



ASX Trade: Markets Participant and Trading Schedule of Fees



Effective Date: 01-Dec-2016

Version: v.06122016

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All fees are shown in Australian dollars. All fees are effective 01-Dec-2016 unless otherwise indicated and are subject to change from time to time.
If you require further clarification please contact your ASX Account Manager or ASX Customer Service (telephone: 131 279)

*GST exclusive prices are quoted in the Schedule of Fees applicable to ASX Trade: Markets Participant and Trading. Usually ASX Trade: Markets Participant and Trading services will be In certain situations, an otherwise taxable supply may be exempt from GST (for example, exports). However, ASX anticipates that ASX Trade: Markets Participant and Trading services will purposes of GST and accordingly, GST inclusive prices will be charged for these services.



ASX Trade: Markets Participant and Trading

Product	Service	Charge Basis	Charge Frequency	Effective Date	Charge (GST Exclusive*)
1	Participation				
1.1	Participant Application Fee				
06500001	Participant Application Fee (ASX Market, ASX Clear & ASX Settlement Participant)	Per Application	On Application	1-Jul-11	\$50,000.00
06500002	Participant Application Fee - Agency Broker	Per Application	On Application	1-Jul-11	\$25,000.00
06500007	Participant Application Fee (ASX Market Participant) Principal Trader	Per Application	On Application	1-Jul-11	\$25,000.00
06500003	Participant Application Fee (ASX Clear & ASX Settlement): General Clearing Participant	Per Application	On Application	1-Jul-11	\$50,000.00
06500021	Participant Application Fee (ASX Clear & ASX Settlement): Direct Clearing Participant	Per Application	On Application	1-Jul-11	\$25,000.00
02300740	ASX Settlement Participant Application Fee : Account Participant Application Fee	Per Application	On Application	1-Jul-11	\$5,000.00
06500022	ASX Settlement Participant Application Fee : Specialist Participant Application Fee	Per Application	On Application	1-Jul-11	\$5,000.00
06500023	ASX Settlement Participant Application Fee : General Participant Application Fee	Per Application	On Application	1-Jul-11	\$10,000.00
1.2	Participant Annual Fees				
06500050	ASX Market Participant: Market Participant which is a Trading Participant	Per Participant	Annual	1-Jul-11	\$2,500.00
06200351	Access to ASX Trade	Per Participant	Annual	1-Jul-11	\$5,000.00
06200351	Discount for access to ASX Trade as a Registered Market-Maker	Per Participant	Annual	1-Jul-11	50 percent
06200353	ASX Clear Participant: General Clearing Participant	Per Participant	Annual	1-Jul-11	\$7,500.00
06200352	ASX Clear Participant: Direct Clearing Participant	Per Participant	Annual	1-Jul-11	\$5,000.00
06200354	ASX Settlement Participant: Account Settlement Participant	Per Participant	Annual	1-Jul-11	\$2,500.00
06200355	ASX Settlement Participant: General Settlement Participant	Per Participant	Annual	1-Jul-11	\$5,000.00
06200350	ASX Settlement Participant: Specialist Settlement Participant	Per Participant	Annual	1-Jul-11	\$2,500.00
1.3	Participant fee for Late Lodgement				
06350005	Prudential Return: Late Lodgement Fee	Per day for each Business Day a return is late	On Occurrence	1-Jul-11	\$100.00
2	Cash Market Trading Fees				
2.1	TradeMatch				



Product	Service	Charge Basis	Charge Frequency	Effective Date	Charge (GST Exclusive*)
02900040	Equities Trade Fee (capped at \$75 per trade, per side)	0.15 Basis Points Per Trade Per Side, Capped at \$75, plus GST	Monthly	1-Jul-11	0.15 Basis Points
02900140	Warrants Trade Fee (capped at \$75 per trade, per side)	0.31 Basis Points Per Trade Per Side, capped at \$75, plus GST	Monthly	1-Jul-11	0.31 Basis Points
02900240	Structured Product Trade Fee (capped at \$75 per trade, per side)	0.31 Basis Points Per Trade Per Side, capped at \$75, plus GST	Monthly	1-Jul-11	0.31 Basis Points
02900340	Interest Rate Security Trade Fee (capped at \$75 per trade, per side)	0.31 Basis Points Per Trade Per Side, capped at \$75, plus GST	Monthly	1-Jul-11	0.31 Basis Points
02900060	ETF Special Trade Fee (capped at \$75 per trade, per side)	0.15 Basis Points Per ETF Portfolio, Capped at \$75, plus GST	Monthly	1-Jul-11	0.15 Basis Points
2.2	Trade Reporting Facility (Refer to ASX Circular 472/12 for Condition Code details)				
2.2.1	Trade Reporting Facility (Capped Fees)				
02900042	ASX Trade Reporting Facility Off-mkt (Capped) Equities Fee (capped at \$75 per trade, per side)	0.04 Basis Points Per Trade Per Side, Capped at \$75, plus GST), capped at \$1,000 per participant per month	Monthly	1-Apr-13	0.04 Basis Points
02900348	ASX NBBO Crossing Trade Reporting Facility (Capped) Equities Fee	0.04 Basis Points Per Trade Per Side, Capped at \$75, plus GST), capped at \$1,000 per participant per month	Monthly	1-Apr-13	0.04 Basis Points
2.2.2	Trade Reporting Facility (Uncapped Fees)				
02900346	ASX Centre Point Crossing Trade Reporting Facility (Uncapped) Interest Rate Securities Fee (capped at \$75 per trade, per side)	0.15 Basis Points Per Trade Per Side, Capped at \$75, plus GST	Monthly	1-Jul-11	0.15 Basis Points
02900047	ASX Centre Point Crossing Trade Reporting Facility (Uncapped) Equities Fee (capped at \$75 per trade, per side)	0.15 Basis Points Per Trade Per Side, Capped at \$75, plus GST	Monthly	1-Jul-11	0.15 Basis Points
02900341	ASX Trade Reporting Facility On-Mkt (Uncapped) Interest Rate Securities Fee (capped at \$75 per trade, per side)	0.15 Basis Points Per Trade Per Side, Capped at \$75, plus GST	Monthly	1-Jul-11	0.15 Basis Points
02900241	ASX Trade Reporting Facility On-Mkt (Uncapped) Structured Products Fee (capped at \$75 per trade, per side)	0.15 Basis Points Per Trade Per Side, Capped at \$75, plus GST	Monthly	1-Jul-11	0.15 Basis Points
02900141	ASX Trade Reporting Facility On-Mkt (Uncapped) Warrants Fee (capped at \$75 per trade, per side)	0.15 Basis Points Per Trade Per Side, Capped at \$75, plus GST	Monthly	1-Jul-11	0.15 Basis Points
02900041	ASX Trade Reporting Facility On-Mkt (Uncapped) Equities Fee (capped at \$75 per trade, per side)	0.10 Basis Points Per Trade Per Side, Capped at \$75, plus GST	Monthly	1-Jul-11	0.10 Basis Points
02900342	ASX Trade Reporting Facility Off-mkt (Uncapped) Interest Rate Securities Fee (capped at \$75 per trade, per side)	0.075 Basis Points Per Trade Per Side, Capped at \$75, plus GST	Monthly	1-Jul-11	0.075 Basis Points
02900242	ASX Trade Reporting Facility Off-mkt (Uncapped) Structured Products Fee (capped at \$75 per trade, per side)	0.075 Basis Points Per Trade Per Side, Capped at \$75, plus GST	Monthly	1-Jul-11	0.075 Basis Points
02900142	ASX Trade Reporting Facility Off-mkt (Uncapped) Warrants Fee (capped at \$75 per trade, per side)	0.075 Basis Points Per Trade Per Side, Capped at \$75, plus GST	Monthly	1-Jul-11	0.075 Basis Points
2.2.3	Unintentional Crossing Prevention				
02900366	Unintentional Crossing Prevention Booking Report	0.10 Basis Points per Trade Per Side, Capped at \$75, plus GST	Monthly	1-Apr-13	0.10 Basis Points
2.3	Auctions				
02900043	Equities Auction Trade Fee (capped at \$75 per trade, per side)	0.28 Basis Points Per Trade Per Side, Capped at \$75, plus GST	Monthly	1-Jul-11	0.28 Basis Points
02900143	Warrants Auction Trade Fee (capped at \$75 per trade, per side)	0.31 Basis Points Per Trade Per Side, capped at \$75, plus GST	Monthly	1-Jul-11	0.31 Basis Points

Product	Service	Charge Basis	Charge Frequency	Effective Date	Charge (GST Exclusive*)
02900243	Structured Products Auction Trade Fee (capped at \$75 per trade, per side)	0.31 Basis Points Per Trade Per Side, capped at \$75, plus GST	Monthly	1-Jul-11	0.31 Basis Points
02900343	Interest Rate Securities Auction Trade Fee (capped at \$75 per trade, per side)	0.31 Basis Points Per Trade Per Side, capped at \$75, plus GST	Monthly	1-Jul-11	0.31 Basis Points
2.4	Undisclosed				
02900044	Equities Undisclosed Trade Fee	0.50 Basis Points Per Trade Per Side, plus GST	Monthly	1-Jul-11	0.50 Basis Points
02900344	Interest Rate Securities Undisclosed Trade Fee	0.50 Basis Points Per Trade Per Side, plus GST	Monthly	1-Jul-11	0.50 Basis Points
2.5	Centre Point				
2.5.1	Standard				
02900046	Equities Centre Point Trade Fee	0.50 Basis Points Per Trade Per Side, plus GST	Monthly	1-Jul-11	0.50 Basis Points
02900345	Interest Rate Securities Centre Point Trade Fee	0.50 Basis Points Per Trade Per Side, plus GST	Monthly	1-Jul-11	0.50 Basis Points
02900352	Equities Centre Point Block Trade Fee Minimum Acceptable Quantity	0.50 Basis Points Per Trade Per Side, plus GST	Monthly	1-Jul-12	0.50 Basis Points
02900355	Interest Rate Securities Centre Point Block Trade Fee Minimum Acceptable Quantity	0.50 Basis Points Per Trade Per Side, plus GST	Monthly	1-Jul-12	0.50 Basis Points
02900364	Equities Preferred Centre Point Trade Fee - Standard User	0.40 Basis Points Per Trade Per Side, plus GST	Monthly	1-Apr-13	0.40 Basis Points
02900371	Interest Rate Securities Preferred Centre Point Trade Fee - Standard User	0.40 Basis Points Per Trade Per Side, plus GST	Monthly	1-Apr-13	0.40 Basis Points
02900373	Centre Point Sweep TradeMatch Trade Fee - Standard User	0.15 Basis Points Per Trade Per Side, plus GST	Monthly	1-Apr-13	0.15 Basis Points
02900374	Interest Rate Securities Sweep TradeMatch Trade Fee - Standard User	0.15 Basis Points Per Trade Per Side, plus GST	Monthly	1-Apr-13	0.15 Basis Points
2.5.2	New User				
02900362	Equities Centre Point Trade Fee - New User	0.30 Basis Points Per Trade Per Side, plus GST	Monthly	1-Apr-13	0.30 Basis Points
02900369	Interest Rate Securities Centre Point Trade Fee - New User	0.30 Basis Points Per Trade Per Side, plus GST	Monthly	1-Apr-13	0.30 Basis Points
02900363	Equities Centre Point Block Trade Fee - New User	0.30 Basis Points Per Trade Per Side, plus GST	Monthly	1-Apr-13	0.30 Basis Points
02900370	Interest Rate Securities Centre Point Block Trade Fee - New User	0.30 Basis Points Per Trade Per Side, plus GST	Monthly	1-Apr-13	0.30 Basis Points
02900365	Equities Preferred Centre Point Trade Fee - New User	0.25 Basis Points Per Trade Per Side, plus GST	Monthly	1-Apr-13	0.25 Basis Points
02900372	Interest Rate Securities Preferred Centre Point Trade Fee - New User	0.25 Basis Points Per Trade Per Side, plus GST	Monthly	1-Apr-13	0.25 Basis Points
02900360	Equities Sweep Centre Point Trade Fee - New User	0.20 Basis Points Per Trade Per Side, plus GST	Monthly	1-Apr-13	0.20 Basis Points
02900367	Interest Rate Securities Sweep Centre Point Trade Fee - New User	0.20 Basis Points Per Trade Per Side, plus GST	Monthly	1-Apr-13	0.20 Basis Points



Product	Service	Charge Basis	Charge Frequency	Effective Date	Charge (GST Exclusive*)
02900361	Equities Centre Point Sweep TradeMatch Trade Fee - New User	0.12 Basis Points Per Trade Per Side, Capped at \$75, plus GST	Monthly	1-Apr-13	0.12 Basis Points
02900368	Interest Rate Securities Sweep TradeMatch Trade Fee - New User	0.12 Basis Points Per Trade Per Side, Capped at \$75, plus GST	Monthly	1-Apr-13	0.12 Basis Points
2.6	Icebergs				
02900049	Equities Iceberg Trade Fee	0.28 Basis Points Per Trade Per Side, Capped at \$75, plus GST	Monthly	1-Jul-11	0.28 Basis Points
02900144	Warrants Iceberg Trade Fee	0.31 Basis Points Per Trade Per Side, Capped at \$75, plus GST	Monthly	1-Jul-11	0.31 Basis Points
02900244	Structured Products Iceberg Trade Fee	0.31 Basis Points Per Trade Per Side, Capped at \$75, plus GST	Monthly	1-Jul-11	0.31 Basis Points
02900347	Interest Rate Securities Iceberg Trade Fee	0.31 Basis Points Per Trade Per Side, Capped at \$75, plus GST	Monthly	1-Jul-11	0.31 Basis Points
2.7	PureMatch®				
02900400	PureMatch Trade Fee (Passive)	0.15 basis points (bps) for passive liquidity (resting orders) reduced to 0.05bps for Participants reaching volume qualification thresholds.	Monthly	28-Nov-11	0.15 Basis Points
02900401	PureMatch Trade Fee (Aggressive)	0.15bps for aggressive liquidity (orders matching with resting orders).	Monthly	28-Nov-11	0.15 Basis Points
3	DTR Fees				
02900000	DTR (Designated Trading Representative) Fee Payable for each DTR	Per DTR per trading number	Monthly	1-Jul-11	\$25.00
05600320	DTR Training - 3 sessions This fee covers 3 face-to-face training sessions	Per 3 90 minute Sessions	Monthly	1-Jul-11	\$240.00
05600325	DTR Training - Additional Hours This fee covers any additional face-to-face DTR training requested.	Per Hour	Monthly	1-Jul-11	\$120.00
05600330	DTR Exam Fee	Per Attempt	Monthly	1-Jul-11	\$90.00
3.1	Trade Cancellation Fees				
06200193	Cancellation of Trade(s) in Equity Derivatives Products at or within the QCR	per order capped at 5 orders	Monthly	31-Oct-11	\$250.00
06200194	Cancellation of Trade(s) in Equity Derivatives Products at or within the ECR	per order capped at 5 orders	Monthly	31-Oct-11	\$1,500.00
06200191	Cancellation of Trade(s) in Cash Market Products at or within the QCR	per order capped at 5 orders	Monthly	31-Oct-11	\$1,500.00
06200192	Cancellation of Trade(s) in Cash Market Products at or within the ECR	per order capped at 5 orders	Monthly	31-Oct-11	\$1,500.00
4	Listed Funds, Warrant & Structured Product Fees for Issuers				
06250013	ISIN Code Creation fee	Per ISIN, unlisted, unquoted securities, non CHESS eligible securities	On Creation	1-Nov-14	\$100.00
4.1	Application Fees				
06250002	New Fund or Structured Product Issuer	Per AQUA Product Issuer	On Application	1-Jul-16	\$14,500.00
06250021	New Issuer Refund - Fund or Structured Product	Refund to apply when application under 06250002 does not proceed	On Application	1-Jul-16	\$9,500.00



Product	Service	Charge Basis	Charge Frequency	Effective Date	Charge (GST Exclusive*)	
02700211	New products or products with substantially different terms from other Warrants issued by that Warrant-Issuer	For the first Warrant-Series	On Application	1-Jul-11	\$10,000.00	
02700215	Existing Warrant-Issuer - existing products	For the review of the disclosure document	On Application	1-Jul-11	\$500.00	
06250019	Existing Warrant-Issuer - existing products - ASX PDS disclosure	For each Warrant Series in the Application	On Application	1-Jul-15	\$50.00	
02700221	Warrant-Issuer - new products or products with substantially different terms from other Warrants issued by that Warrant-Issuer	Research, education and promotion fee per Warrant-Series ## Charge currently suspended, subject to periodic review	On Application	1-Jul-11	\$250.00	
06250003	Existing Structured Product issuer with new Structured Product on Quote Display Board	Per new Structured Product (Quote Display Board) series. Capped at 100 products per type	On Application	1-Jul-11	\$500.00	
06250004	Existing Structured Product issuer with new Structured Product	Per new Structured Product (Trading Market)	On Application	1-Jul-12	\$500.00	
06250005	Existing Fund issuer with new Fund	Per new Funds series; either (Trading Market or Quote Display Board)	On Application	1-Jul-12	\$5,000.00	
06250022	Existing Fund issuer with new Fund(s) linked to a single asset, maturing or expiring underlying instrument	For the review of of the disclosure document	On Application	1-Jul-16	\$5,000.00	
06250023	Existing Fund Issuer with new Fund(s) linked to a single asset, maturing or expiring underlying instrument	Per new Fund Series	On Application	1-Jul-16	\$2,000.00	
4.2	Turnover Fees					
02700222	Warrants (Trading Market)	0.05% of premium traded capped at a maximum of \$10,000 per Warrant-Monthly Series commencing from the first date of quotation		1-Jan-16	5 Basis Points	
06250006	Structured Products (Trading Market)	0.10% of premium traded for series, capped at \$10,000, from the first date of quotation	Monthly	1-Jul-11	10 Basis Points	
4.3	Annual Fees					
06250012	Funds (Trading Market)	Funds Under Management 1 - 4 Fund Up to \$100m \$100m to \$500m \$500m to \$1,000m \$1,000m to \$2,000m Over \$2,000m	Value of all AQUA traded products held on CHESS per AQUA Product Issuer 3.18 bps of FUM <\$100m \$31,800 + 2.27 bps of FUM >\$100m \$122,600 + 1.82 bps of FUM >\$500m \$213,600 + 1.36 bps of FUM >\$1,000m \$349,600 + 0.68 bps of FUM >\$2,000m	Quarterly	1-Jul-16	Refer to Charge Basis column
06250011	Funds (Trading Market)	Funds Under Management 5 - 9 Fund Up to \$500m \$500m to \$1,000m \$1,000m to \$2,000m \$2,000m to \$5,000m Over \$5,000m	Value of all AQUA traded products held on CHESS per AQUA Product Issuer 1.82 bps of FUM under \$500m \$91,000 + 1.36 bps of FUM >\$500m \$159,000 + 1.14 bps of FUM >\$1,000m \$273,000 + 0.68 bps of FUM >\$2,000m \$477,000 + 0.23 bps of FUM >\$5,000m	Quarterly	1-Jul-16	Refer to Charge Basis column
06250010	Funds (Trading Market)	Funds Under Management 10+ Funds Up to \$1,000m \$1,000m to \$2,000m \$2,000m to \$5,000m \$5,000m to \$10,000m Over \$10,000m	Value of all AQUA traded products held on CHESS per AQUA Product Issuer 1.36 bps of FUM under \$1,000m \$136,000 + 0.91 bps of FUM >\$1,000m \$227,000 + 0.45 bps of FUM >\$2,000m \$362,000 + 0.23 bps of FUM >\$5,000m \$477,000 + 0.09 bps of FUM >\$10,000m	Quarterly	1-Jul-16	Refer to Charge Basis column

Product	Service	Charge Basis	Charge Frequency	Effective Date	Charge (GST Exclusive*)	
06250009	Funds (Quote Display Board)	Funds Under Management <\$50m FUM \$50m to \$100m \$100m to \$200m \$200m to \$500m \$500m plus	Annual listing fee \$2,000 per Fund p.a. \$4,000 per Fund p.a. \$6,000 per Fund p.a. \$8,000 per Fund p.a. \$10,000 per Fund p.a.	Quarterly	1-Jul-11	Refer to Charge Basis column
06250008	Structured Products (Quote Display Board)		Per product capped at 100 products per type	Quarterly	1-Jul-11	\$500.00
4.4	Capacity Utilisation					
06250014	Listing Capacity Utilisation Fee		For each series with a First Listing Date of 1 July 2009 or later, that has <\$1,000 billable trade in the last three calendar months and also has an Order Book (OB) change average of >1000 changes per day in ITS	Monthly	1-Jul-11	\$83.33
4.5	ISIN Code					
06250013	ISIN Code Creation fee		Per ISIN, unlisted, unquoted securities, non CHESS eligible securities	On Creation	1-Nov-14	\$100.00
4.6	Warrant Fee Cap					
02700226	Issuer Warrant Fee Cap		Issuer warrant product fees capped at \$500,000 per financial year (Product codes 02700211, 02700215, 06250019, 02700222)	Monthly	1-Jan-16	\$500,000.00



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