

ANNEXURE 12 DEAL REPORT



ASX EQUITY OTC CLEAR DEAL REPORT

Date	
Booking Participant	
Broker Number	
Contact Name	DTR Login
Contact Number	

Please complete the table below for each OTC Option Trade
Class – enter the 3 character ASX code as is used on ASX Trade
Strike – enter the Strike price of the series in \$ (e.g 50c = \$0.5)
Expiry Style – specify whether the series being requested is American (A), European (E), or LEPO (L)
Contract Size – this defaults to 100 unless a corporate adjustment has been actioned
Expiry Date – enter the expiration date of the option series (Note: this cannot be the same as an ETO expiry Date.)

Please contact Market Control on 1300 655 560 with any issues in regards to creating a new OTC deal.

In accordance with the ASX Clear Operating Rules, we hereby provide notification of the following OTC Options Market Transactions that we request to register with ASX Clear:

TRADE DETAILS

ASX Equity OTC Clear Details					
Class	Strike	Type	Expiry Style	Contract Size	Expiry Date

Underlying Basis Price	ASX Series Code 1	ASX Series Code 2	ASX Series Code 3	ASX Series Code 4
	TBA	TBA	TBA	TBA

ASX Equity OTC Clear Trade					
Seller of OTC Option:	Trading Participant Code	Clearing Member Code	Clearing A/c number	Quantity	Price
1					
2					
3					
4					

Seller of OTC Option:	Trading Participant Code	Clearing Member Code	Clearing A/c number	Quantity	Price
1					
2					
3					
4					

We acknowledge responsibility for the accuracy of the information provided and also acknowledge that ASX Limited will act on a best endeavours basis only. ASX (including its employees, representatives, or any related body corporate of ASX) does not accept liability whatsoever for any loss or damage arising in any way (including by way of negligence) from acting or refraining to act in accordance with this request.

INSTRUCTIONS FOR COMPLETING THIS FORM

ASX EQUITY OTC CLEAR DEAL REPORT

Field	Description	Comments
Top Section		
Date	Enter today's date in format DD/MM/YYYY	Mandatory
Booking Participant	Enter the name of your firm	Mandatory
Broker Number	Enter your 3-digit broker number	Mandatory
Contact Name	Enter your name or the name of the contact person at your firm	Mandatory
DTR Login	Enter the DTR Login of the nominated contact person	Mandatory
Contact Number	Enter the telephone number of the nominated contact person, including country code, if overseas, and area code	Mandatory
Trade Details – ASX Equity OTC Clear Details		
Class	Enter the 3 character ASX code as is used on ASX Trade	Mandatory
Strike	Enter the Strike price of the series in \$ (e.g 50c = \$0.5)	Mandatory
Type	Enter the type: Call or Put	Mandatory
Expiry Style	Specify whether the series being requested is American (A), European (E), or LEPO (L)	Mandatory
Contract Size	Enter the requested contract size. This defaults to 100 unless a corporate adjustment has been actioned.	Mandatory
Expiry Date	Enter the expiration date of the requested OTC Option series (Note: this cannot be the same as an ETO expiry date.)	Mandatory
Underlying Basis Price	The underlying price that the trade was constructed / executed against.	Mandatory
ASX Series Code	ASX Code of the OTC Option series, once it has been created by ASX	This field is for ASX use only
Trade Details – ASX Equity OTC Clear Trade Details		
Buyer of OTC Option – Complete one line per trade		
Trading Participant Code	3 digit broker number of the buying participant. Must be the same as the Broker Number in the top section of this form.	Mandatory
Clearing Member Code	4 digit participant id of the buy-side clearing member	Mandatory
Clearing A/c number	Clearing account number / details for the buy side	Mandatory
Quantity	Quantity of the trade	Mandatory
Price	Price of the trade in \$	Mandatory
Seller of OTC Option – Complete one line per trade		
Trading Participant Code	3 digit broker number of the selling participant. Must be the same as buying participant.	Mandatory
Clearing Member Code	4 digit participant id of the sell-side clearing member	Mandatory
Clearing A/c number	Clearing account number / details for the sell side	Mandatory
Quantity	Quantity of the trade. Must be the same as the Quantity on the buy side.	Mandatory
Price	Price of the trade in \$. Must be the same as the Price on the buy side.	Mandatory

Introduced 28/05/12