



# Clearing, Settlement and Issuer Administration Services Schedule of Fees



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All fees are shown in Australian dollars. All fees are effective 01-Jul-2018 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 Clearing, Settlement and Issuer Administration Services. Usually Clearing, Settlement and Issuer Administration In certain situations, an otherwise taxable supply may be exempt from GST (for example, exports). However, ASX anticipates that Clearing, Settlement and Issuer Administration Services purposes of GST and accordingly, GST inclusive prices will be charged for these services.

## Clearing, Settlement and Issuer Administration Services

ASX Clear Pty Limited (ASX Clear) and ASX Settlement Pty Limited (ASX Settlement) are wholly owned subsidiaries of ASX Limited (ASX) and are responsible for the provision of clearing and settlement and issuer administration services to ASX Participants and Approved Market Operators.

Fees are invoiced by ASX Operations Pty Limited (ASX Operations) on behalf of ASX Clear and ASX Settlement. Invoices are issued monthly in arrears.

The Derivatives Clearing System (DCS) is used by ASX Clear to clear and settle derivatives products such as exchange traded options and futures.

The Clearing House Electronic Sub-register System (CHES) is used by ASX Settlement to settle cash market products such as equities, interest rate products, warrants and exchange traded funds.

### Cash Market Clearing Fees

This schedule can be found at ASX's Code of Practice website for cash equities clearing and settlement: <http://www.asx.com.au/cs/>

ASX Clear is the central counterparty for products traded on ASX and other Approved Market Operators. As the central counterparty, ASX Clear becomes the seller to every buyer and the buyer to every seller making it liable for completing all cleared transactions on the relevant market. This occurs through a contractual process known as novation, in accordance with operating rules of ASX Clear.

Following execution, ASX Clear sends a 164 CHES message to the Buyer Clearing Participant confirming the novated trade. The 164 message notifies each party of the cleared trade details and the settlement date. A Transaction Clearing Fee is charged for Equities, Warrants, Structured Products and Interest Rate Securities.

Where the Buyer Clearing Participant and the Seller Clearing Participant are the same entity, ASX Clear does not novate the trade and the 164 CHES message is for information only. The 164 message notifies the Clearing Participant of the trade details and the settlement date. A crossing Registration Fee is charged.

ASX Clear provides these services to the market and charges the fees detailed within this fee schedule.

### Cash Market Settlement Fees

This schedule can be found at ASX's Code of Practice website for cash equities clearing and settlement: <http://www.asx.com.au/cs/>

The Clearing House Electronic Sub-register System (CHES) is used by ASX Settlement to settle cash market products such as equities, interest rate products, warrants and exchange traded funds for products traded on ASX and other Approved Market Operators. ASX Settlement charges participants for holdings transfers and Delivery versus Payment (DvP) settlement to meet novated obligations between the participant and ASX Clear and non-novated obligations directly between participants. Transactions include:

- DvP Settlement (101 message) where each participant independently notifies CHES of settlement details which are then matched by the system. Instructions can include DvP, delivery without payment, miscellaneous payments. Refer Product code 04900005 - \$1.30 per request.
- Batch settlement (156 Message, as generated by a 164, 134 or 101 message) for market settlement of DvP obligations (netted and bilateral) via CHES settlement batch. Refer Product code 04900024 - \$0.30 per request.

The charge for this service excludes free of payment 156 messages.

ASX Settlement provides these services to the market and charges the fees detailed within this Fee Schedule.

### Cash Market Clearing and Settlement Revenue Sharing Scheme

ASX operates a cash market clearing and settlement revenue sharing scheme, which operates on the following principles:

- All cash market clearing and settlement revenue earned by ASX above an annual growth threshold will be shared 50/50 between ASX and its cash market clearing and settlement participants.
- The annual growth threshold will be applied to the total ASX cash market clearing and settlement revenue. No individual participant growth thresholds are required.
- All participants are eligible to participate in the schemes.
- The total amount to be shared with participants will be distributed proportionate to each individual customer's revenue contribution.
- All payments will be paid annually in arrears.
- The scheme will operate annually.
- The annual growth thresholds will be reviewed periodically and advised to participants before commencement of the next financial year. ASX's calculations will be final.



## Clearing, Settlement and Issuer Administration Services

Product	Service	Charge Basis	Charge Frequency	Effective Date	Charge (GST Exclusive*)
<b>1</b>	<b>Clearing &amp; Settlement Services for ASX Clear &amp; ASX Settlement Participants</b>				
<b>1.1</b>	<b>Derivatives Settlement Obligations</b>				
22000100	Payments via Austraclear - Unseg [1]	[1] Fees for the Derivatives Payment service via Austraclear are designed to recover the cost ASX Clear incurs by supporting payments to and from Clearing Participants through EXIGO. This fee may be adjusted from time to time in accordance with changes to Austraclear Fees. These fees are shown as a separate line item within a Clearing Participant's settlement obligation and are included in the daily settlement total.	Per Derivatives Settlement Obligation (applicable to both Segregated and Unsegregated accounts)		\$5.00
22000105	Payments via Austraclear - Seg		Per Derivatives Settlement Obligation (applicable to both Segregated and Unsegregated accounts)		\$5.00
22000911	Trade Activity Transfer-Seg		Per Request		\$2.50
22000910	Trade Activity Transfer-Unseg		Per Request		\$2.50
<b>1.2</b>	<b>Cash Market Transaction Clearing, Settlement &amp; Transfers</b>				
04900000	Transaction Clearing Fee for Equities and Investment Products		Calculated at 0.00225% of executed Trade Value for Equities, excluding crossings, option exercises and other non-billable transactions	message: 164	1-Jul-16 Ad valorem of 0.225 Basis Points
04900002	Transaction Clearing Fee for Warrants		Calculated at 0.0035% of executed Trade Value for Warrants	message: 164	Ad valorem of 0.35 Basis Points
04900004	Transaction Clearing Fee for Interest Rate Securities		Calculated at 0.0035% of executed Trade Value for Interest Rate Securities	message: 164	Ad valorem of 0.35 Basis Points
04900001	Crossing Registration Fee		Calculated at 0.0010% of crossed Trade Value (0.0005% per side); capped at \$5 per side	message: 164	Ad valorem of 0.10 Basis Points
04900005	DvP Settlement / Miscellaneous Payment		Per Request to Create a Settlement Obligation with Value	message: 101	\$1.30
04900024	Batch Settlement DvP Instruction		Per Settled DvP Settlement Instruction	message: 156	\$0.30
04900010	Transaction Modification		Per Request	message: 037, 119, 121, 123, 125, 129, 131, 135, 139, 195, 197, 247, 483, 489, 493, 497	\$0.90
04900015	CHESS & Sub-register Transfer & Conversion [3]	[3] Transfers between a Participant's accumulation and settlement entrepot accounts using CHESS message types 001, 105 and 107 are free of charge.	Per Request to Transfer a Holding	message: 001, 003, 005, 007, 009, 011, 013, 015, 017, 019, 021, 025, 101 (Free of Value), 105, 107	\$0.90
04900020	RTGS Settlement		Per Request to Create a CHESS RTGS Settlement Instruction with Value	message: 481, 497	\$5.00
04900025	ETC Facility		Per Electronic Trade Confirmation Message Submitted	message: 651, 653, 655, 657, 659, 661, 663, 665, 667, 669	\$0.90
06200400	Settlement Close Out Notification		Per Notification	message: 554	\$0.20
<b>1.3</b>	<b>Settlement Fail Fees</b>				
04900030	Total Fail Fees for Month		Calculated at 0.10% of the value of a settlement holding shortfall. A fail fee is levied on each Business Day a shortfall persists.	message: 544	Ad valorem of 10 Basis Points Min. fail fee \$100.00 per day. Max. fail fee \$5,000.00 per day
04900035	Fail Fee Reversals			message: 548	Variable
<b>1.4</b>	<b>Collateral Management</b>				
04900050	Collateral Creation - Sponsored Holding		Per Request	message: 27	\$1.20
04900055	Collateral Creation - Direct Holding		Per Request	message: 27, 871	\$0.20
04900060	Collateral Creation Advices & Removals		Per Advice	message: 082, 108, 176	\$0.20
<b>1.5</b>	<b>Holder Recordkeeping</b>				
04900065	Re-issue of Current Holding Statement - Message Request		Per Message Request	message: 503	1-Jul-17 \$1.25



Product	Service	Charge Basis	Charge Frequency	Effective Date	Charge (GST Exclusive*)	
04900070	Re-issue Archived/Manually Requested Holding Statement	Per Statement Requested	message: N/A (refer ASX Settlement Procedure Guidelines - Appendix N1, N2)		\$15.00	
04900075	Holder Maintenance - Sponsored Holding [4]	[4 & 5] Includes updates to holder registration details, holder status and residency indicator	Per Request to create or update a Sponsored Holder	message: 201, 203	1-Jul-17	\$1.25
04900080	Holder Maintenance - Direct Holding [5]		Per Request to create or update a Direct or Entrepot Holder	message: 201, 203	1-Jul-17	\$0.35
04900085	Change of Controlling Participant - Message Request		Per Message Request	message: 245	1-Jul-17	\$1.25
04900090	Change of Controlling Participant - Manual Request		Per HIN Request	message: N/A (refer ASX Settlement Procedure Guidelines - Appendix H)		\$5.00
04900095	Change Controlling Participant - Partial/Bulk Base Fee		Base Charge per Processed Request			\$2,000.00
04900100	Holder Notification Partial/Bulk Change of Participant		Per Sponsored Holder Notification			\$1.00
04900105	Holder/Holding Details Part/Bulk Change of Participant		Per Holder/Holding Report Message A 50% discount is available on incremental fees over \$40,000 (exclusive of GST) generated as a result of a large transfer of holdings.	message: 222, 502, 520, 522	1-Jul-17	\$0.35
02300016	Bulk Holder Cancellation - Sponsored Holders		Per HIN Request			\$1.25
02300017	Bulk Holder Cancellation - Sponsored Holders Notification Suppressed or Direct Holders		Per HIN Request			\$0.25
<b>2</b>	<b>Derivatives Registration Fees</b>					
<b>2.1</b>	<b>Derivatives - Equity Options Registration Fees (monthly)</b>					
20000004	Standard Registration Fee - Segregated		Per Contract Per Side			\$0.13
22000004	Standard Registration Fee - Unsegregated		Per Contract Per Side			\$0.13
20000005	Market Maker Registration Fee - Segregated		\$0.005 to \$0.065 Per Contract Per Side depending on the number of underlyings covered and quoting performance		28-Mar-11	variable
22000005	Market Maker Registration Fee - Unsegregated		\$0.005 to \$0.065 Per Contract Per Side depending on the number of underlyings covered and quoting performance		28-Mar-11	variable
20000002	Exercise/Assignment Fee- Segregated		Per Side for Each Exercised Option Contract		1-Apr-11	\$0.05
22000002	Exercise/Assignment Fee- Unsegregated		Per Side for Each Exercised Option Contract		1-Apr-11	\$0.05
20000009	Exercise/Assignment Fee- Market Maker - Segregated		Per Side for Each Exercised Option Contract		1-Apr-11	\$0.03
20000010	Exercise/Assignment Fee- Market Maker - Unsegregated		Per Side for Each Exercised Option Contract		1-Apr-11	\$0.03
06200600	Large Transaction fee - 50% rebate for eligible volumes greater than 10,000 contracts in a Single Series		Conditions apply. Refer notice 0731.17.07		5-Jul-17	
<b>2.2</b>	<b>Derivatives - Equity Options Registration Fees (weekly)</b>					
22000204	Standard Registration Fee - Segregated		Per Contract Per Side		18-Oct-16	\$0.13
22000205	Standard Registration Fee - Unsegregated		Per Contract Per Side		18-Oct-16	\$0.13
22000206	Market Maker Registration Fee - Segregated		\$0.005 to \$0.065 Per Contract Per Side depending on the number of underlyings covered and quoting performance		18-Oct-16	variable
22000207	Market Maker Registration Fee - Unsegregated		\$0.005 to \$0.065 Per Contract Per Side depending on the number of underlyings covered and quoting performance		18-Oct-16	variable
22000200	Exercise/Assignment Fee- Segregated		Per Side for Each Exercised Option Contract		18-Oct-16	\$0.05
22000201	Exercise/Assignment Fee- Unsegregated		Per Side for Each Exercised Option Contract		18-Oct-16	\$0.05
22000202	Exercise/Assignment Fee- Market Maker - Segregated		Per Side for Each Exercised Option Contract		18-Oct-16	\$0.03
22000203	Exercise/Assignment Fee- Market Maker - Unsegregated		Per Side for Each Exercised Option Contract		18-Oct-16	\$0.03
06200600	Large Transaction fee - 50% rebate for eligible volumes greater than 10,000 contracts in a Single Series		Conditions apply. Refer notice 0731.17.07		5-Jul-17	
<b>2.3</b>	<b>Derivatives - Index Options Registration Fees (monthly)</b>					
22000027	Standard Registration Fee - Segregated		Per Contract Per Side		2-Jul-12	\$0.45
20000026	Standard Registration Fee - Unsegregated		Per Contract Per Side		2-Jul-12	\$0.45
20000028	Market Maker Registration Fee - Segregated		\$0.10 or \$0.35 Per Contract Per Side dependent on quoting performance		1-Apr-11	variable
22000029	Market Maker Registration Fee - Unsegregated		\$0.10 or \$0.35 Per Contract Per Side dependent on quoting performance		1-Apr-11	variable
22000025	Exercise/Assignment Fee - Segregated		Per Side for Each Cash Settled Contract		1-Apr-11	\$0.35
20000024	Exercise/Assignment Fee - Unsegregated		Per Side for Each Cash Settled Contract		1-Apr-11	\$0.35



Product	Service	Charge Basis	Charge Frequency	Effective Date	Charge (GST Exclusive*)
<b>2.4</b>	<b>Derivatives - Index Options Registration Fees (weekly)</b>				
20000094	Standard Registration Fee - Segregated	Per Contract Per Side		18-Oct-16	\$0.45
22000095	Standard Registration Fee - Unsegregated	Per Contract Per Side		18-Oct-16	\$0.45
20000096	Market Maker Registration Fee - Segregated	\$0.07 to \$0.35 Per Contract Per Side dependent on quoting performance		18-Oct-16	variable
22000097	Market Maker Registration Fee - Unsegregated	\$0.07 to \$0.35 Per Contract Per Side dependent on quoting performance		18-Oct-16	variable
20000092	Exercise/Assignment Fee - Segregated	Per Side for Each Cash Settled Contract		18-Oct-16	\$0.35
22000093	Exercise/Assignment Fee - Unsegregated	Per Side for Each Cash Settled Contract		18-Oct-16	\$0.35
<b>2.5</b>	<b>Derivatives - Index Futures Registration Fees</b>				
22000055	Standard Registration Fee - Segregated	Per Contract per side		1-Apr-11	\$0.35
22000056	Standard Registration Fee - Unsegregated	Per Contract Per Side		1-Apr-11	\$0.35
22000059	Cash Settlement Fee - Segregated	Per Side for Each Cash Settled Contract		1-Apr-11	\$0.35
22000060	Cash Settlement Fee - Unsegregated	Per Side for Each Cash Settled Contract		1-Apr-11	\$0.35
<b>2.6</b>	<b>Derivatives - Index LEPOs Registration Fees (monthly)</b>				
20000046	Standard Registration Fee - Segregated	Per Contract Per Side		2-Jul-12	\$0.45
22000047	Standard Registration Fee - Unsegregated	Per Contract Per Side		2-Jul-12	\$0.45
20000048	Market Maker Registration Fee - Segregated	\$0.10 to \$0.35 Per Contract Per Side dependent on quoting performance		2-Jul-12	variable
22000049	Market Maker Registration Fee - Unsegregated	\$0.10 to \$0.35 Per Contract Per Side dependent on quoting performance		2-Jul-12	variable
20000044	Exercise/Assignment Fee - Segregated	Per Side for Each Exercised LEPO contract		1-Apr-11	\$0.35
22000045	Exercise/Assignment Fee - Unsegregated	Per Side for Each Exercised LEPO Contract		1-Apr-11	\$0.35
<b>2.7</b>	<b>Derivatives - Index LEPOs Registration Fees (weekly)</b>				
20000100	Standard Registration Fee - Segregated	Per Contract Per Side		18-Oct-16	\$0.45
22000101	Standard Registration Fee - Unsegregated	Per Contract Per Side		18-Oct-16	\$0.45
20000102	Market Maker Registration Fee - Segregated	\$0.07 to \$0.35 Per Contract Per Side dependent on quoting performance		18-Oct-16	variable
22000103	Market Maker Registration Fee - Unsegregated	\$0.07 to \$0.35 Per Contract Per Side dependent on quoting performance		18-Oct-16	variable
20000098	Exercise/Assignment Fee - Segregated	Per Side for Each Exercised LEPO contract		18-Oct-16	\$0.35
22000099	Exercise/Assignment Fee - Unsegregated	Per Side for Each Exercised LEPO contract		18-Oct-16	\$0.35
<b>2.8</b>	<b>Derivatives - Stock LEPOs Registration Fees (monthly)</b>				
20000036	Standard Registration Fee - Segregated	Per Contract Per Side		1-Apr-11	\$0.13
22000037	Standard Registration Fee - Unsegregated	Per Contract Per Side		1-Apr-11	\$0.13
20000038	Market Maker Registration Fee - Segregated	\$0.005 to \$0.065 Per Contract Per Side dependent on the number of underlyings covered and quoting performance		1-Apr-11	variable
22000039	Market Maker Registration Fee - Unsegregated	\$0.005 to \$0.065 Per Contract Per Side dependent on the number of underlyings covered and quoting performance		1-Apr-11	variable
20000032	Exercise Fee - Segregated	Per Side for Each Exercised LEPO Contract		1-Apr-11	\$0.05
22000033	Exercise Fee - Unsegregated	Per Side for Each Exercised LEPO Contract		1-Apr-11	\$0.05
<b>2.9</b>	<b>Derivatives - Stock LEPOs Registration Fees (weekly)</b>				
22000212	Standard Registration Fee - Segregated	Per Contract Per Side		18-Oct-16	\$0.13
22000213	Standard Registration Fee - Unsegregated	Per Contract Per Side		18-Oct-16	\$0.13
22000214	Market Maker Registration Fee - Segregated	\$0.005 to \$0.065 Per Contract Per Side dependent on the number of underlyings covered and quoting performance		18-Oct-16	variable
22000215	Market Maker Registration Fee - Unsegregated	\$0.005 to \$0.065 Per Contract Per Side dependent on the number of underlyings covered and quoting performance		18-Oct-16	variable
22000208	Exercise Fee - Segregated	Per Side for Each Exercised LEPO Contract		18-Oct-16	\$0.05
22000209	Exercise Fee - Unsegregated	Per Side for Each Exercised LEPO Contract		18-Oct-16	\$0.05
22000210	Exercise/Assignment Fee - Market Maker - Segregated	Per Side for Each Exercise Option contract		18-Oct-16	\$0.03
22000211	Exercise/Assignment Fee - Market Maker - Unsegregated	Per Side for Each Exercise Option contract		18-Oct-16	\$0.03
<b>2.10</b>	<b>Derivatives - OTC Equity Options</b>				
22000070	OTC Stock Option - Registration Fee - Segregated	Per Contract Per Side		28-May-12	\$0.10
22000071	OTC Stock Option - Registration Fee - Unsegregated	Per Contract Per Side		28-May-12	\$0.10

Product	Service	Charge Basis	Charge Frequency	Effective Date	Charge (GST Exclusive*)
22000779	OTC Stock Options - Exercise/Assignment - Segregated	Per Side for Each Exercised Option Contract		28-May-12	\$0.05
22000780	OTC Stock Options - Exercise/Assignment - Unsegregated	Per Side for Each Exercised Option Contract		28-May-12	\$0.05
06200060	Large Transaction Fee Capped for 13,000 contracts or more in a Single Series	Conditions apply. Refer notice 0731.17.07		5-Jul-17	Capped at \$1300
<b>2.11</b>	<b>Derivatives - OTC Index Options</b>				
22000081	OTC Index Option - Registration Fee - Unsegregated	Per Contract per Side		2-Jul-12	\$0.40
22000080	OTC Index Option - Registration Fee - Segregated	Per Contract per Side		2-Jul-12	\$0.40
22000082	OTC Index Option Exercise Fee - Segregated	Per Side for Each Exercised Option Contract		28-May-12	\$0.30
22000083	OTC Index Option Exercise Fee - Unsegregated	Per Side for Each Exercised Option Contract		28-May-12	\$0.30
<b>2.12</b>	<b>Derivatives - OTC Equity LEPOs</b>				
22000076	OTC Stock LEPOs - Registration Fee - Segregated	Per Contract per Side		28-May-12	\$0.10
22000077	OTC Stock LEPOs - Registration Fee - Unsegregated	Per Contract per Side		28-May-12	\$0.10
22000781	OTC Stock LEPOs - Exercise/Assignment - Segregated	Per Side for Each Exercised LEPO Contract		28-May-12	\$0.05
22000782	OTC Stock LEPOs - Exercise/Assignment - Unsegregated	Per Side for Each Exercised LEPO Contract		28-May-12	\$0.05
06200600	Large Transaction Fee Capped for 13,000 contracts or more in a Single Series	Conditions apply. Refer notice 0731.17.07		5-Jul-17	Capped at \$1300
<b>2.13</b>	<b>Derivatives - OTC Index LEPOs</b>				
22000084	OTC Index LEPOs - Registration Fee - Segregated	Per Contract per Side		2-Jul-12	\$0.40
22000085	OTC Index LEPOs - Registration Fee - Unsegregated	Per Contract per Side		2-Jul-12	\$0.40
22000090	OTC Index LEPOs - Exercise/Assignment - Segregated	Per Side for Each Exercised LEPO Contract		21-May-12	\$0.30
22000091	OTC Index LEPOs - Exercise/Assignment - Unsegregated	Per Side for Each Exercised LEPO Contract		28-May-12	\$0.30
<b>3</b>	<b>Reporting, Administrative &amp; Support Services</b>				
<b>3.1</b>	<b>Reporting &amp; Enquiry Services</b>				
04900110	Report Requests & Enquiry Output	[6] The CHES message type 538 counts the number of related output CHES messages for reporting (see section 19 of ASX Settlement Procedure Guidelines for related message numbers). CHES charges at \$0.20 per count value in the CHES message type 538 except for FGM reports which are charged via the CHES message type 514.	Per Message Request	message: 503, 505,514, 538 [6]	\$0.20
04900115	Report Request from Archived Storage Holding Balance Reports		Per Request	Minimum \$750.00 per Report Request	50.00 Minimum Plus 0.03 per Holding
04900120	SRN Enquiry		Per Enquiry	message: 452	\$2.20
04900125	SRN Holding Balance		Per Holding Balance	message: 464	\$0.70
04900130	PID Enquiry		Per Enquiry	message: 691	\$0.20
<b>3.2</b>	<b>Administrative Services</b>				
04900135	Application of Holding Lock		Per Manual Application		\$5.00
04900140	New/Changed Payment Facility		Per request to Create or Modify a Payment Facility	message: 240 , 242	\$5.00
04900145	Payment Provider Application Fee		Per Application		\$500.00
04900195	Top-up to \$2,000 Minimum Annual Fee [7]	[7] Only applicable to ASX Settlement Participants and not applicable if the total CHES fees paid per annum exceeds \$2,000.	Difference between total CHES fees paid per annum and the \$2,000 Minimum Annual Fee.		Variable
<b>3.3</b>	<b>Support Services</b>				
04900185	Non-routine Technical Support (CHES & DCS)		Within Business Hours - Per hour or Part Thereof		\$150.00
04900185	Non-routine Technical Support (CHES & DCS)		Standby Fee for Weekends & Public Holidays (no call out) - Per Day		\$400.00
04900186	Non-routine Technical/ Operational Support (CHES & DCS)		Outside Business Hours including Weekends & Public Holidays - Per Hour or Part Thereof	1-May-18	\$250.00
<b>4</b>	<b>Issuer Administration Services for Issuers &amp; Registries</b>				
<b>4.1</b>	<b>Issuer Administration</b>				
06250020	Issuer Establishment Fee		Per New Issuer Code created in CHES	On Admission	\$500.00
06250025	New Product Creation Fee		For each new financial product held in CHES and approved by ASX Settlement	1-Jul-18	\$310.00
<b>4.2</b>	<b>Registry Services</b>				
04900260	Provision of CD Containing Registration Details		Per CD Supplied		\$150.00

Product	Service	Charge Basis	Charge Frequency	Effective Date	Charge (GST Exclusive*)
<b>4.3</b>	<b>Holder Notifications &amp; Recordkeeping</b>				
04900200	CHESS Holding Statements	Per Statement		1-Jul-17	\$1.25
04900205	CHESS Holding Statement - Special Message	Per Message Per Month			\$100.00
04900210	CHESS & Sub-register Transfer & Conversion	Per Message Received	message: 402, 404, 406, 408, 412, 414, 416, 418	1-Jul-17	\$0.35
04900215	Notification of Holding Details Update	Per Advice	message: 759	1-Jul-17	\$0.35
04900220	Notification of Tax File Number	Per TFN Notification	message: 534	1-Jul-17	\$0.35
04900225	Holding Adjustments & Transformations	Per Message Request	message: 421, 425, 512	1-Jul-17	\$0.35
04900110	Report Requests & Enquiry Output [10]	[10] Issuers are entitled to one free Total Security Balance (TSB) report request per day Issuers are entitled to once free Holding Net Movement (HNM) report request per day Issuers are entitled to one free Cum Entitlement Net Movement (CMV) report request per day Issuers are entitled to a total of 12 free Holding Balance (HBL)/Cum Entitlement Balance (CEB) reports each financial year. Conditions to receive free reporting are:- Report request HIN parameter is zero	Per Message Request	message: 503, 505, 514, 538 [11]	\$0.20
		[11] The CHESS message type 538 counts the number of related output CHESS messages for reporting (see section 19 of ASX Settlement Procedure Guidelines for related message numbers). CHESS charges at \$0.20 per count value in the CHESS message type 538 except for FGM reports which are charged via the CHESS message type 514.			
<b>4.4</b>	<b>Primary Market Facility (PMF)</b>				
04900005	DvP Settlement / Miscellaneous Payment [12]	[12] This charge is levied to the Issuer by using an "I" code as the Transaction Basis in the Dual Entry Settlement Notification (101) message.	Per Request to Create a Settlement Obligation with Value		\$1.30
04900255	Primary Market Facilitation Fee	Issue Value: \$0 to \$50m: \$5,250 Minimum. \$50,000,001 upwards: \$5,250 plus 0.0105% on the excess of the offer value over \$50m	message: Per Request	1-Jul-17	Variable
<b>4.5</b>	<b>Offer Administration</b>				
04900230	Offer Establishment Fee	Per Offer			\$500.00
04900235	Offer Facilitation Fee	Per Offer			\$1,000.00
04900240	Sponsored Holder Offer Acceptance/ Completion	Per Offer Acceptance	message: 082, 704	1-Jul-17	\$1.25
04900245	Direct Holder Offer Acceptance/ Completion	Per Offer Acceptance	message: 082, 704	1-Jul-17	\$0.35
04900250	Offer Transfer/ Acceptance	Per Transfer/Acceptance	message: 034, 711	1-Jul-17	\$0.35
<b>4.6</b>	<b>Equity and Fund Issuer Annual Operating Charge</b>				
04900265	Equity and Fund Issuer Annual Operating Charge	Per Issuer Per Annum Applies to: Listed Entities, ETFs, Managed Funds and Structured Products (ASX quoted/listed & non-ASX quoted/listed)			\$1,500 minimum, 10% of the Annual ASX Fee, or the Annual Fee that would apply if the entity was ASX Listed/Quoted
<b>5</b>	<b>Settlement Facilitation Services for Approved Market Operators</b>				
<b>5.1</b>	<b>Market Operators</b>				



Product	Service	Charge Basis	Charge Frequency	Effective Date	Charge (GST Exclusive)*
06200501	Settlement Facilitation Service - ASX Settlement Licence Compliance	Per Approved Market Operator Per Annum. Share of the external audit of ASTC calculated in accordance with the following formula.  $C = B \times (Sa/Si)$  Where, C is the annual fee B is the annual cost of the external audit of ASTC Sa is the market capitalisation of securities on the Recipient Market as at 31 May Si is the market capitalisation of all equities settled in CHESS as at 31 May			Variable
06200503	Settlement Facilitation Service - Application	Per Application			\$9,050.00
06200504	Settlement Facilitation Service - Business Management	Per Approved Market Operator Per Annum (or part thereof). Flat fee for general business and account management. Billed in advance for each financial year (or part thereof).			\$13,600.00
06200506	Settlement Facilitation Service - Operations & Support	Calculated and billed in advance for each financial year (or part thereof) based on the number of securities as at 31 May	Per Annum – based on number of securities on Recipient Market:		
		0-6 securities			5,100 (Minimum)
		7-12 securities			7,650
		13-18 securities			10,200
		19-24 securities			12,750
		25-30 securities			15,300
		31-36 securities			17,850
		37-42 securities			20,400
		43-48 securities			22,950
		49-54 securities			25,500
		55-60 securities			28,050
		61-66 securities			30,600
		67-72 securities			33,150
		73-78 securities			35,700
		79-84 securities			38,250
		85-90 securities			40,800
		91-96 securities			43,350
		97-102 securities			45,900
		103-108 securities			48,450
		109-114 securities			51,000
		115-120 securities			53,550
		121-126 securities			56,100
		127-132 securities			58,650
		133-138 securities			61,200
		139-144 securities			63,750
		145-150 securities			66,300
		151+ securities			To be reviewed
06200509	Development Fee for DvP Facilitation Service	Total charge pro-rata against number of Approved Market Operators taking up DvP Facilitation Service		19-Sep-12	\$120,000.00
06200510	Settlement Facilitation Service – Administration	Per request – processing of one-off requests outside of agreed procedures		9-Jan-14	\$200.00
<b>5.2</b>	<b>Listing Market Issuers (non ASX quoted / listed)</b>				
04900265	Equity and Fund Issuer Annual Operating Charge	Per Issuer Per Annum CHESS sub register maintenance			\$1,500 minimum, 10% of the Annual ASX Fee or the Annual Fee that would apply if the entity was ASX Listed/Quoted.  Where a market operator has less than 200 current issuers at 31 May, the fee will be charged to each issuer at a rate equivalent to 90% of the prescribed fee.
06200511	Issuer Administration and Settlement Facilitation Service – Issuer Administration and Corporate Action Service – medium complexity corporate action	Per manual corporate action notification (dividend (including Trust distributions), interest payment, equal access buy back scheme, capital return-cash)		20-Jan-14	\$60.00
06200512	Issuer Administration and Settlement Facilitation Service – Corporate Action Service – high complexity corporate action	Per manual corporate action notification (bonus entitlement offer, non-renounceable entitlement offer (including accelerated offers), renounceable entitlement offer (including accelerated offers), consolidation/split of capital (reconstructions), capital return-securities, warrants rollover)		20-Jan-14	\$90.00
Various	Other Issuer Settlement Service	Refer to Sections 4.2, 4.3 and 4.4 of this schedule			



Product	Service	Charge Basis	Charge Frequency	Effective Date	Charge (GST Exclusive*)
<b>6</b>	<b>Trade Acceptance Services for Approved Market operators</b>				
06200513	Trade Acceptance Service - Expansion and Enhancement Fee	Expansion or enhancement of the Trade Acceptance Service (TAS) as requested by an AMO. In addition, any development or testing of ASX systems, or special operational arrangements which may be required to support the delivery of clearing, settlement or issuer services, or services to the AMO, in respect of a new product will be priced as agreed by the AMO and ASX.		1-Jul-18	Price upon application
06200514	Trade Acceptance Service - Clearing Assessment Fee	Clearing Assessment fee for new financial products to be charged at hourly rates of relevant ASX staff. ASX will provide a cost estimate at the commencement of the assessment, and periodic reporting of costs accrued at reasonable levels to be agreed. Refund out of ASX revenue will be discontinued for new products. Any development or testing of ASX systems required to support central clearing of the new product will be charged as agreed separately (refer to product 06200513).		1-Jul-18	Price upon application
06200515	Trade Acceptance Service - Operational Support Assessment Fee	Operational Support Assessment Fee for new financial products to be charged at hourly rates of relevant ASX Staff. ASX will provide a cost estimate at the commencement of the assessment, and periodic reporting of costs accrued at reasonable intervals to be agreed. Any development or testing of ASX systems required for operational support of the new product will be charged as agreed separately (refer to product 06200513).		1-Jul-18	Price upon application
06200516	Trade Acceptance Service - Application Fee	Per Application		1-Jul-18	\$10,000.00
06200517	Trade Acceptance Service - Service Fee	Service fee calculated to recover allocations for limited categories of costs as follows: - Ongoing resourcing costs (staff time related to the TAS and occupancy allowance ) \$23,000 per AMO per annum - Equipment costs (technology support related to the TAS): the amount paid by the ASX from time to time for support (converted at the prevailing exchange rate as selected by ASX), currently \$43,000 per annum This currently equates to an annual service fee of \$66,000 for one AMO using the TAS, for two AMOs, it would be \$44,500 each, and for three AMOs it would be \$37,333 each		1-Jul-18	Variable
<b>7</b>	<b>Clearing &amp; Settlement Publications</b>				
<b>7.1</b>	<b>CHESS Products</b>				
02300005	T+2 Calendars - Complete Set	Per Set		1-Jul-09	\$18.00
02300007	T+2 Calendars - Holders	Per Holder		1-Jul-09	\$9.00
02300006	T+2 Calendars - Inserts	Per Insert		1-Jul-09	\$12.00
02300013	CHESS Brochure	Per 100 Copies	message: N/A		\$31.00



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