

ASX ONLINE PARTICIPANT FORM NAME	PREVIOUS NAME IN ACM	NOTIFICATION DUE	NOTIFICATION DESCRIPTION	OPERATING RULE(S) AND PROCEDURE(S)				
				ASX	ASX 24	ASXC	ASXCF	ASXS
AVAILABLE FORMS								
Agent for Service - Appointment or Resignation	Agent for Service - Appointment or Resignation	As soon as practicable	A participant that is not incorporated or registered as a foreign company under the Corporations Act must notify ASX of the appointment or resignation of the participant's agent for service of process in Australia.	6404	6404	4.19.5	4.15A(e)	4.12.5
AOP - New and Further Certification	AOP - Certifications	At the same time that they are provided to, or received from, ASIC (as the case may be)	A trading participant must provide ASX with copies of the initial or further certification that the participant has provided to ASIC, and the confirmations that ASIC has provided to the participant in respect of the Participant's automated order processing system.	1000 (f) 1401(a) P: 1401(a)				
Audit of Internal Controls	Audit of Internal Controls	Immediately	A participant must notify ASX Clear and/or ASX Clear (Futures) in writing if an auditor identifies a significant issue in an ASIC Form FS 71 or equivalent report lodged with the Commission pursuant to Section 989B(3) of the Corporations Act.			4.5.4 P: 4.5.4	4.14(aa)	
Auditor Change	Auditor Change	Within 10 Business Days following the event	A participant must notify ASX Clear and/or ASX Clear (Futures) in writing of the appointment, removal or resignation of an auditor no later than 10 Business Days following the event.			4.5.3	4.14(ab)(ii)	
Business Address Change	Business Address Change	Before the change becomes effective	A participant must notify ASX in writing of any change to any address at which the participant carries on business as a participant before the change becomes effective.	1400(e) P: 1400(e)1(b)	1400(e) P: 1400(e)1(b)	4.7.1(b)	4.14(c)(ii)	4.6.1(b)
Business Name Change	Business Name Change	Before the change becomes effective	A participant must notify ASX in writing of any change to its name or the name under which it carries on business as a participant before the change becomes effective.	1400(e) P: 1400(e)1(a)	1400(e) P: 1400(e)1(a)	4.7.1(a)	4.14(c)(i)	4.6.1(a)
Capacity to communicate with ASX	Capacity to communicate with ASX	As soon as practicable after becoming aware	A participant must notify ASX, ASX Clear (Futures) and/or ASX Settlement as soon as practicable after becoming aware of any fact or matter or if it intends to take any action that will or may affect its capacity to communicate reliably with the ASX.			4.7.1(f) 6.1.1(b) P: 4.7.1(f)	4.14(o)	16.1.1(c)
Clearing Agreement or Amendments	Clearing Agreement - Amendments	Promptly upon entering in to a new or at least 10 Business Days prior to an amendment	A participant must notify ASX and/or ASX Clear promptly upon entering in to a new Clearing Agreement and of amendments to any Clearing Agreement at least 10 Business Days before the amendment becomes effective.	1003 Sch: 1.1021 and 1.1022		9.1.3 9.1.5 P: 9.1.3 P: 9.1.5		
Client Trust Account and Segregated Account Reconciliation	Client Trust Account and Segregated Account Reconciliation	Within 2 Business Days	A participant must notify ASX Clear within 2 Business Days in respect of a Client Trust Account or Segregated Account if it fails to perform a reconciliation, if there is a deficiency identified, or it is unable to reconcile a Client Trust Account.			4.23.7		
Controller - Change	Controller - Change	Immediately	A participant must notify ASX Clear and/or ASX Clear (Futures) in writing immediately if a person who is not a Controller becomes a Controller or a person who is a Controller ceases to be a Controller.			4.7.1(d)(i)	4.14(da)	
Director Change	Director Change	Within 10 Business Days of the event	A participant must notify ASX, ASX 24, ASX Clear and/or ASX Clear (Futures) in writing within 10 Business Days of the appointment, resignation or removal of a director.	1400(e) P: 1400(e)2(a)	1400(e) P: 1400(e)2(a)	4.7.1(c)	4.14(d)	
Direct Participant - Wholly-Owned Group Entity Notification	Direct Participant - Wholly-Owned Group Entity Notification	Annually on the anniversary of commencement or as far as practicable before cessation	A direct participant clearing for a Wholly-Owned Group Entity must provide ASX Clear with an annual certification confirming it continues to satisfy the definition of Wholly-Owned Group Entity or as far as practicable in advance if it ceases to satisfy the definition of Wholly-Owned Group Entity.			4.7.1(f) P: 4.7.1(f)(a) and (b)		
Incomplete, Inaccurate or Misleading Information	Incomplete, inaccurate, misleading info	Promptly	A participant must promptly notify ASX in writing if it becomes aware that information which it or its Employees have given previously to ASX was incomplete, inaccurate or misleading.	6704	6704	4.14.1(a)	4.11C	6.2.2
Intellectual Property Rights Indemnity	Intellectual Property Rights Indemnity	As soon as practicable after receipt of the written claim.	A participant wishing to claim indemnity from ASX Clear (Futures) in respect of a claim by a third party that the use or possession of Licenced Software infringes Intellectual Property rights must give notice to ASX Clear (Futures).				16.5	
Intention to Cease Clearing Market Contract	ASX Clear Futures - Intention to Cease Clearing Market Contract	Before the intended date of ceasing to clear	A participant must give notice of resignation to ASX Clear (Futures) in respect of one or more of its authorisations to clear a category or categories of Market Contracts to ASX Clear (Futures).				11.1	
Intention to Cease Clearing Market Transaction	ASX Clear - Intention to Cease Clearing Market Transaction	At least 20 Business Days before the intended date of ceasing to clear	A participant must give ASX Clear at least 20 Business days written notice when intending to cease clearing a category of market transaction.			3.10.1		
Legal Proceedings	Legal Proceedings	Immediately upon commencing or becoming aware of the proceedings	A participant, upon commencing or upon becoming aware of legal proceedings in connection with its role as a participant, must immediately notify ASX, ASX 24, ASX Clear and/or ASX Clear (Futures) in writing of the particulars of the proceedings.	5000 P: 5000(d)	5000 P: 5000(d)	4.13.1	4.14(m)	
Licence or Other Authorisation	Licence or Other Authorisation	Immediately	Participants are required to notify ASX in writing immediately if there is any change to a licence or other authorisation which authorises the participant to carry on its business as a participant.	1400(e) P: 1400(e)2(b)(i)	1400(e) P: 1400(e)2(b)(i)	4.7.1(d)(ii)	4.14(b)	4.3.2 4.6.1(d)
Managed Fund Settlement Service Certifications	Managed Fund Settlement Service Certifications	Within 10 Business Days of a material modification	A trading participant entering transactions using the Managed Fund Settlement Service must provide certification of their compliance with the requirements set out in ASXOR Procedure 4655(b)(ii) and 4655(b)(iii).	4655 P: 4655(b)(ii) & (iii)				
Material Change to Business	Material Change to Business	Immediately	A participant must notify ASX in writing immediately if there is any other material change in information concerning its business as a participant from that previously provided.	1400(e) P: 1400(e)2(b)(ii)	1400(e) P: 1400(e)2(b)(ii)	4.7.1(d)(iii)	4.14(db)	4.6.1(c)
	Outsourcing - Material Change to Business	Immediately	A participant must notify ASX in writing immediately if it enters an arrangement with another party to perform, on an ongoing basis, a material part of its business activities.					
Overseas Activity (Offshoring)	Overseas Activity	Prior to the activity being located or relocated overseas	A participant proposing to locate or relocate any part of its business as a participant or employees outside Australia, must provide written notification to ASX prior to the implementation of the Overseas Activity.	6400 P: 6400	6400 P: 6400	4.19.1 P: 4.19.1	4.15A(a) P: 4.15A(a)	4.12.1 P: 4.12.1
PI Insurance Claims	PI Insurance Claims	Immediately	A participant must notify ASX Clear and/or ASX Clear (Futures) of any notification made to its insurer of any claim, potential claim or circumstance that might give rise to a claim that relates in any way to its activities as a participant.			4.3.1(c) & (d) 4.3.2	4.14(e) P: 4.14(e)	
Reconciliation of Accumulation Account and other Holdings	Reconciliation of Accumulation and other Holdings	Within 5 Business Days in relation to a Holding and within 2 Business Days in relation to an Accumulation Account.	A participant must notify ASX Settlement within 5 Business Days if it is not able to reconcile a Holding and within 2 Business Days in respect of an Accumulation Account if it has not performed a reconciliation, it is not able to reconcile or it identifies a deficiency.					6.14.2 6.3A.4

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				ASX	ASX 24	ASXC	ASXCF	ASXS	
Regulatory Action	Regulatory Action	On or before the next Business Day	A participant must notify ASX, ASX Clear and/or ASX Clear (Futures) on or before the next Business Day if it is informed by the Commission or its delegates (or any other person authorised under the Corporations Act), an exchange, a market operator, a clearing and/or settlement facility or a regulatory body that action is being or may be taken against it or any of its Employees regarding its business as a participant.	1400(e) P: 1400(e)3	1400(e) P: 1400(e)3	4.7.1(e)	4.14(h)		
Self Reporting - Significant Breach	Self Report - Incl Significant Breach	Immediately	A participant must notify ASX in writing immediately if it becomes aware that it has breached any of the Rules or Procedures (including fraud by an Employee and/or insolvency) and if that breach is significant.	1400(e) 5000 P: 1400(e)4 P: 5000(a)	1400(e) 5000 P: 1400(e)4 P: 5000(a)	19.1A	4.11(f) 4.11B	12.18.1 12.18.3	
Transfers to Facilitate Settlement	Client Segregation Non-Compliance	Immediately	A participant must notify ASX Settlement immediately upon becoming aware that it has breached ASX Settlement Operating Rule 6.3B.1 to 6.3B.6					6.3B.1 6.3B.2 6.3B.3 6.3B.4 6.3B.4A 6.3B.5 6.3B.6 6.3B.9	
FORMS DUE SOON (These are forms made available on an ad-hoc basis or required to be submitted in accordance with a prescribed due date)									
ASX 24 NZ Participant Attestation	N/A	Annually before 31 January	A trading participant (other than a principal trader) trading on behalf of New Zealand customers must provide a signed attestation to ASX its activity for the previous calendar year.		1801 P: 1801				
Annual Group Structure Chart	N/A	Annually by 31 July	A participant must submit its group structure chart to ASX Clear and/or ASX Clear (Futures) as at 30 June each year by the following 31 July.			4.7.2 P: 4.7.2	4.14ac P: 4.14ac		
AOP Annual Notification	N/A	Annually within 10 Business days of 1 November (pursuant to ASIC MIR 5.6.6)	A trading participant must provide ASX with a copy of its annual notification that the participant has provided to ASIC, and the confirmations that ASIC has provided to the participant in respect of the participant's automated order processing system.	1000 (f) 1401(a) P: 1000 (f) P: 1401(a)					
Managed Fund Settlement Service Annual Certification	N/A	Annually within 10 Business Days of 30 June	A trading participant entering transactions using the Managed Fund Settlement Service must provide certification of their compliance with the requirements set out in ASXOR Procedure 4655(b)(ii) and 4655(b)(iii).	4655 P: 4655(b)(ii) and (iii)					
OTC Annual Attestation	Access arrangements and trade authorisation	Annually by 31 March	A participant must submit to ASX Clear (Futures) an Attestation for access arrangements and trade authorisation as per Schedule 7 of the OTC Handbook. The signed Attestation should be provided annually by March 31st (for the previous calendar year).				Sch 7 OTC Handbook		