



ACH Clearing Rules Guidance Note No. 6

KEY TOPICS

1. Requirement to notify ACH of changes

ACH Clearing Rules

1. 23.2
2. Old ASX Business Rule 5.13(1)

Guidance Note History

Introduced:

11 March 2004 –
Introduction of New Rule Book

ONGOING COMPLIANCE DURING TRANSITIONAL PERIOD - Affiliate Details

Purpose

The purpose of this guidance note is to provide ACH Participants (“Participants”) with the standard form for Affiliates to notify ACH of changes to their particulars, to ensure Affiliates receive all relevant ACH notices and correspondence.

Background

Affiliates are reminded of their obligation to notify ACH of any changes to their particulars.

The ACH Clearing Rules require each Affiliate to continue to comply with the requirements for the recognition and registration which existed under the Old Recognition Rules

Old ASX Business Rule 5A.1.5 requires an Affiliate to:

“.....register with the Exchange the name and address of the Participating Organisation with which he or she is associated...”

Notices to Affiliates are served by ACH in accordance with the provisions of Old ASX Business Rule 5.13(1) which states:

“A notice may be served by the Exchange upon any Affiliate either personally or by leaving it at or posting it in a prepaid envelope to his or her registered place of address or by placing the notice in his or her Participating Organisation’s clearing room document box....”

Standard Form

Attached is a standard form which should be completed by Affiliates when a change of address or role occurs. This should be sent to your Client Relations Officer.

24 June 2005



Qualification

The Clearing House has published this note to promote commercial certainty, and assist Market Participants. Nothing in this note necessarily binds the Clearing House in the application of the Rules in a particular case. In issuing this note the Clearing House is not providing legal advice and Market Participants should obtain their own advice from a qualified professional person in respect of their obligations. The Clearing House may replace this Guidance Note at any time. Readers may contact the Clearing House to ensure they have the latest version.

24 June 2005

AFFILIATES

Notification of change of details

Please complete this form, setting out your current particulars, to assist ACH maintain accurate records.

SEND TO: ASX Client Relations in your capital city

Name			
Mr/Mrs/Ms	<input type="text"/>	First Name	<input type="text"/>
Last Name	<input type="text"/>	Known as	<input type="text"/>

Personal or Work Details			
Title/Role	<input type="text"/>		
Company	<input type="text"/>		
Company /Contact Address	<input type="text"/>		
City	<input type="text"/>	Post Code	<input type="text"/>
State	<input type="text"/>	Country	<input type="text"/>
Phone	<input type="text"/>	Fax	<input type="text"/>

If your ROLE has changed			
	Appointed/Resigned	Date	
Director	<input type="text"/>	<input type="text"/>	
Partner	<input type="text"/>	<input type="text"/>	
Employee	<input type="text"/>	<input type="text"/>	
Consultant	<input type="text"/>	<input type="text"/>	
Other (please state)	<input type="text"/>	<input type="text"/>	

Signed: Date:

Office Use Only	Date	<input type="text"/>	
	Sent to database administrator:	<input type="text"/>	Send to: Relevant
	Database updated:	<input type="text"/>	Manager, Client Relations
Changes verified by Client Relations:	<input type="text"/>		