



ASX

AUSTRALIAN SECURITIES EXCHANGE

New Trader Incentive Program

Corporate

The Australian Securities Exchange's (ASX) Corporate New Trader Incentive Program (the Incentive Program) allows eligible firms or corporations to trade ASX's benchmark products¹ free of ASX's standard exchange fee for a six month period.

ASX provides a full rebate of the exchange fee per side to approved new firms or corporations who trade over 1,000 contracts per month in any ASX benchmark product¹ for the period of the Incentive Program. Under the Corporate New Trader Incentive Program there is no cap on the amount of volume fully rebated for the period of the Incentive Program.²

Who can qualify?

Firms or corporations can qualify for the Incentive Program if they can demonstrate they have not traded the ASX market in the past two years. Eligible corporations may include banks, proprietary trading firms, hedge funds, managed futures funds and other entities that manage pooled client monies.³

To Apply

The attached application form should be completed and signed by the Applicant, the Trading Participant, and the ASX Clearing Participant (Futures).

As part of the confirmation process the Exchange will (if applicable) contact the Applicant's former Trading Participants, Financial Services Licensee and ASX Clearing Participants (Futures) to confirm the Applicant's trading history.

Rebates are paid monthly in arrears to the ASX Clearing Participant (Futures) following lodgement of the required rebate form by the Clearing Participant.

For further information and to download additional application forms, visit www.asx.com.au/incentive

Send the completed application form to:

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1 ASX benchmark contracts are the:

- 30 Day Interbank Cash Rate Futures and Options
- 90 Day Bank Accepted Bill Futures and Options
- 3 Year Commonwealth Treasury Bond Futures and Options
- 10 Year Commonwealth Treasury Bond Futures and Options
- ASX SPI 200® Index Futures and Options
- 30 Day NZ Official Cash Rate Futures
- NZ 90 Day Bank Bill Futures and Options
- NZ 3 Year Government Stock Futures and Options
- NZ 10 Year Government Stock Futures and Options

2 Volumes used to qualify for the New Trader Incentive Program cannot also be used to qualify for any other ASX Incentive or Rebate Program.

3 ASX 24 Principal Traders are ineligible to apply for the Corporate New Trader Incentive Program.

Corporate New Trader Incentive Program Application Form

Applicant Company and Trader Details

Company Name:

Trader Name:

Please list all traders who will trade under this Incentive Program

Business Division(s):

Please list all business divisions who will partake in this Incentive Program

Address:

Telephone:

Facsimile:

Email:

Commencement Date:

Acknowledgements

I acknowledge that:

- All volume executed for the Incentive Program will be on behalf of the Firm.
- The standard exchange fee rebate on ASX benchmark products¹ will only be payable by the Exchange upon receipt of a copy of the Applicant's monthly statement and a satisfactory rebate form from the Applicant's ASX Clearing Participant (Futures) disclosing that the Applicant has traded over 1,000 contract sides for the month in the ASX benchmark contracts.
- All rebate payments will be made to the ASX Clearing Participant (Futures) set out below, monthly in arrears.
- The monthly statement and rebate form must be provided to ASX within five business days after the end of each month.
- Volumes used to qualify for the ASX Corporate New Trader Incentive Program cannot also be used to qualify for any other ASX Incentive or Rebate Program.
- ASX may request further information or inspect the records of the Trading Participant/FSL and ASX Clearing Participant (Futures) relating to this Application or the Applicant's trades under this Program (including former Trading and Clearing Participants if specified below).
- Rebates will apply to trading in the period of six months from the date ASX notifies the Applicant of its acceptance into the Incentive Program.
- The Exchange may in its absolute discretion accept or refuse an Applicant's entry to the Incentive Program and reserves the right to review the terms of the Incentive Program at any time.
- ASX 24 Principal Traders are ineligible to apply for the Corporate New Trader Incentive Program.

Trading History

Please tick one:

- We have never traded ASX contracts.
- or We have traded ASX contracts before, on behalf of clients.
- or We have traded ASX contracts for the company's own account, more than two years ago.

If you have traded ASX contracts on behalf of clients or for your own account more than two years ago, please complete the following:

Commencement date of trading ASX products:

Cessation date of trading ASX products:

Company name traded under:

Former Trading Participant and Clearing Participant:

Contact name:

Address:

Telephone:

(If more than one please attach additional contact details to application form).

Corporate New Trader Incentive Program Application Form *continued*

Other Information

Please provide background information on your company, including which business areas will partake in the Corporate New Trader Incentive Program:

Please list other futures exchanges your company trades:

Trading Participant

Trading Participant:

Contact:

Telephone:

Facsimile:

Email:

Trading Participant

Clearing Participant:

Contact:

Telephone:

Facsimile:

Email:

In support of this application, the Clearing Participant agrees to:

* Submit to ASX the rebate form provided of the Applicants volumes in sides.

Applicant's signature:

Date:

Position title:

Trading Participant representative signature:

Date:

Clearing Participant representative signature:

Date:

1 ASX benchmark contracts are the:

- 30 Day Interbank Cash Rate Futures and Options
- 90 Day Bank Accepted Bill Futures and Options
- 3 Year Commonwealth Treasury Bond Futures and Options
- 10 Year Commonwealth Treasury Bond Futures and Options
- ASX SPI 200[®] Index Futures and Options
- 30 Day NZ Official Cash Rate Futures
- NZ 90 Day Bank Bill Futures and Options
- NZ 3 Year Government Stock Futures and Options
- NZ 10 Year Government Stock Futures and Options

Disclaimer: This Futures and Options market is operated by Australian Securities Exchange, ABN 83 000 943 377 and cleared and settled by ASX Clear Futures Pty Limited. Independent advice from an Australian financial services licensee is needed before making financial decisions. This is not intended to be financial product advice. To the extent permitted by law, ASX and its related bodies corporate excludes all liability for any loss or damage arising in any way including by way of negligence. This document is not a substitute for the Operating Rules of the relevant ASX entity and in the case of any inconsistency, the Operating Rules prevail.

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AUSTRALIAN SECURITIES EXCHANGE

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www.asx.com.au

For these contracts the market is operated by Australian Securities Exchange Limited ABN 83 000 943 377