX BR
27.1.1	Application of Rule 27	15.2.1	None	Adapts ASX BR
27.1.2	Portal Dealer References	15.2.2	None	Adapts ASX BR
27.1.3	ASX World Link Agreement – Rule 27 prevails	15.2.3	None	Adapts ASX BR
27.1.4	Other ASX Business Rules apply too	15.2.4	None	Adapts ASX BR
27.2	PORTAL DEALER – ROLE AND RESPONSIBILITIES	15.3	None	Adapts ASX BR
27.2.1	Portal Dealer must be a Market Participant	15.3.1	None	Adapts ASX BR
27.2.2	Functions of Portal Dealer – Outgoing trades	15.3.2	None	Adapts ASX BR
27.2.3	Functions of Portal Dealer – Incoming trades	15.3.3	None	Adapts ASX BR
27.2.4	Restrictions on Portal Dealer's activities	15.3.4	None	Adapts ASX BR
27.3	APPLICATION OF BUSINESS RULES TO PORTAL DEALER	15.4	None	Adapts ASX BR
27.3.1	Approval as Market Participant	15.4.1(1)	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
27.3.2	Trading Permission	15.4.1(2)	None	Adapts ASX BR
27.3.3	Suspension of Trading Permission	15.4.2	None	Adapts ASX BR
27.3.4	Change of status	15.4.3	None	Adapts ASX BR
27.3.5	Incoming trades	15.4.4	None	Adapts ASX BR
27.3.6	Outgoing trades	15.4.5	None	Adapts ASX BR
27.3.7	Security	15.4.6	None	Adapts ASX BR
27.4	CORE TRADING RULES	15.5	None	Adapts ASX BR
27.4.1	Purpose	15.5.1	None	Adapts ASX BR
27.4.2	Application of Core Trading Rules	15.5.2	None	Adapts ASX BR
27.4.3	Interpretation	15.5.3	None	Adapts ASX BR
27.4.4	Prevention of manipulative trading	15.5.4	None	Adapts ASX BR
27.4.5	Prevention of disorderly markets	15.5.5	None	Adapts ASX BR
27.4.6	Cancellation	15.5.6	None	Adapts ASX BR
27.4.7	Prevention of dealings in suspended products	15.5.7	None	Adapts ASX BR
27.4.8	Short selling	15.5.8	None	Adapts ASX BR
27.4.9	Corners	15.5.9	None	Adapts ASX BR
27.4.10	Compliance with conditions designated by	15.5.10	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
	Participating Overseas Exchanges			
27.5	TRADING PARTICIPANTS' OTHER RESPONSIBILITIES	15.6	None	Adapts ASX BR
27.5.1	Business governance rules apply	15.6.1	None	Adapts ASX BR
27.5.2	Responsibility for Trading Messages	15.6.2	None	Adapts ASX BR
27.5.3	Settlement obligations	15.6.3	None	Adapts ASX BR
27.6	RESPONSIBILITIES OF ASX	15.7	None	Adapts ASX BR
27.6.1	No bias	15.7.1	None	Adapts ASX BR
27.6.2	No obligation to provide market information	15.7.2	None	Adapts ASX BR
27.7	NON-COMPLIANCE WITH CORE TRADING RULES	15.8	None	Adapts ASX BR
27.7.1	ASX may take action	15.8	None	Adapts ASX BR
27.8	DISCLOSURE OF INFORMATION	15.9	None	Adapts ASX BR
27.8.1	ASX may disclose information	15.9	None	Adapts ASX BR
27.9	LIABILITY	15.10	None	Adapts ASX BR
27.9.1	Rule 1.6 does not apply to Portal Dealer subsidiary of ASX	15.10	None	Adapts ASX BR
28.	SUPERVISION, DISCIPLINARY MATTERS, TRIBUNAL PROCEEDINGS AND APPEALS	13	17	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
28.1	MONITORING COMPLIANCE		17.1	Adapts ASXF
28.1.1	Obtaining information	None	17.1.1	Adapts ASXF
28.1.2	Regulated Person to comply	None	17.1.2	Adapts ASXF
28.1.3	Attendance of individuals before ASX	13.1(1)	17.1.4	Adapts ASXF
28.1.4	Other requirements of investigation	None	17.1.5	Adapts ASXF
28.1.5	ASX may request Accountant's report	13.2.1(1)	17.1.6	Adapts ASXF
28.1.6	ASX may appoint Accountant	13.2.1(2)	17.1.7	Adapts ASXF
28.1.7	Authority of Accountant appointed by ASX	13.2.2(1)	17.1.8	Adapts ASXF
28.1.8	Cost of Accountant	13.2.2(2)	17.1.9	Adapts ASXF
28.2	PROVISION OF AUDIT REPORT TO ASX	None	None	New
28.2.1	Audit of Regulated Persons	None	None	New
28.2.2	Notice, reporting and costs of audit of obligations	None	None	New
28.2.3	Notice by Regulated Person	None	None	New
28.2.4	Notice by other Regulated Person	None	None	New
28.3	DISCIPLINARY ACTION	13.5	17.2	Adapts ASXF
28.3.1	Ground for disciplinary action	13.5.1(1)	17.2.1	Adapts ASXF
28.3.2	Expedited disciplinary procedure	13.5.1(6)(a)	17.2.2	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
28.3.3	Regulated Persons may elect for Disciplinary Tribunal hearing	13.5.1(6)(b)	17.2.3	Adapts ASXF
28.3.4	Action to enforce expedited determination	13.5.1(6)(b)	17.2.4	Adapts ASXF
28.3.5	Commencement of disciplinary proceedings	13.5.1(1)	17.2.5	Adapts ASXF
28.3.6	Proceedings of Disciplinary Tribunal	14.2.1(4)	17.2.6	Adapts ASXF
28.3.7	Exercise of powers of Disciplinary Tribunal in disciplinary proceedings	13.5.1(3)	17.2.7	Adapts ASXF
28.4	IMMEDIATE ACTION WHERE EVENT OF DEFAULT	None	17.3	Adapts ASXF
28.4.1	Action pursuant to Rule 28	None	17.3.1	Adapts ASXF
28.4.2	Events of default	None	17.3.2	Adapts ASXF
28.4.3	Other significant events	None	17.3.3	Adapts ASXF
28.4.4	Powers	None	17.3.4	Adapts ASXF
28.4.5	Notification to Participants of ASX action	None	17.3.5	Adapts ASXF
28.4.6	Appointment of ASX as agent	None	17.3.6	Adapts ASXF
28.4.7	No liability of ASX	None	17.3.7	Adapts ASXF
28.4.8	Indemnity	None	17.3.8	Adapts ASXF
28.4.9	Protection of third parties	None	17.3.9	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
28.4.10	Survival of powers	None	17.3.10	Adapts ASXF
28.4.11	Notice of suspension or termination	None	None	New
28.5	SUSPENSION AND TERMINATION OF MARKET PARTICIPANTS	None	17.4	Adapts ASXF
28.5.1	Suspension	13.3.2(2) and (4)	17.4.1	Adapts ASXF
28.5.2	No termination without hearing	None	17.4.2	Adapts ASXF
28.6	SUSPENSION AND TERMINATION OF OTHER REGULATED PERSONS	None	None	New
28.6.1	Regulated Person declared a defaulter	None	None	New
28.6.2	Suspension or termination in interests of ASX	None	None	New
28.6.3	Suspension	None	None	New
28.6.4	No termination without hearing	None	None	New
28.7	APPEALS	13.7	17.5	Adapts ASXF
28.7.1	Appeal from decision of Disciplinary Tribunal	13.7.1	17.5.2	Adapts ASXF
28.7.2	Appeal from decision of ASX under Rule 28.4	None	None	New
28.7.3	Appeal from decision of ASX under Rule 28.6.2	None	None	New

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
28.7.4	Action which may be implemented pending appeal	None	17.5.3	Adapts ASXF
28.7.5	Action which may not be implemented pending appeal	13.7.1(5)	17.5.4	Adapts ASXF
28.8	RECORD OF ACTION AND ANNOUNCEMENT	13.9.1	17.6	Adapts ASXF
28.8.1	Record to be made	13.9.1(1), (2)	17.6.1	Adapts ASXF
28.8.2	Action pending appeal	13.9.1(4)	17.6.2	Adapts ASXF
28.8.3	Announcement	13.9.2	17.6.3	Adapts ASXF
28.8.4	Disclosure	13.9.3	17.6.4	Adapts ASXF
28.9	CONSOLIDATION OF INVESTIGATIONS AND PROCEEDINGS - RELATED BODIES CORPORATE	None	17.7	Adapts ASXF
28.9.1	ASX may consolidate investigation	None	17.7.1	Adapts ASXF
28.9.2	ASX may consolidate disciplinary proceedings	None	17.7.2	Adapts ASXF
28.9.3	ASX may consolidate appeal proceedings	None	17.7.3	Adapts ASXF
28.9.4	Consolidation does not affect powers	None	17.7.4	Adapts ASXF
28.10	CONSOLIDATION OF INVESTIGATIONS AND PROCEEDINGS - REGULATED PERSONS	None	None	New

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
28.10.1	ASX may combine proceedings	None	None	New
28.10.2	Right to object	None	None	New
28.10.3	Appeals	None	None	New
28.11	CORPORATIONS ACT COMPLIANCE AND CONTRAVENTIONS	None	17.8	Adapts ASXF
28.11.1	Enforcement of contractual provisions	None	17.8.1	Adapts ASXF
28.11.2	Interpretation	None	17.8.2	Adapts ASXF
28.12	CERTAIN OBLIGATIONS OF REGULATED PERSONS CONTINUE	None	None	New
28.12.1	Jurisdiction continues	None	None	New
28.13	TRIBUNAL PANEL	14.2.1	18.2	Adapts ASXF
28.13.1	Composition of Tribunal Panel	14.2.1	18.2	Adapts ASXF
28.14	DISCIPLINARY TRIBUNAL	None	18.3	Adapts ASXF
28.14.1	Disciplinary Tribunal	None	18.1.1	Adapts ASXF
28.14.2	Role of Tribunal	14.2.1(1)(a)	18.3.1	Adapts ASXF
28.14.3	Chairperson and deputy chairperson	14.2.1(1)(b)	18.3.2	Adapts ASXF
28.14.4	Composition of Tribunal	14.2.1(1)(c)	18.3.3	Adapts ASXF
28.14.5	Hearing date	14.2.1(2)	18.3.4	Adapts ASXF

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
28.14.6	Powers of Disciplinary Tribunal	None	18.3.5	Adapts ASXF
28.14.7	Reasons for decision	14.2.1(3)	18.3.6	Adapts ASXF
28.14.8	Conduct of proceedings	14.2.1(4)	18.3.7	Adapts ASXF
28.15	APPEAL PROCESS	None	18.4	Adapts ASXF
28.15.1	Notice of appeal by person other than ASX	No specific rule	18.4.1	Adapts ASXF
28.15.2	Notice of appeal by ASXe	13.7.1(3)	18.4.2	Adapts ASXF
28.15.3	ASX to notify relevant Tribunal	None	18.4.3	Adapts ASXF
28.16	APPEAL TRIBUNAL	14.2.2	18.5	Adapts ASXF
28.16.1	Appeal Tribunal	None	18.1.2	Adapts ASXF
28.16.2	Role of Appeal Tribunal	14.2.2(1)(a)	18.5.1	Adapts ASXF
28.16.3	Chairperson and deputy chairperson	14.2.2(1)(b)	18.5.2	Adapts ASXF
28.16.4	Composition of Appeal Tribunal	14.2.2(1)(c)	18.5.3	Adapts ASXF
28.16.5	Hearing Date	14.2.2(2)	18.5.4	Adapts ASXF
28.16.6	Powers of Appeal Tribunal	14.2.2(3)	18.5.5	Adapts ASXF
28.16.7	Ability of Appeal Tribunal to award costs	14.2.2(4)	18.5.6	Adapts ASXF
28.16.8	Ability of the Appeal Tribunal to award costs incurred at the Disciplinary Tribunal	None	None	New
28.16.9	Order for costs	None	None	New

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
28.16.10	Reasons for decision	14.2.2(5)	18.5.7	Adapts ASXF
28.16.11	Decision final and binding	None	18.5.8	Adapts ASXF
28.16.12	Conduct of proceedings	14.2.2(6)	18.5.9	Adapts ASXF
28.17	CONDUCT OF TRIBUNAL PROCEEDINGS	None	18.6	Adapts ASXF
28.17.1	Attendance	13.8 14.2.3(1)	18.6.1	Adapts ASXF
28.17.2	Written submissions	14.2.3(2)	18.6.2	Adapts ASXF
28.17.3	Formalities, recording and transcripts	14.2.3(3)	18.6.3	Adapts ASXF
28.17.4	Procedural fairness	14.2.3(4)	18.6.4	Adapts ASXF
28.17.5	Voting	14.2.3(5)	18.6.5	Adapts ASXF
28.17.6	Tribunal may obtain legal advice	14.2.3(6)	18.6.6	Adapts ASXF
28.17.7	Participation in proceedings	14.2.3(7)	18.6.7	Adapts ASXF
28.18	INDEMNITY FOR TRIBUNAL MEMBERS AND EXCHANGE OFFICERS	14.3	18.7	Adapts ASXF
28.18.1	Limitation of liability and indemnity	14.3(1)	18.7.1	Adapts ASXF
28.18.2	Indemnity for certain legal proceedings	14.3(2)	18.7.2	Adapts ASXF
28.19	PROVISION OF INFORMATION BY EXCHANGE TO TRIBUNAL	13.7.3	None	Adapts ASXF
28.19.1	ASX may provide information	13.7.3(1), (2)	None	New

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
28.19.2	Regulated Person to be informed	13.7.3(3)	None	New
29.	TRANSITIONAL ARRANGEMENTS FOR EXISTING ASX PARTICIPANTS AND ASXF PARTICIPANTS	None	None	New
29.1	INTERPRETATION	None	None	New
29.1.1	Interpretation	None	None	New
29.2	TRANSITION - EXISTING ASXF PARTICIPANTS	None	None	New
29.2.1	Transition	None	None	New
29.2.2	Conditions Continue	None	None	New
29.2.3	Effects of Transition on existing rights and obligations	None	None	New
29.2.4	NTA Requirements for Existing ASXF Participants	None	None	New
29.3	TRANSITION - EXISTING ASX PARTICIPANTS	None	None	New
29.3.1	Change of Title - Existing ASX Participants	None	None	New
29.3.2	Effect of transition on Trading Permission	None	None	New
30.	TRANSITIONAL ARRANGEMENTS FOR EXISTING ASX PARTICIPATING ORGANISATIONS RELYING ON AFFILIATE BASIS OF RECOGNITION	5C	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
30.1	INTERPRETATION AND APPLICATION OF THIS RULE	5C.1	None	Adapts ASX BR
30.1.1	Interpretation	5C.1.1	None	Adapts ASX BR
30.1.2	Application	5C.1.2	None	Adapts ASX BR
30.2	END OF AFFILIATES STATUS AND APPROVED REPRESENTATIVES	5C.2	None	Adapts ASX BR
30.2.1	Recognition Ceases on Effective Date	5C.2.1	None	Adapts ASX BR
30.2.2	Effect of end of Recognition	5C.2.2	None	Adapts ASX BR
30.3	ONGOING COMPLIANCE DURING TRANSITIONAL PERIOD	5C.3	None	Adapts ASX BR
30.3.1	Transitional arrangements	5C.3.1	None	Adapts ASX BR
30.3.2	Election to comply with new requirements	5C.3.2	None	Adapts ASX BR
30.3.3	Compliance following end of recognition transitional period or election under rule 30.3.2	5C.3.3	None	Adapts ASX BR
30.3.4	Extension of transitional arrangements	5C.3.4	None	Adapts ASX BR
30.3.5	Interpretation of Rules – Regulated Persons	None	None	New
30.4	APPROVED REPRESENTATIVES	5C.4	None	Adapts ASX BR
30.4.1	Change of Details	5C.4.1	None	Adapts ASX BR
30.4.2	Cancellation of Registration	5C.4.2	None	Adapts ASX BR

New Rule	Rule Heading	Corresponding ASX BR rule	Corresponding ASXF BR rule	Comment
30.4.3	Notice of Cancellation	5C.4.3	None	Adapts ASX BR
30.5	APPEALS FROM ASX DECISION	5C.5	None	Adapts ASX BR
30.5.1	ASX to give reasons	5C.5.1	None	Adapts ASX BR
30.5.2	Rights of Appeal	5C.5.2	None	Adapts ASX BR