



ASIC
Australian Securities &
Investments Commission

ASIC Corporations (Warrants: Out-of-use notices) Instrument 2019/148

I, Anthony Graham, delegate of the Australian Securities and Investments Commission, make the following legislative instrument.

Date: 12 March 2019

Anthony Graham

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Part 1—Preliminary

1 Name of legislative instrument

This is the *ASIC Corporations (Warrants: Out-of-use notices) Instrument 2019/148*.

2 Commencement

This instrument commences on the day after it is registered on the Federal Register of Legislation.

Note: The register may be accessed at www.legislation.gov.au.

3 Authority

This instrument is made under paragraph 1020F(1)(a) of the *Corporations Act 2001*.

4 Definitions

In this instrument:

Act means the *Corporations Act 2001*.

document includes, in relation to a Product Disclosure Statement, 2 or more separate documents given at the same time which make up the Product Disclosure Statement in accordance with section 1013L of the Act.

issue situation has the meaning given by subsection 1012B(2) of the Act.

Multiple Warrant Statement means a document in relation to which the following apply:

- (a) the document has set out in it 2 or more Product Disclosure Statements or Supplementary Product Disclosure Statements for warrants;
- (b) the responsible person for each Statement is the same.

recommendation situation has the meaning given by subsection 1012A(2) of the Act.

responsible person has the same meaning as in Division 2 of Part 7.9 of the Act (see subsection 1013A(3) and section 1014F).

sale situation has the meaning given by subsection 1012C(2) of the Act.

Statement means a Product Disclosure Statement or a Supplementary Product Disclosure Statement.

warrant has the meaning given by subregulation 1.0.02(1) of the *Corporations Regulations 2001*.

Part 2—Exemption

5 Exemption from out-of-use notice requirement for Multiple Warrant Statements

A responsible person for a Statement for warrants that forms part of a Multiple Warrant Statement does not have to comply with subsection 1015D(2) of the Act for the event referred to in paragraph 1015D(2)(c) until all the warrants to which the Multiple Warrant Statement relates cease to be available to be recommended or offered to new clients in a recommendation, issue or sale situation.