



# ASX Online

## Participant Forms User Guide

November 2018



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## Introduction

### About this guide

This guide has been designed as a practical, customer reference for the Participant Forms facility within ASX Online.

 Please contact us on 131 ASX (131 279) if you have any queries regarding the content within this guide.

## 1. Overview of Participant Forms within ASX Online

This service facilitates the interaction with ASX on compliance matters using ASX Online.

The following points summarise the steps involved when using the facility and are described in detail in the remainder of this document:

- Access and navigate Participant Forms in ASX Online
- Select, edit and submit available forms
- Select, edit and submit initiated forms
- View historical forms you have submitted

## 2. Before you begin

### Pre-requisites

Before submitting a participant form you will require:

- Access to the Internet via your desktop or mobile device
- An ASX Online username and password
- Permission applied by your Enterprise Administrator to edit, submit or view Participant Forms
- Your entity to be setup as a participant with ASX

 If you do not have an ASX Online username, password or appropriate permissions applied, please contact your Enterprise Administrator or Compliance Manager.

If you do not know who your Enterprise Administrator is, please contact us on 131 ASX (131 279) or via email at [ASX.Online@asx.com.au](mailto:ASX.Online@asx.com.au).

## 3. Accessing the Participant Forms facility

The below steps describe the process for accessing Participant Forms. For further information on prerequisites and timelines please refer to the '**Before you begin**' section.

### Accessing the Participant Forms Facility

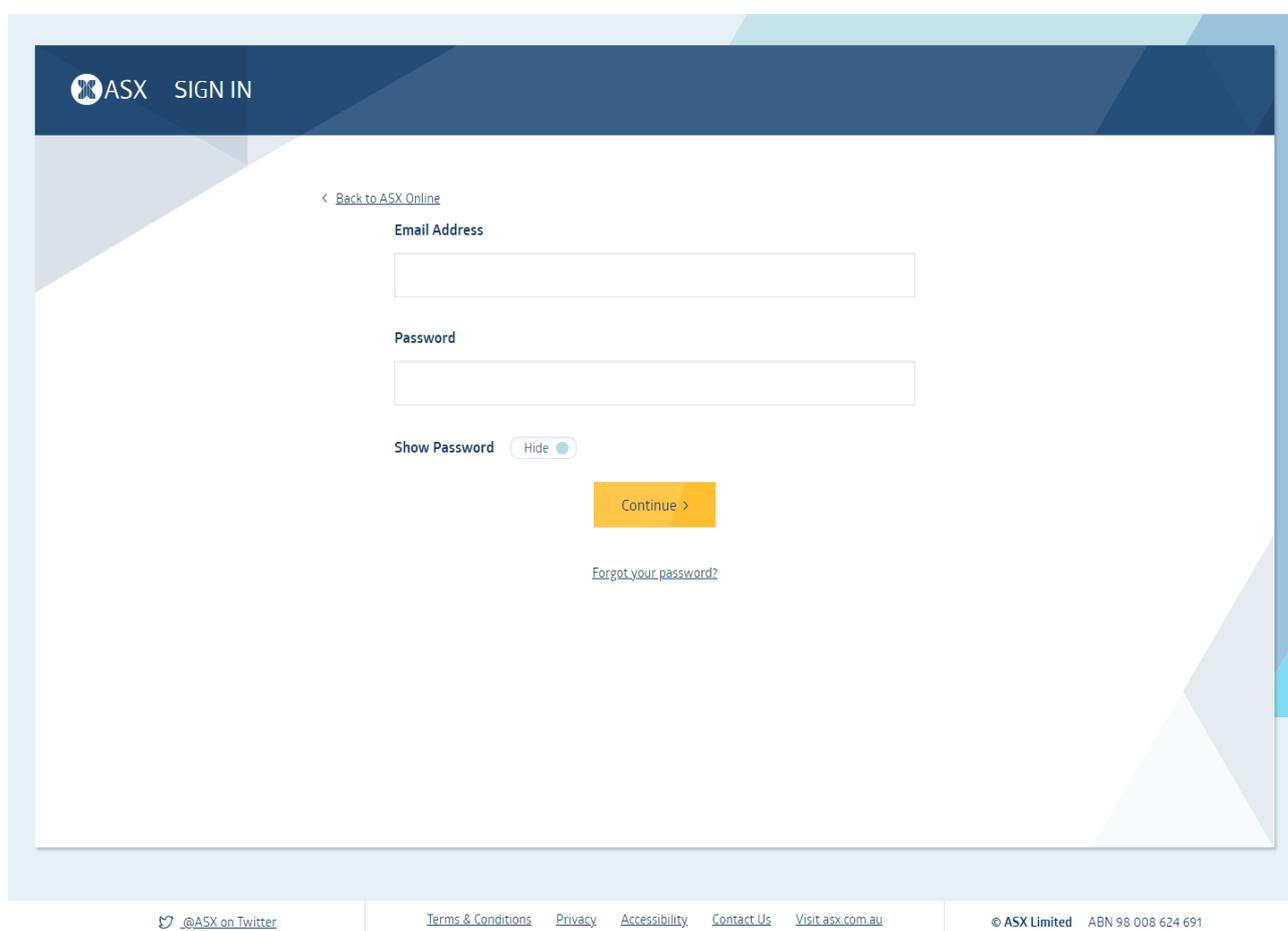
Using your web browser, navigate to <https://asxonline.com>

 The Participant Forms facility is compatible with most web browsers. However, to ensure full functionality and compatibility, ASX recommends using Google Chrome.

Select **Sign-in / Participant** from the top right of the dashboard and enter your username and password.

**i** If you do not have an ASX Online username, password or appropriate permissions applied, please contact your Enterprise Administrator or Compliance Manager.

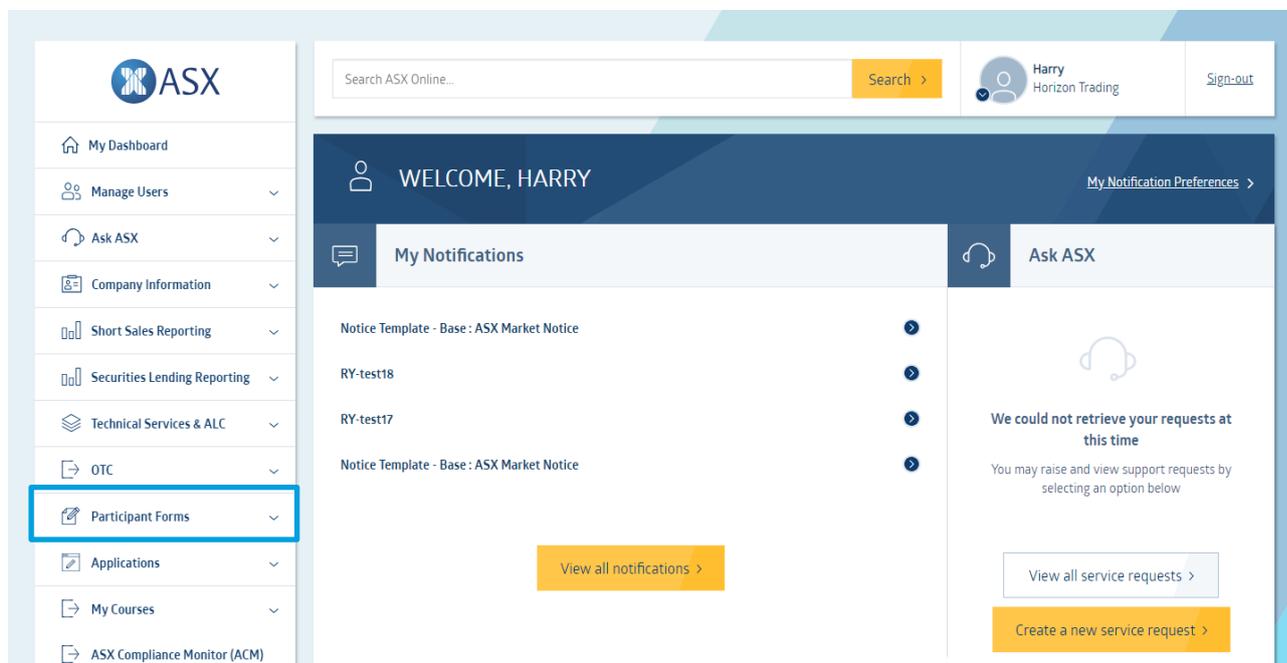
If you do not know who your Enterprise Administrator is, please contact us on 131 ASX (131 279) or via email at [ASX.Online@asx.com.au](mailto:ASX.Online@asx.com.au).



The screenshot shows the ASX Sign In page. At the top left, there is the ASX logo and the text "SIGN IN". Below this, there is a link "< Back to ASX Online". The main form area contains two input fields: "Email Address" and "Password". Below the "Password" field, there is a "Show Password" label and a "Hide" button with a toggle switch. A yellow "Continue >" button is positioned below the form fields. At the bottom of the form area, there is a link "[Forgot your password?](#)". The footer of the page contains a Twitter icon and the handle "@ASX.on Twitter", a row of links: "Terms & Conditions", "Privacy", "Accessibility", "Contact Us", and "Visit asx.com.au", and the copyright notice "© ASX Limited ABN 98 008 624 691".

The ASX Group's activities span primary and secondary market services, including capital formation and hedging, trading and price discovery (Australian Securities Exchange) central counter party risk transfer (ASX Clearing Corporation), and securities settlement for both the equities and fixed income markets (ASX Settlement Corporation).

Assuming you have been setup with the correct permissions by your Enterprise Administrator, you will see the **Participant Forms** facility in the left hand navigation.



Expanding the navigation panel allows your entity to either select:

**Available compliance forms:** used to start a new form, view forms still in draft (located under the **Initiated forms** section), or view forms submitted to ASX and pending finalisation.

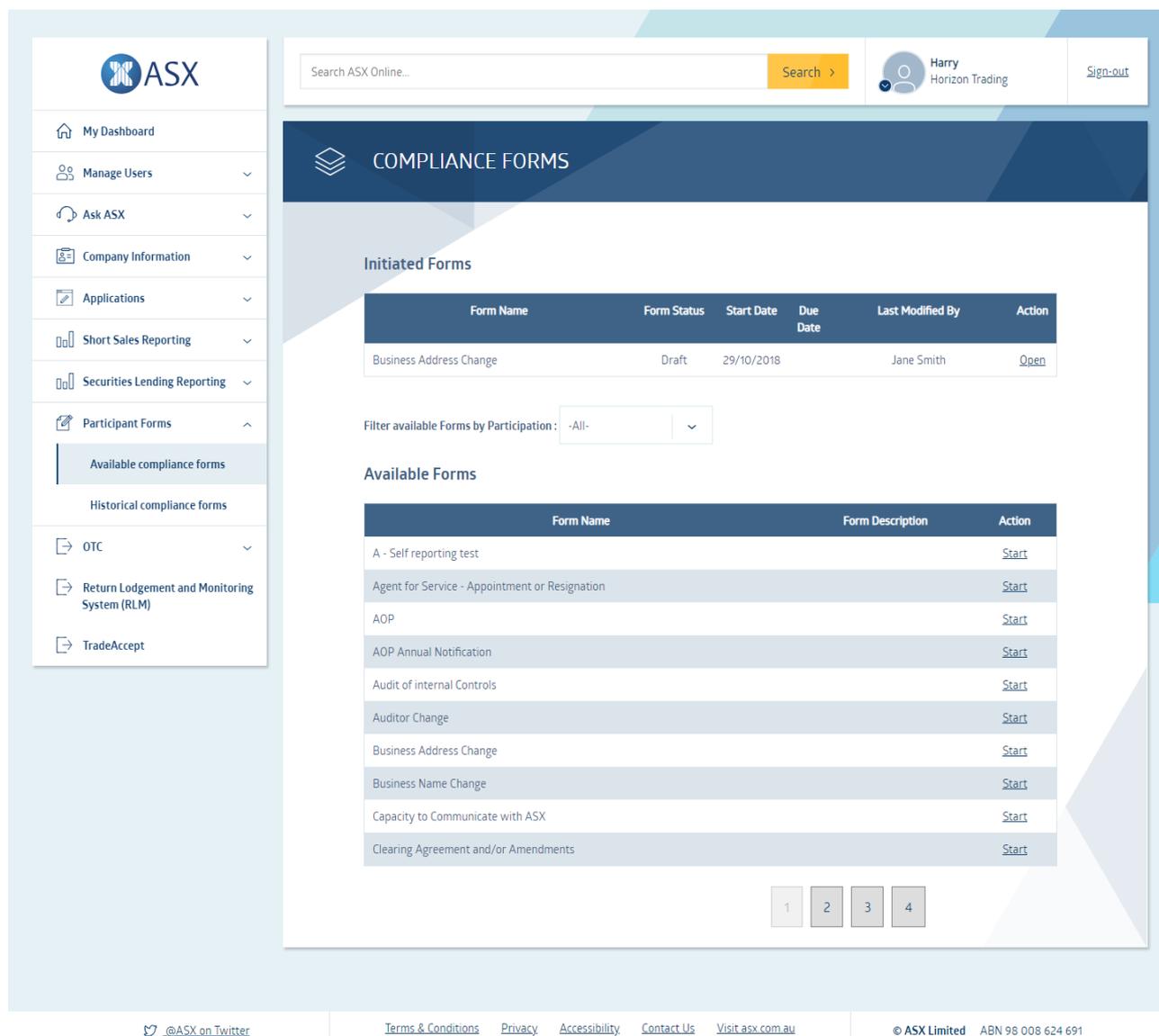
**Historical compliance forms:** used to view forms submitted by your entity that have been finalised by ASX.



#### 4. Starting a compliance form

To start a new form, select **Available compliance forms**.

You may filter the available forms by participation or use the buttons at the bottom of the page to locate the correct form and select **Start**.



Search ASX Online... [Search >](#) Harry Horizon Trading [Sign-out](#)

### COMPLIANCE FORMS

#### Initiated Forms

Form Name	Form Status	Start Date	Due Date	Last Modified By	Action
Business Address Change	Draft	29/10/2018		Jane Smith	<a href="#">Open</a>

Filter available Forms by Participation:

#### Available Forms

Form Name	Form Description	Action
A - Self reporting test		<a href="#">Start</a>
Agent for Service - Appointment or Resignation		<a href="#">Start</a>
AOP		<a href="#">Start</a>
AOP Annual Notification		<a href="#">Start</a>
Audit of internal Controls		<a href="#">Start</a>
Auditor Change		<a href="#">Start</a>
Business Address Change		<a href="#">Start</a>
Business Name Change		<a href="#">Start</a>
Capacity to Communicate with ASX		<a href="#">Start</a>
Clearing Agreement and/or Amendments		<a href="#">Start</a>

1 2 3 4

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The ASX Group's activities span primary and secondary market services, including capital formation and hedging, trading and price discovery (Australian Securities Exchange) central counter party risk transfer (ASX Clearing Corporation), and securities settlement for both the equities and fixed income markets (ASX Settlement Corporation).

Each form has a unique reference code which will remain with the form for its entire life-cycle.

**ASX**

**Business Address Change** Reference Code: WGR2C43

**NOTIFICATION INFORMATION** Fields marked with \* are required

**Introduction and Relevant Rule(s)**

Participants are required to notify ASX, ASX 24, ASX Clear, ASX Clear (Futures) and/or ASX Settlement, as applicable, in writing of any change to any address at which the participant carries on business as a participant before the change becomes effective.

Relevant Rules:  
ASX Operating Rule 1400(e) and associated Procedure 1400(e)1(b)  
ASX 24 Operating Rule 1400(e) and associated Procedure 1400(e)1(b)  
ASX Clear Operating Rule 4.7:1(b)  
ASX Clear (Futures) Operating Rule 4.14(c)(ii)  
ASX Settlement Operating Rule 4.6.1(b)

**Notification Type**

Confirm address change details (select both if applicable):

Removing an office location

Adding a new office location

[Continue >](#)

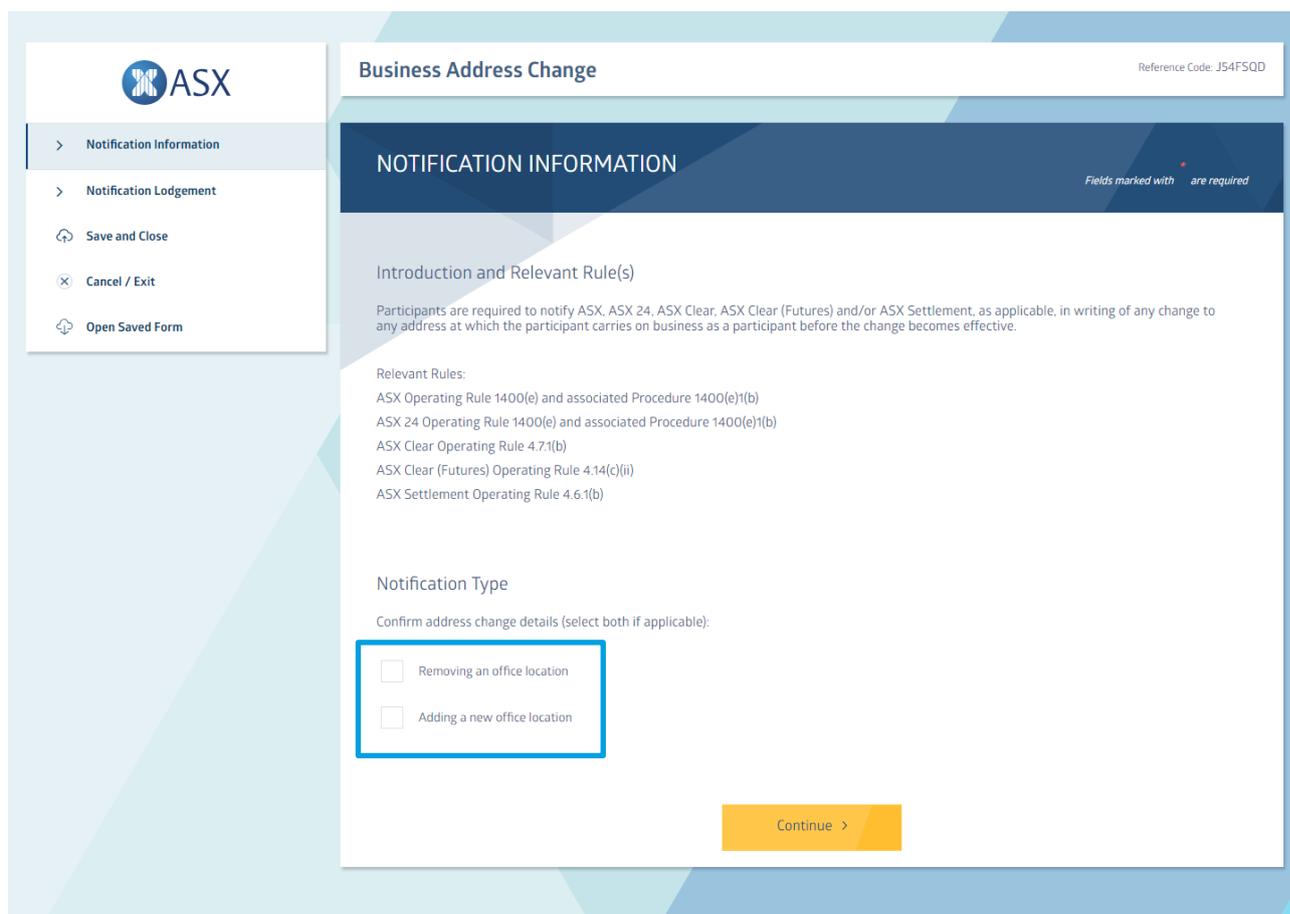
## 5. Navigating the form

Each form includes an introductory section and details of the relevant rules relating to the notification.

As you complete each section of the form the navigation panel on the top left hand side will change accordingly.

In the example below selecting **Removing an office location** opens additional navigation panels.

ASX expects you will navigate the forms in page order, however, if you need to adjust or remove an answer you may navigate by either using the navigation panel or by selecting **Back**.



**Business Address Change** Reference Code: J54FSQD

**NOTIFICATION INFORMATION** *Fields marked with \* are required*

**Introduction and Relevant Rule(s)**

Participants are required to notify ASX, ASX 24, ASX Clear, ASX Clear (Futures) and/or ASX Settlement, as applicable, in writing of any change to any address at which the participant carries on business as a participant before the change becomes effective.

Relevant Rules:

- ASX Operating Rule 1400(e) and associated Procedure 1400(e)1(b)
- ASX 24 Operating Rule 1400(e) and associated Procedure 1400(e)1(b)
- ASX Clear Operating Rule 4.7.1(b)
- ASX Clear (Futures) Operating Rule 4.14(c)(ii)
- ASX Settlement Operating Rule 4.6.1(b)

**Notification Type**

Confirm address change details (select both if applicable):

- Removing an office location
- Adding a new office location

**Continue >**



- > Notification Information
- > Removing an Office Location
- > Notification Lodgement
- 🔄 Save and Close
- ✕ Cancel / Exit
- 📄 Open Saved Form

## Business Address Change

Reference Code: 6CB9C46

### REMOVING AN OFFICE LOCATION

Fields marked with \* are required

**Address Removal:**

Confirm details of the address from which your participant will **cease** to operate its business as a participant.

Address Line 1 \*

Address Line 2

Suburb / City \*  State / Province \*  Postcode / Zipcode \*

Country \*

Confirm the date your participant will cease or has ceased to operate its business from this address:

Effective Date: \*

< Back
Continue >

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**i** Participant Forms may contain additional guidance which you can view by hovering the mouse or right clicking on the information icon.



- > Notification Information
- > Removing an Office Location
- > Notification Lodgement
- 🔄 Save and Close
- ✕ Cancel / Exit
- 📄 Open Saved Form

## Business Address Change

Reference Code: PSCTGTZ

### NOTIFICATION LODGEMENT

Fields marked with \* are required

Participants are required to notify ASX before the change(s) become effective.

**Lodgement Details:**

Were the changes notified to ASX in writing before they came into effect? \* **i**

Yes

No, the changes are already in place

Notification was provided to another ASX department outside of Participants Compliance

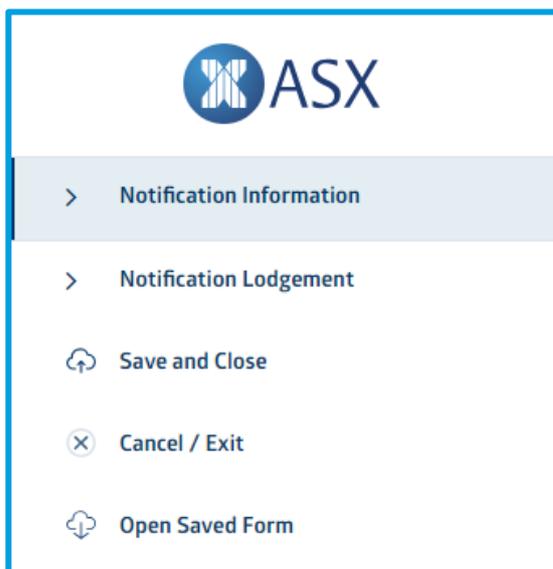
< Back
Submit >

The navigation banner also gives you the options to:

**Save and Close** your current form (saved forms will appear as **Draft** within the initiated forms section of the **Available compliance forms** navigation panel)

**Cancel/Exit** without saving

**Open Saved Forms**



## 6. Completing an available form

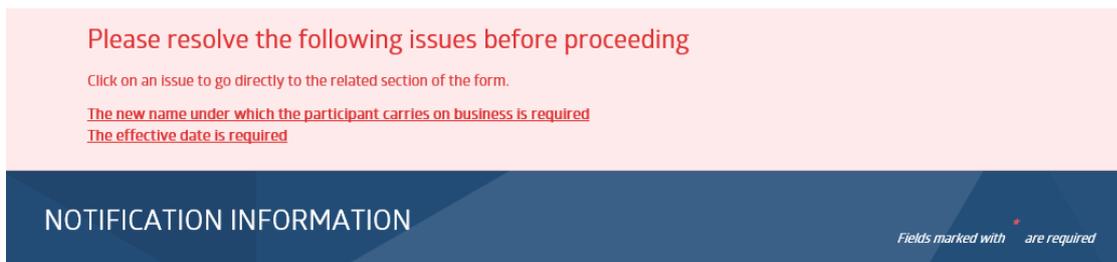
The below process outlines how to complete a form.

### Mandatory fields

Mandatory fields are marked with a red \*. Failure to complete a mandatory field will result in an error message when you try to proceed to the next page or submit the form. You will not be able to proceed until you address the error message.

 You can **Save and Close** a form without completing all mandatory fields on the page.

Each error message is displayed at the top of the form.



You can select each error and the form will navigate you to the relevant section requiring completion.

Provide the new business name: \*

**The new name under which the participant carries on business is required**

Effective Date: \*



**The effective date is required**

You can also manually scroll through the page to each error highlighted in red.

### Additional questions

How you complete a question will determine whether additional fields appear requesting more information.

Additional fields will either appear below the relevant question, or may appear later in the form.

#### Lodgement Details:

Is this notification being made to ASX before it came into effect?

- Yes
- No
- Notification was provided in writing to an ASX department other than Participants Compliance

Provide the name of the person the changes were notified to and/or the name of the other ASX department: \*

Provide the date the changes were notified in writing:

Lodgement Date: \*



## Uploading a PDF file

You may be asked to provide documents in the form of attachments. You have two options available:

- **Option 1:** Drag and drop
- **Option 2:** Select **Upload File**

**Option 1:** Drag and drop

You are able to attach files by dragging and dropping within the rectangle provided.

Attach a copy of the ASIC Certificate for the change of name: \*

*(Attach up to 5 documents with a maximum of 10MB each in pdf version.)*

Drop files here to attach

OR

Upload File >

**Option 2:** Select **Upload File**

You are able to attach files by selecting **Upload File**

Attach a copy of the ASIC Certificate for the change of name: \*

*(Attach up to 5 documents with a maximum of 10MB each in pdf version.)*

  
Drop files here to attach

OR

Upload File >

**i** ASX only accepts PDF documents for security purposes. Each form can only accept a total of 50MB of files with a maximum of 5 files per question and 20 in total per form.

If your files are too large, complete and submit the form and email the large files separately to your designated ASX Participants Compliance Adviser along with the forms reference code.

**i** ASX is not able to view attached files until the form has been submitted.

Once you have successfully uploaded a file a confirmation will appear.



An attached file can be opened to ensure it uploaded correctly, or can be **removed** by clicking the 

Please attach additional documentation relating to this matter, if relevant:

*(Attach up to 5 documents with a maximum of 10MB each in pdf version)*



Once removed a confirmation will appear.

Please attach additional documentation relating to this matter, if relevant:

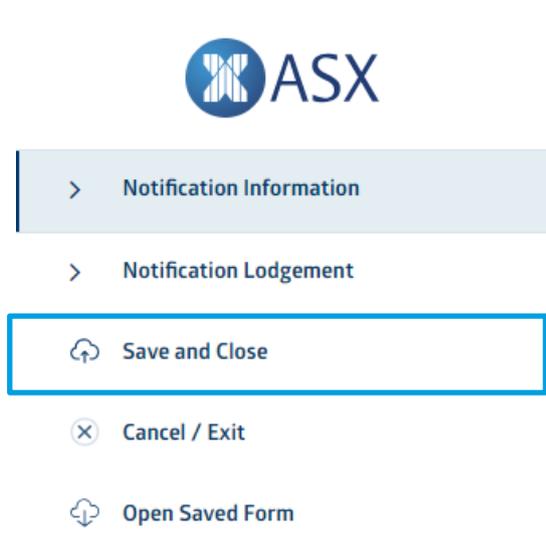
*(Attach up to 5 documents with a maximum of 10MB each in pdf version)*



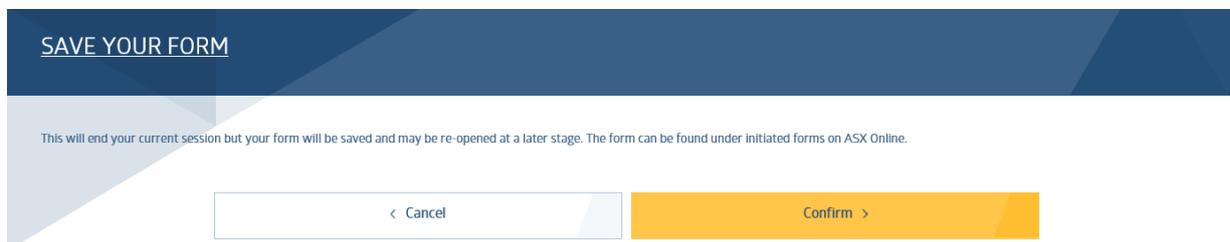
## 7. Saving a form

To save a form:

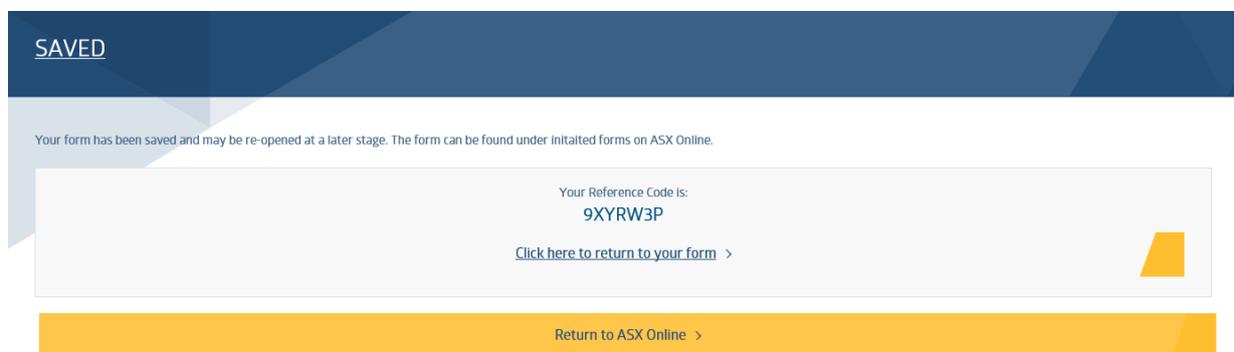
Select **Save and Close**.



Select **Confirm** or **Cancel**



You will receive a confirmation and Reference Code for the form.



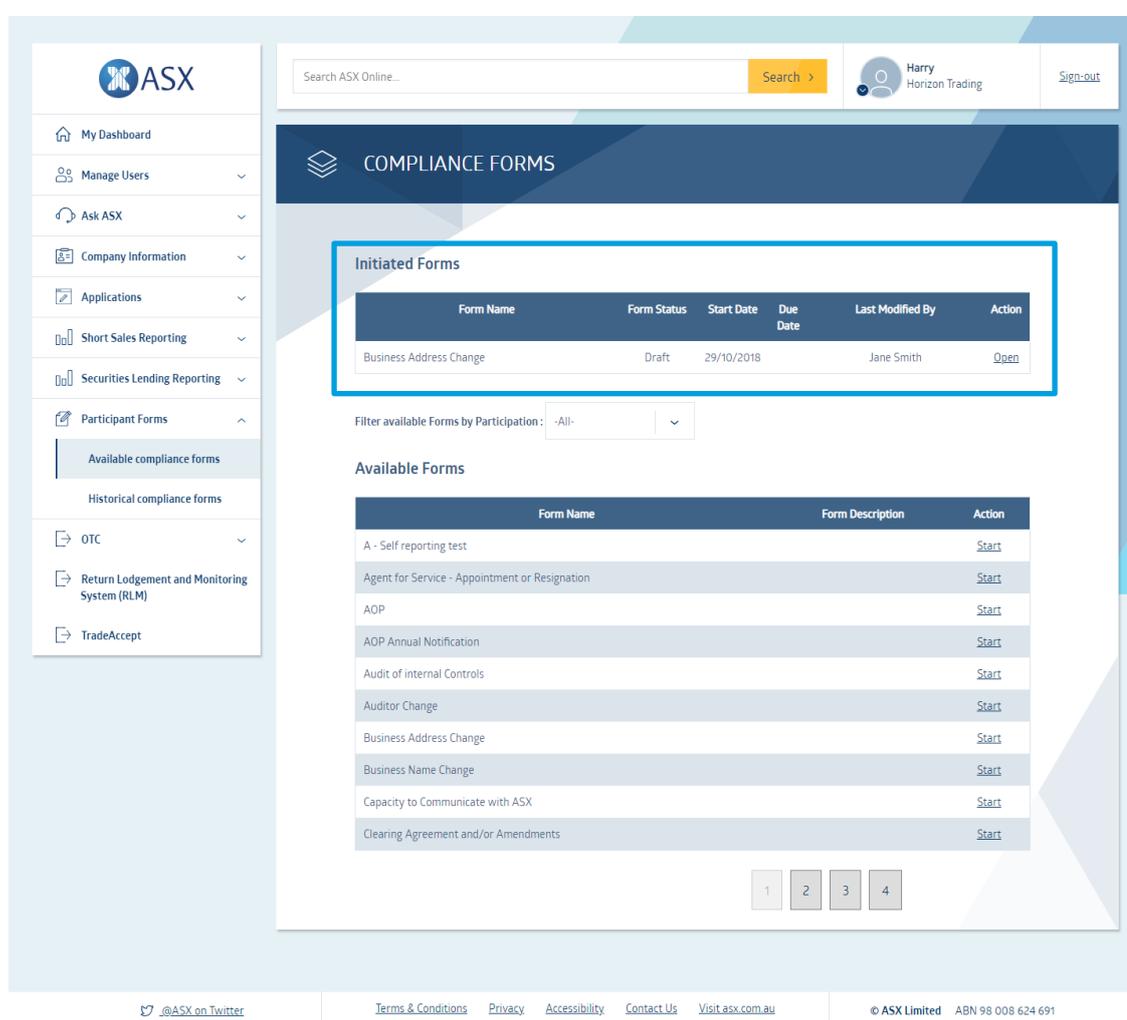
## 8. Opening saved forms

You can re-open a saved form using either:

- **Option 1: Initiated forms** section of the **Available forms** navigation panel
- **Option 2: Open Saved Form** function

### Option 1: Initiated forms

- You can access saved forms within the **Initiated forms** section of the **Available compliance forms** navigation panel. The forms will appear as **Draft** and record the start date and last modified by information.
- Select **Open** to access a saved form.



The screenshot displays the ASX Compliance Forms interface. On the left is a navigation menu with categories like 'Available compliance forms' and 'Historical compliance forms'. The main content area is titled 'COMPLIANCE FORMS' and features a table for 'Initiated Forms'. This table has columns for Form Name, Form Status, Start Date, Due Date, Last Modified By, and Action. A single row is visible for 'Business Address Change' with a status of 'Draft' and an 'Open' action link. Below this is a filter for participation and a list of 'Available Forms' with 'Start' action links for various form types.

Form Name	Form Status	Start Date	Due Date	Last Modified By	Action
Business Address Change	Draft	29/10/2018		Jane Smith	<a href="#">Open</a>

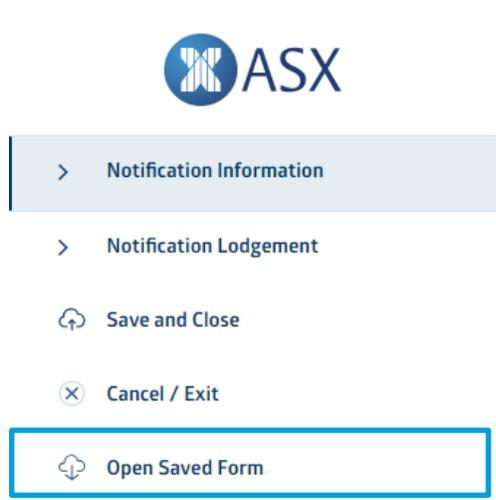
  

Form Name	Form Description	Action
A - Self reporting test		<a href="#">Start</a>
Agent for Service - Appointment or Resignation		<a href="#">Start</a>
AOP		<a href="#">Start</a>
AOP Annual Notification		<a href="#">Start</a>
Audit of internal Controls		<a href="#">Start</a>
Auditor Change		<a href="#">Start</a>
Business Address Change		<a href="#">Start</a>
Business Name Change		<a href="#">Start</a>
Capacity to Communicate with ASX		<a href="#">Start</a>
Clearing Agreement and/or Amendments		<a href="#">Start</a>

### Option 2: Open Saved Form

The **Open Saved Form** function in the navigation panel appears when you are in a form. This function requires you to enter the form's unique reference code.

**i** The unique reference code is case sensitive.



**OPEN YOUR SAVED FORM**

To resume your form please complete the following details.

Reference Code

When you saved your form you should have been provided a reference code.

Reference Code \*

< Cancel Confirm >

## 9. Submitting a form

To submit a form once you are satisfied all information is correct and accurate, you must ensure you have been assigned “Approver” permissions by your Enterprise Administrator. If you do not have “Approver” permissions, you must save the form and a user with “Approver” permission must submit the form.

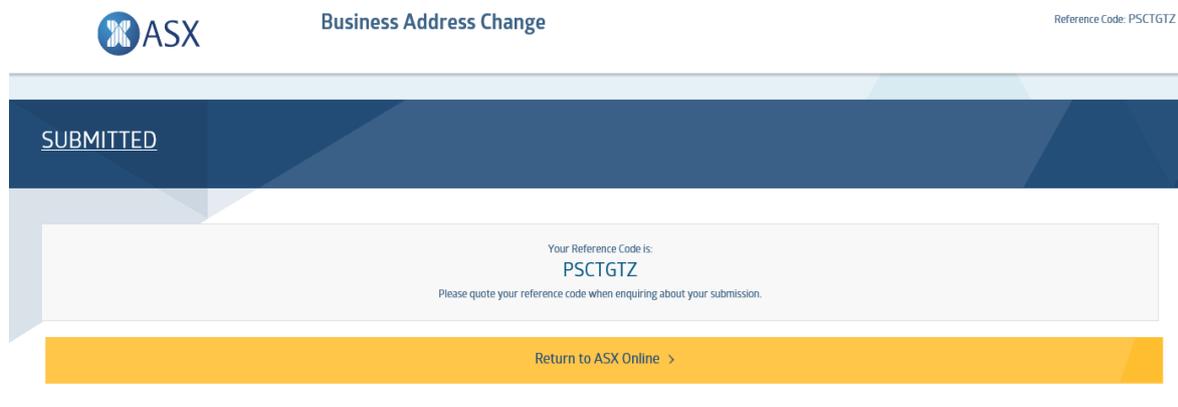
**i** If you do not have an ASX Online username, password or appropriate permissions applied, please contact your Enterprise Administrator or Compliance Manager.

If you do not know who your Enterprise Administrator is, please contact us on 131 ASX (131 279) or via email at [ASX.Online@asx.com.au](mailto:ASX.Online@asx.com.au).

Within the form select **Submit** at the bottom of the final page.



You will receive a confirmation and a reference code for this version of the form.



You will receive an email confirming your submission which will include a PDF copy of your notification. Both the email and PDF show the reference code for the notification.

The subject title of the email will be “ASX Compliance – [form name] form has been submitted”

**i** If you do not receive a confirmation email check your “junk” email folder, or review your email security settings to ensure it has not been blocked.

## 10. Finalising a form

Once you have submitted your form, your designated ASX Compliance Adviser will review the content. If additional information is required, the ASX Adviser will contact you.

If no further information is required the ASX Adviser will finalise the form. This action will trigger you to receive an email confirming the form has been finalised.

The subject title of the email will be *“ASX Compliance – [form name] form has been finalised”*

Your finalised form will then be moved automatically to [Historical compliance forms](#).

## 11. Abandoned forms

You will receive a courtesy email if a form has been started within the last 25 calendar days and has not been submitted to ASX.

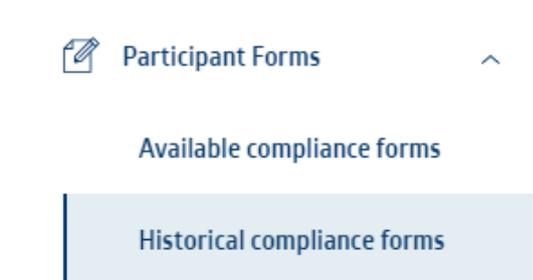
The subject title of the email will be *“ASX Compliance – [form name] form – no activity reminder”*

If no activity occurs on the form for a total of 30 calendar days, ASX Online will purge the form and all information in the form will be lost.

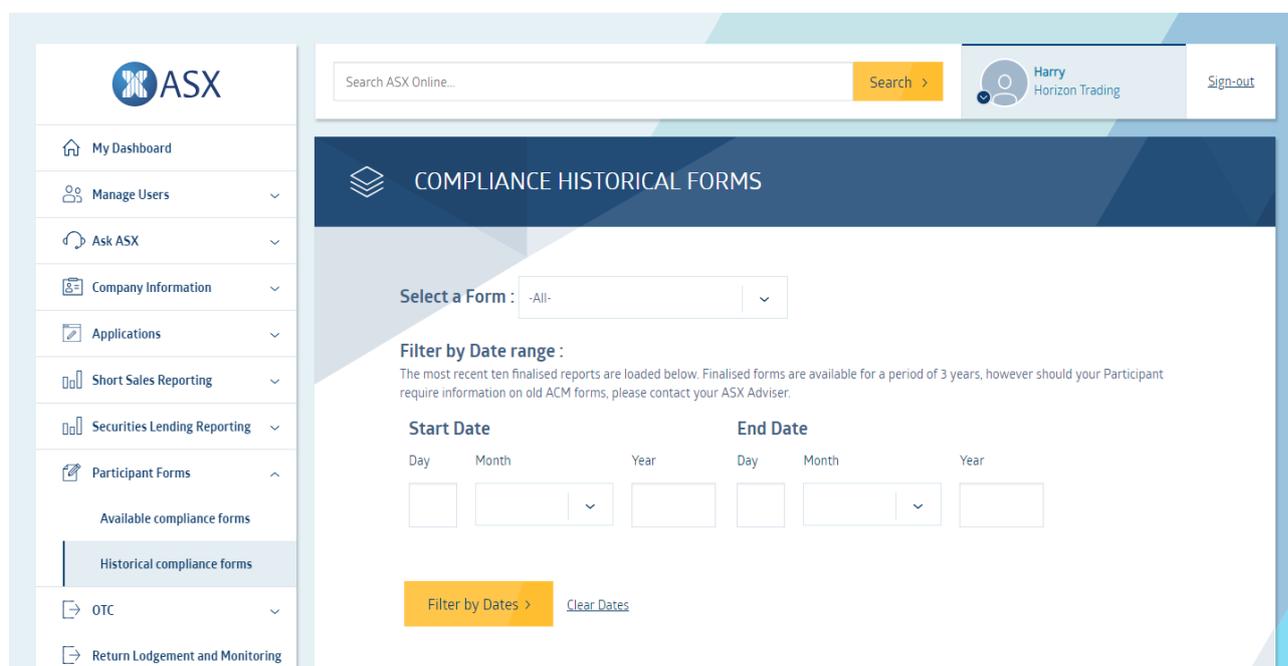
To avoid the form being purged, after receiving an email reminder you are recommended to open the form, update and save it. This action will restart the 30-day countdown.

## 12. Historical forms

Forms that you have submitted and which have been finalised by ASX will appear in **Historical compliance forms**.



You can select all forms or filter by date range.



## 13. Troubleshooting

If you experience difficulties in viewing and opening available forms check with your system administrator that “popup” notifications from ASX Online have not been restricted or blocked.

If you are unable to submit a form, check with your Enterprise Administrator that you have “Approver” permissions for Participant Forms.

If you are unable to view finalised forms, check with your Enterprise Administrator that you have “Viewer” permissions for Participant Forms.