



21 October 2015

Ms Charlotte Hope  
Senior Adviser, Listings Compliance (Sydney)  
ASX Compliance Pty Ltd  
20 Bridge Street  
Sydney NSW 2000

By email to: Charlotte.Hope@asx.com.au

Dear Ms Hope,

I refer to your letter dated 21 October 2015 and provide the answers to your questions as follows:

1. Following the announcement of the departure of Mr Liubao Qian from the Board, the Company awaited for confirmation of his final shareholding. Mr Qian, a resident in Shanghai, was not contactable after the announcement from 1 October 2015, being the National Day holiday week in China. In the meantime the person responsible for compliance at the Company has been travelling overseas. Due to those circumstances and an oversight the Appendix 3Z was lodged after the due date.
2. All the Directors are advised of their obligations at the time of their appointment to inform the Company of their shareholdings in the Company at the time of appointment on and departure from the Board and of any changes during their tenure of office for the purposes of compliance reporting. A person at the Company is assigned the responsibility to assist in reporting compliance. This arrangement has worked well except in this one instance explained in paragraph 1 above. In addition the Company is informed of changes to its share register on a regular basis which would identify any changes in shareholdings of a Director if not timely reported by a Director.
3. The Company believes that it has adequate arrangements for compliance with listing rule 3.19B.

Yours truly,

A handwritten signature in black ink, appearing to read 'John Wang', is written over a light blue horizontal line.

John Wang  
Managing Director/Secretary





21 October 2015

Mr John Wang  
World Tower Suite 1312  
87-89 Liverpool Street  
SYDNEY NSW 2000

By email: [jwang@ausmonresources.com.au](mailto:jwang@ausmonresources.com.au)

Dear Mr Wang

**Ausmon Resources Limited (the “Entity”): Appendix 3Z – Final Director’s Interest Notice**

We refer to the following;

1. The Appendix 3Z lodged by the Entity with ASX on Tuesday, 20 October 2015 for Mr Liubao Qian (the “Director Notice”);
2. Listing rule 3.19A which requires an entity to tell ASX the following:
  - 3.19A.3 The notifiable interests of a director of the entity (or in the case of a trust, a director of the responsible entity of the trust) at the date that the director ceases to be a director. The entity must complete Appendix 3Z and give it to ASX no more than 5 business days after the director ceases to be a director.
3. Listing rule 3.19B which states as follows.

An entity must make such arrangements as are necessary with a director of the entity (or in the case of a trust, a director of the responsible entity of the trust) to ensure that the director discloses to the entity all the information required by the entity to give ASX completed Appendices 3X, 3Y and 3Z within the time period allowed by listing rule 3.19.A. The entity must enforce the arrangements with the director.

As the Appendix 3Z indicated that the director ceased to be a director on 30 September 2015 it appears the Appendix 3Z should have been lodged with ASX by 8 October 2015. As it was lodged on 20 October 2015, it appears that there may have been a breach by the Entity of listing rules 3.19A and/or 3.19B

Please note that ASX is required to record details of breaches of the listing rules by listed entities for its reporting requirements.

ASX reminds the Entity of its contract with ASX to comply with the listing rules. In the circumstances ASX considers that it is appropriate that the Entity make necessary arrangements to ensure there is not a reoccurrence of a breach of the listing rules.



Having regard to listing rules 3.19A and 3.19B and Guidance Note 22: *Director Disclosure of Interests and Transactions in Securities - Obligations of Listed Entities*, under listing rule 18.7 we ask that you answer each of the following questions.

1. Please explain why the Appendix was lodged late.
2. What arrangements does the Entity have in place under listing rule 3.19B with its directors to ensure that it is able to meet its disclosure obligations under listing rule 3.19A?
3. If the current arrangements are inadequate or not being enforced, what additional steps does the Entity intend to take to ensure compliance with listing rule 3.19B?

Your response should be sent to me by e-mail at [charlotte.hope@asx.com.au](mailto:charlotte.hope@asx.com.au). It should not be sent to the ASX Market Announcements Office.

A response is requested as soon as possible and, in any event, not later than half an hour before the start of trading (ie before 9.30 a.m. A.E.D.T.) on Friday, 23 October 2015.

Under listing rule 18.7A, a copy of this letter and your response will be released to the market, so your response should be in a form suitable for release and must separately address each of the questions asked.

If you have any queries or concerns about any of the above, please contact me immediately.

Yours sincerely

*[Sent electronically without signature]*

Charlotte Hope  
**Senior Adviser, Listings Compliance (Sydney)**