

ASX Operating Rule Procedure 1401(a)

A Trading Participant must have the resources and processes specified in Procedure 1000(f). For the avoidance of doubt, this includes providing to ASX copies of the written certifications, ~~annual notifications~~ or further certifications that the Trading Participant has provided to ASIC under ASIC Market Integrity Rules 5.6.6, ~~5.6.8B~~ and 5.6.11, and the confirmations that ASIC has provided to the Participant under ASIC Market Integrity Rule 5.6.6, in respect of the Trading Participant's Automated Order Processing system. The copies must be provided to ASX at the same time as they are provided to, or received from, ASIC (as the case may be) although initial certifications provided to ASIC under ASIC Market Integrity Rule 5.6.6 can be provided to ASX upon receipt of the written confirmation from ASIC under ASIC Market Integrity Rule 5.6.6(1)(b)).