

## SECTION 10B AQUA QUOTE DISPLAY BOARD

<b>10B.1</b>	<b>AQUA QUOTE DISPLAY BOARD RULES .....</b>	<b>2</b>
10B.1.1	AQUA Quote Display Board Rules.....	2
10B.1.2	Effect of Rule .....	2
<b>10B.2</b>	<b>AQUA PRODUCT ISSUERS .....</b>	<b>2</b>
10B.2.1	Rules relating to AQUA Product Issuers.....	2
<b>10B.3</b>	<b>ADMISSION OF AQUA PRODUCTS TO THE AQUA QUOTE DISPLAY BOARD.....</b>	<b>2</b>
10B.3.1	Rules relating to the admission of AQUA Products .....	2
<b>10B.4</b>	<b>AQUA QUOTE DISPLAY BOARD .....</b>	<b>3</b>
10B.4.1	Advertising prices .....	3
10B.4.2	Amendment and removal of prices appearing in the AQUA Quote Display Board...	3
10B.4.3	Removal by ASX of prices appearing in the AQUA Quote Display Board.....	3
<b>10B.5</b>	<b>TRANSACTIONS IN AQUA PRODUCTS.....</b>	<b>3</b>
10B.5.1	Transactions .....	3
10B.5.2	Reporting of transaction .....	3
10B.5.3	When transaction binding.....	3
10B.5.4	When transaction settled .....	4
<b>10B.6</b>	<b>CROSSINGS .....</b>	<b>4</b>
10B.6.1	Application of Section 17 and Section 18.....	4
10B.6.2	Trading Participant must report a Crossing to ASX .....	4
<b>10B.7</b>	<b>SUSPENSIONS.....</b>	<b>4</b>
10B.7.1	Suspension of AQUA Products.....	4
10B.7.2	Trading Permission suspended.....	4
10B.7.3	AQUA Product Issuer suspended.....	4
10B.7.4	Suspension of the AQUA Quote Display Board or AQUA Products.....	5
<b>10B.8</b>	<b>AQUA PRODUCT ISSUER REPORTS .....</b>	<b>5</b>
10B.8.1	Rules relating to AQUA Product Issuer reports .....	5
<b>10B.9</b>	<b>TRANSFERS AND REGISTERS .....</b>	<b>5</b>
10B.9.1	Rules relating to transfers and registers.....	5
<b>10B.10</b>	<b>INDEMNITY .....</b>	<b>5</b>
10B.10.1	Indemnity by AQUA Product Issuers.....	5

## **SECTION 10B AQUA QUOTE DISPLAY BOARD**

Section 10B describes, and sets out specifications in respect of, the AQUA Quote Display Board. The AQUA Quote Display Board allows for AQUA Products to be quoted and displayed on the ASX trading system without active trading. The AQUA Product Issuer can advertise prices for the AQUA Product, which may be indicative.

### **10B.1 AQUA QUOTE DISPLAY BOARD RULES**

#### **10B.1.1 AQUA Quote Display Board Rules**

This section 10B applies to the AQUA Quote Display Board and to AQUA Products which are admitted to the AQUA Quote Display Board. It regulates the rights and obligations of AQUA Product Issuers and Trading Participants who use the information displayed on the AQUA Quote Display Board to execute transactions. AQUA Product Series and AQUA Product Issuers are also governed by section 10A.

Introduced 15/09/08

#### **10B.1.2 Effect of Rule**

Rule 16.2.1 does not apply to dealings in AQUA Products on the AQUA Quote Display Board.

Introduced 15/09/08

### **10B.2 AQUA PRODUCT ISSUERS**

#### **10B.2.1 Rules relating to AQUA Product Issuers**

Rules relating to approval of AQUA Product Issuers and Guarantors are set out in Rule 10A.2.

Introduced 15/09/08

### **10B.3 ADMISSION OF AQUA PRODUCTS TO THE AQUA QUOTE DISPLAY BOARD**

#### **10B.3.1 Rules relating to the admission of AQUA Products**

General requirements relating to the admission of AQUA Products, fees and, where applicable, use of an index, are set out in Rule 10A.3.

Specific requirements in relation to Managed Fund Products and ETF Securities are set out in Rule 10A.4. Specific requirements in relation to Structured Products are set out in Rule 10A.5.

These rules apply to the AQUA Quote Display Board unless otherwise specified.

Introduced 15/09/08

## **10B.4 AQUA QUOTE DISPLAY BOARD**

### **10B.4.1 Advertising prices**

A Trading Participant, which is or is acting on behalf of, an AQUA Product Issuer, may advertise indicative prices for AQUA Products on the AQUA Quote Display Board that ASX makes available for that purpose. Prices advertised must not be inconsistent with prices advertised elsewhere by the AQUA Product Issuer.

Introduced 15/09/08

### **10B.4.2 Amendment and removal of prices appearing in the AQUA Quote Display Board**

While any price for AQUA Products remains on the AQUA Quote Display Board the Trading Participant who entered it may amend or remove it.

Introduced 15/09/08

### **10B.4.3 Removal by ASX of prices appearing in the AQUA Quote Display Board**

ASX reserves the right to remove prices from the AQUA Quote Display Board and to prevent a Trading Participant from placing further prices on the AQUA Quote Display Board whenever ASX deems such action appropriate having regard to Rule 1.13 to protect investors or if the relevant AQUA Product Issuer has failed to comply with its obligations under Section 10A, 10B or the Terms of Issue.

Introduced 15/09/08

## **10B.5 TRANSACTIONS IN AQUA PRODUCTS**

### **10B.5.1 Transactions**

If a Trading Participant wishes to enter into a transaction in an AQUA Product advertised on the AQUA Quote Display Board, it will contact the Trading Participant which advertised the AQUA Product by telephone or any other form of communication acceptable to the parties. Any agreement arising from that communication must be able to be verified.

Introduced 15/09/08

### **10B.5.2 Reporting of transaction**

A Trading Participant who executes a transaction in accordance with Rule 10B.5.1 must report that transaction to ASX in the manner specified in the Procedures.

Introduced 15/09/08

### **10B.5.3 When transaction binding**

A transaction in AQUA Products will be binding from the time that both Trading Participants agree to the terms of the transaction.

Introduced 15/09/08

#### **10B.5.4 When transaction settled**

Transactions in AQUA Products will be settled at the time set out in the Procedures.

Introduced 15/09/08

### **10B.6 CROSSINGS**

#### **10B.6.1 Application of Section 17 and Section 18**

Section 17 and Section 18 do not apply to transactions in AQUA Products under this section 10B.

Introduced 15/09/08

#### **10B.6.2 Trading Participant must report a Crossing to ASX**

A Trading Participant who initiates a Crossing in AQUA Products pursuant to this section 10B must report the Crossing to ASX in the manner set out in the Procedures.

Introduced 15/09/08

### **10B.7 SUSPENSIONS**

#### **10B.7.1 Suspension of AQUA Products**

If an AQUA Product is suspended from quotation and placed in suspend (which phase will be governed by the Rules applicable to suspend in Rule 16.4.1), no transactions can take place in relation to those AQUA Products pursuant to this section 10B without the written permission of ASX.

Introduced 15/09/08

#### **10B.7.2 Trading Permission suspended**

If the Trading Permission of a Trading Participant is suspended either generally or in respect of AQUA Products, in accordance with Section 12 or Section 14 then the Trading Participant will also be prohibited from seeking to enter into transactions in AQUA Products pursuant to this section 10B.

Introduced 15/09/08

#### **10B.7.3 AQUA Product Issuer suspended**

If an AQUA Product Issuer is suspended in accordance with Section 10A then the AQUA Product Issuer will also be prohibited from advertising prices on the AQUA Quote Display Board or seeking to enter into transactions in AQUA Products pursuant to this section 10B.

Introduced 15/09/08

#### **10B.7.4 Suspension of the AQUA Quote Display Board or AQUA Products**

If ASX considers it is appropriate having regard to Rule 1.13, it may suspend the operation of the AQUA Quote Display Board generally, or the AQUA Quote Display Board in relation to a particular AQUA Product or class of AQUA Products.

Introduced 15/09/08

### **10B.8 AQUA PRODUCT ISSUER REPORTS**

#### **10B.8.1 Rules relating to AQUA Product Issuer reports**

Rules relating to reports, documentation and other information to be provided to ASX by AQUA Product Issuers are set out in Rule 10A.6.

Introduced 15/09/08

### **10B.9 TRANSFERS AND REGISTERS**

#### **10B.9.1 Rules relating to transfers and registers**

Rules relating to transfers and registers of AQUA Products are set out in Rule 10A.7.

Introduced 15/09/08

### **10B.10 INDEMNITY**

#### **10B.10.1 Indemnity by AQUA Product Issuers**

The indemnity by AQUA Product Issuers and Guarantors in favour of ASX is set out in Rule 10A.9.

Introduced 15/09/08

**End of Document**