

CERTIFICATION AS TO RESOURCES AND PROCESSES



[Insert name] ("Applicant") is applying for admission as a Specialist Settlement Participant in the ASX Settlement facility operated by ASX Settlement Pty Limited.

This certification is provided pursuant to ASX Settlement Operating Rules 4.4.1(g) and 4.18.1 and ASX Settlement Operating Rules Procedure 4.18.1.

The Applicant hereby certifies to ASX Limited and ASX Settlement Pty Limited ("ASX") that it has the resources and processes in place to comply with its obligations in respect of a Specialist Settlement Participant under the relevant ASX Settlement Operating Rules.

In providing this certification, the applicant has had regard to:

- the Operating Rules; and
- ASX Settlement Operating Rules Guidance Note 14 *Specialist Settlement Participants*.

Dated: _____

Signed: _____ (print name and office/capacity underneath the signature line)

Notes:

1. Execution must be by a person or persons authorised to execute this document on behalf of the applicant.
2. For the purposes of this certification, "resources" include financial, technological and human resources and "processes" include management supervision, training, compliance, risk management, business continuity and disaster recovery processes.