

# Appendix: Comparison of ASX Market Rules and ASIC Market Integrity Rules (ASX Market) 2010

**Table 1: Composition of ASIC Market Integrity Rules (ASX Market) 2010 (ASIC/ASX MIR)**

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
Chapter 1: Introduction		<i>[Chapter heading]</i>
Part 1.1 Preliminary		<i>[Part heading]</i>
1.1.1 Enabling legislation		This is a new Market Integrity Rule that sets out the enabling legislation for these Market Integrity Rules.
1.1.2 Title		This is a new Market Integrity Rule that sets out the title of these Market Integrity Rules.
1.1.3 Commencement		This is a new Market Integrity Rule that sets out the Commencement Date of these Market Integrity Rules.
1.1.4 Scope of these Rules		This is a new Market Integrity Rule that sets out the scope of these Market Integrity Rules.
1.1.5 Entities that must comply with these Rules		This is a new Market Integrity Rule that sets out the entities that must comply with these Market Integrity Rules.
1.1.6 Conduct by officers, Employees or agents	2.4.2 Conduct by officers, employees or agents	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
1.1.7 State of mind of a person	2.4.3 State of mind of a person	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
Part 1.2 Waiver	1.5 WAIVER	<i>[Part heading]</i>

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
1.2.1 Waiver of Rules	1.5.1 Waiver of rules and procedures	ASIC has adopted this ASX Market Rule as a Market Integrity with drafting amendments. ASIC may give waivers from these Market Integrity Rules, impose conditions on those waivers and withdraw those waivers. Waivers, conditions on waivers and withdrawals of waivers must be in writing. ASIC may publish notice of a waiver.
1.2.2 Compliance with conditions	1.5.2 Compliance with conditions	ASIC has adopted this ASX Market Rule as a Market Integrity Rule with drafting amendments.
1.2.3 Period during which relief applies	1.5.4 Period during which relief applies	ASIC has adopted this ASX Market Rule as a Market Integrity Rule with drafting amendments. ASIC may specify the period or event during which relief from these Market Integrity Rules may apply.
1.2.4 Register	1.5.5 Register of relief	ASIC has adopted this ASX Market Rule as a Market Integrity Rule with drafting amendments. ASIC may establish and maintain a register of relief given under these Market Integrity Rules. ASIC may publish the register.
Part 1.3 Notice, notification and service of documents	1.6 NOTICE, NOTIFICATION AND SERVICE OF DOCUMENTS	<i>[Part heading]</i>
1.3.1 Market Participant to have email	1.6.4 Market Participant to have e-mail	ASIC has adopted this ASX Market Rule as a Market Integrity Rule with drafting amendments. Market Participants must have an operating email system for the purposes of receiving notices under these Market Integrity Rules.
1.3.2 Methods of giving notice in writing	Procedure 1.6.2 Methods of Giving Notice in Writing	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
Part 1.4 Interpretation		<i>[Part heading]</i>

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
1.4.1 References to time	2 DEFINITIONS AND INTERPRETATION 2.1(k) GENERAL PRINCIPLES OF INTERPRETATION	ASIC has adopted paragraph (k) of this ASX Market Rule as a Market Integrity Rule with drafting amendments.
1.4.2 Words and expression defined in the Corporations Act	2.2 WORDS AND EXPRESSIONS DEFINED IN THE CORPORATIONS ACT 2.2.1 Words and expressions defined have the same meaning in these Rules	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. Words and expressions defined in the Corporations Act have the same meaning in these Market Integrity Rules unless otherwise defined or specified.
1.4.3 Definitions	2.10 Definitions	<p>ASIC has adopted a number of definitions from this ASX Market Rule, with drafting amendments.</p> <p>There are new definitions for:</p> <ul style="list-style-type: none"> <li>• “Accreditation Examination”</li> <li>• “Accredited Futures Adviser”</li> <li>• “Commencement Date”</li> <li>• “Company Announcements Office”</li> <li>• “Compliance Education Requirements”</li> <li>• “Compliance Manager”</li> <li>• “Continuing Professional Education Requirements”</li> <li>• “Corporations Act”</li> <li>• “DTR identifier”</li> <li>• “Financial Product Advice”</li> <li>• “Futures Option”</li> <li>• “LEPOs”</li> <li>• “Level One Accredited Derivatives Adviser”</li> <li>• “Level Two Accredited Derivatives Adviser”</li> <li>• “Market Listing Rules”</li> <li>• “Market Operating Rules”</li> </ul>

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
		<ul style="list-style-type: none"> <li>• “Market Operator”</li> <li>• “NGF”</li> <li>• “Operating Rules”</li> <li>• “Other Regulated Entities”</li> <li>• “Overseas Broker”</li> <li>• “Relevant Activities”</li> <li>• “Renewal Period”</li> <li>• “Settlement Participant”</li> <li>• “Training Register”.</li> </ul>
Chapter 2: Participants and Representatives		<i>[Chapter heading]</i>
Part 2.1 Management requirements	3.6 MANAGEMENT REQUIREMENTS	<i>[Part heading]</i>
2.1.1 Management structure	3.6.1 Management structure	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. A Market Participant’s management structure must ensure compliance with both the ASX Market Rules and the Market Integrity Rules (which are based on existing ASX Market Rules).
2.1.2 Notification of management structure	3.6.1(b) Management structure 4.3.2(b)(iv) Change of Directors, Responsible Executives, management structures and other details	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. Existing Market Participants must give to ASIC a copy of their management structure and allocation of responsibilities among Responsible Executives within 3 months of the Commencement Date. New Market Participants must give to ASIC a copy of their management structure and allocation of responsibilities among Responsible Executives within 10 Business Days of becoming a Market Participant. All Market Participants must notify ASIC within 10 Business Days of changes to their management structure or allocation of responsibilities among Responsible Executives.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
2.1.3 Supervisory procedures	3.6.3 Supervisory procedures	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. A Market Participant's supervisory policies and procedures must ensure compliance with the ASX Market Rules, the Corporations Act and the Market Integrity Rules (which are based on existing ASX Market Rules).
2.1.4 Persons involved in the business—Good fame and character requirement	3.3.2 Assessment of character 3.4.2 Integrity of applicant which is a body corporate 3.6.4(a) and (b) Persons involved in the business 3.6.5(a) Responsible Executive requirements	ASIC has adopted these ASX Market Rules as a single Market Integrity Rule, with drafting amendments. A Market Participant must ensure its Employees and other persons involved in the business (which includes Responsible Executives) are of good fame and character having regard to the matters set out in the Market Integrity Rule.
2.1.5 Unprofessional Conduct	4.1.1(w) General compliance by Market Participants 3.6.5(d) Responsible Executive requirements 4.1.3(c) Responsibilities of Responsible Executive	ASIC has adopted these paragraphs of the ASX Market Rules as a single Market Integrity Rule with drafting amendments. Market Participants must not engage in Unprofessional Conduct and must ensure their Responsible Executives do not engage in Unprofessional Conduct.
2.1.6 Responsibility for individuals involved in business	4.1.2 Responsibility for individuals involved in business	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, without drafting amendments.
Part 2.2 Insurance and information requirements	4.6 INSURANCE REQUIREMENTS	<i>[Part heading]</i>
2.2.1 Insurance requirements—Obligation to have insurance	4.6.1 Obligation to have insurance	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
2.2.2 Insurance requirements—Insurance with Related Body Corporate	4.6.2 Insurance with Related Body Corporate	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. Market Participants must give to ASIC information about insurance provided by a Related Body Corporate.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
2.2.3 Insurance requirements—Notification of amount and period of cover	4.6.3 Notification of amount and period of cover	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. Market Participants must give to ASIC information about an issue or renewal and a copy of the certificate of insurance.
2.2.4 Insurance requirements— Notification of claims	4.6.4 Notification of claims	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. Market Participants must give to ASIC information about notification of claims.
2.2.5 Information Requirements—Obligation to notify of legal proceedings	4.18 LEGAL PROCEEDINGS REQUIREMENTS 4.18.1 Obligation to notify	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. Market Participants must give notification of legal proceedings to both ASX and ASIC.
Part 2.3 Responsible Executives		<i>[Part heading]</i>
2.3.1 Appointment or resignation of Responsible Executives	3.6.5(b) and (c) Responsible Executive Requirements Procedure 3.6.5 Responsible Executive Requirements 4.1.3(c) Responsibilities of Responsible Executive 4.3.2(a) and (b)(i) Change of Directors, Responsible Executives, management structures and other details	ASIC has adopted these paragraphs of the ASX Market Rules and this Procedure as a single Market Integrity Rule, with drafting amendments. A Market Participant must notify ASIC within 10 Business Days of the appointment, removal or resignation of a Responsible Executive. ASIC will approve examination requirements for Responsible Executives. A Market Participant must ensure that when it appoints a Responsible Executive, that person has appropriate skills, knowledge and experience and has either satisfied the examination requirement under the ASX Market Rules prior to the Commencement Date or the ASIC examination requirement after the Commencement Date, and has maintained their Compliance Education since satisfying either examination requirement.
2.3.2 Ongoing responsibilities of Market Participants in relation to Responsible Executives	4.1.3(a) and (b) Responsibilities of Responsible Executive	ASIC has adopted paragraphs (a) and (b) of this ASX Market Rule as a Market Integrity Rule, with drafting amendments. A Market Participant must ensure its Responsible Executives supervise and are accountable for their Relevant Activities.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
2.3.3 Annual review and representation of Market Participant	<p>4.1.3(f) Responsibilities of Responsible Executive</p> <p>Procedure 4.1.3 RESPONSIBILITIES OF RESPONSIBLE EXECUTIVE</p> <p>Appendix 4.1.3 RESPONSIBILITIES OF RESPONSIBLE EXECUTIVE</p>	ASIC has adopted paragraph (f) of this ASX Market Rule and this Procedure and Appendix as a single Market Integrity Rule, with drafting amendments. A Market Participant must ensure its Responsible Executives perform an annual review and provide an annual representation to the Market Participant. A Market Participant must retain documentation relating to the review and representation.
2.3.4 Continuing education requirements for Responsible Executives	<p>4.8.1 RESPONSIBLE EXECUTIVE COMPLIANCE</p> <p>Procedure 4.8.1 RESPONSIBLE EXECUTIVE COMPLIANCE</p>	ASIC has adopted this ASX Market Rule and part of this Procedure as a Market Integrity Rule, with drafting amendments. ASIC may approve Compliance Education Requirements for Responsible Executives. There is a transitional Rule for the period from the Commencement Date to 30 June 2011.
2.3.5 Annual continuing education and compliance self-assessment	<p>4.8.1 RESPONSIBLE EXECUTIVE COMPLIANCE</p> <p>Procedure 4.8.1 RESPONSIBLE EXECUTIVE COMPLIANCE</p> <p>Appendix 4.8—2 RESPONSIBLE EXECUTIVE (RE) CONTINUING EDUCATION SELF ASSESSMENTS</p>	ASIC has adopted this ASX Market Rule, this Procedure and this Appendix as a single Market Integrity Rule, with drafting amendments. Market Participants must provide to ASIC an annual self-assessment that relates to compliance by Responsible Executives with certain Market Integrity Rules (which are based on the ASX Market Rules). There is a transitional rule for the period from the commencement date to 30 June 2011.
Part 2.4 Retail Client Advisor Accreditation	8.3 RETAIL ADVISERS MUST BE ACCREDITED	<i>[Part heading]</i>
2.4.1 Accreditation required	<p>8.3.1 Accreditation required</p> <p>8.3.2 Purporting to be an accredited adviser</p>	ASIC has adopted these ASX Market Rules as a single Market Integrity Rule, with drafting amendments.
2.4.2 Extent of advice to clients—Level One Accredited Derivatives Adviser	<p>8.4.1 Types of accredited advisers</p> <p>Procedure 8.4.1 TYPES OF ACCREDITED ADVISERS</p>	ASIC has adopted this ASX Market Rule and Procedure (to the extent it relates to Level One Accredited Derivatives Advisers) as a single Market Integrity Rule, with drafting amendments.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
2.4.3 Covered Call Option Strategy	8.4.1 Types of accredited advisers Procedure 8.4.1 TYPES OF ACCREDITED ADVISERS	ASIC has adopted this ASX Market Rule and Procedure (to the extent it relates to Covered Call Option Strategies) as a single Market Integrity Rule, with drafting amendments.
2.4.4 Extent of advice to clients—Level Two Accredited Derivatives Adviser	8.4.1 Types of accredited advisers Procedure 8.4.1 TYPES OF ACCREDITED ADVISERS	ASIC has adopted this ASX Market Rule and Procedure (to the extent it relates to Level Two Accredited Derivatives Advisers) as a single Market Integrity Rule, with drafting amendments.
2.4.5 Extent of advice to clients—Accredited Futures Adviser	8.4.1 Types of accredited advisers Procedure 8.4.1 TYPES OF ACCREDITED ADVISERS	ASIC has adopted this ASX Market Rule and Procedure (to the extent it relates to Accredited Futures Advisers) as a single Market Integrity Rule, with drafting amendments.
2.4.6 Accreditation—Accredited Futures Adviser	8.5.1 Initial Application Procedure 8.5.1 INITIAL APPLICATION (ACCREDITED ADVISOR) Appendix 8.5.1(A)—1 APPLICATION TO BE AN ACCREDITED FUTURES ADVISER Appendix 8.5.1(D)—1 DECLARATION BY APPLICANT FOR ACCREDITATION AS AN ACCREDITED FUTURES ADVISER	ASIC has adopted this ASX Market Rule and Procedure (to the extent they relate to Accredited Futures Advisers) and these Appendices as a single Market Integrity Rule, with drafting amendments. Market Participants must apply to ASIC for accreditation of their advisers. ASIC may approve educational modules, subjects or reading materials for Accredited Futures Advisers.
2.4.7 Accreditation—Level One Accredited Derivatives Adviser	8.5.1 Initial Application Procedure 8.5.1 INITIAL APPLICATION (ACCREDITED ADVISOR—CONTINUED)) Appendix 8.5.1(A)—2 APPLICATION TO BE A LEVEL ONE ACCREDITED DERIVATIVES ADVISER AND EXTENT OF ADVICE	ASIC has adopted this ASX Market Rule and Procedure (to the extent they relate to Level One Accredited Derivatives Advisers) and this Appendix as a single Market Integrity Rule, with drafting amendments. Market Participants must apply to ASIC for accreditation of their advisers. ASIC may approve examinations, educational modules or subjects for Level One Accredited Derivatives Advisers.



ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
2.4.8 Accreditation—Level Two Accredited Derivatives Adviser	8.5.1 Initial Application Procedure 8.5.1 INITIAL APPLICATION (ACCREDITED ADVISOR—CONTINUED)) Appendix 8.5.1(A)—3 APPLICATION TO BE A LEVEL TWO ACCREDITED DERIVATIVES ADVISER AND EXTENT OF ADVICE	ASIC has adopted this ASX Market Rule and Procedure (to the extent they relate to Level Two Accredited Derivatives Advisers) and this Appendix as a single Market Integrity Rule, with drafting amendments. Market Participants must apply to ASIC for accreditation of their advisers. ASIC may approve examinations for Level Two Accredited Derivatives Advisers.
2.4.9 Acceptance of application	8.5.1 Initial Application	ASIC has adopted elements of this ASX Market Rule as a separate Market Integrity Rule, with drafting amendments. ASIC will accredit a person as an adviser if the requirements of the relevant Market Integrity Rules are met, and will give a written notice to the Market Participant setting out the next Renewal Date and any conditions on the accreditation. ASIC may seek further information from the Market Participant before making a decision.
2.4.10 Rejection of application	8.5.2 Rejection of Application	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. The Market Integrity Rule provides that ASIC will reject an application for accreditation if the requirements of the relevant Market Integrity Rules are not met, and will give a written notice to the Market Participant setting out the reasons for rejecting the application. ASIC may seek further information from the Market Participant before making a decision.
2.4.11 Exemption for other accreditation and experience	8.6.1 Exemption for other accreditation and experience 8.6.2 Further information 8.6.3 Examination may be required	ASIC has adopted these ASX Market Rules as a single Market Integrity Rule, with drafting amendments. ASIC may give an exemption from the examination requirement.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
2.4.12 Examinations	8.7 EXAMINATIONS 8.7.1 Maximum number of examinations 8.7.2 Permission to sit additional examination Procedure 8.7.2 PERMISSION TO SIT ADDITIONAL EXAMINATIONS Appendix 8.7.2—Application for sitting additional accreditation examination under Rule 8.7	ASIC has adopted these ASX Market Rules, this Procedure and this Appendix as a single Market Integrity Rule, with drafting amendments. Market Participants may apply to ASIC for permission for a person to sit an additional examination.
2.4.13 Renewal of accreditation	8.8 RENEWAL OF ACCREDITATION 8.8.1(c) Renewal Procedure 8.8.1 RENEWAL OF ACCREDITATION Appendix 8.8.1(C) APPLICATION FOR RENEWAL OF ACCREDITATION UNDER RULE 8.8 AND ATTACHMENT TO APPLICATION FOR RENEWAL OF ACCREDITATION UNDER RULE 8.8	ASIC has adopted paragraph (c) of this ASX Market Rule and this Procedure and Appendix as a single Market Integrity Rule, with drafting amendments. Market Participants may make applications for renewal at any time between 60 days prior to the Renewal Date and 7 days prior to the Renewal Date.
2.4.14 Acceptance of application	Rule 8.8.1(d) Renewal	ASIC has adopted paragraph (d) of this ASX Market Rule as a separate Market Integrity Rule, with drafting amendments. ASIC will notify a Market Participant when it accepts an application for a person's accreditation to be renewed and will specify the next Renewal Date in the notification. ASIC may seek further information from the Market Participant before making a decision.
2.4.15 Rejection of application or renewal subject to conditions	8.8.2 Renewal subject to conditions	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. ASIC may either reject an application for renewal of accreditation, or renew a person's accreditation subject to conditions.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
2.4.16 Effect of non-renewal	8.8.3 Effect of non-renewal Procedure 8.8.3 EFFECT OF NON-RENEWAL	ASIC has adopted this ASX Market Rule and Procedure as a single Market Integrity Rule, with drafting amendments.
2.4.17 Automatic withdrawal of accreditation	8.9 CEASING TO BE ACCREDITED 8.9.1 Automatic withdrawal 8.9.2 Notice of events resulting in automatic withdrawal Procedure 8.9.2 NOTICE OF EVENTS RESULTING IN AUTOMATIC WITHDRAWAL Appendix 8.9.2 NOTIFICATION OF WITHDRAWAL OF ACCREDITATION UNDER RULE 8.9—Section 1	ASIC has adopted these ASX Market Rules, this Procedure and Section 1 of this Appendix as a single Market Integrity Rule, with drafting amendments. Market Participants must notify ASIC within 5 Business Days if an Accredited Adviser ceases to be a Representative of the Market Participant.
2.4.18 Voluntary withdrawal of accreditation	8.9.3 Voluntary withdrawal 8.9.4 Notice of voluntary withdrawal Procedure 8.9.4 NOTICE OF VOLUNTARY WITHDRAWAL Appendix 8.9.2 NOTIFICATION OF WITHDRAWAL OF ACCREDITATION UNDER RULE 8.9—Section 2	ASIC has adopted these ASX Market Rules, this Procedure and Section 2 of this Appendix as a single Market Integrity Rule, with drafting amendments. Market Participants may apply to ASIC for withdrawal of the accreditation of an Accredited Adviser.
2.4.19 Suspension or withdrawal by ASIC	8.9.5 Suspension or withdrawal by ASX	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. ASIC may suspend or withdraw the accreditation of an Accredited Adviser.
2.4.20 Re-accreditation after withdrawal or expiry	8.10 RE-ACCREDITATION AFTER WITHDRAWAL OR EXPIRY Rule 8.10.1 Re-accreditation Procedure 8.10.1 RE-ACCREDITATION	ASIC has adopted this ASX Market Rule, Procedure and Appendix as a single Market Integrity Rule, with drafting amendments. Market Participants may apply to ASIC to re-accredit a person whose accreditation has been withdrawn or has expired.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
	Appendix 8.10.1(A) APPLICATION FOR RE-ACCREDITATION WHEN PREVIOUSLY WITHDRAWN OR EXPIRED UNDER RULE 8.10	
2.4.21 Continuing Professional Education Requirements for Accredited Advisers	8.11 CONTINUING PROFESSIONAL EDUCATION REQUIREMENTS 8.11.1 Market Participant to ensure professional education requirements met	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. ASIC may approve Continuing Professional Education Requirements for Accredited Advisers.
2.4.22 Managed Discretionary Accounts— Derivatives Market Transactions and Warrants	7.10.2 Derivatives Market Transactions and Warrants	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
Part 2.5 Designated Trading Representatives (DTRs)		<i>[Part heading]</i>
2.5.1 Trading in a Trading Platform	13.1.3 Trading in a Trading Platform	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
2.5.2 Trading Participant must have a DTR	13.2.1 Trading Participant must have a DTR	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
2.5.3 DTRs may submit Trading Messages	13.2.2 DTRs may submit Trading Messages	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
2.5.4 Responsibility of Trading Participant	13.1.1 Responsibility of Trading Participant	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
2.5.5 DTR criteria	8.2.3 Registration Criteria 8.2.6 Ongoing requirements for DTRs 8.2.12 Restrictions on DTRs 8.2.14 Trading Participant must ensure DTR compliance	ASIC has adopted these ASX Market Rules as a single Market Integrity Rule, with drafting amendments. There are no registration, examination and continuing education requirements for DTRs under the Market Integrity Rules. Trading Participants must continue to ensure their DTRs are suitably qualified and experienced, have demonstrated knowledge of the Dealing Rules and meet other ongoing requirements and restrictions.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
2.5.6 Trading Participant must allocate unique identifier	12.5.2(b) Trading Participant must allocate unique identifier	ASIC has adopted paragraph (b) of this ASX Market Rule (to the extent it relates to DTRs) as a Market Integrity Rule, with drafting amendments.
2.5.7 Records—DTRs	13.1.10 Records—identification of order source Procedure 13.1.10 RECORDS— IDENTIFICATION OF ORDER SOURCE	ASIC has adopted paragraph (b) of this ASX Market Rule (to the extent it relates to DTRs) as a Market Integrity Rule, with drafting amendments.
Chapter 3: Client relationships		<i>[Chapter heading]</i>
Part 3.1 Clients trading in products for first time	7.1 REQUIREMENT—CLIENTS TRADING IN PRODUCTS FOR THE FIRST TIME	<i>[Part heading]</i>
3.1.1 Documents to be given to a client	7.1.1(a) Documents to be given to client	ASIC has adopted elements of paragraph (a) of this ASX Market Rule as a separate Market Integrity Rule, with drafting amendments.
3.1.2 Documents to be given to a client: Options, LEPOs and Warrants	7.1.1(a) Documents to be given to client Procedure 7.1.1(a) DOCUMENTS TO BE GIVEN TO A CLIENT	ASIC has adopted elements of paragraph (a) of this ASX Market Rule and this Procedure (to the extent it relates to the requirement to provide explanatory booklets) as a single Market Integrity Rule, with drafting amendments.
3.1.3 Information to be given to a client: Execution arrangements	7.1.1(b) Documents to be given to client Procedure 7.1.1(b) DOCUMENTS TO BE GIVEN TO A CLIENT	ASIC has adopted paragraph (b) of this ASX Market Rule and this Procedure (to the extent it relates to the requirement to disclose execution arrangements) as a single Market Integrity Rule, with drafting amendments.
3.1.4 Information to be given to a client: Clearing arrangements for Equity Securities, Loan Securities or Warrants	7.1.1(c) Documents to be given to client Procedure 7.1.1(c) DOCUMENTS TO BE GIVEN TO A CLIENT	ASIC has adopted paragraph (c) of this ASX Market Rule and this Procedure (to the extent it relates to the requirement to disclose clearing arrangements for Equity Securities, Loan Securities or Warrants) as a single Market Integrity Rule, with drafting amendments.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
3.1.5 Information to be given to a client: Clearing arrangements for Futures Market Transactions	7.1.1(d) Documents to be given to client Procedure 7.1.1(d) DOCUMENTS TO BE GIVEN TO A CLIENT	ASIC has adopted paragraph (d) of this ASX Market Rule and this Procedure (to the extent it relates to the requirement to disclose clearing arrangements for Futures Market Transactions) as a single Market Integrity Rule, with drafting amendments.
3.1.6 Minimum terms of Client Agreement for Futures Market Contracts	7.1.2 CLIENT AGREEMENT REQUIRED FOR OPTIONS, FUTURES, WARRANTS AND PARTLY PAID SECURITIES Procedure 7.1.2 CLIENT AGREEMENT REQUIRED FOR OPTIONS, FUTURES, WARRANTS AND PARTLY PAID SECURITIES Appendix 7.1.2—1 FUTURES CLIENT AGREEMENT—MINIMUM TERMS 3–9, 11, 12 and 16	ASIC has adopted this ASX Market Rule and Procedure (in so far as they relate to the minimum terms of Client Agreements for Futures Market Contracts) and part of this Appendix as a single Market Integrity Rule, with drafting amendments. Market Participants must, in their Client Agreements for Futures Market Contracts, make certain disclosures and obtain certain acknowledgements that are relevant to market integrity and reflect a number of current terms in this Appendix.
3.1.7 Minimum terms of Client Agreement for Options Market Contracts	7.1.2 CLIENT AGREEMENT REQUIRED FOR OPTIONS, FUTURES, WARRANTS AND PARTLY PAID SECURITIES Procedure 7.1.2 CLIENT AGREEMENT REQUIRED FOR OPTIONS, FUTURES, WARRANTS AND PARTLY PAID SECURITIES Appendix 7.1.2—2 OPTIONS CLIENT AGREEMENT—MINIMUM TERMS 2– 7, 9, 10 and 14	ASIC has adopted this ASX Market Rule and Procedure (in so far as they relate to the minimum terms of Client Agreements for Options Market Contracts) and part of this Appendix as a single Market Integrity Rule, with drafting amendments. Market Participants must, in their Client Agreements for Options Market Contracts, make certain disclosures and obtain certain acknowledgements that are relevant to market integrity and reflect a number of current terms in this Appendix.
3.1.8 Client Agreement for Warrants	7.1.2 Client Agreement Required for Options Market Contracts, Futures Market Contracts, Warrants and Partly Paid Securities Procedure 7.1.2 CLIENT AGREEMENT REQUIRED FOR OPTIONS, FUTURES, WARRANTS AND PARTLY PAID SECURITIES Appendix 7.1.2—3 ASX WARRANT CLIENT AGREEMENT FORM—TERMS 1–4	ASIC has adopted this ASX Market Rule and Procedure (in so far as they relate to the minimum terms of Client Agreements for Warrants) and part of this Appendix as a single Market Integrity Rule, with drafting amendments. Market Participants must, in their Client Agreements for Warrants, make certain disclosures and obtain certain acknowledgements that are relevant to market integrity and reflect a number of current terms in this Appendix.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
3.1.9 Client Agreement for Partly Paid Securities	<p>7.1.2 Client Agreement Required for Options Market Contracts, Futures Market Contracts, Warrants and Partly Paid Securities</p> <p>Procedure 7.1.2 CLIENT AGREEMENT REQUIRED FOR OPTIONS, FUTURES, WARRANTS AND PARTLY PAID SECURITIES</p> <p>Appendix 7.1.2—4 PARTLY PAID SECURITY CLIENT AGREEMENT FORM—TERMS 1–6</p>	ASIC has adopted this ASX Market Rule and Procedure (in so far as they relate to the minimum terms of Client Agreements for Partly Paid Securities) and this Appendix as a single Market Integrity Rule, with drafting amendments. Market Participants must, in their Client Agreements for Partly Paid Securities, make certain disclosures and obtain certain acknowledgements that are relevant to market integrity and reflect a number of current terms in this Appendix.
3.1.10 Other terms of Client Agreements	7.1.2 Client Agreement Required for Options Market Contracts, Futures Market Contracts, Warrants and Partly Paid Securities	ASIC has adopted elements of this ASX Market Rule (to the extent it relates to other terms included in Client Agreements) as a separate Market Integrity Rule, with drafting amendments.
3.1.11 Market Participant to keep copy of Client Agreement and disclosures	<p>7.1.3 Market Participant to keep copy of Client Agreement and disclosures</p> <p>Procedure 7.1.3 MARKET PARTICIPANT TO KEEP COPY OF CLIENT AGREEMENT AND DISCLOSURES</p>	ASIC has adopted this ASX Market Rule and Procedure as a single Market Integrity Rule, with drafting amendments.
3.1.12 Client agreement where Market Participant is not the Clearing Participant (Options Market Transactions only)	7.1.4 Client agreement where Market Participant is not the Clearing Participant (Options Market Transactions only)	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. The terms of the Wholesale Client Agreement will be retained in the ASX Market Rules.
3.1.13 Client agreement where Market Participant is the Clearing Participant (Options Market Transactions only)	7.1.5 Client agreement where Market Participant is the Clearing Participant (Options Market Transactions only)	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. The terms of the Wholesale Client Agreement will be retained in the ASX Market Rules.
Part 3.2 Trading as Principal	7.3 TRADING AS PRINCIPAL	<i>[Part heading]</i>
3.2.1 Application	7.3.1 Application	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
3.2.2 Disclosure and consent	7.3.2 Disclosure and consent	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
3.2.3 Confirmation must include disclosure	7.3.3 Confirmation must include disclosure	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
3.2.4 Brokerage and commission	7.3.4 Brokerage and commission	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
3.2.5 Extended meaning of dealing as Principal	7.3.5 Extended meaning of dealing as Principal	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
3.2.6 Register of persons who are regarded as Principal	7.3.6 Register of persons who are regarded as Principal	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
Part 3.3 Client Instructions	7.4 CLIENT INSTRUCTIONS	<i>[Part heading]</i>
3.3.1 Market Participant restrictions	7.4.1 Market Participant restrictions	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. Market Participants must act in accordance with both the ASX Market Rules and the Market Integrity Rules (which are based on ASX Market Rules).
3.3.2 Excessive trading	7.10.5 Excessive transactions in Managed Discretionary Account	ASIC has adopted this ASX Market Rule as a Market Integrity Rule.
Part 3.4 Reporting to Clients	7.9 REPORTING TO CLIENTS	<i>[Part heading]</i>
3.4.1 Confirmations—Form and timing	7.9.1 Confirmations—form and timing Procedure 7.9.1 CONFIRMATIONS—FORM AND TIMING	ASIC has adopted this ASX Market Rule and Procedure as a single Market Integrity Rule, with drafting amendments. ASIC may permit a confirmation to be in a form other than in writing or electronically. The confirmation must state that the confirmation is issued subject to (among other things) the ASX Market Rules and the Market Integrity Rules.



ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
3.4.2 Confirmations—Accumulation and price averaging	7.9.2 Confirmations—accumulation and price averaging	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
3.4.3 Confirmations—Other than Retail Clients	7.9.3 Confirmations—clients other than Retail Clients	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. The notification to the client must state that Market Transactions are subject to (among other things) the ASX Market Rules and the Market Integrity Rules.
Part 3.5 Client Money and Property	7.11 CLIENT AND MONEY AND PROPERTY	<i>[Part heading]</i>
3.5.1 Trust accounts—Cash Market Transactions and Options Market Transactions	7.11.2 Trust accounts—Cash Market Transactions and Options Market Transactions	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, without drafting amendments.
3.5.2 Segregated accounts or trust accounts—Futures Market Transactions	7.11.3 Segregated accounts or trust accounts—Futures Market Transactions	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, without drafting amendments.
3.5.3 Bank accounts to be with Australian ADI	7.11.4 Bank accounts to be with Australian ADI	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
3.5.4 Approved foreign banks	7.11.5 Approved foreign banks	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. ASIC may approve foreign banks, and impose conditions on the use of foreign banks, under the Market Integrity Rule.
3.5.5 Change of rating or approval of ADI	7.11.6 Change of rating or approval of ADI	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
3.5.6 Liquidity requirement—Clients' segregated accounts—Futures Market Transactions	7.11.7 Liquidity requirement—clients' segregated accounts—Futures Market Transactions	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
3.5.7 Top up requirement—Clients' segregated accounts—Futures Market Transactions	7.11.8 Top up requirement—clients' segregated accounts—Futures Market Transactions	ASIC has adopted this ASX Market Rule and Procedure as a single Market Integrity Rule, with drafting amendments.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
	Procedure 7.11.8 TOP UP REQUIREMENT— CLIENTS' SEGREGATED ACCOUNTS— FUTURES	
3.5.8 Reconciliation of clients' segregated accounts	7.11.9 Reconciliation of clients' segregated accounts  Procedure 7.11.9 RECONCILIATION OF CLIENTS' SEGREGATED ACCOUNTS  Appendix 7.11.9 RECONCILIATION OF CLIENT FUNDS	ASIC has adopted this ASX Market Rule, Procedure and Appendix as a single Market Integrity Rule, with drafting amendments. Terms currently used in the Appendix are defined in the Market Integrity Rule.
3.5.9 Reconciliation of trust accounts	7.11.10 Reconciliation of trust accounts  Procedure 7.11.10 RECONCILIATION OF TRUST ACCOUNTS	ASIC has adopted this ASX Market Rule and Procedure as a single Market Integrity Rule, with drafting amendments.
3.5.10 Obligation to notify ASIC in respect of reconciliation	7.11.11 Obligation to notify ASX in respect of reconciliation  Procedure 7.11.11 OBLIGATION TO NOTIFY ASX IN RESPECT OF RECONCILIATION	ASIC has adopted this ASX Market Rule and Procedure as a single Market Integrity Rule, with drafting amendments. Market Participants must notify ASIC of certain matters relating to reconciliations.
3.5.11 Schedule of trust amounts	7.11.12 Schedule of trust amounts	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
Part 3.6 Prohibition of advice to Client	7.18 PROHIBITION OF ADVICE TO CLIENT	<i>[Part heading]</i>
3.6.1 Definitions used in this Part 3.6	7.18.1 Definitions used in Part 7.18	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. The definition of "Chinese Walls" has been incorporated into Market Integrity Rule 3.6.3. Market Participants are not required to advise ASIC that they have created Chinese Walls. ASIC will not maintain a register of Chinese Walls.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
3.6.2 Market Participant possesses information that is not generally available	7.18.2 Market Participant possesses information that is not generally available	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
3.6.3 Chinese Walls in place	7.18.3 Chinese Walls in place	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. The definition of “Chinese Walls” has been incorporated into this Market Integrity Rule from ASX Market Rule 7.18.1.
3.6.4 Certain actions do not constitute giving advice	7.18.4 Certain actions do not constitute giving advice	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
Chapter 4: Records		<i>[Chapter heading]</i>
Part 4.1 Trading records	4.10 TRADING RECORDS	<i>[Part heading]</i>
4.1.1 Records of dealings for clients	4.10.1 Records of dealings for clients	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
4.1.2 Records of dealings on Own Account	4.10.2 Records of dealings on own account	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
4.1.3 Records to be made immediately	4.10.5 Records to be made immediately	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
4.1.4 Records to be retained for prescribed period	4.10.6 Records to be retained for prescribed period Procedure 4.10.6 RECORDS TO BE MAINTAINED FOR PRESCRIBED PERIOD	ASIC has adopted this ASX Market Rule and Procedure as a single Market Integrity Rule, with drafting amendments.
4.1.5 Certain records maintained by the Market Operator	4.10.7 Certain records maintained by ASX	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
4.1.6 Conditions for reliance on the Market Operator records	4.10.8 Conditions for reliance on ASX records Procedure 4.10.8 Reliance on ASX records	ASIC has adopted this ASX Market Rule and Procedure as a single Market Integrity Rule, with drafting amendments.
4.1.7 Records of dealings for clients by a Market Participant who instructs another Trading Participant to execute the dealings	4.10.9 Records of dealings for clients by a Market Participant who instructs another Trading Participant to execute the dealings	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
4.1.8 Records of dealings on its Own Account by a Market Participant who instructs another Trading Participant to execute the dealings	4.10.10 Records of dealings on its Own Account by a Market Participant who instructs another Trading Participant to execute the dealings	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
4.1.9 Records regarding Authorised Persons	13.3.3 Records regarding Authorised Persons Procedure 13.3.3 Records regarding Authorised Persons	ASIC has adopted this ASX Market Rule and Procedure as a Market Integrity Rule, with drafting amendments.
4.1.10 Telephone recording of client dealings—Futures Market Transactions	7.15 TELEPHONE RECORDING OF CLIENT DEALINGS—FUTURES MARKET TRANSACTIONS  7.15.1 Market Participant must record	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
Part 4.2 Records—General		<i>[Part heading]</i>
4.2.1 General recordkeeping requirements	Procedure 4.9.2 RECORDS	ASIC has adopted this ASX Market Rule Procedure as a Market Integrity Rule, with drafting amendments.
4.2.2 Client complaints—Records of complaints and correspondence	7.16.1 Register of complaints and correspondence  7.16.2 Records to be kept  Procedure 7.16.2 Records to be kept (client complaints)	ASIC has adopted these ASX Market Rules and this Procedure as a single Market Integrity Rule, with drafting amendments.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
Part 4.3 Access to records	4.11 ACCESS TO RECORDS	<i>[Part heading]</i>
4.3.1 Records to be in writing and in English	4.11.1 Records to be in writing and in English	ASIC has adopted this ASX Market Rule and Procedure as a single Market Integrity Rule, with drafting amendments. A Market Participant must, if directed to do so by ASIC, convert records under Chapter 4 into writing and into English.
4.3.2 Records kept outside of Australia	4.11.2 Records kept outside of Australia	ASIC has adopted this ASX Market Rule and Procedure as a single Market Integrity Rule, with drafting amendments. A Market Participant must, if directed to do so by ASIC, produce any of its records under Chapter 4 in Australia.
Chapter 5: Trading		<i>[Chapter heading]</i>
Part 5.1 Client order priority	7.5 CLIENT ORDER PRIORITY	<i>[Part heading]</i>
5.1.1 Application and meaning of dealing on "Own Account"	7.5.1 Application and meaning of dealing on "own account"	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
5.1.2 Exceptions	7.5.2 Exceptions	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
5.1.3 Fairness and priority in dealing	7.5.3 Fairness and priority in dealing	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
5.1.4 Relevant factors	7.5.4 Relevant factors	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
5.1.5 Fairness and priority in allocation	7.5.5 Fairness and priority in allocation	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
5.1.6 Relevant factors	7.5.6 Relevant factors	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
5.1.7 Unexecuted order in Underlying Financial Products—Trading Participant not to make Bids or Offers	25.4.1 Trading Participant not to make Bids or Offers	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
5.1.8 Allocation policy and Automated Client Order Processing Crossings—disclosure to Client	7.7 ALLOCATION POLICY AND AUTOMATED CLIENT ORDER PROCESSING CROSSINGS 7.7.1 Disclosure to client	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
Part 5.2 Business connections between Market Participants	4.7 BUSINESS CONNECTIONS BETWEEN MARKET PARTICIPANTS	<i>[Part heading]</i>
5.2.1 Connections requiring ASIC consent	4.7.1 Connections requiring ASX consent	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. Market Participants must not have certain business connections without ASIC's consent.
5.2.2 Access to records	4.7.2 Access to records	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. ASIC may impose conditions on Market Participants concerning access to records by common Controllers or Employees.
Part 5.3 Large Order facilitation	7.6 MARKET FACILITATION FOR LARGE ORDERS—FUTURES MARKET CONTRACTS	<i>[Part heading]</i>
5.3.1 Futures Market Contracts—Action a Market Participant may take when insufficient opposite orders	7.6.1 Action a Market Participant may take when insufficient opposite orders	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
5.3.2 Application	7.6.2 Application Procedure 7.6.2 Market facilitation for large orders—Futures	ASIC has adopted this ASX Market Rule and Procedure as a single Market Integrity Rule, with drafting amendments.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
Part 5.4 Transactions by connected persons (including persons connected with other Market Participants)	7.8 TRANSACTIONS BY CONNECTED PERSONS (INCLUDING PERSONS CONNECTED WITH OTHER MARKET PARTICIPANTS)	<i>[Part heading]</i>
5.4.1 Application	7.8.1 Application	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
5.4.2 Internal consent required for trading by connected persons	7.8.2 Internal consent required for trading by connected persons	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
Part 5.5 Participant's trading infrastructure		<i>[Part heading]</i>
5.5.1 Knowledge of Trading Participant	13.1.2 Knowledge of Trading Participant	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, without drafting amendments.
5.5.2 Organisational and technical resources	13.1.5 Organisational and technical resources	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. Trading Participants must have the necessary organisational and technical resources to ensure the Trading Participant complies at all times with both the ASX Market Rules and the Market Integrity Rules (which are based on ASX Market Rules).
5.5.3 Trading management arrangements	13.1.6 Trading management arrangements	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, without drafting amendments.
5.5.4 Trading management arrangements—Records	13.1.10 Records—identification of order source Procedure 13.1.10 Records—identification of order source	ASIC has adopted this ASX Market Rule and Procedure (to the extent they relate to records of trading management arrangements) as a single Market Integrity Rule, with drafting amendments.
Part 5.6 Automated Order Processing—Filters, conduct and infrastructure	13.3 AUTOMATED ORDER PROCESSING	<i>[Part heading]</i>

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
5.6.1 Responsible use of system for Automated Order Processing	13.3.1 Automated Order Processing	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
5.6.2 Authorised Persons for Automated Client Order Processing	13.3.2 Authorised Persons for Automated Client Order Processing	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. Paragraph (a) of the ASX Market Rule has not been replicated.
5.6.3 Automated Order Processing system requirements	<p>13.3.4 Certification prior to conducting Automated Order Processing</p> <p>Procedure 13.3.4 Certification prior to conducting Automated Client Order processing</p> <p>Appendix 13.3.4 CERTIFICATION OF AUTOMATED ORDER PROCESSING SYSTEMS</p>	ASIC has adopted elements of this ASX Market Rule, Procedure and Appendix as a single Market Integrity Rule, with drafting amendments. Trading Participants must ensure their Automated Order Processing systems have in place organisational and technical resources, trading management arrangements and security arrangements.
5.6.4 Review of documentation and systems prior to use of Automated Order Processing system	<p>13.3.4 Certification prior to conducting Automated Order Processing</p> <p>Procedure 13.3.4 Certification prior to conducting Automated Client Order processing</p> <p>Appendix 13.3.4 CERTIFICATION OF AUTOMATED ORDER PROCESSING SYSTEMS</p>	ASIC has adopted elements of this ASX Market Rule, Procedure and Appendix as a single Market Integrity Rule, with drafting amendments. Trading Participants must to perform a review of their Automated Order Processing systems for the purposes of certification.
5.6.5 Representations as to organisational and technical resources, trading management arrangements and security arrangements, prior to use of Automated Order Processing system	<p>13.3.4 Certification prior to conducting Automated Order Processing</p> <p>Procedure 13.3.4 Certification prior to conducting Automated Client Order processing</p> <p>APPENDIX 13.3.4 CERTIFICATION OF AUTOMATED ORDER PROCESSING SYSTEMS</p>	ASIC has adopted elements of this ASX Market Rule, Procedure and Appendix as a single Market Integrity Rule, with drafting amendments. Trading Participants must obtain representations in relation to the Automated Order Processing system for the purposes of certification.



ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
5.6.6 Certification of Automated Order Processing system	13.3.4 Certification prior to conducting Automated Order Processing Procedure 13.3.4 Certification prior to conducting Automated Client Order processing Appendix 13.3.4 CERTIFICATION OF AUTOMATED ORDER PROCESSING SYSTEMS	ASIC has adopted elements of this ASX Market Rule, Procedure and Appendix as a single Market Integrity Rule, with drafting amendments. Trading Participants must provide ASIC with a certification of the Automated Order Processing system prior to using the system.
5.6.7 Material changes	13.3.5 Material changes Procedure 13.3.5 Material changes	ASIC has adopted this ASX Market Rule and Procedure as a single Market Integrity Rule, with drafting amendments. Trading Participants must perform a review of material changes to the Automated Order Processing system and provide, at the option of ASIC, a confirmation or further certification, prior to implementing the material changes.
5.6.8 Material change review	13.3.5 Material changes Procedure 13.3.5 Material changes Appendix 13.3.5(A)—AOP MATERIAL CHANGE CONFIRMATION Appendix 13.3.5(B)—AOP MATERIAL CHANGE—FURTHER CERTIFICATION	ASIC has adopted elements of this ASX Market Rule, Procedure and Appendices as a single Market Integrity Rule, with drafting amendments. Trading Participants must perform a review of material changes to the Automated Order Processing system prior to providing ASIC with a confirmation or further certification.
5.6.9 Material change confirmation	13.3.5 Material changes Procedure 13.3.5 Material changes Appendix 13.3.5(A)—AOP MATERIAL CHANGE CONFIRMATION	ASIC has adopted elements of this ASX Market Rule, Procedure and Appendix as a single Market Integrity Rule, with drafting amendments. The Market Integrity Rule sets out requirements for confirmations provided by the Trading Participant to ASIC prior to implementing material changes.
5.6.10 Material change further certification	13.3.5 Material changes PROCEDURE 13.3.5 Material changes APPENDIX 13.3.5(B)—AOP MATERIAL CHANGE—FURTHER CERTIFICATION	ASIC has adopted elements of this ASX Market Rule, Procedure and Appendix as a single Market Integrity Rule, with drafting amendments. The Market Integrity Rule sets out requirements for further certifications to be provided by the Trading Participant to ASIC prior to implementing material changes.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
5.6.11 Further certification	13.3.6 Further certification	ASIC has adopted this ASX Market Rule and Procedure as a single Market Integrity Rule, with drafting amendments. Trading Participants must, if directed to do so by ASIC, provide a further certification in relation to their Automated Order Processing systems.
5.6.12 Limitations on Automated Order Processing	13.3.8 Limitations on Automated Order Processing	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. Trading Participants must, if directed to do so by ASIC, cease conducting Automated Order Processing or suspend, limit, or prohibit the conduct of Automated Order Processing.
Part 5.7 Manipulative trading	13.4 PREVENTION OF MANIPULATIVE TRADING	<i>[Part heading]</i>
5.7.1 False or misleading appearance	13.4.1 False or misleading appearance	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, without drafting amendments.
5.7.2 Circumstances of Order	13.4.2 Circumstances of Order	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
5.7.3 Obligations apply to Automated Order Processing	13.4.4 Obligations apply to Automated Order Processing	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, without drafting amendments.
Part 5.8 Prohibition on wash trades, pre-arranged trades and dual trading—Futures	13.5 PROHIBITION ON WASH TRADES, PRE-ARRANGED TRADES AND DUAL TRADING—FUTURES	<i>[Part heading]</i>
5.8.1 Application of Rule 5.8	13.5.1 Application of Rule 13.5	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
5.8.2 Wash trades	13.5.2 Wash trades	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, without drafting amendments.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
5.8.3 Pre-arranged trades	13.5.3 Pre-arranged trades	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
5.8.4 Dual trading	13.5.4 Dual trading	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
5.8.5 Corners—Postponement of deliveries	5.9.1 Postponement of deliveries	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. ASIC may take steps to enable equitable settlement of certain contracts to be effected in certain circumstances.
5.8.6 Establishment of a fair settlement price	5.9.2 Establishment of a fair settlement price	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. Where Market Participants cannot agree on a fair settlement price and set a date for payment in relation to certain contracts in certain circumstances, they must submit their differences to an independent arbiter.
Part 5.9 Fair and orderly Markets	14.1 FAIR AND ORDERLY MARKETS POWER	<i>[Part heading]</i>
5.9.1 Market must remain fair and orderly	14.1.1 Market must remain fair and orderly	ASIC has adopted this ASX Market Rule and Procedure as a single Market Integrity Rule, with drafting amendments.
5.9.2 Representative must be available	14.1.3 DTR must be available Procedure 14.1.3 DTR must be available	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. A Trading Participant must ensure a Representative of the Trading Participant is available to receive communications from other Trading Participants or the Market Operator during certain hours.
5.9.3 Must not take advantage of breakdown or malfunction	14.1.4 Must not take advantage of breakdown or malfunction	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
Part 5.10 Dealing in Cash Market Products	16.1 DEALING IN CASH MARKET PRODUCTS FOR WHICH OFFICIAL QUOTATION IS REQUIRED	<i>[Part heading]</i>

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
5.10.1 Trading Participants may not deal in Cash Market Products for which Official Quotation will be sought	16.1.1 Trading Participants may not deal in Cash Market Products for which Official Quotation will be sought	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
5.10.2 When Trading Participants may deal in Cash Market Products for which Official Quotation will be sought	16.1.2 When Trading Participants may deal in Cash Market Products for which Official Quotation will be sought	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
5.10.3 Dealings in Securities for which Official Quotation will not be sought	16.1.3 Dealing in Securities for which Official Quotation will not be sought Procedure 16.1.3 Dealings in securities for which official quotation will be not sought	ASIC has adopted this ASX Market Rule and Procedure as a single Market Integrity Rule, with drafting amendments.
5.10.4 Dealings in Cash Market Products suspended from Official Quotation	16.1.4 Dealing in Cash Market Products suspended from Official Quotation	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. The Market Integrity Rule applies to dealings in Cash Market Products suspended from quotation or trading.
5.10.5 Disclosure of shortfall—Must disclose to Client	7.20 DISCLOSURE OF SHORTFALL 7.20.1 Must disclose to client	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
5.10.6 Expenses—Reimbursement for out-of-pocket expenses	16.16 EXPENSES 16.16.1 Reimbursement for Out-Of-Pocket Expenses	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
5.10.7 Nominee holdings—Restrictions on when an Equity Security can be recorded in the name of a nominee company	7.19 NOMINEE HOLDINGS 7.19.1 Restrictions on when an Equity Security can be recorded in the name of a nominee company	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
Chapter 6: Takeovers		<i>[Chapter heading]</i>

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
Part 6.1 Market Bid—Announcements by Market Participant	20.2 MARKET BID—ANNOUNCEMENTS BY MARKET PARTICIPANT	<i>[Part heading]</i>
6.1.1 Announcement of Market Bid	20.2.1 Announcement of Market Bid	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
6.1.2 Announcement of variations to Market Bid	20.2.2 Announcement of variations to Market Bid	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
Part 6.2 Acquisition of Cash Market Products During the Bid Period	20.3 ACQUISITION OF CASH MARKET PRODUCTS DURING THE BID PERIOD	<i>[Part heading]</i>
6.2.1 Acquisition of Cash Market Products by Bidder	20.3.1 Acquisition of Cash Market Products by Bidder Procedure 20.3.1 Acquisition of Traded Products by Bidder	ASIC has adopted this ASX Market Rule and Procedure as a single Market Integrity Rule, with drafting amendments.
6.2.2 Acquisition of Cash Market Products by another Bidder	20.3.2 Acquisition of Cash Market Products by another Bidder Procedure 20.3.2 Acquisition of Trade Products by another Bidder	ASIC has adopted this ASX Market Rule and Procedure as a single Market Integrity Rule, with drafting amendments.
Part 6.3 Market Participant acting for Bidder or Issuer	20.5 MARKET PARTICIPANT ACTING FOR BIDDER OR ISSUER	<i>[Part heading]</i>
6.3.1 Market Participant to advise seller if acting for Bidder or Issuer	20.5.1 Market Participant to advise seller if acting for Bidder or Issuer	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
Part 6.4 Limitations on Late, Overseas and Overnight Crossings During a Takeover Bid or Scheme	20.6 LIMITATIONS ON LATE, OVERSEAS AND OVERNIGHT CROSSINGS DURING A TAKEOVER BID OR SCHEME	<i>[Part heading]</i>

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
6.4.1 Late, overseas and overnight Crossings in Cash Market Products	20.6.1 Late, overseas and overnight Crossings in Cash Market Products	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. The Market Integrity Rule sets out the type of Crossings to which the Rule applies.
6.4.2 Crossings after Trading Close in Derivatives Market Contracts	20.6.2 Crossings after Trading Close in Derivatives Market Contracts	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. The Market Integrity Rule sets out the type of Crossings to which the Rule applies.
6.4.3 Late, overseas and overnight Crossings and Crossings after Trading Close in Combinations	20.6.3 Late, overseas and overnight Crossings and Crossings after Trading Close in Combinations	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. The Market Integrity Rule sets out the types of Crossings to which the Rule applies.
Part 6.5 Special Crossings Prohibited During Offer Period	20.8 SPECIAL CROSSINGS PROHIBITED DURING OFFER PERIOD	<i>[Part heading]</i>
6.5.1 Special Crossings in Cash Market Products (excluding Warrants)	20.8.1 Special Crossings in Cash Market Products (excluding Warrants)	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.
6.5.2 Special Crossings in Warrants	20.8.2 Special Crossings in Warrants	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, without drafting amendments.
6.5.3 Special Crossings in Derivatives Market Contracts	20.8.3 Special Crossings in Derivatives Market Contracts	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, without drafting amendments.
6.5.4 Special Crossings in Combinations	20.8.4 Special Crossings in Combinations	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, without drafting amendments.
Part 6.6 Limitations on Crossings during buy-back conducted On-Market	20.9 LIMITATIONS ON CROSSINGS DURING BUY-BACK CONDUCTED ON-MARKET	<i>[Part heading]</i>
6.6.1 Special Crossing in Cash Market Products (excluding Warrants) on behalf of Issuer	20.9.1 Special Crossing in Cash Market Products (excluding Warrants) on behalf of Issuer	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments.

ASIC/ASX MIR	ASX Market Rule/Procedure/Appendices to Procedure	Explanation of any differences
6.6.2 Crossings after Trading Close and Special Crossings in Derivatives Market Contracts	20.9.2 Crossings after Trading Close and Special Crossings in Derivatives Market Contracts	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. The Market Integrity Rule sets out the type of Crossings to which the Rule applies.
6.6.3 Crossings after Trading Close and Special Crossings in Combination	20.9.3 Crossings after Trading Close and Special Crossings in Combinations	ASIC has adopted this ASX Market Rule as a Market Integrity Rule, with drafting amendments. The Market Integrity Rule sets out the types of Crossings to which the Rule applies.
Chapter 7 Rules applying to Market Operators		<i>[Chapter heading]</i>
Part 7.1 Data feeds		<i>[Part heading]</i>
7.1.1 Provision of live electronic data from the Trading Platform		This is a new Market Integrity Rule that sets out requirements in relation to the provision of electronic data to ASIC from the Trading Platform.
7.1.2 Notification		This is a new Market Integrity Rule that sets out notification requirements for the purposes of Market Integrity Rule 7.1.1.
Part 7.2 Information		<i>[Part heading]</i>
7.2.1 Provision of information about Market Participants		This is a new Market Integrity Rule that sets out requirements in relation to the provision of information to ASIC about Market Participants.

**Table 2: Tracing ASX Market Rules to ASIC Market Integrity Rules (ASX Market) 2010**

ASX Market Rule	ASIC/ASX MIR
1.5 WAIVER	Part 1.2 Waiver
1.5.1 Waiver of rules and procedures	1.2.1 Waiver of Rules
1.5.2 Compliance with conditions	1.2.2 Compliance with conditions
1.5.3 No relief from certain provisions	<b><i>No equivalent market integrity rule proposed</i></b>
1.5.4 Period during which relief applies	1.2.3 Period during which relief applies
1.5.5 Register of relief	1.2.4 Register
1.5.6 Inspection of register	<b><i>No equivalent market integrity rule proposed</i></b>
1.5.7 Waiver generally	<b><i>No equivalent market integrity rule proposed</i></b>
1.6 NOTICE, NOTIFICATION AND SERVICE OF DOCUMENTS	Part 1.3 Notice, notification and service of documents
1.6.1 Notice must be in writing	<b><i>No equivalent market integrity rule proposed</i></b>
1.6.2 Methods of giving notice in writing	<b><i>No equivalent market integrity rule proposed</i></b>
1.6.3 Delivery of notice	<b><i>No equivalent market integrity rule proposed</i></b>
1.6.4 Market Participant to have e-mail	1.3.1 Market Participant to have email
1.6.5 Failure to notify	<b><i>No equivalent market integrity rule proposed</i></b>
2.1 GENERAL PRINCIPLES OF INTERPRETATION	1.4.1 References to time
2.2.1 Words and expressions defined have the same meaning in these Rules	1.4.2 Words and expressions defined in the Corporations Act
2.4.2 Conduct by officers, employees or agents	1.1.6 Conduct by officers, Employees or agents



ASX Market Rule	ASIC/ASX MIR
2.4.3 State of mind of a person	1.1.7 State of mind of a person
2.10 DEFINITIONS	1.4.3 Definitions
3.3.2 Assessment of character	2.1.4 Persons involved in the business—Good fame and character requirement
3.4.2 Integrity of applicant which is a body corporate	2.1.4 Persons involved in the business—Good fame and character requirement
3.6 MANAGEMENT REQUIREMENTS	Part 2.1 Management requirements
3.6.1 Management structure	2.1.1 Management structure 2.1.2 Notification of management structure
3.6.3 Supervisory procedures	2.1.3 Supervisory procedures
3.6.4 Persons involved in the business	2.1.4 Persons involved in the business—Good fame and character requirement
3.6.5 Responsible Executive requirements	2.1.4 Persons involved in the business—Good fame and character requirement 2.3.1 Appointment or resignation of Responsible Executives 2.1.5 Unprofessional Conduct
3.6.6 Suitably qualified affiliate	<b><i>No equivalent market integrity rule proposed</i></b>
4.1.1 General Compliance by Market Participants	2.1.5 Unprofessional Conduct
4.1.2 Responsibility for individuals involved in business	2.1.6 Responsibility for individuals involved in business
4.1.3 Responsibilities of Responsible Executive	2.3.2 Ongoing responsibilities of Market Participants in relation to Responsible Executives 2.3.3 Annual review and representation to Market Participant
4.3.2 Change of Directors, Responsible Executives, management structures and other details	2.3.1 Appointment or resignation of Responsible Executives 2.1.2 Notification of management structure

ASX Market Rule	ASIC/ASX MIR
4.6 INSURANCE REQUIREMENTS	Part 2.2 Insurance and information requirements
4.6.1 Obligation to have insurance	2.2.1 Insurance requirements—Obligation to have insurance
4.6.2 Insurance with Related Body Corporate	2.2.2 Insurance requirements—Insurance with Related Body Corporate
4.6.3 Notification of amount and period of cover	2.2.3 Insurance requirements—Notification of amount and period of cover
4.6.4 Notification of claims	2.2.4 Insurance requirements—Notification of claims
4.6.5 Notification of other matters	<b><i>No equivalent market integrity rule proposed</i></b>
4.7 BUSINESS CONNECTIONS BETWEEN MARKET PARTICIPANTS	Part 5.2 Business connections between Market Participants
4.7.1 Connections requiring ASX consent	5.2.1 Connections requiring ASIC consent
4.7.2 Access to records	5.2.2 Access to records
4.7.3 Undertakings	<b><i>No equivalent market integrity rule proposed</i></b>
4.8.1 Responsible Executive compliance	2.3.4 Continuing education requirements for Responsible Executives
4.10 TRADING RECORDS	Part 4.1 Trading records
4.10.1 Record of dealings for clients	4.1.1 Record of dealings for clients
4.10.2 Record of dealings on own account	4.1.2 Record of dealings on Own Account
4.10.5 Records to be made immediately	4.1.3 Records to be made immediately
4.10.6 Records to be retained for prescribed period	4.1.4 Records to be retained for prescribed period
4.10.7 Certain records maintained by ASX	4.1.5 Certain records maintained by the Market Operator

ASX Market Rule	ASIC/ASX MIR
4.10.8 Conditions for reliance on ASX records	4.1.6 Conditions for reliance on the Market Operator records
4.10.9 Records of dealings for clients by a Market Participant who instructs another Trading Participant to execute the dealings	4.1.7 Records of dealings for clients by a Market Participant who instructs another Trading Participant to execute the dealings
4.10.10 Records of dealings on its own account by a Market Participant who instructs another Trading Participant to execute the dealings	4.1.8 Records of dealings on its Own Account by a Market Participant who instructs another Trading Participant to execute the dealings
4.11 ACCESS TO RECORDS	Part 4.3 Access to records
4.11.1 Records to be in writing and in English	4.3.1 Records to be in writing and in English
4.11.2 Records kept outside of Australia	4.3.2 Records kept outside of Australia
4.11.3 Costs of obtaining or translating information	<b><i>No equivalent market integrity rule proposed</i></b>
4.18.1 Obligation to notify	2.2.5 Information requirements—Obligation to notify of legal proceedings
5.9.1 Postponement of deliveries	5.8.5 Corners—Postponement of deliveries
5.9.2 Establishment of a fair settlement price	5.8.6 Establishment of a fair settlement price
7.1 REQUIREMENT—CLIENTS TRADING IN PRODUCTS FOR FIRST TIME	Part 3.1 Clients trading in products for first time
7.1.1 Documents to be given to a client	3.1.1 Documents to be given to a client 3.1.2 Documents to be given to a client: Options, LEPOs and Warrants 3.1.3 Information to be given to a client: Execution arrangements 3.1.4 Information to be given to a client: Clearing arrangements for Equity Securities, Loan Securities or Warrants 3.1.5 Information to be given to a client: Clearing arrangements for Futures Market Transactions

ASX Market Rule	ASIC/ASX MIR
7.1.2 Client Agreement required for Options Market Contracts, Futures Market Contracts, Warrants and Partly Paid Securities	3.1.6 Minimum terms of Client Agreement for Futures Market Contracts 3.1.7 Minimum terms of Client Agreement for Options Market Contracts 3.1.8 Client Agreement for Warrants 3.1.9 Client Agreement for Partly Paid Securities 3.1.10 Other terms of Client Agreements
7.1.3 Market Participants to keep copy of Client Agreement and disclosures	3.1.11 Market Participant to keep copy of Client Agreement and disclosures
7.1.4 Client agreement where Market Participant is not the Clearing Participant (Options Market Transactions only)	3.1.12 Client agreement where Market Participant is not the Clearing Participant (Options Market Transactions only)
7.1.5 Client agreement where Market Participant is the Clearing Participant (Options Market Transactions only)	3.1.13 Client agreement where Market Participant is the Clearing Participant (Options Market Transactions only)
7.1.6 Agreement with Wholesale Client (Options Market Transactions only)	<b><i>No equivalent market integrity rule proposed</i></b>
7.3 TRADING AS PRINCIPAL	Part 3.2 Trading as Principal
7.3.1 Application	3.2.1 Application
7.3.2 Disclosure and consent	3.2.2 Disclosure and consent
7.3.3 Confirmation must include disclosure	3.2.3 Confirmation must include disclosure
7.3.4 Brokerage and commission	3.2.4 Brokerage and commission
7.3.5 Extended meaning of dealing as Principal	3.2.5 Extended meaning of dealing as Principal
7.3.6 Register of persons who are regarded as Principal	3.2.6 Register of persons who are regarded as Principal
7.4 CLIENT INSTRUCTIONS	Part 3.3 Client instructions

ASX Market Rule	ASIC/ASX MIR
7.4.1 Market Participant restrictions	3.3.1 Market Participation restrictions
7.5 CLIENT ORDER PRIORITY	Part 5.1 Client order priority
7.5.1 Application and meaning of dealing on “own account”	5.1.1 Application and meaning of dealing on “Own Account”
7.5.2 Exceptions	5.1.2 Exceptions
7.5.3 Fairness and priority in dealing	5.1.3 Fairness and priority in dealing
7.5.4 Relevant factors	5.1.4 Relevant factors
7.5.5 Fairness and priority in allocation	5.1.5 Fairness and priority in allocation
7.5.6 Relevant factors	5.1.6 Relevant factors
7.6 MARKET FACILITATION FOR LARGE ORDERS—FUTURES MARKET CONTRACTS	Part 5.3 Large Order facilitation
7.6.1 Actions a Market Participant may take when insufficient opposite orders	5.3.1 Futures Market Contracts—Action a Market Participant may take when insufficient opposite orders
7.6.2 Application	5.3.2 Application
7.7.1 Disclosure to client	5.1.8 Allocation policy and Automated Client Order Processing Crossings—disclosure to client
7.8 TRANSACTIONS BY CONNECTED PERSONS (INCLUDING PERSONS CONNECTED WITH OTHER MARKET PARTICIPANTS)	Part 5.4 Transactions by connected persons(including persons connected with other Market Participants)
7.8.1 Application	5.4.1 Application
7.8.2 Internal consent required for trading by connected persons	5.4.2 Internal consent required for trading by connected persons

ASX Market Rule	ASIC/ASX MIR
7.9 REPORTING TO CLIENTS	Part 3.4 Reporting to Clients
7.9.1 Confirmations—form and timing	3.4.1 Confirmations—Form and timing
7.9.2 Confirmations—accumulation and price averaging	3.4.2 Confirmations—accumulation and price averaging
7.9.3 Confirmations—clients other than Retail Clients	3.4.3 Confirmations—clients other than Retail Clients
7.10.2 Derivatives Market Transactions and Warrants	2.4.22 Managed Discretionary Accounts—Derivatives Market Transactions and Warrants
7.10.5 Excessive transactions in Managed Discretionary Account	3.3.2 Excessive trading
7.11 CLIENT MONEY AND PROPERTY	3.5 Client Money and Property
7.11.1 Obligation to comply with Corporations Act	<b><i>No equivalent market integrity rule proposed</i></b>
7.11.2 Trust accounts—Cash Market Transactions and Options Market Transactions	3.5.1 Trust accounts—Cash Market Transactions and Options Market Transactions
7.11.3 Segregated accounts or trust accounts—Futures Market Transactions	3.5.2 Segregated accounts or trust accounts—Futures Market Transactions
7.11.4 Bank accounts to be with Australian ADI	3.5.3 Bank accounts to be with Australian ADI
7.11.5 Approved foreign banks	3.5.4 Approved foreign banks
7.11.6 Change of rating or approval of ADI	3.5.5 Change of rating or approval of ADI
7.11.7 Liquidity requirement—clients' segregated accounts—Futures Market Transactions	3.5.6 Liquidity requirement—clients' segregated accounts—Futures Market Transactions
7.11.8 Top up requirement—clients' segregated accounts—Futures Market Transactions	3.5.7 Top up requirement—clients' segregated accounts—Futures Market Transactions
7.11.9 Reconciliation of clients' segregated accounts	3.5.8 Reconciliation of clients' segregated accounts

ASX Market Rule	ASIC/ASX MIR
7.11.10 Reconciliation of trust accounts	3.5.9 Reconciliation of trust accounts
7.11.11 Obligation to notify ASX in respect of reconciliation	3.5.10 Obligation to notify ASIC in respect of reconciliation
7.11.12 Schedule of trust amounts	3.5.11 Schedule of trust amounts
7.15.1 Market Participant must record	4.1.10 Telephone recording of Client dealings—Futures Market Transactions
7.16.1 Register of complaints and correspondence	4.2.2 Client complaints—Records of complaints and correspondence
7.16.2 Records to be kept	4.2.2 Client complaints—Records of complaints and correspondence
7.16.3 Provision of information to ASX	<b><i>No equivalent market integrity rule proposed</i></b>
7.16.4 Reporting requirement	<b><i>No equivalent market integrity rule proposed</i></b>
7.17 MONTHLY REPORTING REQUIREMENTS—DERIVATIVES MARKET TRANSACTIONS	<b><i>No equivalent market integrity rule proposed</i></b>
7.18 PROHIBITION OF ADVICE TO CLIENT	Part 3.6 Prohibition of advice to Client
7.18.1 Definitions used in this Rule 7.18	3.6.1 Definitions used in this Part 3.6
7.18.2 Market Participant possesses information that is not generally available	3.6.2 Market Participant possesses information that is not generally available
7.18.3 Chinese Walls in place	3.6.3 Chinese Walls in place
7.18.4 Certain actions do not constitute giving advice	3.6.4 Certain actions do not constitute giving advice
7.19.1 Restrictions on when an Equity Security can be recorded in the name of a nominee company	5.10.7 Nominee holdings—Restrictions on when an Equity Security can be recorded in the name of a nominee company
7.20.1 Must disclose to client	5.10.5 Disclosure of shortfall—Must disclose to client

ASX Market Rule	ASIC/ASX MIR
8.2.1 Registration by ASX	<b><i>No equivalent market integrity rule proposed</i></b>
8.2.2 Proposed rejection of application	<b><i>No equivalent market integrity rule proposed</i></b>
8.2.3 Registration criteria	2.5.5 DTR criteria
8.2.4 ASX may request further information	<b><i>No equivalent market integrity rule proposed</i></b>
8.2.5 ASX may grant conditional registration	<b><i>No equivalent market integrity rule proposed</i></b>
8.2.6 Ongoing requirements for DTRs	2.5.5 DTR criteria
8.2.7 ASX may suspend or withdraw registration	<b><i>No equivalent market integrity rule proposed</i></b>
8.2.8 Proposed withdrawal of registration under Rule 8.2.7	<b><i>No equivalent market integrity rule proposed</i></b>
8.2.9 Effect of suspension	<b><i>No equivalent market integrity rule proposed</i></b>
8.2.10 Appeal	<b><i>No equivalent market integrity rule proposed</i></b>
8.2.11 Withdrawal of registration after notification by Trading Participant	<b><i>No equivalent market integrity rule proposed</i></b>
8.2.12 Restrictions on DTRs	2.5.5 DTR criteria
8.2.13 Continuing professional education requirements	<b><i>No equivalent market integrity rule proposed</i></b>
8.2.14 Trading Participant must ensure DTR compliance	2.5.5 DTR criteria
8.3 RETAIL CLIENT ADVISERS MUST BE ACCREDITED	Part 2.4 Retail Client Adviser Accreditation
8.3.1 Accreditation required	2.4.1 Accreditation required
8.3.2 Purporting to be an accredited adviser	2.4.1 Accreditation required



ASX Market Rule	ASIC/ASX MIR
8.4.1 Types of accredited advisers	2.4.2 Extent of advice to clients—Level One Accredited Derivatives Adviser 2.4.4 Extent of advice to clients— Level Two Accredited Derivatives Adviser 2.4.5 Extent of advice to clients—Accredited Futures Adviser
8.5.1 Initial application	2.4.6 Accreditation—Accredited Futures Adviser 2.4.7 Accreditation—Level One Accredited Derivatives Adviser 2.4.8 Accreditation—Level Two Accredited Derivatives Adviser 2.4.9 Acceptance of application
8.5.2 Rejection of application	2.4.10 Rejection of application
8.6.1 Exemption for other accreditation and experience	2.4.11 Exemption for other accreditation and experience
8.6.2 Further information	2.4.11 Exemption for other accreditation and experience
8.6.3 Examination may be required	2.4.11 Exemption for other accreditation and experience
8.6.4 Perpetual exemptions previously granted continue to remain in force	<b>No equivalent market integrity rule proposed</b>
8.7.1 Maximum number of examinations	2.4.12 Examinations
8.7.2 Permission to sit additional examinations	2.4.12 Examinations
8.8.1 Renewal	2.4.13 Renewal of accreditation 2.4.14 Acceptance of application
8.8.2 Renewal subject to conditions	2.4.15 Rejection of application or renewal subject to conditions
8.8.3 Effect of non-renewal	2.4.16 Effect of non-renewal
8.8.4 Recently accredited advisers	<b>No equivalent market integrity rule proposed</b>

ASX Market Rule	ASIC/ASX MIR
8.9.1 Automatic withdrawal	2.4.17 Automatic withdrawal of accreditation
8.9.2 Notice of events resulting in automatic withdrawal	2.4.17 Automatic withdrawal of accreditation
8.9.3 Voluntary withdrawal	2.4.18 Voluntary withdrawal of accreditation
8.9.4 Notice of voluntary withdrawal	2.4.18 Voluntary withdrawal of accreditation
8.9.5 Suspension or withdrawal by ASX	2.4.19 Suspension or withdrawal by ASIC
8.10.1 Re-accreditation	2.4.20 Re-accreditation after withdrawal or expiry
8.11.1 Market Participant to ensure professional education requirements met	2.4.21 Continuing Professional Education Requirements for Accredited Advisers
12.5.2 Trading Participant must allocate unique identifier	2.5.6 Trading Participant must allocate unique identifier
13.1.1 Responsibility of Trading Participant	2.5.4 Responsibility of Trading Participant
13.1.2 Knowledge of Trading Participant	5.5.1 Knowledge of Trading Participant
13.1.3 Trading in a Trading Platform	2.5.1 Trading in a Trading Platform
13.1.5 Organisational and technical resources	5.5.2 Organisational and technical resources
13.1.6 Trading management arrangements	5.5.3 Trading management arrangements
13.1.t10 Records—identification of order source	2.5.7 Records—DTRs 5.5.4 Trading management arrangements—Records
13.2.1 Trading Participant must have a DTR	2.5.2 Trading Participant must have a DTR
13.2.2 DTRs may submit Trading Messages	2.5.3 DTRs may submit Trading Messages
13.3 AUTOMATED ORDER PROCESSING	Part 5.6 Automated Order Processing—Filters, conduct and infrastructure

ASX Market Rule	ASIC/ASX MIR
13.3.1 Automated Order Processing	5.6.1 Responsible use of system for Automated Order Processing
13.3.2 Authorised Persons for Automated Client Order Processing	5.6.2 Authorised Persons for Automated Client Order Processing
13.3.3 Records regarding Authorised Persons	4.1.9 Records regarding Authorised Persons
13.3.4 Certification prior to conducting Automated Order Processing	5.6.3 Automated Order Processing system requirements 5.6.4 Review of documentation and systems prior to use of Automated Order Processing system 5.6.5 Representations as to organisational and technical resources, trading management arrangements and security arrangements, prior to use of Automated Order Processing system 5.6.6 Certification of Automated Order Processing system
13.3.5 Material changes	5.6.7 Material changes
13.3.6 Further certification	5.6.11 Further certification
13.3.8 Limitations on Automated Order Processing	5.6.12 Limitations on Automated Order Processing
13.4 PREVENTION OF MANIPULATIVE TRADING	Part 5.7 Manipulative trading
13.4.1 False or misleading appearance	5.7.1 False or misleading appearance
13.4.2 Circumstances of Order	5.7.2 Circumstances of Order
13.4.4 Obligations apply to Automated Order Processing	5.7.3 Obligations apply to Automated Order Processing
13.5 PROHIBITION ON WASH TRADES, PRE-ARRANGED TRADES AND DUAL TRADING—FUTURES	5.8 Prohibition on wash trades, pre-arranged trades and dual trading—Futures
13.5.1 Application of Rule 13.5	5.8.1 Application of Rule 5.8

ASX Market Rule	ASIC/ASX MIR
13.5.2 Wash trades	5.8.2 Wash trades
13.5.3 Pre-arranged trades	5.8.3 Pre-arranged trades
13.5.4 Dual trading	5.8.4 Dual trading
14.1 FAIR AND ORDERLY MARKETS POWER	Part 5.9 Fair And orderly Markets
14.1.1 Market must remain fair and orderly	5.9.1 Market must remain fair and orderly
14.1.2 Market Participant must comply with instructions of Market Control	<b>No equivalent market integrity rule proposed</b>
14.1.3 DTR must be available	5.9.2 Representative must be available
14.1.4 Must not take advantage of breakdown or malfunction	5.9.3 Must not take advantage of breakdown or malfunction
14.1.5 ASX orderly markets powers	<b>No equivalent market integrity rule proposed</b>
16.1 DEALING IN CASH MARKET PRODUCTS FOR WHICH OFFICIAL QUOTATION IS REQUIRED	Part 5.10 Dealing In Cash Market Products
16.1.1 Trading Participants may not deal in Cash Market Products for which Official Quotation will be sought	5.10.1 Trading Participants may not deal in Cash Market Products for which Official Quotation will be sought
16.1.2 When Trading Participants may deal in Cash Market Products for which Official Quotation will be sought	5.10.2 When Trading Participants may deal in Cash Market Products for which Official Quotation will be sought
16.1.3 Dealings in Securities for which Official Quotation will not be sought	5.10.3 Dealings in Securities for which Official Quotation will not be sought
16.1.4 Dealings in Cash Market Products suspended from Official Quotation	5.10.4 Dealings in Cash Market Products suspended from Official Quotation
16.16.1 Reimbursements for out-of-pocket expenses	5.10.6 Expenses—Reimbursement for out-of-pocket expenses
20.2 MARKET BID—ANNOUNCEMENTS BY MARKET PARTICIPANT	Part 6.1 Market Bid—Announcements by Market Participant

ASX Market Rule	ASIC/ASX MIR
20.2.1 Announcement of Market Bid	6.1.1 Announcement of Market Bid
20.2.2 Announcement of variations to Market Bid	6.1.2 Announcement of variations to Market Bid
20.3 ACQUISITION OF CASH MARKET PRODUCTS DURING THE BID PERIOD	Part 6.2 Acquisition of Cash Market Products During the Bid Period
20.3.1 Acquisition of Cash Market Products by Bidder	6.2.1 Acquisition of Cash Market Products by Bidder
20.3.2 Acquisition of Cash Market Products by another Bidder	6.2.2 Acquisition of Cash Market Products by another Bidder
20.4 ACTION ASX WILL TAKE IN RESPECT OF TAKEOVER BIDS AND SCHEMES	<b>No equivalent market integrity rule proposed</b>
20.5 MARKET PARTICIPANT ACTING FOR BIDDER OR ISSUER	Part 6.3 Market Participant acting for Bidder or Issuer
20.5.1 Market Participant to advise seller if acting for Bidder or Issuer	6.3.1 Market Participant to advise seller if acting for Bidder or Issuer
20.6 LIMITATIONS ON LATE, OVERSEAS AND OVERNIGHT CROSSING DURING A TAKEOVER BID OR SCHEME	Part 6.4 Limitations on Late, Overseas and Overnight Crossings during a Takeover Bid or Scheme
20.6.1 Late, overseas and overnight Crossings in Cash Market Products	6.4.1 Late, overseas and overnight Crossings in Cash Market Products
20.6.2 Crossings after Trading Close in Derivatives Market Contracts	6.4.2 Crossings after Trading Close in Derivatives Market Contracts
20.6.3 Late, overseas and overnight Crossings and Crossings after Trading Close in Combinations	6.4.3 Late, overseas and overnight Crossings and Crossings after Trading Close in Combinations
20.7 PROHIBITION ON SHORT SELLING DURING OFFER PERIOD	<b>No equivalent market integrity rule proposed</b>
20.7.1 Short Selling Prohibited	<b>No equivalent market integrity rule proposed</b>
20.8 SPECIAL CROSSINGS PROHIBITED DURING OFFER PERIOD	Part 6.5 Special Crossings Prohibited During Offer Period
20.8.1 Special Crossings in Cash Market Products (excluding Warrants)	6.5.1 Special Crossings in Cash Market Products (excluding Warrants)

ASX Market Rule	ASIC/ASX MIR
20.8.2 Special Crossings in Warrants	6.5.2 Special Crossings in Warrants
20.8.3 Special Crossings in Derivatives Market Contracts	6.5.3 Special Crossings in Derivatives Market Contracts
20.8.4 Special Crossings in Combinations	6.5.4 Special Crossings in Combinations
20.9 LIMITATIONS ON CROSSINGS DURING MARKET BUY-BACK CONDUCTED ON-MARKET	Part 6.6 Limitations on Crossings during buy-back conducted On-Market
20.9.1 Special Crossing in Cash Market Products (excluding Warrants) on behalf of Issuer	6.6.1 Special Crossing in Cash Market Products (excluding Warrants) on behalf of Issuer
20.9.2 Crossings after Trading Close and Special Crossings in Derivatives Market Contracts	6.6.2 Crossings after Trading Close and Special Crossings in Derivatives Market Contracts
20.9.3 Crossings after Trading Close and Special Crossings in Combinations	6.6.3 Crossings after Trading Close and Special Crossings in Combinations
25.4.1 Trading Participant not to make Bids or Offers	5.1.7 Unexecuted order in Underlying Financial Products—Trading Participant not to make Bids or Offers

**Table 3: Tracing ASX Procedures to ASIC Market Integrity Rules (ASX Market) 2010**

ASX Procedure	ASIC/ASX MIR
1.6.2 METHODS OF GIVING NOTICE IN WRITING	1.3.2 Methods of giving notice in writing
2.10 DEFINITIONS • “Renewal Date”	1.4.3 Definitions • “Renewal Date”
3.6.3 SUPERVISORY PROCEDURES	<b><i>No equivalent market integrity rule proposed</i></b>
3.6.5 RESPONSIBLE EXECUTIVE REQUIREMENTS	2.3.1 Appointment or resignation of Responsible Executives
4.1.3 RESPONSIBILITIES OF RESPONSIBLE EXECUTIVE	2.3.3 Annual review and representation to Market Participant
4.8.1 RESPONSIBLE EXECUTIVE COMPLIANCE	1.4.3 Definitions • “Compliance Education” • “Compliance Education Requirements” 2.3.4 Continuing education requirements for Responsible Executives 2.3.5 Annual continuing education and compliance self-assessment
4.9.2 RECORDS	4.2.1 General recordkeeping requirements
4.10.6 RECORDS TO BE MAINTAINED FOR PRESCRIBED PERIOD	4.1.4 Records to be retained for prescribed period
4.10.8 RELIANCE ON ASX RECORDS	4.1.6 Conditions for reliance on the Market Operator records
7.1.1 DOCUMENTS TO BE GIVEN TO A CLIENT	3.1.2 Documents to be given to a client: Options, LEPOs and Warrants 3.1.3 Information to be given to a client: Execution arrangements 3.1.4 Information to be given to a client: Clearing arrangements for Equity Securities, Loan Securities or Warrants 3.1.5 Information to be given to a client: Clearing arrangements for Futures Market Transactions

ASX Procedure	ASIC/ASX MIR
7.1.2 CLIENT AGREEMENT REQUIRED FOR OPTIONS, FUTURES, WARRANTS AND PARTLY PAID SECURITIES	3.1.6 Minimum terms of Client Agreement for Futures Market Contracts 3.1.7 Minimum terms of Client Agreement for Options Market Contracts 3.1.8 Client Agreement for Warrants 3.1.9 Client Agreement for Partly Paid Securities
7.1.3 MARKET PARTICIPANT TO KEEP COPY OF CLIENT AGREEMENT AND DISCLOSURES	3.1.11 Market Participant to keep copy of Client Agreement and disclosures
7.1.4(d) CLIENT AGREEMENT WHERE MARKET PARTICIPANT IS NOT THE CLEARING PARTICIPANT (OPTIONS ONLY)	<b>No equivalent market integrity rule proposed</b>
7.1.5(b) CLIENT AGREEMENT WHERE MARKET PARTICIPANT IS THE CLEARING PARTICIPANT (OPTIONS ONLY)	<b>No equivalent market integrity rule proposed</b>
7.6 MARKET FACILITATION FOR LARGE ORDERS—FUTURES	5.3.2 Application
7.9.1 CONFIRMATIONS—FORM AND TIMING	3.4.1 Confirmations—Form and timing
7.11.5 APPROVED FOREIGN BANKS	3.5.4 Approved foreign banks
7.11.8 TOP UP REQUIREMENT—CLIENTS' SEGREGATED ACCOUNTS—FUTURES	3.5.7 Top up requirement—clients' segregated accounts—Futures Market Transactions
7.11.9 RECONCILIATION OF CLIENTS' SEGREGATED ACCOUNTS	3.5.8 Reconciliation of clients' segregated accounts
7.11.10 RECONCILIATION OF TRUST ACCOUNTS	3.5.9 Reconciliation of trust accounts
7.11.11 OBLIGATION TO NOTIFY ASX IN RESPECT OF RECONCILIATION	<b>No equivalent market integrity rule proposed</b>
7.16.2 RECORDS TO BE KEPT (CLIENT COMPLAINTS)	4.2.2 Client complaints—Records of complaints and correspondence
7.17.2 MONTHLY STATEMENTS TO CLIENTS (DTP PRODUCTS)	<b>No equivalent market integrity rule proposed</b>



ASX Procedure	ASIC/ASX MIR
8.2.1 REGISTRATION BY ASX (DTRS)	<b><i>No equivalent market integrity rule proposed</i></b>
8.2.13 CONTINUING PROFESSIONAL EDUCATION REQUIREMENTS	<b><i>No equivalent market integrity rule proposed</i></b>
8.2.14 TRADING PARTICIPANT MUST ENSURE DTR COMPLIANCE	<b><i>No equivalent market integrity rule proposed</i></b>
8.3.1 ACCREDITATION REQUIRED (RETAIL CLIENT ADVISERS)	2.4.1 Accreditation required
8.4.1 TYPES OF ACCREDITED ADVISERS	2.4.2 Extent of advice to clients—Level One Accredited Derivatives Adviser 2.4.3 Covered Call Option Strategy 2.4.4 Extent of advice to clients—Level Two Accredited Derivatives Adviser 2.4.5 Extent of advice to clients—Accredited Futures Adviser
8.5.1 INITIAL APPLICATION (ACCREDITED ADVISER)	2.4.6 Accreditation—Accredited Futures Adviser 2.4.7 Accreditation—Level One Accredited Derivatives Adviser 2.4.8 Accreditation—Level Two Accredited Derivatives Adviser
8.7.2 PERMISSION TO SIT ADDITIONAL EXAMINATIONS	2.4.12 Examinations
8.8.1 RENEWAL OF ACCREDITATION	1.4.3 Definitions • “Renewal Period” 2.4.13 Renewal of accreditation
8.8.3 EFFECT OF NON-RENEWAL	2.4.16 Effect of non-renewal
8.9.2 NOTICE OF EVENTS RESULTING IN AUTOMATIC WITHDRAWAL	2.4.17 Automatic withdrawal of accreditation
8.9.4 NOTICE OF VOLUNTARY WITHDRAWAL	2.4.18 Voluntary withdrawal of accreditation

ASX Procedure	ASIC/ASX MIR
8.10.1 RE-ACCREDITATION	2.4.20 Re-accreditation after withdrawal or expiry 2.4.21 Continuing Professional Education Requirements for Accredited Advisers
8.11 CONTINUING PROFESSIONAL EDUCATION REQUIREMENTS	2.4.21 Continuing Professional Education Requirements for Accredited Advisers
13.1.10 RECORDS—IDENTIFICATION OF ORDER SOURCE	2.5.7 Records—DTRs 5.5.4 Trading management arrangements—Records
13.3.3 RECORDS REGARDING AUTHORISED PERSONS	4.1.9 Records regarding Authorised Persons
13.3.4 CERTIFICATION PRIOR TO CONDUCTING AUTOMATED CLIENT ORDER PROCESSING	5.6.3 Automated Order Processing system requirements 5.6.4 Review of documentation and systems prior to use of Automated Order Processing system 5.6.5 Representations as to organisational and technical resources, trading management arrangements and security arrangements, prior to use of Automated Order Processing system 5.6.6 Certification of Automated Order Processing system
13.3.5 MATERIAL CHANGES	5.6.8 Material change review 5.6.9 Material change confirmation 5.6.10 Material change further certification
14.1.3 DTR MUST BE AVAILABLE	5.9.2 Representative must be available
16.1.3 DEALINGS IN SECURITIES FOR WHICH OFFICIAL QUOTATION WILL NOT BE SOUGHT	5.10.3 Dealings in Securities for which Official Quotation will not be sought
20.3.1 ACQUISITION OF TRADED PRODUCTS BY BIDDER	6.2.1 Acquisition of Cash Market Products by Bidder
20.3.2 ACQUISITION OF TRADE PRODUCTS BY ANOTHER BIDDER	6.2.2 Acquisition of Cash Market Products by another Bidder

ASX Procedure	ASIC/ASX MIR
20.4.1 ACTION ASX WILL TAKE IN RESPECT OF TAKEOVER BIDS AND SCHEMES	<b><i>No equivalent market integrity rule proposed</i></b>
31.4.4 SESSION STATES	1.4.3 Definitions <ul style="list-style-type: none"><li>• “CPSA Session State”</li><li>• “Late Trading Session State”</li><li>• “Open Session State”</li></ul>

**Table 4: Tracing ASX Appendices to Procedures to ASIC Market Integrity Rules (ASX Market) 2010**

ASX Appendices to Procedures	ASIC/ASX MIR
4.1.3 Responsibilities of Responsible Executive	2.3.3 Annual review and representation to Market Participant
4.8—2 Responsible Executive (RE) Continuing education self assessments	2.3.5 Annual continuing education and compliance self-assessment
7.1.2—1 Futures client agreement—minimum terms	3.1.6 Minimum terms of Client Agreement for Futures Market Contracts
7.1.2— Addendum to Futures Client Agreement—Futures Contracts over an Underlying Commodity which is Grain—Client Agreement —Minimum Terms	<b><i>No equivalent market integrity rule proposed</i></b>
7.1.2—2 Options client agreements—minimum terms	3.1.7 Minimum terms of Client Agreement for Options Market Contracts
7.1.2—3 ASX warrant client agreement form	3.1.8 Client Agreement for Warrants
7.1.2—4 Partly Paid Security Client Agreement Form	3.1.9 Client Agreement for Partly Paid Securities
7.1.4 Wholesale client agreements—options market contract only	<b><i>No equivalent market integrity rule proposed</i></b>
7.11.9 Reconciliation of Client Funds	3.5.8 Reconciliation of clients' segregated accounts
8.2.1—1 Application to be a DTR under Market Rule 8.2.1	<b><i>No equivalent market integrity rule proposed</i></b>
8.2.1—2 Application to be a trainee DTR	<b><i>No equivalent market integrity rule proposed</i></b>
8.2.1—4 Application to establish a special liability limit for a DTR or trainee DTR	<b><i>No equivalent market integrity rule proposed</i></b>
8.5.1(A)—1 Application to be an accredited futures adviser	2.4.6 Accreditation—Accredited Futures Adviser
8.5.1(A)—2 Application to be a level one accredited derivatives adviser	2.4.7 Accreditation—Level One Accredited Derivatives Adviser
8.5.1(A)—3 Application to be a level two accredited derivatives adviser	2.4.8 Accreditation—Level Two Accredited Derivatives Adviser
8.5.1(D)—1 Declaration by applicant for accreditation as an accredited futures adviser	2.4.6 Accreditation—Accredited Futures Adviser

ASX Appendices to Procedures	ASIC/ASX MIR
8.7.2 Application for sitting additional accreditation examination under rule 8.7	2.4.12 Examinations
8.8.1(C) Application for renewal of accreditation under rule 8.8	2.4.13 Renewal of accreditation
8.9.2 Notification of withdrawal of accreditation under rule 8.9	2.4.17 Automatic withdrawal of accreditation
	2.4.18 Voluntary withdrawal of accreditation
8.10.1(A) Application for re-accreditation when previously withdrawn or expired under rule 8.10	2.4.20 Re-accreditation after withdrawal or expiry
13.3.4 Certification of automated order processing systems	5.6.3 Automated Order Processing system requirements
	5.6.4 Review of documentation and systems prior to use of Automated Order Processing system
	5.6.5 Representations as to organisational and technical resources, trading management arrangements and security arrangements, prior to use of Automated Order Processing system
	5.6.6 Certification of Automated Order Processing system
13.3.5(A) AOP material change confirmation	5.6.9 Material change confirmation
13.3.5(B) AOP material change —further certification	5.6.10 Material change further certification
20.4 Takeover bids and schemes	<b><i>No equivalent market integrity rule proposed</i></b>
31—Part 1 Session States and Parameters	1.4.3 Definitions
	• “CPSA Session State”
	• “Late Trading Session State”
	• “Open Session State”