

ANNEXURE 3

ANNEXURE 3.1.8

APPLICATION FOR AUTHORISATION TO CLEAR MARKET TRANSACTIONS EFFECTED THROUGH TWO OR MORE APPROVED MARKET OPERATORS

Name of Clearing Participant (the "Applicant")

ABN, ARBN or ARSN

AFSL Number

Participant Clearing ID (PID)

Operational Contact Details:

Name

Telephone

Email

Current Settlement System [including Name, Version and Vendor (if applicable)]

1

2

3

Proposed new Approved Market Operator/s

A directors' attestation is required under ASX Clear Operating Rule 3.2.3 in connection with this application and is attached (please tick if applicable)

Applicant's Acknowledgement

- (a) The Applicant acknowledges that this application is upon the terms of and subject to the ASX Clear Operating Rules as varied from time to time;
- (b) The Applicant represents and warrants to ASX Clear that the information the applicant has provided to ASX Clear in connection with this application (including in the Annexures) is true and correct; and
- (c) The Applicant acknowledges that ASX Clear relies on the information provided in considering this application and acknowledges that any wilful omission or misstatement on a material point in or in connection with this application may lead to rejection of the

application or, if the application is approved, subsequent cessation of the applicant's approval.

EXECUTED for and on behalf of
the Applicant by its authorised signatory:

Name

Title

Introduced 27/06/11

ANNEXURE 3.2.2

**ATTESTATION BY DIRECTORS¹/RESPONSIBLE EXECUTIVES²
TO ASX CLEAR**

**PARTICIPANT’S KEY RISKS AND INTERNAL SYSTEMS STATEMENT FOR A CLEARING
PARTICIPANT CLEARING FOR A MARKET PARTICIPANT CLEARING THROUGH MORE
THAN ONE CLEARING PARTICIPANT**

(To be completed ONLY by a Participant that clears for itself and intends to also clear through another General Participant, or a General Participant that intends to clear for a Market Participant/s proposing to either clear for itself and also use another General Participant or use 2 or more General Participants. This attestation is only required to be completed on the first occasion any of these occurs)

Participant:

We hereby certify and represent that:

The Participant has considered the operational, legal and ASX Clear Operating Rules risks arising from clearing in the following circumstances:

- (a) where the Participant clears for itself and also clears through another General Participant;
- (b) where the Participant clears for a Market Participant which clears for itself and also clears through another General Participant; or
- (c) where the Participant clears for a Market Participant which clears through 2 or more General Participants,

and has developed and implemented adequate systems, procedures and controls necessary to minimise the risks of undertaking this business.

The systems, procedures and controls are operating effectively and are adequate having regard to the nature and extent of the Participant’s clearing activities to ensure compliance with the ASX Clear Operating Rules.

The Participant acknowledges that it may in accordance with the ASX Clear Operating Rules have the Clearing Obligations for a misdirected Market Transaction and further acknowledges that such additional Clearing obligations may cause the Participant to breach the ASX Clear Operating Rules, including, but not limited to, Section 5.

Name
Director¹/Responsible Executive²

Name
Director¹/Responsible Executive²

Dated this day of

Date of Board Resolution (if applicable)

KEY / INSTRUCTIONS

- ¹ To be signed by one director in accordance with a resolution of the board of directors (the date of the resolution must be specified) or by two directors, except in the case of Participants complying with the Other Capital Regime.
- ² In the case of Participants complying with the Other Capital Regime, this should be signed by either two directors or two Responsible Executives.

If a Participant considers it necessary to qualify this standard statement, the reasons should be explained in full in an accompanying statement.

PRIVACY COLLECTION STATEMENT

ASX and ASX Clear collects personal information under the ASX Operating Rules, and ASX Clear Operating Rules in order to assess compliance by Participants with the capital requirements contained in the ASX Operating Rules and ASX Clear Operating Rules. This information may include personal information (name, phone number, email address for example). You may access your personal information by contacting the ASX Risk Management Division. The personal information may be disclosed to the Australian Securities & Investments Commission and any other person, firm, corporation or authority as required by law or as permitted under the Rules. Failure to provide the personal information may prevent ASX and ASX Clear from being able to assess the relevant Return adequately and may result in a breach of the ASX Operating Rules and ASX Clear Operating Rules by the Participant. In some instances personal information is provided by Participants to ASX and ASX Clear in relation to persons who do not sign the relevant Return or who are not involved in completion of the Return. In those instances, please ensure this Statement is drawn to those persons attention.

Introduced 15/05/07

ANNEXURE 3.2.3

ATTESTATION BY CLEARING PARTICIPANT'S DIRECTORS TO ASX CLEAR

PARTICIPANT'S KEY RISKS AND INTERNAL SYSTEMS STATEMENT FOR A CLEARING PARTICIPANT CLEARING MARKET TRANSACTIONS EFFECTED THROUGH TWO OR MORE APPROVED MARKET OPERATORS

(To be completed ONLY by a Participant that proposes to clear Market Transactions effected through two or more Approved Market Operators.)

Participant:

We hereby certify that:

The Participant has considered the operational, legal and ASX Clear Operating Rule risks arising from clearing Market Transactions effected through two or more Approved Market Operators and has developed and implemented systems, procedures and controls necessary to minimise the risks of undertaking this business.

The systems, procedures and controls are operating effectively and are adequate having regard to the nature and extent of the Participant's clearing activities to ensure compliance with the ASX Clear Operating Rules.

The Participant has:

- successfully completed a comprehensive testing program in respect of its ability to process and reconcile, in a timely manner, Clearing Messages it receives from ASX Clear and information it receives from each AMO in respect of which the Participant is authorised (or seeks authorisation) to clear Market Transactions and (where applicable) Market Participants; and
- in relation to its disaster recovery and business continuity arrangements:
 - performed a detailed review of its arrangements and has made such changes as it considers prudent having regard to its obligations under ASX Clear Operating Rule 4.2.1; and
 - performed a successful test of the arrangements to ensure timely recovery of its existing clearing operations and the proposed operations for clearing Market Transactions effected through multiple Approved Market Operators.

The Participant acknowledges that it will, in accordance with the ASX Clear Operating Rules, be taken to have agreed to clear every Market Transaction submitted by an Approved Market Operator for registration in the Participant's name, notwithstanding that the Participant has been incorrectly identified in the Approved Market Operator's trade registration request message as a clearing counterparty to the trade (see ASX Clear Operating Rule 12.1.4) and that such Clearing Obligations may cause the Participant to breach the ASX Clear Operating Rules, including but not limited to Section 5 (Risk Management, Capital Requirements).

Signature: _____
Director

Signature: _____
Director/Company Secretary

Name: _____
(please print)

Name: _____
(please print)

Dated this _____ day of _____ 20

Introduced 27/06/11

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