



# CERTIFICATION AS TO RESOURCES AND PROCESSES

\_\_\_\_\_ (“Applicant”) is applying for admission as a participant  
Insert applicant name

in one or more of the following markets or clearing and settlement facilities:

- the ASX market operated by ASX Limited
- the ASX Clear facility operated by ASX Clear Pty Limited
- the ASX Settlement facility operated by ASX Settlement Pty Limited
- the ASX 24 market operated by Australian Securities Exchange Limited
- the ASX Clear (Futures) facility operated by ASX Clear (Futures) Pty Limited

This certification is provided pursuant to:

- ASX Operating Rule 1000(d) and the related Procedure
- ASX Clear Operating Rules 3.2.1(e) and 3.5.1 and ASX Clear Operating Rules Procedure 3.5.1
- ASX Settlement Operating Rules 4.3.1(h) (general settlement participants), 4.5.1(g) (account participants), 4.4A.1(g) (product issuer settlement participants) and 4.18.1 and ASX Settlement Operating Rules Procedure 4.18.1
- ASX 24 Operating Rule 1000(d) and the related Procedure
- ASX Clear (Futures) Operating Rules 4.2(e) and the related Procedure (as applicable).

**The Applicant hereby certifies** to ASX Limited and each of its related bodies corporate mentioned above (“ASX”) that it has the resources and processes in place to comply with its obligations under the Operating Rules for the markets and facilities in which it is seeking to become a participant.

In providing this certification, the applicant has had regard to:

- the Operating Rules;
- Operating Rules Guidance Note 1 *Admission as a Participant*;
- Operating Rules Guidance Note 9 *Offshoring and Outsourcing*;
- in the case of an applicant seeking to become a participant of the ASX Clear, ASX Settlement or ASX Clear (Futures) facilities, Operating Rules Guidance Note 10 *Business Continuity and Disaster Recovery*, and
- in the case of an applicant seeking to become a participant of the ASX Clear facility, Operating Rule Guidance Note 13 *Managing Liquidity Requirements*

for the markets and facilities in which it is seeking to become a participant.

The applicant has also had regard to:

- the standards expected of financial services licensees set out in ASIC Regulatory Guide 104 *AFS Licensing: Meeting the general obligations* and ASIC Regulatory Guide 105 *AFS Licensing: Organisational competence* (this applies even if the applicant does not hold an AFSL); and
- in the case of an applicant seeking to become a participant of the ASX or ASX 24 markets, the standards expected of participants set out in ASIC Regulatory Guide 265 *Guidance on ASIC market integrity rules for participants of securities markets* and/or ASIC Regulatory Guide 266 *Guidance on ASIC market integrity rules for participants of futures markets*.

Dated: \_\_\_\_\_

Signed: \_\_\_\_\_

\_\_\_\_\_  
Name and office/ capacity

## Notes:

1. Australian registered companies, execution should be under section 127 Corporations Act or power of attorney. If execution is by an entity other than an Australian registered company, additional evidence of authorisation may be required.
2. For the purposes of this certification, “resources” include financial, technological and human resources and “processes” include management supervision, training, compliance, risk management, business continuity and disaster recovery processes.
3. If required by ASX, the applicant must be able to demonstrate to the satisfaction of ASX, at any time, the basis on which the above certification is or was provided. This applies both before and after the applicant is admitted as a participant.
4. To be able to demonstrate the basis on which the certification is provided, ASX expects the applicant to have documented its key processes for meeting its obligations under the relevant Operating Rules.
5. Operating Rules Guidance Note 1 *Admission as a Participant* for each market and facility outlines the key processes the Applicant should have in place for these purposes.