

# ASX Participant Application Form

This application form is for entities seeking admission as a participant in any 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

All applicants are encouraged to read Guidance Note 1 *Admission as a Participant* for the market or facility in which they are seeking participation to understand ASX's admission requirements. Guidance Notes are available on the ASX website at: <http://www.asx.com.au/regulation/rules-guidance-notes-and-waivers.htm>.

ASX recommends that applicants discuss their proposed participation with ASX Participant Transitions (contact details below) prior to lodging this application form.

## Instructions

Complete the relevant parts of this form detailed in the table below and ensure that it is dated and signed in section 2 of Part A.

<b>Part A</b>	All applicants	All applicants must complete Part A and submit the associated annexures.
<b>Part B</b>	ASX market applicants	Applicants applying to be an ASX Market Participant (including as a Principal Trader) must complete Part B and submit the associated annexures.
<b>Part C</b>	ASX Clear applicants	Applicants applying to be a Direct Participant or a General Participant in ASX Clear must complete Part C and submit the associated annexures.
<b>Part D</b>	ASX Settlement applicants	Applicants applying to be a General Settlement Participant or Account Participant in ASX Settlement must complete Part D and submit the associated annexures.
<b>Part E</b>	ASX 24 market applicants	Applicants applying to be an ASX 24 Trading Participant (including as a Principal Trader) must complete Part E and submit the associated annexures.
<b>Part F</b>	ASX Clear (Futures) applicants	Applicants applying to be a Clearing Participant in ASX Clear (Futures) must complete Part F and submit the associated annexures.

This application form uses hyperlinks. To ensure the hyperlinks function correctly, please ensure that you select "enable macros" when opening the document. Double-click, or hold the control key and click once, to launch a hyperlink.

The completed parts and their related annexures should be provided in soft-copy via the application form upload facility under "Applications" on [ASX Online](#) using the log-on credentials provided by ASX Participant Transitions. The upload facility requires the application form and each relevant annexure to be uploaded as separate files. There are also a number of other document requests which are to be provided to Participant Transition via email, as specified in this application form.

***A checklist of annexures and documentation is provided at the end of this application form.***

## ASX Contacts

For more information about your application, please contact ASX Participant Transitions emailing [participant.transitions@asx.com.au](mailto:participant.transitions@asx.com.au).

## Useful Websites

ASX Website <http://www.asx.com.au>

ASX Online <https://asxonline.com/public/documents/participant-application-kit/application-documentation-for-asx--asx-24--asx-clear--asx-clear-.htmlh>

## Glossary

In this application form:

*ADI* means an authorised deposit-taking institution which has been granted authority to carry on a banking business in Australia under the Banking Act 1959 (Cth).

*AFSL* means an Australian financial services licence as defined in the Corporations Act.

*APRA* means the Australian Prudential Regulation Authority.

*ASIC* means the Australian Securities and Investments Commission.

*ASX or ASX Group* means ASX Limited ACN 008 624 691 and each of its related bodies corporate.

*ASX Group Licensee* means an ASX Group member operating a licensed market or clearing and settlement facility.

*Corporations Act* means the Corporations Act 2001 (Cth).

*Operating Rules* means the operating rules and procedures of an ASX Group Licensee.

Capitalised terms have the meanings assigned to them in the relevant Operating Rules.

## Notification of Collection Statement

This is the Notification of Collection Statement ASX is required to provide at the time of obtaining personal information. It forms part of ASX's Privacy Policy.

As part of this application, the applicant is required to provide personal information about its officers and employees. This information is required to assess whether the applicant meets the requirements for admission as a participant under the relevant Operating Rules. Failure to provide this information is likely to prevent ASX from being able to process this application.

Information provided with this application may be disclosed to any person where disclosure is permitted by, and made in accordance with, the relevant Operating Rules; is required to comply with any legal, statutory or regulatory requirement; or consented to by the individual in question.

The individual's personal information will be held securely and will be kept only for as long as necessary, as required under the relevant Operating Rules. Individuals are able to access their personal information by contacting ASX Participant Transitions via email at [participant.transitions@asx.com.au](mailto:participant.transitions@asx.com.au).

ASX may from time to time use external service providers but will not disclose personal information you provide to any other organisations or individuals, unless it is required or authorised by law to do so or unless you consent to the disclosure. ASX does not generally provide personal information to overseas parties but does use international service providers for technological solutions.

If relevant individuals would like to contact us or lodge a complaint, please refer them to ASX's Privacy Statement at [www.asx.com.au/about/privacy-statement.htm](http://www.asx.com.au/about/privacy-statement.htm) for further details.

By completing and submitting this application the applicant represents and warrants to ASX that it has obtained the relevant individuals' consent to provide their personal information to ASX for the purposes of this application and/or the applicant's participation on ASX, and that those individuals have read, understood and agree to ASX's Privacy Policy.

## PART A – ALL APPLICANTS

### Section 1 – Applicant Information

NO.	REQUIREMENT	APPLICANT RESPONSE
<b>A.1</b>	<b>Applicant Details</b>	
A.1.1	Full legal name	
A.1.2	Country of incorporation	
A.1.3	ABN / ACN / ARBN (if any) Legal Entity Identifier (LEI) (if any)	
A.1.4	Address of registered office	
A.1.5	Address of principal place of business (specify if same as A.1.4)	
A.1.6	Postal address (specify if same as A.1.4 or A.1.5)	
A.1.7	Website URL	
A.1.8	Primary contact for this application	Name: Title: Telephone: Email:
A.1.9	If the applicant is applying to be a participant of the ASX or ASX 24 markets or the ASX Clear or ASX Clear (Futures) facilities, confirm that the applicant is a body corporate carrying on business in its own right and not as the trustee of a trust	Select one of the next 2 options: <input type="checkbox"/> Confirmed <input type="checkbox"/> Not applicable – applicant is applying to be a participant of ASX Settlement only
A.1.10	Provide a list of exchanges to which the applicant holds existing memberships	
<b>A.2</b>	<b>Proposed Business Activities and Structure</b>	
A.2.1	Provide a statement outlining the <b>applicant's objectives</b> for becoming a participant, including the types of business it wishes to conduct, the types of products in which it wishes to transact, and its target clients (including whether they are retail and/or wholesale and where they are, or are likely to be, located)	<input type="checkbox"/> Attached as <b>Annexure A1</b>
A.2.2	Provide a <b>group structure chart</b> showing the applicant's corporate ownership structure from its ultimate holding company to the applicant and from the applicant to all of its subsidiaries (including any nominee company). It must also show the relationship between the applicant and any other group entity with which it has, or proposes to have, inter-group balances	<input type="checkbox"/> Attached as <b>Annexure A2</b>

NO.	REQUIREMENT	APPLICANT RESPONSE
A.2.3	Provide a <b>management structure chart</b> showing the key personnel involved in managing the applicant's proposed ASX activities and their titles, roles and reporting lines	<input type="checkbox"/> Attached as <b>Annexure A3</b>
A.2.4	Provide a <b>technology process flow diagram</b> showing the key systems that the applicant intends to use to conduct its proposed ASX activities and the process flows between those systems and ASX's systems	<input type="checkbox"/> Attached as <b>Annexure A4</b>
<b>A.3 Australian Financial Services Licence</b>		
A.3.1	<p>Confirm the status of the applicant's AFSL:</p> <ul style="list-style-type: none"> <li>• Has an existing AFSL</li> <li>• Seeking a variation to an existing AFSL</li> <li>• Obtaining a new AFSL (in which case a draft AFSL is required to be provided with the submitted application)</li> <li>• Has ASIC relief from requirement to hold an AFSL</li> <li>• Seeking ASIC relief from requirement to hold an AFSL</li> <li>• Not required to hold an AFSL</li> </ul> <p><i>Note: applicants in the last 3 categories above should also note requirement A.7.2 below.</i></p>	<p>Select one of the next 6 options:</p> <p><input type="checkbox"/> Copy of AFSL attached as <b>Annexure A5</b></p> <p><input type="checkbox"/> Date of the variation lodgement with ASIC:</p> <p><input type="checkbox"/> Draft AFSL attached</p> <p><input type="checkbox"/> Copy of ASIC relief attached as <b>Annexure A5</b></p> <p><input type="checkbox"/> Date of lodgement with ASIC for relief request:</p> <p><input type="checkbox"/> If selected, indicate below which is applicable:</p> <p><input type="checkbox"/> AFSL not required because applicant will only be dealing on its own account, or</p> <p><input type="checkbox"/> Copy of legal opinion from a recognised Australian law firm confirming that the applicant is not required to hold an AFSL attached as <b>Annexure A5</b></p> <p><i>Note: if you are providing a copy of your AFSL, please ensure it is a full and up to date copy and includes any variations and conditions.</i></p>
<b>A.4 Business Integrity</b>		
A.4.1	<p>Select the basis on which the applicant is seeking to satisfy ASX that it is of high business integrity:</p> <ul style="list-style-type: none"> <li>• the applicant is an ADI and confirms to ASX that it has in place a 'fit and proper' policy that meets the requirements of the Australian Prudential Regulation Authority Prudential Standard CPS 520;</li> </ul>	<p>Select one of the next 4 options:</p> <p><input type="checkbox"/> Confirmed</p> <p><i>Note: the applicant must be able to provide evidence of that policy to ASX upon request at any time.</i></p>

NO.	REQUIREMENT	APPLICANT RESPONSE
	<ul style="list-style-type: none"> <li>the applicant holds, or will hold, an Australian financial services licence and confirms to ASX that it has, or will have, in place measures to ensure its responsible managers are fit and proper persons, as required in ASIC Regulatory Guides 105 and 2, which are also applied to any of its directors who are not responsible managers;</li> <li>the applicant is an existing Participant of the ASX market, or the ASX Clear or ASX Settlement clearing and settlement facilities, the ASX 24 market or the ASX Clear (Futures) clearing and settlement facility; or</li> <li>in all other cases, the applicant is providing a statutory declaration to ASX in relation to itself (<a href="#">Sample Statutory Declaration – Applicant</a>) and from each of its directors (<a href="#">Sample Statutory Declaration –Director</a>) confirming that: <ul style="list-style-type: none"> <li>they have not been the subject of any previous bankruptcy, insolvency, receivership, administration or similar event;</li> <li>they have not been charged with or convicted of any offences relating to dishonesty, fraud, financial markets-related conduct or money laundering;</li> <li>they have not been the subject of any fines, civil penalties, banning, suspension or other disciplinary measures for financial markets-related conduct;</li> <li>they have not been the subject of any disciplinary action or adverse mention in a report made by, or at the request of, any government or governmental authority or agency, ASIC, ASX or any other exchange, market operator or clearing and/or settlement facility;</li> <li>they have not been refused membership of any financial markets-related, legal or accounting professional organisation or had such a membership revoked; and</li> <li>they have not had an application for participant (or equivalent) status on another exchange, market or clearing and/or settlement facility refused, whether in Australia or elsewhere and that they are not aware of any open or pending investigations or threatened proceedings that could lead to any of the above.</li> </ul> </li> </ul>	<input type="checkbox"/> Confirmed <i>Note: the applicant must be able to provide evidence of those measures to ASX upon request at any time.</i>  <input type="checkbox"/> Confirmed  <input type="checkbox"/> Statutory declarations attached as <b>Annexure A6</b> <i>Note: if the applicant or any of its directors cannot provide a statutory declaration to this effect, they should include with Annexure A.6 a statement to that effect and a detailed explanation of the circumstances involved.</i>
A.4.2	Confirm that the applicant consents to ASX obtaining information on the creditworthiness of the applicant	<input type="checkbox"/> Confirmed

NO.	REQUIREMENT	APPLICANT RESPONSE
A.5	Resources and Processes	
A.5.1	<p>The applicant must provide a <a href="#">Written Certification</a> to ASX before its admission as a participant 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.</p> <p>In providing this certification to ASX, the applicant must have regard to:</p> <ul style="list-style-type: none"> <li>the Operating Rules;</li> <li>Operating Rules Guidance Note 1 <i>Admission as a Participant</i>;</li> <li>Operating Rules Guidance Note 9 <i>Offshoring and Outsourcing</i>;</li> <li>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 <i>Business Continuity and Disaster Recovery</i>; and</li> <li>in the case of an applicant seeking to become a participant of the ASX Clear facility, Operating Rules Guidance Note 13 <i>Managing Liquidity Requirements</i>,</li> </ul> <p>for the markets and facilities in which it is seeking to become a participant.</p> <p>The applicant must also have regard to:</p> <ul style="list-style-type: none"> <li>the standards expected of financial services licensees set out in ASIC Regulatory Guide 104 <i>AFS Licensing: Meeting the general obligations</i> and ASIC Regulatory Guide 105 <i>AFS Licensing: Organisational competence</i> (this applies even if the applicant does not hold an AFSL); and</li> <li>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 <i>Guidance on ASIC market integrity rules for participants of securities markets</i> and/or ASIC Regulatory Guide 266 <i>Guidance on ASIC market integrity rules for participants of futures markets</i>.</li> </ul>	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/> Signed certification attached as <b>Annexure A7</b>  <i>Note: this option should only be selected by applicants seeking to become participants of the ASX market and/or ASX 24 market</i></p> <p><input type="checkbox"/> Signed certification will be provided later  <i>Note: applicants seeking to become participants of ASX Clear, ASX Clear (Futures) and/or ASX Settlement should select this option. The certification is required before the applicant will be admitted as a participant. Participant Transitions will discuss timing of the execution of this attestation with you.</i></p> <p><i>Guidance:</i>  As part of the application for admission, applicants will be required to provide ASX with evidence that processes and procedures will be in place to comply with the Operating Rules. Applicants should refer to section 3.5 of Guidance Note 1 <i>Admission as a Participant</i> for background on such processes and procedures.  ASX Participant Transitions will engage with applicants on the expectations ahead of submission, but at a minimum, applicants seeking participation to ASX Clear, ASX Clear (Futures) and/or ASX Settlement will need to provide ASX with a list of procedures they have, or intend to have in place, to support being a participant as part of the submission process. The list will need to include a brief synopsis of what each procedure covers as well as status of those procedures ('to be drafted', 'draft', 'final'). ASX will request copies of procedures as part of the assessment process.</p>

NO.	REQUIREMENT	APPLICANT RESPONSE
<b>A.6 Authorised Signatories and Nominated Contacts</b>		
A.6.1	<p>Provide a completed <a href="#">ASX Online Initial Access Form</a></p> <p><i>Note: mandatory roles specified on the ASX Online Initial Access Form are required to be set up by the enterprise administrator prior to the applicant's admission as a participant.</i></p>	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/> ASX Online Initial Access Form attached as <b>Annexure A8</b></p> <p><input type="checkbox"/> ASX Online Initial Access Form will be provided later</p> <p><i>Note: if the latter option is selected, the applicant must provide the required ASX Online Initial Access Form before it will be admitted as a participant.</i></p>
<b>A.7 Applicants Incorporated Overseas</b>		
A.7.1	<p>If the applicant is incorporated in a place outside Australia, it must either be registered as a foreign company carrying on business in Australia under Part 5B.2 Division 2 of the Corporations Act or appoint an agent in Australia approved by ASX for service of process in Australia</p>	<p>Select one of the next 5 options:</p> <p><input type="checkbox"/> Not applicable – applicant is incorporated in Australia</p> <p><input type="checkbox"/> Applicant is registered as a foreign company carrying on business in Australia with the ARBN mentioned in A.1.3 above</p> <p><input type="checkbox"/> Applicant intends to register as a foreign company carrying on business in Australia</p> <p><i>Note: if this option is selected, the applicant must complete the registration process before it will be admitted as a participant.</i></p> <p><input type="checkbox"/> Applicant has appointed an agent for service of process in Australia and the appointment and the agent's acceptance of that appointment are attached as <b>Annexure A9</b>.</p> <p><input type="checkbox"/> Applicant intends to appoint, the following agent in Australia for service of process:</p> <p>Agent name: Agent address: Agent telephone: Agent email:</p> <p><i>Note: if this option is selected, the applicant must provide a copy of the appointment and the agent's acceptance of the appointment before it will be admitted as a participant.</i></p>
A.7.2	<p>If the applicant is incorporated in a place outside Australia and has, or is seeking, an ASIC exemption from the requirement to hold an AFSL on the basis of a licence it has in a foreign jurisdiction, or if it maintains that it is not required to hold an AFSL but has a licence in a foreign jurisdiction that will cover its ASX activities, it must provide details of the law under which that licence is issued and a copy of that licence.</p> <p><i>Note: ASX may apply additional requirements to applicants incorporated in a place outside Australia. This may include requiring the applicant to provide a legal opinion from a recognised law firm in the place where it is incorporated confirming either that the applicant holds all necessary overseas licences and authorisations to conduct its ASX activities or that the applicant is not required to hold any overseas licence or authorisation to conduct its ASX activities (as the case may be).</i></p>	<p>Select one of the next 4 options:</p> <p><input type="checkbox"/> Not applicable – applicant is incorporated in Australia</p> <p><input type="checkbox"/> Not applicable – applicant has, or intends to have, an AFSL</p> <p><input type="checkbox"/> Not applicable – applicant does not have a foreign licence</p> <p><input type="checkbox"/> Applicant attaches as <b>Annexure A10</b>:</p> <ul style="list-style-type: none"> <li>– details of the law under which its foreign licence has been issued; and</li> <li>– a copy of that licence</li> </ul>

NO.	REQUIREMENT	APPLICANT RESPONSE
A.8	<b>Applicants with Overseas Activities</b>	
A.8.1	<p>If the applicant proposes to locate any part of its ASX activities (including, without limitation, any infrastructure through which it will send trading, clearing or settlement messages to ASX or any Employees) outside Australia (Overseas Activity), annex a statement setting out full details of the proposed Overseas Activity and evidence that it has obtained all necessary regulatory approvals from any relevant governmental agency or regulatory authority in Australia or elsewhere in respect of the Overseas Activity</p> <p><i>Note: this requirement applies whether the applicant is incorporated in Australia or elsewhere and regardless of the nature, scale or materiality of the Overseas Activity.</i></p>	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/> Not applicable – applicant’s activities will take place wholly in Australia</p> <p><input type="checkbox"/> Statement of Overseas Activity and evidence of any necessary regulatory approvals attached as <b>Annexure A11</b></p> <p><i>Note: ASX may apply additional requirements to applicants with Overseas Activities. This may include requiring the applicant to provide a legal opinion from a recognised law firm in the place where it intends to conduct its Overseas Activity confirming either that the applicant holds all necessary overseas licences and authorisations to conduct the Overseas Activity or that the applicant is not required to hold any overseas licence or authorisation to conduct the Overseas Activity (as the case may be).</i></p>





**Part A**

**Section 2 – Applicant Agreement**

The entity specified at Part A Section 1 Item A.1.1 of this application form (the **applicant**):

1. represents and warrants that all information provided by the applicant to ASX in relation to this application is complete and accurate;
2. undertakes to notify ASX immediately of any material change to the information provided by the applicant;
3. acknowledges that ASX relies on the information provided by the applicant in assessing this application;
4. consents to ASX disclosing any information regarding this application (including, without limitation, any information provided by the applicant) to any third party (including, without limitation, any regulatory authority, financial market or clearing and settlement facility) as ASX considers necessary or appropriate in connection with this application;
5. consents to any third party (including for the purposes of a creditworthiness assessment, and, without limitation, any regulatory authority, financial market or clearing and settlement facility) disclosing any information in respect of the applicant and each director to ASX for the purpose of ASX’s assessment of this application; and
6. agrees to comply in full with any condition imposed on it by an ASX Group Licensee in connection with its admission as a participant and, if it is admitted as a participant, that it will be bound by and comply with the applicable Operating Rules.

If it is applying to be admitted as a participant of ASX Clear or ASX Clear (Futures), the applicant further represents and warrants that, after due enquiry and to the best of its knowledge and belief:

7. if applicable, no events have occurred since the date the income statement and balance sheet provided in Annexure C4 or Annexure F4 was prepared that are likely to result in a significant financial deterioration in the financial condition of the applicant;
8. there are reasonable grounds to believe the applicant will be able to meet its obligations as and when they fall due; and
9. no material liabilities of a contingent nature have arisen, including those arising by reason of a guarantee or cross guarantee given by the applicant.

.....  
Signature

.....  
Signature

.....  
Name and office/ capacity

.....  
Name and office/ capacity

.....  
Date

.....  
Date

<p><b>Execution Instructions</b></p> <ul style="list-style-type: none"> <li>• For Australian registered companies, execution should be under section 127 Corporations Act or power of attorney.</li> <li>• Execution must be by a person or persons authorised to execute this document on behalf of the applicant. The execution block above can be adapted where necessary to meet the requirements of the form of execution.</li> <li>• Execution under power of attorney must be witnessed and a certified copy of the power of attorney provided together with the application form. Each attorney executing this document declares that the attorney has no notice of the revocation or suspension of the power of attorney.</li> <li>• If execution is by an entity other than an Australian registered company, additional evidence of authorisation may be required.</li> </ul>
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## PART B – ASX MARKET APPLICANTS

NO.	REQUIREMENT	APPLICANT RESPONSE
<b>B.1 Participation Type / Products</b>		
B.1.1	<p>For what <b>ASX participation type</b> is the applicant applying:</p> <ul style="list-style-type: none"> <li>• Trading Participant (other than Principal Trader)</li> <li>• Principal Trader</li> </ul>	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>
B.1.2	<p>For what <b>products</b> is the applicant seek trading permission:</p> <ul style="list-style-type: none"> <li>• Cash Market Products: <ul style="list-style-type: none"> <li>- Equity &amp; Loan Securities</li> <li>- Warrants</li> <li>- AQUA Products</li> <li>- Bond CDIs</li> </ul> </li> <li>• ASX Options Market Contracts (ETOs)</li> </ul>	<p>Select whichever of the following are applicable:</p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>
B.1.3	<p>Check if the applicant seeks permission to provide Type 1 Client Access (ASX Operating Rule 1140)</p>	<p><input type="checkbox"/></p> <p><i>Refer to B.3.5 for evidence required to confirm meeting ASIC MIR ACOP requirements</i></p>
B.1.4	<p>Check if the applicant wishes to become an <a href="#">ASX Market Maker</a></p> <p><i>Note: if the applicant checks this box, it must have an AFSL that authorises it to make markets in the relevant products.</i></p>	<p><input type="checkbox"/></p>
<b>B.2 Clearing Arrangements</b>		
B.2.1	<p>Who will be the applicant’s clearer(s) for each product class checked in B.1.2 above:</p> <p style="text-align: right;">Cash Market Products:</p> <p style="text-align: right;">ETOs:</p> <p><i>Note: under ASX Operating Rules Schedule 1 Rule 1.1010(c) and the related Procedure, a principal trader may only appoint one clearing participant, a market participant that self-clears may only appoint one other clearing participant, and all other market participants may only appoint two clearing participants for any particular product class.</i></p>	<p><i>Note: insert ‘Self’ if applicant will be self-clearing.</i></p>
B.2.2	<p>If the applicant intends to use any third party clearer(s) for any product class checked in B.1.2 above, provide a copy of the Clearing Agreement(s) it has entered into with the third party clearer(s)</p> <p><i>Note: the Clearing Agreement must contain the minimum terms set out in Schedule 3 to the ASX Clear Operating Rules.</i></p>	<p>Select one or the next 2 options:</p> <p><input type="checkbox"/> Copy of draft Clearing Agreement(s) is attached as <b>Annexure B2</b></p> <p><i>Note: if this option is selected, the applicant must provide a copy of the executed Clearing Agreement(s) before it will be admitted as a participant.</i></p> <p><input type="checkbox"/> Not applicable – applicant is self-clearing for all applicable product classes</p> <p><i>Note: if the applicant is not already a participant of ASX Clear, it should also complete Part C.</i></p>

NO.	REQUIREMENT	APPLICANT RESPONSE
<b>B.3</b>	<b>Compliance Requirements</b>	
	<p>B.3.1 If the applicant intends to deal in ETOs on behalf of retail clients, provide a pro forma of the applicant’s Client Agreement for those transactions highlighting where the minimum terms required by ASX Operating Rules Procedures Appendix 3801-2 are contained</p>	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/> Pro forma Client Agreement attached as <b>Annexure B4</b></p> <p><input type="checkbox"/> Not applicable – applicant is applying to be a Principal Trader or is not intending to deal in ETOs on behalf of retail clients</p> <p><i>Note: if any of Annexures B4 – B6 are the same, submit them once only but please identify where the required minimum terms in each applicable Appendix are contained</i></p>
	<p>B.3.2 If the applicant intends to deal in Warrants on behalf of retail clients, provide a pro forma of the applicant’s Client Agreement for those transactions highlighting where the minimum terms required by ASX Operating Rules Procedures Appendix 3801-3 are contained</p>	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/> Pro forma Client Agreement attached as <b>Annexure B5</b></p> <p><input type="checkbox"/> Not applicable – applicant is applying to be a Principal Trader or is not intending to deal in Warrants on behalf of retail clients</p> <p><i>Note: if any of Annexures B4 – B6 are the same, submit them once only but please identify where the required minimum terms in each applicable Appendix are contained</i></p>
	<p>B.3.3 If the applicant intends to deal in Partly Paid Securities on behalf of retail clients, provide a pro forma of the applicant’s Client Agreement for those transactions highlighting where the minimum terms required by ASX Operating Rules Procedures Appendix 3801-4 are contained</p>	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/> Pro forma Client Agreement attached as <b>Annexure B6</b></p> <p><input type="checkbox"/> Not applicable – applicant is applying to be a Principal Trader or is not intending to deal in Partly Paid Securities on behalf of retail clients</p> <p><i>Note: if any of Annexures B4 – B6 are the same, submit them once only but please identify where the required minimum terms in each applicable Appendix are contained</i></p>
	<p>B.3.4 If the applicant intends to deal in ETOs on behalf of US persons, confirm that it is aware of the requirements of ASX Operating Rules 2240 and 2241</p>	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/> Confirmed</p> <p><i>Note: if this option is selected, additional questions as to the applicants processes will be requested by ASX</i></p> <p><input type="checkbox"/> Not applicable – applicant is applying to be a Principal Trader or is not intending to deal in ETOs on behalf of US persons</p>
	<p>B.3.5 If the applicant intends to operate an Automated Order Processing system, provide a copy of the written certifications or confirmations it has provided to ASIC, and the confirmations ASIC has provided to the applicant, under ASIC Market Integrity Rule (Securities Market) 2017 5.6.6 in respect of that system (see ASX Operating Rule and Procedures 1000(e) &amp; (f) and 1401(a))</p>	<p>Select one of the next 3 options:</p> <p><input type="checkbox"/> Copy of the certifications and confirmations attached as <b>Annexure B7</b>;</p> <p><input type="checkbox"/> Copy of the certifications and confirmations to be provided later</p> <p><i>Note: if this option is selected, ASX will liaise with the applicant around timing of providing the certifications and confirmations</i></p> <p><input type="checkbox"/> Not applicable – applicant does not intend to have an Automated Order Processing system</p>

## PART C – ASX CLEAR APPLICANTS

NO.	REQUIREMENT	APPLICANT RESPONSE
<b>C.1</b>	<b>Participant Type / Products</b>	
C.1.1	For what <b>ASX Clear participation type</b> is the applicant applying: <ul style="list-style-type: none"> <li>• Direct Participant – <i>clearing for self and own clients and/or for market participants that are wholly-owned group entities and their clients only</i></li> <li>• General Participant – <i>clearing for:</i> <ul style="list-style-type: none"> <li>- <i>third parties and their clients only; or</i></li> <li>- <i>self, own clients, third parties and their clients</i></li> </ul> </li> </ul>	Select one of the next 3 options:  <input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>
C.1.2	What <b>transactions</b> does the applicant wish to clear: <ul style="list-style-type: none"> <li>• Cash Market Transactions</li> <li>• Options Market Transactions</li> <li>• OTC Options Market Transactions</li> </ul>	Select whichever of the following are applicable:  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
C.1.3	What Approved Market Operator(s) the applicant intends to clear Market Transactions through ASX Clear	Select one of the next 2 options:  <input type="checkbox"/> All Approved Market Operators <input type="checkbox"/> The applicant intends to clear Market Transactions from the following Approved Market Operator(s)
C.1.4	Name each nominee company the applicant intends to operate to register the ownership of Financial Products of which it is not the beneficial owner	Select one of the next 2 options:  <input type="checkbox"/> The applicant intends to operate the following nominee company or companies ( <i>provide name(s)</i> ):  <input type="checkbox"/> Not applicable – applicant does not intend to operate any nominee companies
C.1.5	Confirm that each nominee company listed in C.1.4: <ul style="list-style-type: none"> <li>• is incorporated in Australia with a name which contains the word “nominee”;</li> <li>• has a constitution that precludes the nominee company from owning any Financial Products except cash beneficially; and</li> <li>• is a directly held legally and beneficially wholly-owned subsidiary of the applicant (see ASX Clear Operating Rule 4.11.1)</li> </ul>	Select one of the next 2 options:  <input type="checkbox"/> Confirmed <input type="checkbox"/> Not applicable
<b>C.2</b>	<b>Business Continuity Arrangements</b>	
C.2.1	Provide a copy of the applicant’s business continuity plan (BCP) for its ASX-related clearing and settlement activities	<input type="checkbox"/> Attached as <b>Annexure C1</b> <i>Submit once only (also requested in Parts D &amp; F)</i>

NO.	REQUIREMENT	APPLICANT RESPONSE
C.2.2	Provide a copy of the applicant's BCP infrastructure diagram	<input type="checkbox"/> Attached as <b>Annexure C2</b> <i>Submit once only (also requested in Parts D &amp; F)</i>
C.2.3	Provide a copy of the applicant's completed <a href="#">BCP self-assessment survey</a> <i>Note: the BCP self-assessment survey has further information about what should be included in the applicant's BCP and BCP infrastructure diagram</i>	<input type="checkbox"/> Attached as <b>Annexure C3</b> <i>Submit once only (also requested in Parts D &amp; F)</i>
<b>C.3</b>	<b>Capital Requirements</b> Note: where an applicant is already an ASX Clear Participant, then only the items marked * need to be completed	
C.3.1	State the applicant's financial year end	<i>Submit once only (also requested in Part F)</i>
C.3.2	Confirm whether the applicant: <ul style="list-style-type: none"> <li>intends to comply with the Risk Based Capital Requirements in Schedule 1 of the ASX Clear Operating Rules; or</li> <li>seeks an exemption from the above capital requirements on the basis that it is subject to an appropriate level of prudential supervision under an approved "Other Capital Regime" (ASX Clear Operating Rule 5.2)</li> </ul>	Select one of the next 2 options: <input type="checkbox"/> Risk Based Capital Requirements  <input type="checkbox"/> Seeking an exemption
C.3.3	If the applicant intends to comply with the Risk Based Capital Requirements, provide the applicant's last audited financial statements, including every attachment required by law <i>Note: if the applicant does not have audited financial statements, it must provide an income statement and balance sheet drawn up in accordance with the provisions of the Corporations Act (or equivalent foreign legislation), to the extent applicable, and signed by at least 2 directors of the applicant.</i>	Select one of the next 2 options: <input type="checkbox"/> Financial statements attached as <b>Annexure C4</b> <input type="checkbox"/> Not applicable – applicant is seeking an exemption from the capital requirements <i>Submit once only (also requested in Part F)</i>
C.3.4	If the applicant intends to comply with the Risk Based Capital Requirements, provide the applicant's auditor details:	Select one of the next 3 options: <input type="checkbox"/> Auditors details provided below: Audit partner(s): Audit firm: Address: Telephone: Email: Appointment date:  <input type="checkbox"/> Auditor details to be provided later <i>Note: if this option is selected, the applicant must provide the auditor details before it will be admitted as a participant.</i>  <input type="checkbox"/> Not applicable – applicant is seeking an exemption from the capital requirements <i>Submit once only (also requested in Part F).</i>

NO.	REQUIREMENT	APPLICANT RESPONSE
C.3.5	If the applicant intends to comply with the Risk Based Capital Requirements, please confirm if the auditors are aware of this application and they will include this in their planning for the audit of the applicant	Select one of the next 3 options: <input type="checkbox"/> Confirmed <input type="checkbox"/> Confirmation to be provided later <i>Note: if this option is selected, the applicant must confirm the auditor is aware before it will be admitted as a participant.</i> <input type="checkbox"/> Not applicable – applicant is seeking an exemption from the capital requirements <i>Submit once only (also requested in Part F).</i>
C.3.6	If the applicant intends to comply with the Risk Based Capital Requirements, attach a statement outlining any other business activities it proposes to undertake in addition to being a participant of ASX Clear	Select one of the next 2 options: <input type="checkbox"/> Statement attached as <b>Annexure C5</b> <input type="checkbox"/> Not applicable – applicant is seeking an exemption from the capital requirements
C.3.7	If the applicant intends to comply with the Risk Based Capital Requirements, attach the applicant's capital raising plan over the next 12 months*	Select one of the next 3 options: <input type="checkbox"/> Capital raising plan attached in email to Participant Transitions <input type="checkbox"/> Not applicable – no plans to increase capital over the next 12 months <input type="checkbox"/> Not applicable – applicant is seeking an exemption from the capital requirements <i>Submit once only (also requested in Part F).</i>
C.3.8	If the applicant intends to comply with the Risk Based Capital Requirements, and to the extent that applicant intends to use Approved Subordinated Debt, please provide details: *	Select one of the next 4 options: <input type="checkbox"/> Intends to use Approved Subordinated Debt: Facility amount: Provider:  <input type="checkbox"/> Details of the Approved Subordinated Debt to be provided later <input type="checkbox"/> Not applicable – no plans to use Approved Subordinated Debt <input type="checkbox"/> Not applicable – applicant is seeking an exemption from the capital requirements <i>Submit once only (also requested in Part F).</i>

NO.	REQUIREMENT	APPLICANT RESPONSE
C.3.9	<p>If the applicant intends to comply with the Risk Based Capital Requirements, provide details of any guarantees (including any cross guarantee, or indemnities) provided by the applicant to any parties currently or intends to in the future, and other contingent liabilities*</p>	<p>Select one of the next 4 options:</p> <p><input type="checkbox"/> Guarantee and other contingent liabilities details attached in email to Participant Transitions</p> <p><input type="checkbox"/> Details of any guarantee and other contingent liabilities to be provided later</p> <p><i>Note: if this option is selected, the applicant must provide the details before it will be admitted as a participant.</i></p> <p><input type="checkbox"/> Not applicable – applicant not a party to any guarantees (currently and does not intend to in the future) and does not have other contingent liabilities</p> <p><input type="checkbox"/> Not applicable – applicant is seeking an exemption from the capital requirements</p> <p><i>Submit once only (also requested in Part F).</i></p>
C.3.10	<p>If the applicant intends to comply with the Risk Based Capital Requirements, and to the extent that applicant intends to use a related/associated entity as a service entity, please provide:</p> <ul style="list-style-type: none"> <li>• Name of service entity;</li> <li>• Advise if applicant has a written signed agreement with the service entity specifying both the type of amounts that will be recharged and the basis of the recharge of amounts (if yes, briefly outline the basis of the expense recharge, if no on what basis are the expenses paid by the service entity recharged to the applicant); and</li> <li>• Advise how frequently a service charge is accrued in applicant’s financial statements*</li> </ul>	<p>Select one of the next 4 options:</p> <p><input type="checkbox"/> Service entity details attached in email to Participant Transitions</p> <p><input type="checkbox"/> Details of the service entity to be provided later</p> <p><i>Note: if this option is selected, the applicant must provide the details of the service entity before it will be admitted as a participant.</i></p> <p><input type="checkbox"/> Not applicable – applicant does not intend to use related/associated entity as a service entity</p> <p><input type="checkbox"/> Not applicable – applicant is seeking an exemption from the capital requirements</p> <p><i>Submit once only (also requested in Part F).</i></p>
C.3.11	<p>If the applicant intends to comply with the Risk Based Capital Requirements, and the applicant has elected to be a part of a consolidated tax group, please provide:</p> <ul style="list-style-type: none"> <li>• Date when applicant elected to be a part of a consolidated tax group;</li> <li>• whether the applicant is the head company in the consolidated tax group; and</li> <li>• if applicable, the date applicant entered into a tax sharing and/or tax funding agreement</li> </ul>	<p>Select one of the next 4 options:</p> <p><input type="checkbox"/> Consolidated tax group details attached in email to Participant Transitions</p> <p><input type="checkbox"/> Consolidated tax group details to be provided later</p> <p><i>Note: if this option is selected, the applicant must provide the details of the consolidated tax group before it will be admitted as a participant.</i></p> <p><input type="checkbox"/> Not applicable – applicant has not elected to be a part of a consolidated tax group</p> <p><input type="checkbox"/> Not applicable – applicant is seeking an exemption from the capital requirements</p> <p><i>Submit once only (also requested in Part F).</i></p>

NO.	REQUIREMENT	APPLICANT RESPONSE
<b>C.4</b>	<b>Liquidity Requirements – for non-Authorised Deposit-taking Institutions (ADIs) only</b>	
C.4.1	<p>Please attach applicant’s liquidity policy document (encompassing liquidity risk management framework including key systems, processes and procedures for liquidity management) which captures the minimum liquidity management requirements under section 5 of ASX Clear Operating Rules Guidance Note 13</p>	<p>Select one of the next 3 options:</p> <p><input type="checkbox"/> Liquidity policy attached in email Participant Transitions</p> <p><input type="checkbox"/> Liquidity policy details to be provided later <i>Note: if this option is selected, the applicant must provide the details of its liquidity policy before it will be admitted as a participant.</i></p> <p><input type="checkbox"/> Not applicable – applicant meets the general requirements for a related body corporate of an ADI under ASX Clear Operating Rules Guidance Note 13</p>
C.4.2	<p>Please provide a copy of applicant’s liquidity plan (liquidity forecast and associated documents (if any)) covering the liquidity requirements over at least the next 12 months, including:</p> <ul style="list-style-type: none"> <li>• A description of how applicant has defined “normal” and “stress” conditions and how the liquidity plan is modelled;</li> <li>• A list of liquidity sources that qualifies as liquidity as per applicant’s internal policy;</li> <li>• Key assumptions under both “normal” and “stress” conditions and how these assumptions are derived. The assumptions should include how applicant models the possibility that it will have to meet settlement obligations using its own funds before customer funds have been received; and</li> <li>• Key drivers of expected cash flow for both inflows and outflows (e.g. customer revenues, investment income, significant expenses, settlement obligations, margins etc.). These key drivers should reflect applicant’s proposed core activities as well as any other activities that could impact applicant’s liquidity position</li> </ul>	<p>Select one of the next 3 options:</p> <p><input type="checkbox"/> Liquidity plan attached in email to Participant Transitions</p> <p><input type="checkbox"/> Liquidity plan details to be provided later <i>Note: if this option is selected, the applicant must provide the details of its liquidity plan before it will be admitted as a participant.</i></p> <p><input type="checkbox"/> Not applicable – applicant meets the general requirements for a related body corporate of an ADI under ASX Clear Operating Rules Guidance Note 13</p>
C.4.3	<p>If the applicant is not an ADI, please provide details of any current and potential credit facilities that applicant will use to meet its liquidity requirements, including the provider(s), format, size, permitted usage and conditions and a copy of the facility agreement</p>	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/> Credit facilities details attached in email to Participant Transitions</p> <p><input type="checkbox"/> Credit Facilities details to be provided later <i>Note: if this option is selected, the applicant must provide the details of its liquidity plan before it will be admitted as a participant.</i></p> <p><input type="checkbox"/> Not applicable – applicant is an ADI</p> <p><i>Submit once only (also requested in Part F)</i></p>



NO.	REQUIREMENT	APPLICANT RESPONSE
	<p>C.4.4 If applicant does not meet the general requirements for a related body corporate of an ADI under ASX Clear Operating Rules Guidance Note 13, please provide details of applicant's appointed nominated liquidity officer (to the extent appointment has taken place)</p>	<p>Select one of the next 4 options:</p> <p><input type="checkbox"/> Details of Liquidity Officer:</p> <p>Name: Job title: Telephone: Email: Appointment date:</p> <p><i>Note: if this option is selected, the applicant must also include:</i></p> <ul style="list-style-type: none"> <li>• Job description of nominated liquidity officer; and</li> <li>• Summary of nominated liquidity officer's qualification/experience in liquidity risk management</li> </ul> <p><input type="checkbox"/> Nominated Liquidity Officer will be appointed at a later date</p> <p><i>Note: if this option is selected, the applicant must provide the Nominated Liquidity Office, a job description and summary of qualifications/experience in liquidity risk management before it will be admitted as a participant.</i></p> <p><input type="checkbox"/> As an existing ASX Clear Participant the Nominated Liquidity Officer remains unchanged</p> <p><input type="checkbox"/> Not applicable, applicant meets the general requirements for a related body corporate of an ADI under ASX Clear Operating Rules Guidance Note</p>
<p><b>C.5 Compliance Requirements</b></p>		
	<p>C.5.1 If the applicant is applying to be a General Participant, provide a pro forma of the applicant's Clearing Agreement highlighting where the minimum terms required by Schedule 3 to the ASX Clear Operating Rules are contained (see ASX Clear Operating Rule 9.1.1)</p>	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/> Pro forma Clearing Agreement attached as <b>Annexure C7</b></p> <p><input type="checkbox"/> Not applicable – applicant is applying to be a Direct Participant</p>
	<p>C.5.2 If the applicant intends to clear Derivatives Market Transactions for any client, provide a pro forma of the applicant's Client Agreement for those transactions highlighting where the minimum terms required by Schedule 5 to the ASX Clear Operating Rules are contained (see ASX Clear Operating Rule 7.1.2)</p>	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/> Pro forma Client Agreement attached as <b>Annexure C8</b></p> <p><input type="checkbox"/> Not applicable – applicant is not intending to clear Derivatives Market Transactions for any client (other than for Market Participants with whom it will have a Clearing Agreement)</p>

NO.	REQUIREMENT	APPLICANT RESPONSE
C.5.3	If the applicant is applying to be a Direct Participant and wishes to clear for a Wholly-Owned Group Entity, attach a legal opinion from a recognised Australian law firm confirming that the relevant body corporate satisfies the definition of Wholly-Owned Group Entity under the ASX Clear Operating Rules (see ASX Clear Operating Rules Procedure 3.2.2(b))	Select one of the next 3 options: <input type="checkbox"/> Legal opinion attached as <b>Annexure C9</b> <input type="checkbox"/> Not applicable – applicant is not intending to clear for a Wholly-Owned Group Entity <input type="checkbox"/> Not applicable – applicant is applying to be a General Participant
C.5.4	If the applicant intends to clear for any person other than itself or a related body corporate, confirm that the applicant has, or will prior to its admission as a participant have, professional indemnity insurance in place that complies with the requirements of ASX Clear Operating Rules Procedure 4.3	Select one of the next 2 options: <input type="checkbox"/> Confirmed <input type="checkbox"/> Not applicable – applicant is not intending to clear for any person other than itself or a related body corporate
C.5.5	If the applicant intends to clear: <ul style="list-style-type: none"> <li>• for itself and also through another General Participant;</li> <li>• for a Market Participant which clears for itself and also clears through another General Participant; or</li> <li>• for a Market Participant which clears through two or more General Participants,</li> </ul> confirm that the applicant is aware of, and acknowledges, the matters described in ASX Clear Operating Rules Procedure 3.2.2(a)	Select one of the next 2 options: <input type="checkbox"/> Confirmed <input type="checkbox"/> Not applicable – applicant is not intending to enter into clearing arrangements involving multiple clearers
C.5.6	If the applicant intends to clear Market Transactions effected through two or more Approved Market Operators (AMOs), confirm that the applicant is aware of, and acknowledges, the matters described in ASX Clear Operating Rules Procedure 3.2.3	Select one of the next 2 options: <input type="checkbox"/> Confirmed <input type="checkbox"/> Not applicable – applicant is not intending to clear Market Transactions effected through two or more AMOs
C.5.7	ASX Clear applicants are to provide a completed <a href="#">ASX Authorised Signatory Form</a> to appoint individuals with authority to sign and submit documentation to ASX	Select one of the next 2 options: <input type="checkbox"/> Authorised Signatory Form attached as <b>Annexure C10</b> <input type="checkbox"/> Authorised Signatory Form will be provided later  <i>Submit once only (also requested in Part F)</i> <i>Note: if the latter option is selected, the applicant must provide a completed ASX Authorised Signatory Form before it will be admitted as a participant.</i>

NO.	REQUIREMENT	APPLICANT RESPONSE
C.6	<b>Authorised Deposit-taking Institutions (ADIs) only</b>	
C.6.1	<p>Provide the ADI applicant’s latest Tier 1 capital figure</p> <ul style="list-style-type: none"> <li>• Tier 1 capital (amount and currency):</li> <li>• As at (date):</li> <li>• Basis of preparation:</li> </ul> <p><i>An ADI applicant should disclose its latest quarterly Tier 1 capital figure as calculated for its banking regulator.</i></p> <p><i>Consolidated group data may only be provided if consolidated group Tier 1 capital is over A\$5 billion (in which case, an Australian ADI may report its Level 2 Tier 1 capital, as defined by APRA under Prudential Standards APS 001 and APS 111, and a foreign ADI may report its consolidated group Tier 1 capital in accordance with the requirements of its home banking regulator).</i></p> <p><i>Single entity Tier 1 capital must be provided if consolidated group Tier 1 capital is A\$5 billion or less (in which case, an Australian ADI should report its Level 1 Tier 1 capital, as defined by APRA under Prudential Standard APS 111, and a foreign ADI should report its Tier 1 capital for the participant legal entity in accordance with the requirements of its home banking regulator).</i></p>	<p><input type="checkbox"/> Consolidated Group</p> <p><input type="checkbox"/> Single Entity</p> <p><i>Submit once only (also requested in Part F)</i></p>

## PART D – ASX SETTLEMENT APPLICANTS

NO.	REQUIREMENT	APPLICANT RESPONSE
<b>D.1</b>	<b>Participant Type / Products</b>	
	<p>D.1.1 For what <b>ASX Settlement participation type</b> is the applicant applying:</p> <ul style="list-style-type: none"> <li>• General Settlement Participant – permission to sponsor clients and to hold, settle and transfer Approved Financial Products for itself and as agent for other Clearing Participants</li> <li>• Account Participant – permission to sponsor clients and to hold and transfer Approved Financial Products for those clients but must enter into a Settlement Agreement with a General Settlement Participant to effect settlements</li> </ul> <p><i>Note: Specialist Settlement Participants are subject to a different admission process and must complete a different form. Please contact ASX Participants Transitions if you wish to apply to be a Specialist Settlement Participant and need that form</i></p>	<p>Select whichever of the following 2 options are applicable:</p> <p><input type="checkbox"/> General Settlement Participant</p> <p><input type="checkbox"/> Account Participant</p>
	<p>D.1.2 If the applicant is applying to be a General Settlement Participant, confirm which participant category it falls under (see ASX Settlement Operating Rule 4.3.1(b))</p>	<p>Select one of the next 8 options:</p> <p><input type="checkbox"/> Holds or will hold an AFSL authorising it to carry on its business as a Participant</p> <p><input type="checkbox"/> Market Operator</p> <p><input type="checkbox"/> Clearing and Settlement Facility</p> <p><input type="checkbox"/> Regulated by APRA</p> <p><input type="checkbox"/> Regulated by an overseas regulatory authority approved by ASIC under s911A(2)(h) of the Corporations Act</p> <p><input type="checkbox"/> Trustee Company</p> <p><input type="checkbox"/> Wholly-owned subsidiary of an Australian bank whose sole business is providing nominee, custody and related services or margin lending services</p> <p><input type="checkbox"/> Not applicable – applicant is not applying to be an ASX General Settlement Participant</p>
<b>D.2</b>	<b>Business Continuity Arrangements</b>	
	<p>D.2.1 Provide a copy of the applicant's business continuity plan (BCP) for its ASX-related clearing and settlement activities</p>	<p><input type="checkbox"/> Attached as <b>Annexure D1</b> <i>Submit once only (also requested in Parts C &amp; F)</i></p>
	<p>D.2.2 Provide a copy of the applicant's BCP infrastructure diagram</p>	<p><input type="checkbox"/> Attached as <b>Annexure D2</b> <i>Submit once only (also requested in Parts C &amp; F)</i></p>

NO.	REQUIREMENT	APPLICANT RESPONSE
	<p>D.2.3 Provide a copy of the applicant's completed <a href="#">BCP self-assessment survey</a></p> <p><i>Note: the BCP self-assessment survey has further information about what should be included in the applicant's BCP and BCP infrastructure diagram</i></p>	<p><input type="checkbox"/> Attached as <b>Annexure D3</b></p> <p><i>Submit once only (also requested in Parts C &amp; F)</i></p>
<p><b>D.3 Compliance Requirements</b></p>		
	<p>D.3.1 General Participant applicants that are not:</p> <ul style="list-style-type: none"> <li>• prudentially supervised, or</li> <li>• a clearing and settlement facility</li> </ul> <p>must provide a <a href="#">Settlement Bond</a> (see ASX Settlement Operating Rule 4.9.1)</p> <p><i>Note: applicants are prudentially supervised if they are a Participant or applying to be a Participant of ASX or ASX Clear, or are regulated by APRA.</i></p>	<p>Select one of the next 3 options:</p> <p><input type="checkbox"/> Settlement Bond attached as <b>Annexure D4</b></p> <p><input type="checkbox"/> Settlement Bond will be provided later</p> <p><i>Note: if this option is selected, the applicant must provide the required Settlement Bond before it will be admitted as a participant.</i></p> <p><input type="checkbox"/> Not applicable – applicant is prudentially supervised or a clearing and settlement facility</p>
	<p>D.3.2 If the applicant intends to sponsor clients and it is not, and is not applying to be, an ASX Market Participant or ASX Clear Participant and it is not otherwise subject to the compensation arrangements of another Approved Market Operator, it must provide a <a href="#">Sponsorship Bond</a> (see ASX Settlement Operating Rule 4.9.3)</p>	<p>Select one of the next 5 options:</p> <p><input type="checkbox"/> Sponsorship Bond attached as <b>Annexure D5</b></p> <p><input type="checkbox"/> Sponsorship Bond will be provided later</p> <p><i>Note: if this option is selected, the applicant must provide the required Sponsorship Bond before it will be admitted as a participant.</i></p> <p><input type="checkbox"/> Not applicable – applicant is not intending to sponsor clients</p> <p><input type="checkbox"/> Not applicable – applicant is, or is also applying to be, an ASX market participant</p> <p><input type="checkbox"/> Not applicable – applicant is subject to compensation arrangements of the following AMO (provide name):</p>
	<p>D.3.3 If the applicant intends to sponsor clients, provide a pro forma of the applicant's Sponsorship Agreement highlighting where the minimum terms required by ASX Settlement Operating Rule 7.2 are contained (see ASX Settlement Operating Rule 7.1)</p>	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/> Pro forma Sponsorship Agreement attached as <b>Annexure D6</b></p> <p><input type="checkbox"/> Not applicable – applicant is not intending to sponsor clients</p>

## PART E – ASX 24 MARKET APPLICANTS

NO.	REQUIREMENT	APPLICANT RESPONSE
<b>E.1</b>	<b>Participant Type / Products</b>	
E.1.1	For what <b>ASX 24 market participation type</b> is the applicant applying: <ul style="list-style-type: none"> <li>• Trading Participant (other than Principal Trader)</li> <li>• Principal Trader</li> </ul>	Select one of the next 2 options:  <input type="checkbox"/>  <input type="checkbox"/>
E.1.2	For what <b>products</b> is the applicant seeking trading permission: <ul style="list-style-type: none"> <li>• Commodity Futures &amp; Options</li> <li>• Energy and Environmental Futures &amp; Options (AUD)</li> <li>• Energy and Environmental Futures &amp; Options (NZD)</li> <li>• Equity Futures &amp; Options</li> <li>• Interest Rate Futures &amp; Options (AUD)</li> <li>• Interest Rate Futures &amp; Options (NZD)</li> </ul>	Select whichever of the following are applicable:  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
E.1.3	Check if the applicant wishes to enter into a Liquidity Agreement with ASX (i.e. make markets) in relation to any ASX 24 products  <i>Note: if the applicant checks this box, it must have an AFSL that authorises it to make markets in the relevant products.</i>	<input type="checkbox"/>
<b>E.2</b>	<b>Clearing Arrangements</b>	
E.2.1	If the applicant intends to use a Guarantor Clearing Participant, provide a copy of the Clearing Agreement(s) it has entered into with the <a href="#">Guarantor Clearing Participant(s)</a>  <i>Note: the Clearing Agreement must contain the minimum terms prescribed in ASX Clear Futures Operating Rule 4.14(j) and the Guarantee must be in the form set out in ASX 24 Operating Rules Procedures Appendix 1000h.</i>	Select one of the next 2 options:  <input type="checkbox"/> Copy of draft Clearing Agreement(s) and executed Clearing Guarantee attached as <b>Annexure E1</b> <i>Note: the applicant must provide a copy of the executed Clearing Agreement(s) before it will be admitted as a participant.</i>  <input type="checkbox"/> Not applicable – applicant is self-clearing
E.2.2	If the applicant intends to make formal arrangements to give-up trades to other Clearing Participants, please list all potential clearers for each product class applied for in E.1.2:  Commodity Futures & Options: Energy and Environmental Futures & Options (AUD): Energy and Environmental Futures & Options (NZD):  Equity Futures & Options: Interest Rate Futures & Options (AUD): Interest Rate Futures & Options (NZD):	

NO.	REQUIREMENT	APPLICANT RESPONSE
<b>E.3</b>	<b>Compliance Requirements</b>	
E.3.1	Who will be submitting Daily Beneficial Ownership Reports (DBORs) on behalf of the applicant? <i>See ASX 24 Operating Rule 4840</i>	Select one of the next 2 options: <input type="checkbox"/> Applicant will submit DBORs on its own behalf <input type="checkbox"/> Applicant has nominated the following third party to submit DBORs on its behalf ( <i>provide name</i> ):
E.3.2	If the applicant intends to deal in any ASX 24 products on behalf of clients (including any related body corporate), provide a pro forma of the applicant's Client Agreement highlighting where the minimum terms required by ASX 24 Operating Rules Procedure 3801 are contained	Select one of the next 2 options: <input type="checkbox"/> Pro forma Client Agreement attached as <b>Annexure E2</b> <input type="checkbox"/> Not applicable – applicant is applying to be a Principal Trader or otherwise will not be dealing in any ASX 24 products on behalf of clients
E.3.3	If the applicant intends to deal in any products on behalf of US clients, confirm that the applicant is aware of ASX 24 Operating Rule and Procedure 1800 and provide a list of all overseas exchanges on which the applicant intends to deal on behalf of US clients	Select one of the next 2 options: <input type="checkbox"/> The applicant is aware of ASX 24 Operating Rule and Procedure 1800 and a list of all overseas exchanges on which the applicant intends to deal on behalf of US clients is attached as <b>Annexure E3</b> <input type="checkbox"/> Not applicable – applicant does not intend to deal in any products on behalf of US clients

## PART F – ASX CLEAR (FUTURES) APPLICANTS

NO.	REQUIREMENT	APPLICANT RESPONSE
<b>F.1</b>	<b>Participation Type / Products</b>	
	<p>F.1.1 What <b>products</b> does the applicant wish to clear:</p> <ul style="list-style-type: none"> <li>• Commodity Futures &amp; Options</li> <li>• Energy and Environmental Futures &amp; Options (AUD)</li> <li>• Energy and Environmental Futures &amp; Options (NZD)</li> <li>• Equity Futures &amp; Options</li> <li>• Interest Rate Futures &amp; Options (AUD)</li> <li>• Interest Rate Futures &amp; Options (NZD)</li> <li>• OTC Derivatives</li> </ul>	<p>Select whichever of the following are applicable:</p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>
<b>F.2</b>	<b>Business Continuity Arrangements</b>	
	<p>F.2.1 Provide a copy of the applicant’s business continuity plan (BCP) for its ASX-related clearing and settlement activities</p>	<p><input type="checkbox"/> Attached as <b>Annexure F1</b> <i>Submit once only (also requested in Parts C &amp; D)</i></p>
	<p>F.2.2 Provide a copy of the applicant’s BCP infrastructure diagram</p>	<p><input type="checkbox"/> Attached as <b>Annexure F2</b> <i>Submit once only (also requested in Parts C &amp; D)</i></p>
	<p>F.2.3 Provide a copy of the applicant’s completed <a href="#">BCP self-assessment survey</a> <i>Note: the BCP self-assessment survey has further information about what should be included in the applicant’s BCP and BCP infrastructure diagram</i></p>	<p><input type="checkbox"/> Attached as <b>Annexure F3</b> <i>Submit once only (also requested in Parts C &amp; D)</i></p>
<b>F.3</b>	<b>Financial Requirements</b>	
	<p>If the applicant is already an ASX Clear (Futures) Participant, then only the items marked * need to be completed.</p>	
	<p>F.3.1 State the applicant’s financial year end</p>	<p><i>Submit once only (also requested in Part C)</i></p>
	<p>F.3.2 If the applicant is not an ADI, provide the applicant’s last audited financial statements, including every attachment required by law <i>Note: if the applicant does not have audited financial statements, it must provide an income statement and balance sheet drawn up in accordance with the provisions of the Corporations Act (or equivalent foreign legislation), to the extent applicable, and signed by at least 2 directors of the applicant.</i></p>	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/> Financial statements attached as <b>Annexure F4</b> <i>Submit once only (also requested in Part C)</i></p> <p><input type="checkbox"/> Not applicable – applicant is an ADI</p>



NO.	REQUIREMENT	APPLICANT RESPONSE
F.3.3	If the applicant is not an ADI, provide the applicant's auditor details:	<p>Select one of the next 3 options:</p> <p><input type="checkbox"/> Auditors Details provided below:            Audit partner:            Audit firm:            Address:            Telephone:            Email:            Appointment date:</p> <p><input type="checkbox"/> Auditor details to be provided later  <i>Note: if this option is selected, the applicant must provide the auditor details before it will be admitted as a participant.</i></p> <p><input type="checkbox"/> Not applicable – applicant is an ADI</p> <p><i>Submit once only (also requested in Part C).</i></p>
F.3.4	If the applicant is not an ADI, please confirm if the auditors are aware of this application and they will include this in their planning for the audit of the applicant	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/> Confirmed</p> <p><input type="checkbox"/> Confirmation to be provided later  <i>Note: if this option is selected, the applicant must confirm the auditor is aware before it will be admitted as a participant.</i></p> <p><input type="checkbox"/> Not applicable – applicant is an ADI</p> <p><i>Submit once only (also requested in Part C).</i></p>
F.3.5	If the applicant is not an ADI, attach applicant's capital raising plan over the next 12 months*	<p>Select one of the next 3 options:</p> <p><input type="checkbox"/> Capital raising plan attached in email to Participant Transitions</p> <p><input type="checkbox"/> Not applicable – no plans to increase capital over the next 12 months</p> <p><input type="checkbox"/> Not applicable – applicant is an ADI</p> <p><i>Submit once only (also requested in Part C).</i></p>
F.3.6	If the applicant is not an ADI, and to the extent that applicant intends to use Approved Subordinated Debt, please provide details:*	<p>Select one of the next 4 options:</p> <p><input type="checkbox"/> Intends to use Approved Subordinated Debt:            Facility amount:            Provider:</p> <p><input type="checkbox"/> Details of the Approved Subordinated Debt to be provided later</p> <p><input type="checkbox"/> Not applicable – no plans to use Approved Subordinated Debt</p> <p><input type="checkbox"/> Not applicable – applicant is an ADI</p> <p><i>Submit once only (also requested in Part F).</i></p>

NO.	REQUIREMENT	APPLICANT RESPONSE
F.3.7	<p>If the applicant is not an ADI, provide details of any guarantees (including any cross guarantee, or indemnities) provided by the applicant to any parties currently or intends to in the future, and other contingent liabilities*</p>	<p>Select one of the next 4 options:</p> <p><input type="checkbox"/> Guarantee and other contingent liabilities details attached in email to Participant Transitions</p> <p><input type="checkbox"/> Details of any guarantee and other contingent liabilities to be provided later</p> <p><i>Note: if this option is selected, the applicant must provide the details before it will be admitted as a participant.</i></p> <p><input type="checkbox"/> Not applicable – applicant not a party to any guarantees (currently and does not intend to in the future) and does not have other contingent liabilities</p> <p><input type="checkbox"/> Not applicable – applicant is an ADI</p> <p><i>Submit once only (also requested in Part C).</i></p>
F.3.8	<p>If the applicant is not an ADI, and to the extent that applicant intends to use a related/associated entity as a service entity, please provide:</p> <ul style="list-style-type: none"> <li>• Name of service entity;</li> <li>• Advise if applicant has a written signed agreement with the service entity specifying both the type of amounts that will be recharged and the basis of the recharge of amounts (if yes, briefly outline the basis of the expense recharge, if no on what basis are the expenses paid by the service entity recharged to the applicant); and</li> <li>• Advise how frequently a service charge is accrued in applicant’s financial statements*</li> </ul>	<p>Select one of the next 4 options:</p> <p><input type="checkbox"/> Service entity details attached in email to Participant Transitions</p> <p><input type="checkbox"/> Details of the service entity to be provided later</p> <p><i>Note: if this option is selected, the applicant must provide the details of the service before it will be admitted as a participant.</i></p> <p><input type="checkbox"/> Not applicable – applicant does not intend to use related/associated entity as a service entity</p> <p><input type="checkbox"/> Not applicable – applicant is an ADI</p> <p><i>Submit once only (also requested in Part C).</i></p>
F.3.9	<p>If the applicant is not an ADI, and the applicant has elected to be a part of a consolidated tax group, please provide:</p> <ul style="list-style-type: none"> <li>• Date in which applicant elected to be a part of a consolidated tax group;</li> <li>• whether the applicant is the head company in the consolidated tax group; and</li> <li>• if applicable, the date applicant entered into a tax sharing and/or tax funding agreement*</li> </ul>	<p>Select one of the next 4 options:</p> <p><input type="checkbox"/> Consolidated tax group details attached in email to Participant Transitions</p> <p><input type="checkbox"/> Consolidated tax group details to be provided later</p> <p><i>Note: if this option is selected, the applicant must provide the details of the consolidated tax group before it will be admitted as a participant.</i></p> <p><input type="checkbox"/> Not applicable – applicant has not elected to be a part of a consolidated tax group</p> <p><input type="checkbox"/> Not applicable – applicant is an ADI</p> <p><i>Submit once only (also requested in Part C).</i></p>

NO.	REQUIREMENT	APPLICANT RESPONSE
	<p>F.3.10 If the applicant is not an ADI, please provide details of any current and potential credit facilities that applicant will use to meet its liquidity requirements, including the provider(s), format, size, permitted usage and conditions and a copy of the facility agreement*</p>	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/> Credit facilities details attached in email to Participant Transitions</p> <p><input type="checkbox"/> Credit facilities details to be provided later</p> <p><i>Note: if this option is selected, the applicant must confirm the auditor is aware before it will be admitted as a participant.</i></p> <p><input type="checkbox"/> Not applicable – applicant is an ADI</p> <p><i>Submit once only (also requested in Part C)</i></p>
<p><b>F.4 Compliance Requirements</b></p>		
	<p>F.4.1 If the applicant intends to clear for any client (including any related body corporate), provide a pro forma of its Client Agreement highlighting where the minimum terms required by ASX Clear (Futures) Operating Rules Procedure 4.14(j) are contained</p>	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/> Pro forma Client Agreement attached as <b>Annexure F5</b></p> <p><input type="checkbox"/> Not applicable – applicant is not intending to clear for any client</p>
	<p>F.4.2 If the applicant intends to clear for any person other than itself or a related body corporate, confirm that the applicant has, or will prior to its admission as a participant have, professional indemnity insurance in place that complies with the requirements of ASX Clear (Futures) Operating Rules Procedure 4.14(e)</p>	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/> Confirmed</p> <p><input type="checkbox"/> Not applicable – applicant is not intending to clear for any person other than itself or a related body corporate</p>
	<p>F.4.3 ASX Clear (Futures) applicants are to provide a completed <a href="#">ASX Authorised Signatory Form</a> to appoint individuals with authority to sign and submit documentation to ASX</p>	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/> Authorised Signatory Form attached as <b>Annexure F6</b></p> <p><input type="checkbox"/> Authorised Signatory Form will be provided later</p> <p><i>Submit once only (also requested in Part C)</i></p> <p><i>Note: if the latter option is selected, the applicant must provide a completed ASX Authorised Signatory Form before it will be admitted as a participant.</i></p>

NO.	REQUIREMENT	APPLICANT RESPONSE
<b>F.5 Authorised Deposit-taking Institutions (ADIs) Only</b>		
F.5.1	<p>Provide the ADI applicant's latest Tier 1 Capital Figure</p> <ul style="list-style-type: none"> <li>• Tier 1 capital (amount and currency):</li> <li>• As at (date):</li> <li>• Basis of preparation:</li> </ul> <p><i>An ADI applicant should disclose its latest quarterly Tier 1 capital figure as calculated for its banking regulator. Consolidated group data may only be provided if consolidated group Tier 1 capital is over A\$5 billion (in which case, an Australian ADI may report its Level 2 Tier 1 capital, as defined by APRA under Prudential Standards APS 001 and APS 111, and a foreign ADI may report its consolidated group Tier 1 capital in accordance with the requirements of its home banking regulator). Single entity Tier 1 capital must be provided if consolidated group Tier 1 capital is A\$5 billion or less (in which case, an Australian ADI should report its Level 1 Tier 1 capital, as defined by APRA under Prudential Standard APS 111, and a foreign ADI should report its Tier 1 capital for the participant legal entity in accordance with the requirements of its home banking regulator).</i></p>	<p><input type="checkbox"/> Basis of preparation – Consolidated Group</p> <p><input type="checkbox"/> Basis of preparation – Single Entity</p> <p><i>Submit once only (also requested in Part C)</i></p>
<b>F.6 Applicants Applying to Clear OTC Derivative Transactions Only</b>		
F.6.1	<p>Check to confirm that the applicant has read, and has developed processes and procedures to ensure it can comply with its obligations with respect to, the default management provisions contained in ASX Clear Futures OTC Rule 6</p>	<p><input type="checkbox"/> Confirmed</p> <p><i>Note: in providing this confirmation, the applicant is confirming that it can demonstrate compliance with ASX Clear Futures OTC Rule 6 if requested by ASX Clear (Futures)</i></p>
F.6.2	<p>If the applicant intends not to clear Futures Contracts and will be utilising the services of another ASX Clear (Futures) Participant in the Default Management Process, the applicant confirms that:</p> <ul style="list-style-type: none"> <li>• it has entered into an agreement with that Participant to clear Market Contracts acquired by the applicant in a DM Auction and the agreement does not preclude the clearing of DM Auction Transactions (as defined in Schedule 3 of the OTC Rules); and</li> <li>• the agreement will remain in place at all times and will not be withdrawn without the consent of ASX Clear (Futures)</li> </ul>	<p>Select one of the next 2 options:</p> <p><input type="checkbox"/> Confirmed</p> <p><input type="checkbox"/> Not applicable – the applicant is not applying to clear OTC Derivative Transactions or is, or will be, clearing Futures Contracts</p>
F.6.3	<p>The applicant must enter into an ISDA Master Agreement with ASX Clear (Futures) Pty Ltd in form and substance satisfactory to ASX. Please attach the applicant's preferred form of ISDA Schedule for review and negotiation by ASX</p>	<p><input type="checkbox"/> Pro forma ISDA Schedule attached as <b>Annexure F7</b></p>

## CHECKLIST OF ANNEXURES AND SUPPORTING DOCUMENTATION

In addition to the completed application form, applicants are required to submit the annexures, as well as additional information, relevant to their application type. Please ensure all annexures and supporting documentation (as applicable) is clearly labelled using the numbering provided.

Part A – All applicants		
Check	Annex #	Description
	A1	Statement outlining the applicant’s objectives for becoming a participant
	A2	Group structure chart
	A3	Management structure chart
	A4	Process flow diagram
	A5	Copy of existing AFSL, ASIC relief exempting applicant from requirement to hold AFSL or legal opinion confirming no AFSL is required (if applicable)
	A6	Statutory Declarations confirming applicant and directors’ business integrity (if applicable)
	A7	Written Certification as to resources and processes
	A8	Completed ASX Online Initial Access Form
	A9	Appointment of agent for service of process and acceptance of appointment (if applicable)
	A10	Details of the law under which a foreign licence has been issued and a copy of that licence (if applicable)
	A11	Statement of Overseas Activity and evidence of any necessary regulatory approvals (if applicable)

Part B – ASX market applicants			
Check	Annex #	Description	Rule Reference
	B1	<i>Annexure has been deleted</i>	N/A
	B2	Copy of draft Clearing Agreement with each third party clearer (if applicable)	1000(g), 1003 & SCH 1
	B3	<i>Annexure has been deleted</i>	N/A
	B4	Pro forma Client Agreement for ETOs (if applicable)	P 3801
	B5	Pro forma Client Agreement for Warrants (if applicable)	P 3801
	B6	Pro forma Client Agreement for Partly Paid Securities (if applicable)	P 3801
	B7	Copy of AOP certification from ASIC (if applicable)	P 1000(e)-(f), 1401(a)

Part C – ASX Clear applicants			
Check	Annex #	Description	Rule Reference
	C1	Business continuity plan (BCP) (submit once only)	4.2
	C2	BCP infrastructure diagram (submit once only)	4.2
	C3	Completed BCP self-assessment survey (submit once only)	4.2
	C4	Last audited financial statements (if applicable - submit once only)	5, SCH 1, SCH 2
	C5	Statement outlining other business activities (if applicable)	5, SCH 1
	C6	<i>Annexure has been deleted</i>	N/A
	C7	Pro forma Clearing Agreement (if applicable)	9.1, SCH 3
	C8	Pro forma Client Agreement for Derivatives Market Transactions (if applicable)	7.1.2, SCH 5
	C9	Wholly owned group entity legal opinion (if applicable)	P 3.2.2(b)
	C10	Completed ASX Authorised Signatory Form (submit once only)	4.12.1

<b>Part C – ASX Clear applicants - additional information to be provided by email</b>		
<b>Check</b>	<b>Application Form Reference</b>	<b>Description</b>
	C.3.7	Details of capital raising plans (if applicable - submit once only)
	C.3.8	Details of Approved Subordinated Debt (if applicable - submit once only)
	C.3.9	Details of any guarantees and other contingent liabilities (if applicable - submit once only)
	C.3.10	Details of services entities (if applicable - submit once only)
	C.3.11	Details of consolidated tax group (if applicable - submit once only)
	C.4.1	Copy of liquidity policy (if applicable - submit once only)
	C.4.2	Details of liquidity plan (if applicable - submit once only)
	C.4.3	Details of credit facilities (if applicable - submit once only)
	C.4.4	Copy of the job description for the nominated liquidity officer or summary of nominated liquidity officers qualifications/experience in liquidity risk management (if applicable)

<b>Part D - ASX Settlement applicants</b>			
<b>Check</b>	<b>Annex #</b>	<b>Description</b>	<b>Rule Reference</b>
	D1	Business continuity plan (BCP) (submit once only)	6.21.1
	D2	BCP infrastructure diagram (submit once only)	6.21.1
	D3	Completed BCP self-assessment survey (submit once only)	6.21.1
	D4	Settlement Bond (if applicable)	4.9
	D5	Sponsorship Bond (if applicable)	4.9
	D6	Pro Forma Sponsorship Agreement (if applicable)	7.1

<b>Part E – ASX 24 market applicants</b>			
<b>Check</b>	<b>Annex #</b>	<b>Description</b>	<b>Rule Reference</b>
	E1	Copy of draft Clearing Agreement with, an executed Guarantee by, Guarantor Clearing Participant (if applicable)	1000(g)
	E2	Pro forma Client Agreement (if applicable)	P 3801
	E3	List of exchanges through which the applicant intends to deal on behalf of US Persons (if applicable)	P 1800

<b>Part F - ASX Clear (Futures) applicants</b>			
<b>Check</b>	<b>Annex #</b>	<b>Description</b>	<b>Rule Reference</b>
	F1	Business continuity plan (BCP) (submit once only)	P 4.2(e)
	F2	BCP infrastructure diagram (submit once only)	P 4.2(e)
	F3	Completed BCP self-assessment survey (submit once only)	P 4.2(e)
	F4	Last audited financial statements (if applicable - submit once only)	8
	F5	Pro forma Client Agreement(s) (if applicable)	4.14(j)
	F6	Completed ASX Authorised Signatory Form (submit once only)	4.14(ea)
	F7	Pro forma ISDA schedule (OTC applicants only)	OTC Handbook 2.4

<b>Part F - ASX Clear (Futures) applicants - additional information to be provided by email</b>		
<b>Check</b>	<b>Application Form Reference</b>	<b>Description</b>
	F.3.5	Details of capital raising plans (if applicable - submit once only)
	F.3.6	Details of Approved Subordinated Debt (if applicable - submit once only)
	F.3.7	Details of any guarantees and other contingent liabilities (if applicable - submit once only)
	F.3.8	Details of services entities (if applicable - submit once only)
	F.3.9	Details of consolidated tax group (if applicable - submit once only)
	F.3.10	Details of credit facilities (if applicable - submit once only)