

Rule 4.14(aa) Becoming a Clearing Participant – [Deleted]

Amended 11/02/14 Deleted 15/06/15

Rule 4.14(a) Annual Audit Certificate

The prescribed form of annual audit certificate as required under Rule 4.14(a) is:

(a) for non-ADI Clearing Participants that are also participants of ASX Clear Pty Ltd, Form 1, as set out in the Appendix hereto; and

(b) for all other non-ADI Clearing Participants, Form 1 and Form 2, as set out in the Appendix hereto.

These are to be submitted via email to CRAteam@asx.com.au within 3 months of the Clearing Participant's financial year end.

Items in Form 1 or 2 marked in bold and square bracketed may need to be deleted. Items marked with an asterisk indicate a selection that needs to be made. No other changes should be made to Form 1 or 2.

Foreign Clearing Participants can choose to have their internal controls and return audited according to Australian auditing standards and code of ethics or auditing standards and code of ethics of their home jurisdiction. The appropriate selection should be made in the Form 1 and Form 2. Notwithstanding this selection, ASX Clear (Futures) reserves the right to require an auditor to provide a report based on the Australian auditing standards and code of ethics.

Amended 01/07/13, 11/02/14, 15/06/15