

Miscellaneous Procedures package – ASX Markets and CS facilities

ASX Operating Rules Procedures	Amendments
Procedure 1000(c)	<p>In order to satisfy ASX that it meets Rule [1000](c), an applicant must provide to ASX one of the following:</p> <p>(a) [...]</p> <p>(b) If the applicant holds an Australian Financial Services Licence which authorises it to carry on business as a Market Participant, the applicant must confirm to ASX that it has in place measures to ensure its responsible managers are <u>fit and proper person</u>of good fame and character, as required by ASIC Regulatory Guides 10533 and 2162, which are also applied to any of its directors who are not responsible managers.</p> <p>The applicant must be able to provide evidence of those measures to ASX upon request at any time.</p> <p>(c) In any other case, <u>if the applicant is not an existing participant of the Approved Clearing Facility, the Approved Settlement Facility, the ASX 24 market or the ASX Clear (Futures) clearing and settlement facility</u>, the applicant must provide a statutory declaration to ASX in relation to itself and from each of its directors confirming that:</p> <ul style="list-style-type: none"> (i) they have not been the subject of any previous bankruptcy, insolvency, receivership, administration, or similar event; (ii) they have not been charged with or convicted of any offences relating to dishonesty, fraud, financial markets-related conduct, or money laundering; (iii) they have not been the subject of any fines, civil penalties, banning, suspension or other disciplinary measures for financial markets-related conduct; (iv) they have not been the subject of any disciplinary action or adverse mention in a report made by, or at the request of, any government or governmental authority or agency, the Commission, ASX, an Approved Clearing Facility, an Approved Settlement Facility, and any other exchange, market operator or clearing and/or settlement facility; (v) they have not been refused membership of any financial markets-related, legal or accounting professional organisation or had such a membership revoked; and (vi) they have not had an application for Market Participant status (or equivalent status) on another exchange or market refused; <u>and</u>; <u>(vii) they satisfy any other criteria determined by ASX from time to time,</u> <p>whether in Australia or elsewhere, or, if that is not the case, a statement to that effect and a detailed explanation of the circumstances involved.</p> <p>The applicant must also consent to ASX obtaining information on the credit worthiness of the applicant.</p> <p>ASX may also have regard to any other information in its possession from any source in assessing whether the applicant meets Rule [1000](c).</p> <p><i>[Purpose of amendment: Recognise that an applicant who has already been admitted to an ASX CS facility has established business integrity to ASX's satisfaction. Update references to replace good fame and character with fit and proper person and align with ASIC's Regulatory Guides.]</i></p>
Procedure 1000(d)	<p>In order to satisfy ASX that it meets Rule [1000](d), an applicant must provide to ASX on or before its admission as a Market Participant a certification in the form prescribed by ASX from time to time that the applicant has the resources and processes in place to comply with its obligations under the Rules.</p> <p>For these purposes, “resources” and “processes” have the same meaning as in Rule 1000.</p> <p>In providing this certification to ASX the applicant must have regard to:</p>

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	<ul style="list-style-type: none"> the Rules; ASX Operating Rules Guidance Note 1 <i>Admission as a Participant</i>; ASX Operating Rules Guidance Note 9 <i>Offshoring and Outsourcing</i>; the standards expected of financial services licensees set out in ASIC Regulatory Guide 104 <i>AFS Licensing: Meeting the general obligations</i> and ASIC Regulatory Guide 105 <i>AFS Licensing: Organisational competence</i> (this applies even if the applicant does not hold an Australian Financial Services Licence); the standards expected of Market Participants set out in ASIC Regulatory Guide 265214 <i>Guidance on ASIC market integrity rules for ASX and ASX-24 markets participants of securities markets</i>; and any other matters specified in the form prescribed by ASX for these purposes. <p>If required by ASX, the applicant must be able to demonstrate to the satisfaction of ASX, at any time, the basis on which the certification is or was provided.</p> <p><i>[Purpose of amendment: Update references.]</i></p>
Procedure 3200	<p>...</p> <p><u>Cancellation Ranges for Shares, Company Options, ETFs, Managed Fund Products, CDIs, CGS, and Interest Rate Securities</u></p> <p>The ETR is the same as the ETR set out in the ASIC Market Integrity Rules (Competition in Exchange Markets) (“ASIC Competition MIRs”). For Shares, Company Options, ETFs, Managed Fund Products, CDIs and CGS at or below 9.9 cents, the ETR values may be different to the relevant tick values so ASX will round down the ETR to the applicable tick value eg if the upper ETR is 19.9 cents (9.9 plus 10 cents) it will be rounded down and applied at 19.5 cents. ...</p> <p><i>[Purpose of amendment: Update references.]</i></p>
Procedure 3200	<p><u>Reference Prices — Shares, Company Options, ETFs, Managed Fund Products, CDIs and CGS</u></p> <p>...</p> <p>ETR Reference Price</p> <p>The ETR Reference Price is as per ASIC Competition MIR <u>Market Integrity Rules 28.2.2</u> and is a static reference price as follows: ...</p> <p>Regulatory Halt/Trading Pause</p> <p>ASX will apply a Regulatory Halt Session State for 2 minutes (referred to as a Trading Pause under the ASIC Competition MIRs <u>Market Integrity Rules</u>) as follows:</p> <ul style="list-style-type: none"> during continuous trading the NCR/AOT range has moved such that trades would occur in the ETR (an ETR Event under the ASIC <u>Market Integrity Rules</u>Competition MIRs) so that the ETR Reference Price, ETR and NCR/AOT range may be reset by auction; ... <p><i>[Purpose of amendment: Update references.]</i></p>
Procedure 3260	<p>The Anomalous Order Threshold applies to Shares, Company Options, ETFs, Managed Fund Products, CDIs and CGS (products subject to the ASIC <u>Market Integrity Rules</u>Competition MIRs) and will be applied to Interest Rates Securities (although not subject to the ASIC <u>Market Integrity Rules</u>Competition MIRs) during continuous trading (defined in the ASIC <u>Market Integrity Rules</u> Competition MIRs as trading other than a time during which: ...</p> <p>Applicable Order types</p> <p>The AOT will reject orders outside the above limits that are:</p> <p>Aggressive orders (an incoming order that can execute an order that already resides on the order book (ie against a passive order)) that are:</p> <ul style="list-style-type: none"> Limit Orders; Centre Point Limit Orders (including Centre Point Limit Orders that are block orders); Market-To-Limit Orders; Sweep Market-To-Limit Orders. <p>For Centre Point Market Orders (including Centre Point Market Orders that are block orders) and Centre Point Any Price Block Orders, the AOT will temporarily prevent Centre Point Orders from matching until such time as the Best Mid-Point (as defined in the ASIC <u>Market Integrity Rules</u>Competition MIRs) falls within the AOT range either due to the mid point ticking</p>

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	<p>into the allowed AOT range or the dynamic AOT reference price updating. Incoming Centre Point Orders, including those that are outside the AOT are accepted and stored.</p> <p>...</p> <p>Regulatory Halt/Trading Pause</p> <p>ASX will apply a Regulatory Halt Session State for 2 minutes (referred to as a Trading Pause under the ASIC Market Integrity RulesCompetition MIRs) as follows:</p> <ul style="list-style-type: none"> during continuous trading the NCR/AOT range has moved such that trades would occur in the ETR (an ETR Event under the ASIC Market Integrity RulesCompetition MIRs) so that the ETR Reference Price, ETR and NCR/AOT range may be reset by auction; ... <p><i>[Purpose of amendment: Update references.]</i></p>
Procedure 3500	<p>Part A REPORTING OF TRANSACTIONS IN CASH MARKET PRODUCTS</p> <p>...</p> <p>Trades reported via Trading Platform</p> <p>Transactions required to be reported to ASX under Rule [3500] must be reported through a Trading Platform by Trading Participants using the trade report function in conjunction with the relevant condition code in accordance with the directions set out below.</p> <p>Transactions in Equity Market Products reported to ASX are to be reported by the Reporting Participant only. 'Reporting Participant' has the meaning specified in the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011. ...</p> <p>...</p> <p>"S1", "S2" or "S3" condition code – Reporting of facilitated specified size Block Special Crossings</p> <p>Where a Trading Participant effects a Block Special Crossing which meets the requirements in Procedure 4810 Part A paragraph 2(be), the Trading Participant must:</p> <ol style="list-style-type: none"> Immediately advise Trading Operations via the Trading Platform of the following details: <ol style="list-style-type: none"> the identity of the Trading Participant; the Cash Market Product the subject of the trade; the number of Cash Market Products; the price of the trade; and Report the Block Special Crossing to the Trading Platform in conjunction with the condition code referred to below: <ol style="list-style-type: none"> not later than 15 minutes prior to the scheduled commencement of Open Session State on the next Trading Day if the trade is effected before 1:00 PM on the previous Trading Day; or not later than 1:00 PM on the next Trading Day if the trade is effected after 1:00 PM on the previous Trading Day. <p>The condition code is S1 for Tier 1 Equity Market Products, S2 for Tier 2 Equity Market Products and S3 for Tier 3 Equity Market Products and all other Cash Market Products.</p> <p>...</p> <p><i>[Purpose of amendment: Update references to ASIC MIRs and consequential change to SFF block crossing rules.]</i></p>
Procedure 3801	<p>A Client Agreement in relation to Options Market Contracts, Futures Market Contracts, Warrants or Partly Paid Securities must incorporate the following minimum terms:</p> <ol style="list-style-type: none"> Futures Client Agreement — the minimum terms set out in Appendix 3801-1; Options Client Agreement — the minimum terms set out in Appendix 3801-2; Warrants Client Agreement — the minimum terms set out in Appendix 3801-3;

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	<p>(d) Partly Paid Security Client Agreement — the minimum terms set out in Appendix 3801–4.</p> <p>Note that ASIC Market Integrity Rules 3.1.67 to 3.1.9 also require certain terms to be included in agreements with clients.</p> <p><i>[Purpose of amendment: Update reference and italicise references to Appendices.]</i></p>
Procedure 4024	<p>A Centre Point Order will be dealt with as follows:</p> <p>...</p> <p>(f) Centre Point Orders will not be matched at a time where, if they were to be matched, the Best Available Offer would be equal to or lower than the Best Available Bid (as those terms are defined in the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011).</p> <p><i>[Purpose of amendment: Update references.]</i></p>
Procedure 4060	<p>...</p> <p>5. Crossings with price improvement (Equity Market Products and Government Bond Depositary Interests)</p> <p>A Crossing in Equity Market Products or Government Bond Depositary Interests may be effected in accordance with rule 64.2.3(1) of the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011 or paragraph 6 of the ASIC Class Rule Waiver [CW 13/680].</p> <p>...</p> <p>7. Crossings in Centre Point Any Price Block Orders without price improvement but which meet block trade thresholds (Equity Market Products and Government Bond Depositary Interests).</p> <p>A Crossing in Equity Market Products and Government Bond Depositary Interests may be effected by matching Centre Point Any Price Block Orders in a Trading Platform in accordance with rule 46.2.1 of the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011 where the Equity Market Products or Government Bond Depositary Interests are:</p> <p>...</p> <p><i>[Purpose of amendment: Update references.]</i></p>
Procedure 470 13 and <u>4702</u>	<p>The minimum amount is the amount specified for Rule [4700].</p> <p><i>[Purpose of amendment: Correct reference and an omission from the Procedures.]</i></p>
Procedure 4810 Part A (2)(a)	<p>...</p> <p>2. Block Special Crossings</p> <p>(a) A Crossing of Cash Market Products is a Block Special Crossing and may be effected by a Trading Participant as a Special Crossing <u>in the circumstances set out in ASIC Market Integrity Rule 6.2.1 -and must be notified to ASX in the time and manner specified in Procedure 3500. #:</u></p> <p>(i) the consideration for the transaction is not less than the amount set out in (b) below; and</p> <p>(ii) the Cash Market Products are:</p> <p>(A) either bought or sold (respectively) by the Trading Participant as agent on behalf of one or more clients of the Trading Participant; and</p> <p>(B) either sold or bought (respectively) by the Trading Participant as Principal or as agent on behalf of one client of the Trading Participant (the client may be a Funds Manager acting on behalf of more than one client account);—</p> <p>Where the Cash Market Product is a share, a Market Participant may aggregate for the purposes of a Special Crossing different classes of shares which differ</p>

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	<p>only in relation to the amount of dividend payable.</p> <p>(b) — For the purposes of 2(a)(i) above the amounts are:</p> <p>(i) — for transactions in respect of Tier 1 Equity Market Products, \$1,000,000;</p> <p>(ii) — for transactions in respect of Tier 2 Equity Market Products, \$500,000; and</p> <p>(iii) — for transactions in respect of Tier 3 Equity Market Products and all other Cash Market Products, \$200,000.</p> <p>— In the case of Equity Securities the amount is calculated on the basis that Equity Securities issued by a single issuer in the same class, or the classes of which differ only as to the amount of dividend or distribution payable, and with the same paid up value will be aggregated. Note that this applies to all Equity Market Products.</p> <p>(eb) A Block Special Crossing (or other trade prescribed by ASX and not objected to by the Commission) of Cash Market Products notified to Trading Participants may be effected by a Trading Participant as a "Facilitated Specified Size Block Special Crossing" <u>in the circumstances set out in ASIC Market Integrity Rule 6.4.1-if and must be notified to ASX in the time and manner specified in Procedure 3500.</u></p> <p>(i) — the parties to the trade are the Trading Participant acting as Principal and the Trading Participant acting as agent on behalf of one client (the client may be a Funds Manager acting on behalf of more than one fund);</p> <p>(ii) — the consideration for the transaction is at least the amount specified in 2(d) below in respect of the relevant Cash Market Product;</p> <p>(iii) — the trade is not effected to unwind, close out or liquidate (in whole or in part) a position established by a trade which meets the requirements in paragraphs 2(c)(i) and 2(c)(ii) above; and</p> <p>(iv) — the trade is notified to ASX in the time and manner specified in Procedure 3500.</p> <p>(d) — For the purposes of 2(c)(ii) the amounts are:</p> <p>(i) — for transactions in respect of Cash Market Products for the time being categorised by ASX as Category A Securities, \$15,000,000;</p> <p>(ii) — for transactions in respect of Cash Market Products for the time being categorised by ASX as Category B Securities, \$10,000,000;</p> <p>(iii) — for transactions in respect of Cash Market Products for the time being categorised by ASX as Category C Securities, \$5,000,000; and</p> <p>(iv) — for transactions in respect of other Cash Market Products, \$2,000,000;</p> <p><i>[Purpose of amendment: Update to reflect new ASIC MIRs.]</i></p>
<p>Procedure 7100</p> <p>Definitions</p>	<p>...</p> <p>Centre Point Any Price Block Order</p> <p>A Centre Point Any Price Block Order must meet the following requirements:</p> <p>(a) the Order has an execution instruction which allows matching at the prices specified in paragraphs (a) and (b) of the definition of Centre Point Any Price Block Order; and</p> <p>(b) for Orders in respect of:</p> <p>(i) Tier 1 Equity Market Products, the Order is in excess of \$1,000,000;</p> <p>(ii) Tier 2 Equity Market Products, the Order is in excess of \$500,000; or</p> <p>(iii) Tier 3 Equity Market Products and all other Cash Market Products, the Order is in excess of \$200,000.</p> <p>The circumstances for the purposes of paragraph (b) of the definition of Centre Point Any Price Block Order are where:</p>

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	<p>(c) in respect of Equity Market Products and Government Bond Depositary Interests, the consideration for the transaction entered into by matching of the Centre Point Any Price Block Order is not less than the amount specified in MIR 46.2.1(c) for that Equity Market Product or Government Bond Depositary Interest; ...</p> <p>Centre Point Limit Order</p> <p>For the purposes of paragraph (b) of the definition of Centre Point Limit Order:</p> <p>(a) in respect of Equity Market Products and Government Bond Depositary Interests, the Centre Point Limit Order price is determined in accordance with Rule 46.2.3(1)(a)(i) of the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011;</p> <p>...</p> <p>Centre Point Market Order</p> <p>In respect of Equity Market Products and Government Bond Depositary Interests, the Centre Point Order price is determined as the Best Mid-Point as defined in the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011.</p> <p>...</p> <p>Facilitated Specified Size Block Special Crossing means, in relation to Cash Market Products, a special crossing made in accordance with Procedure 4810 Part A paragraph 2(be).</p> <p>...</p> <p>Tier 1 Equity Market Products has the meaning specified in <u>rule 6.2.1 of</u> the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011 Rule 4.2.1.</p> <p>Tier 2 Equity Market Products has the meaning specified in <u>rule 6.2.1 of</u> the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011 Rule 4.2.1.</p> <p>Tier 3 Equity Market Products has the meaning specified in <u>rule 6.2.1 of</u> the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011 Rule 4.2.1.</p> <p><i>[Purpose of amendment: Update references to MIRs and consequential changes to FSS Block Special Crossing rules.]</i></p>
Appendices to ASX Operating Rules Procedures	
Appendix 4800	<p>...</p> <p>3. Reporting EFPs to ASX</p> <p>(a) To report EFPs to ASX a “Notification Form of Exchange For Physicals” (“the Form”) (Attachment 2 to this Appendix) must be completed and lodged by the Trading Participants as follows:</p> <p>(i) the Form must be completed and executed by Party A (the buyer of the physical commodity or instrument and seller of the Market Contract) who will promptly provide the Form to Party B (the buyer of the Market Contract and seller of the physical commodity or instrument), and ASX by facsimile.</p> <p>(ii) Party B will then complete and execute the Form and lodge the completed form with ASX by facsimile.</p> <p>[...]</p> <p>(e) Subject to validation of the Market Transaction and the transaction in a physical commodity or instrument as detailed on the Form, ASX must enter the Market Transaction into the /CLICK-trading system.</p> <p>[...]</p> <p><i>[Purpose of amendment: To correct reference to a form which is no longer prescribed by ASX and remove reference to the name of a previous trading system.]</i></p>

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ASX 24 Operating Rules Procedures	Amendments
Procedure 1000(c)	<p>In order to satisfy the Market Operator that it meets Rule [1000](c), an applicant must provide to the Market Operator one of the following:</p> <p>(a) ...</p> <p>(b) If the applicant holds an Australian Financial Services Licence which authorises it to carry on business as a Trading Participant, the applicant must confirm to the Market Operator that it has in place measures to ensure its responsible managers are fit and proper person<u>of good fame and character</u>, as required by ASIC Regulatory Guides 105-33 and 2-162 which are also applied to any of its directors who are not responsible managers.</p> <p>_____ The applicant must be able to provide evidence of those measures to the Market Operator upon request at any time.</p> <p>(c) In any other case, <u>if the applicant is not an existing participant of the Approved Clearing Facility, the ASX market, or the ASX Clear or ASX Settlement clearing and settlement facilities</u>, the applicant must provide a statutory declaration to the Market Operator in relation to itself and from each of its directors confirming that:</p> <ul style="list-style-type: none"> (i) they have not been the subject of any previous bankruptcy, insolvency, receivership, administration, or similar event; (ii) they have not been charged with or convicted of any offences relating to dishonesty, fraud, financial markets-related conduct or money laundering; (iii) they have not been the subject of any fines, civil penalties, banning, suspension or other disciplinary measures for financial markets-related conduct; (iv) they have not been the subject of any disciplinary action or adverse mention in a report made by, or at the request of, any government or governmental authority or agency, the Commission, ASX, an Approved Clearing Facility, an Approved Settlement Facility, and any other exchange, market operator or clearing and/or settlement facility; (v) they have not been refused membership of any financial markets-related, legal or accounting professional organisation or had such a membership revoked; and (vi) they have not had an application for Trading Participant status (or equivalent status) on another exchange or market refused; <u>and</u> <u>(vii) they satisfy any other criteria determined by the Market Operator from time to time,</u> <p>whether in Australia or elsewhere, or, if that is not the case, a statement to that effect and a detailed explanation of the circumstances involved.</p> <p>The applicant must also consent to the Market Operator obtaining information on the credit worthiness of the applicant.</p> <p>The Market Operator may also have regard to any other information in its possession from any source in assessing whether the applicant meets Rule [1000](c).</p> <p><i>[Purpose of amendment: Recognise that an applicant who has already been admitted to an ASX CS facility has established business integrity to ASX's satisfaction. Update references to replace good fame and character with fit and proper person and align with ASIC's Regulatory Guides.]</i></p>
Procedure 1000(d)	<p>In order to satisfy the Market Operator that it meets Rule [1000](d), an applicant must provide to the Market Operator on or before its admission as a Trading Participant a certification in the form prescribed by the Market Operator from time to time that the</p>

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	<p>applicant has the resources and processes in place to comply with its obligations under the Rules.</p> <p>For these purposes, “resources” and “processes” have the same meaning as in Rule 1000.</p> <p>In providing this certification to the Market Operator the applicant must have regard to:</p> <ul style="list-style-type: none"> the Rules; ASX 24 Operating Rules Guidance Note 1 <i>Admission as a Participant</i>; ASX 24 Operating Rules Guidance Note 9 <i>Offshoring and Outsourcing</i>; the standards expected of financial services licensees set out in ASIC Regulatory Guide 104 AFS Licensing: Meeting the general obligations and ASIC Regulatory Guide 105 AFS Licensing: Organisational competence (this applies even if the applicant does not hold an Australian Financial Services Licence); the standards expected of Trading Participants set out in ASIC Regulatory Guide 214-266 Guidance on ASIC market integrity rules for ASX and ASX-24 markets participants of futures markets; and any other matters specified in the form prescribed by the Market Operator for these purposes. <p>If required by the Market Operator, the applicant must be able to demonstrate to the satisfaction of the Market Operator, at any time, the basis on which the certification is or was provided.</p> <p><i>[Purpose of amendment: Update references.]</i></p>
Procedure 1401(ed)	<p>A Trading Participant must maintain, for a period of seven years, records of the matters referred to in Procedure 1401(b).</p> <p><i>[Purpose of amendment: Update incorrect procedure reference.]</i></p>
Procedure 3200.9	<p>3200.9 — Reference Price and Cancellation Ranges for Contracts not subject to the ASIC Competition-Market Integrity Rules (ASIC Competition MIRs)</p> <p>...</p> <p>No automated AOT/NCR applies to futures contracts not subject to the ASIC Market Integrity RulesCompetition MIRs so no orders will be automatically rejected. No Regulatory Halt will be applied.</p> <p><i>[Purpose of amendment: Update references.]</i></p>
Procedure 3200.10	<p>Procedure 3200.10 — Reference Price, Anomalous Order Threshold, Regulatory Halts and Cancellation Ranges for Futures Contracts subject to the ASIC Market Integrity RulesCompetition MIRs</p> <p>Reference Price for futures contracts subject to the ASIC Competition-Market Integrity Rules (ASIC Competition MIRs)...</p> <p>Pursuant to an ASIC waiver from ASIC Market Integrity Rule Competition MIR 82.2.2(1) the ETR Reference Price is the same as the dynamic Anomalous Order Threshold (AOT)/NCR Reference Price.</p> <p>...</p> <p>Determination of the AOT/NCR Reference Price on the initial commencement of trading on a Trading Day</p> <p>...</p> <p>At the initial commencement of trading on a Trading Day the NCR/AOT Reference Price for the eligible Contract will be established as follows in accordance with ASIC Market Integrity Rules Competition MIRs 28.2.1 (being the determination of an initial ETR Reference Price):</p> <p>...</p> <p>(c) if paragraph (a) or (b) applies and the price of the opening transaction is invalid, a price determined by the Market Operator to be not invalid. The Market Operator will use the reference price criteria for futures contracts not subject to the ASIC Market Integrity Rules Competition MIRs to determine the initial Reference Price as follows:</p>

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	<p>...</p> <p>Pursuant to an ASIC waiver from ASIC Market Integrity RulesCompetition MIR 82.2.2C if the Market Operator determines that the initial trade is outside the manually determined ETR, the Market Operator will apply a manual Regulatory Halt Session State to facilitate the resetting of the AOT/NCR Reference Price. ...</p> <p>Regulatory Halt/Trading Pause</p> <p>The Market Operator will apply a manual Regulatory Halt Session State (referred to as a Trading Pause under the ASIC Market Integrity RulesCompetition MIRs) as follows:</p> <ul style="list-style-type: none"> during continuous trading the NCR/AOT range has moved such that trades would occur in the ETR (an ETR Event under the ASIC Market Integrity RulesCompetition MIRs) so that the ETR Reference Price, ETR and NCR/AOT range may be reset. to reset the AOT/NCR Reference Price where the Market Operator has determined the initial opening auction price is invalid or an auction does not establish a price or the Market Operator has determined the opening transaction price is invalid. <p>Pursuant to an ASIC waiver from ASIC Market Integrity Rule Competition MIR 28.2.2C the Regulatory Halt can be manually applied and not automated and can be for longer or shorter than 2 minutes.</p> <p>...</p> <p>Pursuant to an ASIC waiver from ASIC Market Integrity Rules Competition MIR 28.2.2C the Market Operator will not apply a Regulatory Halt where any part of the Regulatory Halt would be applied during in the 2 minute period prior to the Close Session States.</p> <p>...</p> <p>Anomalous Order Threshold/No Cancellation Range</p> <p>The AOT/NCR automatically updates as the AOT/NCR Reference Price updates. The AOT/NCR applies during continuous trading defined in the ASIC Market Integrity Rules Competition MIRs as trading other than a time during which:</p> <p>...</p> <p>Rejection of Orders that Exceed the AOT/NCR</p> <p>...</p> <p>Aggressive orders (an incoming order that can execute an order that already resides on the order book (i.e. against a passive order)) that are:</p> <p>...</p> <ul style="list-style-type: none"> User Defined Strategy Orders <ul style="list-style-type: none"> User Defined Strategy orders will have the AOT/NCR applied and checked at the time of entry so that for each leg, if: <ol style="list-style-type: none"> The contract leg is subject to the ASIC Market Integrity RulesCompetition MIRs, and The AOT/NCR has been established for the contract leg, and The leg price is outside the AOT/NCR contract range, then The entire order will be rejected. Intra-Spread Orders <ul style="list-style-type: none"> Intra-spread orders will have the AOT/NCR applied and checked at the time of entry so that the intra-spread order will be rejected if: <ol style="list-style-type: none"> The underlying contract (near and/or far) is subject to the ASIC Market Integrity RulesCompetition MIRs, and The AOT/NCR Reference Price has been established for the underlying contract, and The spread price generates an implied-out price in the underlying contract leg that is outside the AOT/NCR range for one or both underlying contract legs of the spread. Where there are no outright prices, intra-spread rejection will be based on the spread range of the near AOT/NCR upper — far AOT/NCR lower for the bid spread price, or the near AOT/NCR lower — far AOT/NCR upper for the spread ask price. Inter-Spread Orders <ul style="list-style-type: none"> Inter-spread orders will have the AOT/NCR applied and checked at the time of entry so that the inter-spread order will be rejected if: <ol style="list-style-type: none"> One or both underlying contracts are subject to the ASIC Market Integrity RulesCompetition MIRs, and
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	<p>ii. The AOT/NCR Reference Price has been established for one or both underlying contracts, and</p> <p>iii. The spread price generates a “shadow” price in the underlying contract leg that is outside the AOT/NCR range for one or both underlying contract legs of the spread.</p> <p>Pursuant to an ASIC waiver from ASIC Market Integrity Rules Competition MIR-28.1.3 the AOT/NCR does not apply to the following orders:</p> <p>...</p> <p>Ranges for Equity Index Futures Products subject to the ASIC Market Integrity Rules Competition MIRs</p> <p>[table]</p> <p><i>[Purpose of amendment: Update references.]</i></p>
Procedure 3210.4	<p>Procedure 3210.4 — Trades within the Extreme Trade Range</p> <p>If a trade has a price at or within the ETR it will be cancelled unless:</p> <p>(a) Time limit is exceeded —non-ASIC Market Integrity Rules Competition MIR Contracts only</p> <p>The Market Operator will not cancel trades in the ETR if the trade is identified by or to the Market Operator more than 30 minutes after the time of trade execution or 10 minutes has elapsed since the close of trading on the relevant Trading Day, whichever is sooner. ...</p> <p><i>[Purpose of amendment: Update references.]</i></p>
Procedure 4021(a)	<p>Procedure 4021(a) — Standard Order Requirements — Mandatory</p> <p>For the purposes of Rule [4021] the mandatory order requirements are:</p> <p>(a) Commodity or Security Code;</p> <p>(b) Quantity;</p> <p>(c) Buy or Sell;</p> <p>(d) Account Type;</p> <p>(e) Account Identifier — when entering an Order into the Trading Platform the application of the Account Identifier should correspond to the Client for whom the order relates except in circumstances where the Order represents an Aggregated Order (as permitted under ASIC ASX-24 Market Integrity Rule 3.1.6, 3.3.1 and 3.4.1(d)), where the Order is a principal Order in which case the Account Identifier should relate to the Trading Participant’s relevant principal account or where the Trading Participant can demonstrate to the satisfaction of the Market Operator that circumstances existed which prevented it from doing so and in which case it must, within 10 minutes of the Order being entered into the Trading Platform, either update the Account Identifier for the Order on the Trading Platform or if already executed centrally record the Account Identifier in its systems along with the corresponding Order identifier from the Trading Platform and be able to provide it to the Market Operator immediately on request; and</p> <p>(f) Regulatory Data information required by the ASIC Market Integrity RulesMIRs.</p> <p>Note: there are currently no ASIC Market Integrity RulesMIR requirements.</p> <p><i>[Purpose of amendment: Update references.]</i></p>
Procedure 4022(b)	<p>Procedure 4022(b) – User Defined Strategy Order — Fixed Leg Price Combinations and Net Price Combinations</p> <p>Procedures for User Defined Strategy Orders:</p> <p>...</p> <p>The Trading Platform uses the same algorithm to determine the individual leg prices for User Defined Strategy Orders as it does for Spread to Spread Orders.</p> <p>Note:</p> <ul style="list-style-type: none"> Where the User Defined Strategy Order is also a Pre-Negotiated Order please refer to Rule 4060 and particularly the requirement to use the Request For Quote Facility (RFQ Facility) which is also a requirement under Market Integrity RuleMIR 3.3.1A of the ASIC (ASX-24 Market) MIRs.

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	<ul style="list-style-type: none"> Where the User Defined Strategy Order is not a Pre-Negotiated Order the RFQ Facility is not required to be used. Where a Participant is creating a User Defined Strategy (but not entering an Order) the RFQ Facility is not required to be used. <p><i>[Purpose of amendment: Update references.]</i></p>
Procedure 4800	<p>Procedure 4800 – Exchange for Physical</p> <p>For the purpose of Rule [4800] EFPs may only be effected as follows:</p> <p>1. Transaction in a physical commodity or instrument</p> <p>...</p> <p>EFP transactions must be conducted in accordance with the Rules and Procedures. EFPs not conducted in accordance with the Rules and Procedures will be subject to cancellation and sanctions imposed by the Market Operator. EFPs are also subject to the ASIC Market Integrity Rules (ASX 24 Market) and the Corporations Act (Cth) 2001 which are enforced by ASIC.</p> <p>...</p> <p>5. Exchange for Physical Registration Times</p> <p>The order record maintained by a Participant under the ASIC Market Integrity Rules (ASX 24 Market) must evidence the EFP Agreement Time.</p> <p>...</p> <p>7. Retention of Records</p> <p>Where a client or the Trading Participant is a party to an EFP transaction, the onus is on the Trading Participant to obtain and keep on record appropriate evidence of the physical and futures components of the transaction. The Market Operator considers that “best practice” is adopted where the Trading Participant obtains and retains evidence of the physical and futures components of an EFP transaction. However, where the Participant is relying on third parties, including Clients and related body corporates, to obtain and retain the records on their behalf they must ensure the arrangements with the third party are adequate to ensure compliance with this Procedure. These arrangements may include, but are not limited to:</p> <p>...</p> <p>(b) Where the third party is a Client, obtaining and retaining executed copies of the “Client Undertaking Form” (CUF) prior to transacting EFP business on the Client’s behalf, as required under the ASIC Market Integrity Rules (ASX 24 Market). The executed CUF should enable a Participant to retrieve evidence of both the physical and futures component of an EFP transaction from the Client on an “as needs” basis for a period of 5 years following an EFP transaction; ...</p> <p><i>[Purpose of amendment: Update references.]</i></p>
Procedure 5000	<p>For the purposes of Rule [5000] the circumstances are as follows:</p> <p>...</p> <p>(f) ——— NTA falls below the specified level.</p> <p>...</p> <p><i>[Purpose of amendment: Remove redundant requirements. The NTA requirements themselves ceased to apply from 1 August 2011 when the ASIC capital MIRs applied.]</i></p>

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ASX Clear Operating Rules Procedures	Amendments
<p>Procedure 3.4.1 Business Integrity Requirements</p>	<p>In order to satisfy ASX Clear that it meets the business integrity requirements, an applicant must provide to ASX Clear one of the following:</p> <p>(a) ...</p> <p>(b) If the applicant holds an Australian financial services licence which authorises it to carry on business as a Participant, that the applicant must confirm to ASX Clear that it has in place measures to ensure its responsible managers are <u>fit and proper person</u>of good fame and character, as required in the ASIC Regulatory Guides 105-33 and 2-162, which are also applied to any of its directors who are not responsible managers.</p> <p>The applicant must be able to provide evidence of those measures to ASX <u>Clear</u> upon request at any time.</p> <p>(c) In any other case, <u>if the applicant is not an existing Market Participant or a participant of ASX the Approved Settlement Facility, the ASX 24 market or the Approved Futures Clearing Facility</u>, the applicant must provide a statutory declaration to ASX <u>Clear</u> in relation to itself and from each of its directors confirming that:</p> <p>(i) they have not been the subject of any previous bankruptcy, insolvency, receivership, administration, or similar event;</p> <p>(ii) they have not been charged with or convicted of any offences relating to dishonesty, fraud, financial markets-related conduct, or money laundering;</p> <p>(iii) they have not been the subject of any fines, civil penalties, banning, suspension or other disciplinary measures for financial markets-related conduct;</p> <p>(iv) they have not been the subject of any disciplinary action or adverse mention in a report made by, or at the request of, any government or governmental authority or agency, the Commission, ASX, an Approved Clearing Facility, an Approved Settlement Facility, and any other exchange, market operator or clearing and/or settlement facility;</p> <p>(v) they have not been refused membership of any financial markets-related, legal or accounting professional organisation or had such a membership revoked; and</p> <p>(vi) they have not had an application for Participant status (or equivalent status) on another exchange, market, Approved Clearing Facility or Approved Settlement Facility refused; <u>and</u></p> <p><u>(vii) they satisfy any other criteria determined by ASX Clear from time to time,</u></p> <p>whether in Australia or elsewhere, or, if that is not the case, a statement to that effect and a detailed explanation of the circumstances involved.</p> <p>The applicant must also consent to ASX Clear obtaining information on the credit worthiness of the applicant.</p> <p>ASX Clear may also have regard to any other information in its possession from any source in assessing whether the applicant meets the business integrity requirements.</p> <p><i>[Purpose of amendment: Recognise that an applicant who has already been admitted to an ASX CS facility has established business integrity to ASX's satisfaction. Update references to replace good fame and character with fit and proper person and align with ASIC's Regulatory Guides.]</i></p>

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<p>Procedure 3.5.1 Organisational Requirements</p>	<p>In order to satisfy ASX Clear that it meets the organisational requirements, an applicant must provide to ASX Clear on or before its admission as a Participant a certification in the form prescribed by ASX Clear from time to time that the applicant has the resources and processes in place to comply with its obligations under the Rules.</p> <p>For these purposes, “resources” and “processes” have the same meaning as in Rule 3.5.1. In providing this certification to ASX Clear the applicant must have regard to:</p> <ul style="list-style-type: none"> the Rules; ASX Clear Operating Rules Guidance Note 1 <i>Admission as a Participant</i>; ASX Clear Operating Rules Guidance Note 9 <i>Offshoring and Outsourcing</i>; ASX Clear Operating Rules Guidance Note 10 <i>Business Continuity and Disaster Recovery</i> the standards expected of financial services licensees set out in ASIC Regulatory Guide 104 <i>AFS Licensing: Meeting the general obligations</i> and ASIC Regulatory Guide 105 <i>AFS Licensing: Organisational competence</i> (this applies even if the applicant does not hold an Australian Financial Services Licence); and any other matters specified in the form prescribed by ASX Clear for these purposes. <p>If required by ASX Clear, the applicant must be able to demonstrate to the satisfaction of ASX Clear, at any time, the basis on which the certification is or was provided.</p> <p><i>[Purpose of amendment: Update references.]</i></p>
<p>Procedure 4.7.2 Annual Group Structure Chart</p>	<p>For the purposes of Rule 4.7.2, a Participant must submit its group structure chart as at 30 June each year by the following 31 July. This is to be submitted via email to compliance@asx.com.au. The notification must be lodged via ASX Online.</p> <p><i>[Purpose of amendment: Notifications are required to be made via ASX Online.]</i></p>
<p>Procedure 4.23.7 Obligation to notify ASX Clear in respect of reconciliation</p>	<p>For the purposes of Clearing Rule 4.23.7, the notification must be lodged via ASX Online, or forwarded to:</p> <p>The Manager, Participants Compliance ASX Limited Exchange Centre, 20 Bridge Street SYDNEY NSW 2000</p> <p><i>[Purpose of amendment: To acknowledge that notifications are required to be made via ASX Online.]</i></p>
<p>Procedure 11.1.1 Participant may allocate Derivatives Market Contracts</p>	<p>(1) Subject to (2), for the purposes of Rule 11.1.1, an allocation of a Derivatives Market Contract by a Participant (the “First Participant”) to another Participant (the “Second Participant”) is effected only if made on the day on which the Derivatives Market Contract is entered (trade day) and the allocation is made in accordance with the following:</p> <ul style="list-style-type: none"> (a) the First Participant provides the details of the Derivatives Market Contract by 5.45 pm (Sydney time) on the trade day; and (b) the Second Participant, in accordance with Rule 11.1.6 and these Procedures, either: <ul style="list-style-type: none"> (i) accepts the allocated Derivatives Market Contract and on-allocates it by 5.45 pm (Sydney time) to another Participant; or

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	<p>(ii) accepts the allocated Derivatives Market Contract by 6.00 pm (Sydney time) and does not on-allocate it in accordance with paragraph (i).</p> <p>Note, <u>subject to rule 1.20.2</u> ASX may <u>extend the above times on request by the Participants concerned.</u></p> <p><i>[Purpose of amendment: to acknowledge the operational discretion needed to be provided.]</i></p>
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ASX Settlement Operating Rules Procedures	Amendments
PROCEDURE 4.11.1 BUSINESS INTEGRITY REQUIREMENTS	<p>In order to satisfy ASX Settlement that it meets Rule 4.11.1, an applicant must provide to ASX Settlement one of the following:</p> <p>(a) ...</p> <p>(b) If the applicant holds an Australian financial services licence which authorises it to carry on business as a Participant, the applicant must confirm to ASX Settlement that it has in place measures to ensure its responsible managers are <u>fit and proper persons of good fame and character</u>, as required in ASIC Regulatory Guides 105-33 and 2-162, which are also applied to any of its directors who are not responsible managers.</p> <p>(c) In any other case, <u>if the applicant is not an existing participant of the ASX or ASX 24 markets, the Approved Clearing Facility or the ASX Clear (Futures) clearing and settlement facility</u>, the applicant must provide a statutory declaration to ASX Settlement in relation to itself and from each of its directors confirming that:</p> <ul style="list-style-type: none"> (i) they have not been the subject of any previous bankruptcy, insolvency, receivership, administration, or similar event; (ii) they have not been charged with or convicted of any offences relating to dishonesty, fraud, financial markets-related conduct, or money laundering; (iii) they have not been the subject of any fines, civil penalties, banning, suspension or other disciplinary measures for financial markets-related conduct; (iv) they have not been the subject of any disciplinary action or adverse mention in a report made by, or at the request of, any government or governmental authority or agency, the Commission, ASX, an Approved Clearing Facility, an Approved Settlement Facility, and any other exchange, market operator or clearing and/or settlement facility; (v) they have not been refused membership of any financial markets-related, legal or accounting professional organisation or had such a membership revoked; and (vi) they have not had an application for Participant status (or equivalent status) on another exchange, market, Approved Clearing Facility or Approved Settlement Facility refused; <u>and</u> <u>(vii) they satisfy any other criteria determined by ASX Settlement from time to time,</u> <p>whether in Australia or elsewhere, or, if that is not the case, a statement to that effect and a detailed explanation of the circumstances involved.</p> <p>The applicant must also consent to ASX Settlement obtaining information on the creditworthiness of the applicant.</p> <p>ASX Settlement may also have regard to any other information in its possession from any source in assessing whether the applicant meets Rule 4.11.1.</p> <p><i>[Purpose of amendment: Recognise that an applicant who has already been admitted to an ASX CS facility has established business integrity to ASX's satisfaction. Update references to replace good fame and character with fit and proper person and align with ASIC's Regulatory Guides.]</i></p>

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<p>PROCEDURE 4.18.1 ORGANISATIONAL REQUIREMENTS</p>	<p>In order to satisfy ASX Settlement that it meets Rule 4.18.1, an applicant must provide to ASX Settlement on or before its admission as a Participant a certification in the form prescribed by ASX Settlement from time to time that the applicant has the resources and processes in place to comply with its obligations under the Rules.</p> <p>For these purposes, “resources” and “processes” have the same meaning as in Rule 4.18.1.</p> <p>In providing this certification to ASX Settlement the applicant must have regard to:</p> <ul style="list-style-type: none"> (a) the Rules; (b) where the application is in respect of admission as a Participant other than as a Specialist Settlement Participant admitted for the limited purpose of acting as a Participant Bidder: <ul style="list-style-type: none"> (i) ASX Settlement Operating Rules Guidance Note 1 <i>Admission as a Participant</i>; (ii) ASX Settlement Operating Rules Guidance Note 9 <i>Offshoring and Outsourcing</i>; (iii) ASX Settlement Operating Rules Guidance Note 10 <i>Business Continuity and Disaster Recovery</i>; and (iv) the standards expected of financial services licensees set out in ASIC Regulatory Guide 104 <i>AFS Licensing: Meeting the general obligations</i> and ASIC Regulatory Guide 105 <i>AFS Licensing: Organisational competence</i> (this applies even if the applicant does not hold an Australian Financial Services Licence); (e) any other matters specified in the form prescribed by ASX Settlement for these purposes. <p>If required by ASX Settlement, the applicant must be able to demonstrate to the satisfaction of ASX Settlement, at any time, the basis on which the certification is or was provided.</p> <p><i>[Purpose of amendment: Update references and italicise references to the Guidance Notes.]</i></p>
<p>PROCEDURE 6.3A.4 OBLIGATION TO NOTIFY ASX SETTLEMENT IN RESPECT OF RECONCILIATION</p>	<p>For the purposes of Rule 6.3A.4, the notification must be lodged via ASX Online, or forwarded to:</p> <p style="margin-left: 40px;">The Manager, Participants Compliance ASX Limited Exchange Centre, 20 Bridge Street SYDNEY NSW 2000</p> <p><i>[Purpose of amendment: To acknowledge that these notifications are made via ASX Online.]</i></p>
<p><u>PROCEDURE 6.21.1</u> <u>PARTICIPANT TO</u> <u>MAINTAIN DISASTER</u> <u>RECOVERY AND BUSINESS</u> <u>CONTINUITY</u> <u>ARRANGEMENTS</u></p>	<p><u>Unless notified otherwise in writing by ASX Settlement, a Participant must test its disaster recovery and business continuity arrangements at least once annually. A Participant must also test its disaster recovery and business continuity arrangements as soon as practicable following material changes to the Participant’s business or material changes to its disaster recovery and business continuity arrangements.</u></p> <p><i>[Purpose of amendment: ASX is aligning the BCP testing requirements across the Operating Rules of ASX Clear, ASX Settlement and ASX Clear (Futures). The requirement is currently provided in the Procedure of ASX Clear Operating Rule only, adding the same testing requirements to the ASX Settlement Operating Rules and ASX Clear (Futures) Operating Rules will ensure consistent guidance to all participants in those facilities.]</i></p>

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<div>SECTION 8</div> <div>APPROVAL OF ISSUERS AND FINANCIAL PRODUCTS HOLDING FINANCIAL PRODUCTS IN THE SETTLEMENT FACILITY</div> <div><u>8.1 APPROVAL OF PERSON AS ISSUER AND FINANCIAL PRODUCTS</u></div> <div>PROCEDURE 8.1.1</div>	<p>Persons must submit a copy of an the executed <u>Approved Listing Market Operator's application form Appendix 1A, 1B or 1C of the ASX Listing Rules or Appendix 10.3.3 or 10A.3.3 of the ASX Operating Rules Procedures</u>, as well as a prospectus or Product Disclosure Statement, to create a CHESs sub register.</p> <p>[...]</p> <p><i>[Purpose of amendment: Correct incorrect section title and outdated references, and be agnostic in relation to the listing venue.]</i></p>
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ASX Clear (Futures) Operating Rules Procedures	Amendments
Rule 4.2(c) Business Integrity Requirements	<p>In order to satisfy ASX Clear (Futures) that it meets Rule 4.2(c), an applicant must provide to ASX Clear (Futures) one of the following:</p> <p>(a) ...</p> <p>(b) If the applicant holds an Australian financial services licence which authorises it to carry on business as a Clearing Participant, the applicant must confirm to ASX Clear (Futures) that it has in place measures to ensure its responsible managers are <u>fit and proper</u> of good fame and character, as required in ASIC Regulatory Guides 105-33 and 2-162, which are also applied to any of its directors who are not responsible managers. The applicant must be able to provide evidence of those measures to ASX Clear (Futures) upon request at any time.</p> <p>(c) In any other case, <u>if the applicant is not an existing participant of the Exchange, an Approved Clearing and Settlement Facility, the ASX market or the ASX Settlement clearing and settlement facility</u>, the applicant must provide a statutory declaration to ASX Clear (Futures) in relation to itself and from each of its directors confirming that:</p> <ul style="list-style-type: none"> (i) they have not been the subject of any previous bankruptcy, insolvency, receivership, administration, or similar event; (ii) they have not been charged with or convicted of any charges or convictions for any offences relating to dishonesty, fraud, financial markets-related conduct, or money laundering; (iii) they have not been the subject of any fines, civil penalties, banning, suspension or other disciplinary measures for financial markets-related conduct; (iv) they have not been the subject of any disciplinary action or adverse mention in a report made by, or at the request of, any government or governmental authority or agency, the Commission, ASX, an Approved Clearing Facility, an Approved Settlement Facility, and any other exchange, market operator or clearing and/or settlement facility; (v) they have not been refused membership of any financial markets-related, legal or accounting professional organisation or had such a membership revoked; and (vi) they have not had an application for Participant status (or equivalent status) on another exchange, market, Approved Clearing Facility or Approved Settlement Facility refused; <u>and</u> <u>(vii) they satisfy any other criteria determined by ASX Clear (Futures) from time to time,</u> <p>whether in Australia or elsewhere, or, if that is not the case, a statement to that effect and a detailed explanation of the circumstances involved.</p> <p>The applicant must also consent to ASX Clear (Futures) obtaining information on the creditworthiness of the applicant.</p> <p><i>[Purpose of amendment: Recognise that an applicant who has already been admitted to an ASX CS facility has established business integrity to ASX's satisfaction. Update references to replace good fame and character with fit and proper person and align with ASIC's Regulatory Guides.]</i></p>

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<p>Rule 4.2(e) Organisational Requirements</p>	<p>In order to satisfy ASX Clear (Futures) that it meets Rule 4.2(e), an applicant must provide to ASX Clear (Futures) on or before its admission as a Clearing Participant a certification in the form prescribed by ASX Clear (Futures) from time to time that the applicant has the resources and processes in place to comply with its obligations under the Rules.</p> <p><u>For these purposes, “resources” and “processes” have the same meaning as in Rule 4.2(e). For business continuity and disaster recovery processes, an applicant must agree and attest that, having regard to the nature and extent of the applicant's proposed ASX Clear (Futures) operations, it will establish and maintain adequate disaster recovery and business continuity arrangements to ensure the timely recovery of its proposed ASX Clear (Futures) operations, at all times. This includes (but is not limited to):</u></p> <ul style="list-style-type: none"> <u>unless notified otherwise in writing by ASX Clear (Futures), testing its disaster recovery and business continuity arrangements at least once annually after being admitted as a Clearing Participant.</u> <u>testing its disaster recovery and business continuity arrangements as soon as practicable following material changes to its business or material changes to its disaster recovery and business continuity arrangements, after being admitted as a Clearing Participant.</u> <p>In providing this certification to ASX Clear (Futures), the applicant must have regard to:</p> <ul style="list-style-type: none"> the Rules; ASX Clear (Futures) Operating Rules Guidance Note 1 <i>Admission as a Participant</i>; ASX Clear (Futures) Operating Rules Guidance Note 9 <i>Offshoring and Outsourcing</i>; ASX Clear (Futures) Operating Rules Guidance Note 10 <i>Business Continuity and Disaster Recovery</i>; the standards expected of financial services licensees set out in ASIC Regulatory Guide 104 <i>AFS Licensing: Meeting the general obligations</i> and ASIC Regulatory Guide 105 <i>AFS Licensing: Organisational competence</i> (this applies even if the applicant does not hold an Australian Financial Services Licence); and any other matters specified in the form prescribed by ASX for these purposes. <p>If required by ASX Clear (Futures), the applicant must be able to demonstrate to the satisfaction of ASX Clear (Futures), at any time, the basis on which the certification is or was provided.</p> <p><i>[Purpose of amendment: ASX is aligning the BCP testing requirements across the Operating Rules of ASX Clear, ASX Settlement and ASX Clear (Futures). The requirement is currently provided in the Procedure of ASX Clear Operating Rule only, adding the same testing requirements to the ASX Settlement Operating Rules and ASX Clear (Futures) Operating Rules will ensure consistent guidance to all participants in those facilities. Also minor corrections to names of ASIC Regulatory Guides and inclusion of italics for the Guidance Note names]</i></p>
<p>Rule 4.14(ac) Group Structure Chart</p>	<p>For the purposes of Rule 4.14(ac), a Clearing Participant must submit its group structure chart as at 30 June each year by the following 31 July. This is to be submitted via email to compliance@asx.com.au. The notification must be lodged via ASX Online.</p> <p><i>[Purpose of amendment: to acknowledge that the notifications are required to be made via ASX Online.]</i></p>

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Australclear Regulations Procedures Determinations and Practice Notes	Amendments
Procedure 10.2	<p>10.2 Other Withdrawal – Mandatory (all Securities)</p> <p>(1) Default or other event affecting Securities</p> <p>...</p> <p>For the purposes of this part of Procedure 10.2:</p> <p>Insolvency Event means, in respect of the Obligor in relation to a Security, any of the following events:</p> <ul style="list-style-type: none"> (A) the Obligor becomes a <u>Chapter 5</u> externally administered body corporate within the meaning of the Corporations Act; (B) a person takes control of the Obligor or any substantial part of its business or property because the Obligor is, or is likely to become, insolvent; (C) the Obligor takes or seeks to take advantage of any bankruptcy, insolvency, reorganisation, moratorium or other similar law of any jurisdiction; or (D) any event occurs in respect of the Obligor which under the laws of any jurisdiction is analogous to any of the events described in paragraph (A), (B) or (C). <p>...</p> <p><i>[Purpose of amendment: to update the reference to “externally administered body corporate” to reflect the new Corporations Act definition also used in the Definitions in the Australclear Regulations.]</i></p>