BUSINESS ACTIVITIES RETURN

Participant name		Quarter ending:	

Explanatory Notes/Instructions

This form is a prescribed return under ASX Clear Operating Rule S1.3.1(1). It is to be completed by participants on a quarterly basis. The information provided will be used by ASX Clear as part of its assessment of the minimum core capital requirement for each participant. The format of this return may be amended following assessment of the initial information received from participants.

The form seeks information on each participant's own account business and non ASX client activity. Participants have the option to request that their business be automatically deemed material (and hence subject to the additional $5m core capital requirement) for either or both of these activities, in which case they will not have to provide the required information for that activity/ies.

Own Account (Principal) Business

For the purposes of this return, principal business is activity where the participant has either invested its own funds or is exposed to the potential of an investment (e.g. underwriting) which could result in a loss from the activities if there is a movement in market prices/rates. This is regardless of whether or not the participant is clearing the trades. It includes market making activity where the participant is taking on the risk of the positions acquired from the market making activity. It excludes principal positions arising from errors, back to back transactions and hedging transactions.

There are three tables to be completed:

1. Principal positions – for each product listed in column 1, please provide:
    - the turnover in A$ value for the last quarter (ending 31 March, 30 June, 30 September or 31 December as applicable), six months and year;
    - your organisation's position/risk limit for that product. The limit is as per your organisation's internal risk management processes; and
    - average limit utilisation over the last quarter.
2. Revenue – for each product category listed in column 1, please provide the revenue generated in the last quarter, six months and year.
3. Other activity – for each activity listed in column 1, please provide your organisation's exposure limit for that activity.

Non ASX Client Activity

For each area of activity listed in column 1 of the table, please provide:

1. the information as requested in column 2;
2. annual revenue (actual) – actual revenue generated for that activity for the participant's financial year to date; and
3. annual revenue (forecast) – forecast revenue for that activity for the same period.

Sign-off Requirement and Method of Submission

This return must be signed by a director of the participant. It is to be submitted via email to CRAteam@asx.com.au.

Own Account (Principal) Business

Does the participant undertake any own account (principal) business? Yes/No
If yes, does the participant wish to have its own account business deemed material? Yes/No
If no, please provide the following:

Principal Positions	Turnover Quarterly (Value)	Turnover Half-Yearly (Value)	Turnover Yearly (Value)	Limit	Limit Utilisation
Australian Equities, Derivatives & Debt					
Listed Equities					
Unlisted Equities					
Equities Flexclear (OTC)					
Listed Debt Instruments					
Unlisted Debt Instruments					
Exchange Traded Options					
Futures & Options					
OTC – ASX Cleared A$ products					
OTC – Non Cleared A$ products					
Other – please specify					
Non Australian Equities, Derivatives & Debt					
Listed Equities					
Unlisted Equities					
Listed Debt Instruments					
Unlisted Debt Instruments					
Exchange Traded Options					
Futures & Options					
OTC – Cleared (not by ASX) A$ products					
OTC – Non Cleared non A$ products					
Other – please specify					
Foreign Exchange					
Spot					
Forward					
Derivatives					
Other – please specify					

Revenue from Principal Activities	Revenue Quarterly	Revenue Half-Yearly	Revenue Yearly
Australian Equities, Derivatives & Debt			
Non Australian Equities, Derivatives & Debt			
Foreign Currency			
Total			

Other Activity	Exposure Limit
Underwriting	
Facilitation	

Non ASX Client Activity

Does the participant undertake any non ASX client activity? Yes/No
If yes, does the participant wish to have its non ASX client activity deemed material? Yes/No
If no, please provide the following:

Non ASX Client Activity	Information		Annual Revenue (actual)	Annual Revenue (forecast)
International Equities	Number of Clients traded in the last 3 months			
	Number of Clients traded in the last 6 months			
	Number of Clients traded in the last 12 months			
	Number of transactions in the last 3 months			
	Number of transactions in the last 6 months			
	Number of transactions in the last 12 months			
	Value of transactions in the last 3 months			
	Value of transactions in the last 6 months			
	Value of transactions in the last 12 months			
	Exchanges traded upon			
International Exchange Traded Options	Number of Clients traded in the last 3 months			
	Number of Clients traded in the last 6 months			
	Number of Clients traded in the last 12 months			
	Number of transactions in the last 3 months			
	Number of transactions in the last 6 months			
	Number of transactions in the last 12 months			
	Value of transactions in the last 3 months			
	Value of transactions in the last 6 months			
	Value of transactions in the last 12 months			
	Exchanges traded upon			
International Exchange Traded Derivatives	Number of Clients traded in the last 3 months			
	Number of Clients traded in the last 6 months			
	Number of Clients traded in the last 12 months			
	Number of transactions in the last 3 months			
	Number of transactions in the last 6 months			
	Number of transactions in the last 12 months			
	Value of transactions in the last 3 months			
	Value of transactions in the last 6 months			
	Value of transactions in the last 12 months			
	Exchanges traded upon			
Foreign Exchange	Number of Clients traded in the last 3 months			
	Number of Clients traded in the last 6 months			
	Number of Clients traded in the last 12 months			
	Number of transactions in the last 3 months			
	Number of transactions in the last 6 months			
	Number of transactions in the last 12 months			
	Value of transactions in the last 3 months			
	Value of transactions in the last 6 months			
	Value of transactions in the last 12 months			
Debt Instruments – A$ denominated	Number of Clients traded in the last 3 months			
	Number of Clients traded in the last 6 months			
	Number of Clients traded in the last 12 months			
	Number of transactions in the last 3 months			

Non ASX Client Activity	Information		Annual Revenue (actual)	Annual Revenue (forecast)
	Number of transactions in the last 6 months			
	Number of transactions in the last 12 months			
	Value of transactions in the last 3 months			
	Value of transactions in the last 6 months			
	Value of transactions in the last 12 months			
Debt Instruments – foreign currency denominated	Number of Clients traded in the last 3 months			
	Number of Clients traded in the last 6 months			
	Number of Clients traded in the last 12 months			
	Number of transactions in the last 3 months			
	Number of transactions in the last 6 months			
	Number of transactions in the last 12 months			
	Value of transactions in the last 3 months			
	Value of transactions in the last 6 months			
	Value of transactions in the last 12 months			
OTC Derivatives	Number of Clients traded in the last 3 months			
	Number of Clients traded in the last 6 months			
	Number of Clients traded in the last 12 months			
	Number of transactions in the last 3 months			
	Number of transactions in the last 6 months			
	Number of transactions in the last 12 months			
	Value of transactions in the last 3 months			
	Value of transactions in the last 6 months			
	Value of transactions in the last 12 months			
Corporate Finance	Number of transactions in the last 3 months			
	Number of transactions in the last 6months			
	Number of transactions in the last 12 months			
	Value of transactions in the last 3 months			
	Value of transactions in the last 6 months			
	Value of transactions in the last 12 months			
Financial Planning	Number of clients			
	Funds under management			
Portfolio Administration	Number of clients			
	Funds under administration			
Superannuation	Number of clients			
	Funds under management			
Stock Lending (Where your organisation is the stock lender)	Source of stock (Client vs. Principal)			
	Number of Clients (if source is client)			
	Number of transactions in the last 3 months			
	Number of transactions in the last 6 months			
	Number of transactions in the last 12 months			
	Value of transactions in the last 3 months			
	Value of transactions in the last 6 months			
	Value of transactions in the last 12 months			
Margin Lending (Where your organisation is the margin lender)	Number of Clients			
	Size of Loan Portfolio			
	Loan to Valuation Ratio (Number of LVRs>90%)			
Other – please specify				

Director's Sign-off

I certify that the information presented in this return is, to the best of my knowledge and belief, true and correct.

Director's name:	
Director's signature:	
Date:	