

# ASX Online Initial Access Form

<b>APPLICANT NAME:</b>	
<b>DATE:</b>	
<p>An applicant seeking admission as a participant in any ASX market or facility must provide a completed and signed ASX Online Initial Access Form to nominate at least two individuals to access the ASX web-based system interface known as ASX Online.</p> <p>The individuals will be granted permission to access ASX Online as an 'Enterprise Administrator' and are required to appoint all mandatory roles prior to the applicant's admission as an ASX participant (refer to page 2 for a list of mandatory roles).</p>	
<p><b>ASX Online</b></p> <p>ASX Online is a secure extranet site provided by ASX to enable participants to perform processes including:</p> <ul style="list-style-type: none"> <li>• Receiving Notices that update participants on changes to ASX Operating Rules;</li> <li>• Lodging regulatory reports such as Short Selling and Securities Lending;</li> <li>• Submitting, reviewing and approving compliance forms;</li> <li>• Raising a service request; and</li> <li>• Establishing authorisation credentials for completing trade instructions (Authorised Signatories).</li> </ul>	
<p><b>Enterprise Administrators</b></p> <p>An Enterprise Administrator is responsible for creating, managing and disabling authority on behalf of other users within the participant. Following initial set up by ASX, Enterprise Administrators have the ability to create additional roles in ASX Online. An Enterprise Administrator can assign any and all roles to themselves. There is no limit on the number of Enterprise Administrators a participant can appoint, however, ASX requires a minimum of two per participant.</p>	
<p><b>APPOINT THE FOLLOWING INDIVIDUAL(S) AS AN ENTERPRISE ADMINISTRATOR:</b></p>	
<p><b>Primary</b></p>	
Email address*	
First Name*	
Last Name*	
Job Title	
Department	
Office number*	
Mobile number	
Office address*	
Time zone*	
<p><b>Secondary</b></p>	
Email address*	
First Name*	
Last Name*	
Job Title	
Department	
Office number*	
Mobile number	
Office address*	
Time zone*	

## MANDATORY ROLES REQUIRED FOR ADMISSION AS A PARTICIPANT

Once ASX Online access is provided, Enterprise Administrators can access ASX Online and set up new users or assign additional ASX Online role permissions to relevant team members. There are a number of roles available and applicants are directed to have regard to the ASX Online guide for Enterprise Administrators linked below.

In order to comply with the relevant ASX admission requirements, ASX requires Enterprise Administrators to assign the following roles as part of the admission process (additional roles can be created at a later stage):

Participant Role	Applicable ASX participations	Description	Minimum Number Required
Compliance	All ASX participants	This role can view and manage all compliance service requests. It is typically assigned to the Compliance Management of the client organisation.	2
Forms viewer	All ASX participants	Provides access to view historical compliance forms only	2
Forms editor	All ASX participants	This role can create and edit compliance forms.	2
Forms approver	All ASX participants	This role can create, edit and submit compliance forms to ASX.	2
Short Sales Reporting	ASX Market	This role can view Short Sales Reporting related pages and submit a Short Sales Report on behalf of the participant in accordance with the ASX Operating rules (as applicable).	2
Authorised Signatory – ASX Market	ASX Market	This role provides a person with the authority to sign documentation and to deal with trading issues on behalf of the participant under the ASX Operating rules (as applicable).	2
Securities Lending Reporting	ASX Settlement	This role can view Securities Lending Reporting related pages and submit a Securities Lending Report on behalf of the participant in accordance with the ASX Settlement Operating rules (as applicable).	2
Authorised Signatory – ASX 24 Market	ASX 24 Market	This role provides a person with the authority to sign documentation and deal with trading issues on behalf of the participant under the ASX 24 Operating rules (as applicable).	2

### Further information

An ASX Online guide for Enterprise Administrators is available at:

<https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/asx-customer-portal-participant-ea-overview.pdf>