



Notification Obligations for Participants

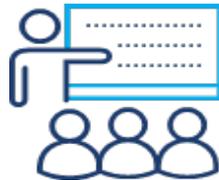
**Participants Compliance
November 2020**

Participant Notifications - Overview

This module has been designed to provide a reminder of the key participant notification obligations across the ASX operating rulebooks and related procedures, as well as the method of providing these notifications to ASX.

This module will cover the obligations under:

- **Guidance Note 8 – Notification Obligations**
- **Guidance Note 9 – Offshoring and Outsourcing**
- **Guidance Note 10 – Business Continuity and Disaster Recovery**
- **Guidance Note 13 – Managing Liquidity Requirements**



ASX Guidance Note 8 – Notification Obligations

- [ASX Operating Rules - GN 8](#)
- [ASX 24 Operating Rules - GN 8](#)
- [ASX Clear \(Futures\) Operating Rules - GN 8](#)
- [ASX Clear Operating Rules - GN 8](#)
- [ASX Settlement Operating Rules - GN 8](#)



ASX Guidance Note 9 – Offshoring and Outsourcing

- [ASX Operating Rules - GN 9](#)
- [ASX 24 Operating Rules - GN 9](#)
- [ASX Clear \(Futures\) Operating Rules - GN 9](#)
- [ASX Clear Operating Rules - GN 9](#)
- [ASX Settlement Operating Rules - GN 9](#)

ASX Guidance Note 10 – Business Continuity and Disaster Recovery

- [ASX Clear \(Futures\) Operating Rules - GN 10](#)
- [ASX Clear Operating Rules – GN 10](#)
- [ASX Settlement Operating Rules - GN10](#)

ASX Guidance Note 13 – Managing Liquidity Requirements

- [ASX Clear Operating Rules – GN 13](#)

Ongoing obligations to inform ASX

Participants have ongoing obligations to inform ASX of changes and specific matters in relation to its business activities as a participant under the relevant ASX operating rules.

It is important that participants notify ASX of these matters within the prescribed time outlined in the relevant ASX operating rules and associated procedures.

This information helps ASX monitor participant compliance with the ASX operating rulebooks and supervise ASX's markets, clearing and settlement facilities.



Guidance Note 8 - Notification Requirements

This slide sets out the general obligations for participants across each of the ASX facilities. Notifications have various timeframes which should be followed. Participants should use ASX's notification functionality 'participant forms' on ASX Online to submit the following notifications:

Immediately	Annually	Within set business days	Upon becoming effective	Other timeframes
Audit of Internal Controls#	ASX 24 NZ Participant Attestation	Auditor Change#	Business Name Change	Agent for Service - Appointment or Resignation
Controller - Change#	Annual Group Structure Chart#	Client Trust Account and Segregated Account Reconciliation#	Business Address Change	AOP - New and Further Certification
Incomplete, Inaccurate or Misleading Information	AOP Annual Notification	Director Change		Capacity to communicate with ASX#*
Legal Proceedings	Managed Fund Settlement Service Annual Certification	Intention to Cease Clearing Market Transaction#		Clearing Agreement or Amendments
Licence or Other Authorisation	OTC Annual Attestation#	Managed Fund Settlement Service Certifications		Direct Participant - Wholly-Owned Group Entity Notification#
Material Change to Business		Reconciliation of Accumulation Account and other Holdings*		Intellectual Property Rights Indemnity#
PI Insurance Claims#		Regulatory Action		Intention to Cease Clearing Market Contract#
Self Reporting - Significant Breach				Overseas Activity (Offshoring)
Transfers to Facilitate Settlement*				

A PDF [list of participant forms](#) that should be submitted to ASX using the participant forms facility on ASX Online can be downloaded using the link.



Clearing Participants only
* Settlement Participants only

Participant Forms within ASX Online

The [ASX Online Participants Forms User Guide](#) is available to help participants navigate through the participant forms facility.

Step 1: To access ASX Online, check that:

- your entity is set up as a participant with ASX;
- you have set up your username and password; and
- your Enterprise Administrator has provided you with permission to edit, submit or view 'Participant Forms'.

i If you do not have an ASX Online username, password or appropriate permissions applied, please contact your Enterprise Administrator or Compliance Manager.

If you do not know who your Enterprise Administrator is, please contact us on 131 ASX (131 279) or via email at ASX.Online@asx.com.au.

Step 2: Go to <https://www.asxonline.com/> and click the “Sign In” button

Step 3: Enter your username and password

Step 4: Access your Participant Portal page where you can review Participant Forms using the link down on the left hand side.

Guidance Note 9, 10 and 13 – Other Notification obligations

GN 9 Offshoring and Outsourcing

Overseas Activity - A participant that proposes to locate any part of its business as a participant outside Australia must give prior notification to ASX. Notification is to be provided via ASX Online Participant Form - Overseas Activity.



Material Change - ASX considers the termination of a material offshoring arrangement and the entry or termination of a material outsourcing arrangement by a participant to be a material change in information concerning its business. A participant must therefore immediately notify ASX if this occurs. Notification is to be provided via ASX Online Participant Form – Material Change.



GN 10 Business Continuity and Disaster Recovery

Disruption or Outage Notification - As soon as reasonably practicable after a participant becomes aware of a disruption that causes the participant to engage its BCP for its ASX Clear, ASX Clear (Futures) and ASX Settlement operations or as soon as it becomes apparent that there is, or is likely to be, a significant outage (regardless of whether it has engaged its BCP). A notification should be made to the relevant teams at ASX (depending on the nature of the disruption or outage) either via phone call or email.

Significant Breach - Participants must notify ASX immediately of any significant breach of, or non-compliance with, the disaster recovery and business continuity requirements in the ASX Clear, ASX Clear (Futures) and ASX Settlement Operating Rules and associated Procedures, via ASX Online Participant Form - Self Reporting including Significant Breach.

Capacity to communicate with ASX - As soon as reasonably practical after it has become aware of any fact or matter or intends to take any action that will or may affect its capacity to communicate reliably with CHES, the Derivatives Clearing System or the Exchange system, including (without limitation) any change to its interface with CHES or the Derivatives Clearing System, via ASX Online Participant Form - Capacity to communicate with ASX.

Nominated Business Continuity Officer - Participants are required to notify ASX within 10 business days of the appointment and any subsequent departure of their nominated business continuity officer and any other primary business continuity contact. Notification can be made by email to: review.team@asx.com.au.

GN 13 Managing Liquidity Requirements

Nominated officer responsible for liquidity management - ASX Clearing Participants must notify ASX of an appointment or any subsequent departure of a nominated officer within 10 business days of the change occurring. Notification can be made by email to: CRAteam@asx.com.au.

Reviewing your arrangements

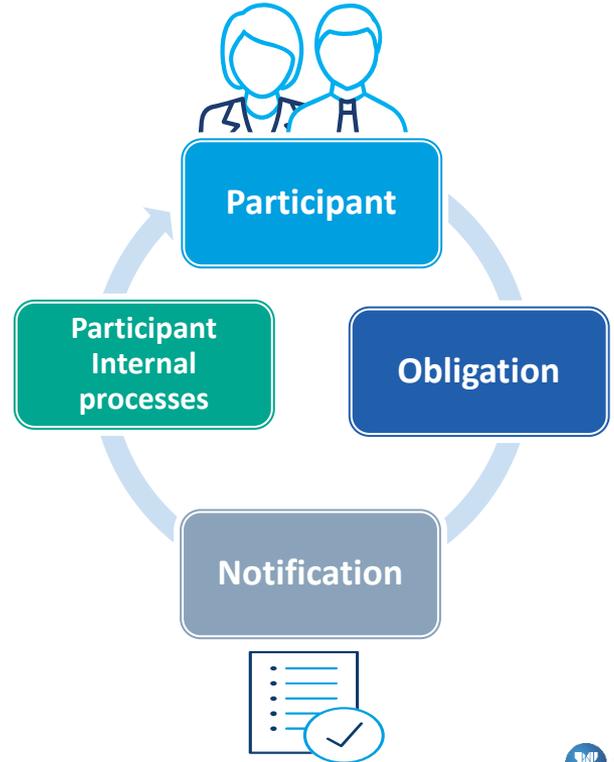


ASX expectations

Do you have appropriate arrangements in place to ensure you can comply with your participant notification obligations?

ASX expects participants to:

- ✓ Monitor ASX Online Enterprise Administrator and User access to ensure all relevant staff are able to provide notifications
- ✓ Deliver training to relevant internal stakeholders on ASX notification requirements
- ✓ Review procedures and processes to ensure applicable participant notification obligations are included
- ✓ Set reminders for time-based notification obligations

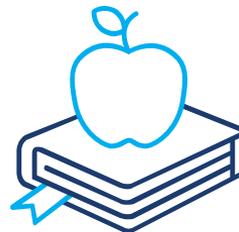


Summary

Meeting participant notification obligations is a key requirement for participants under the ASX operating rules and related procedures across all rule books.

To better understand these requirements, please refer to the relevant ASX operating rule book and Guidance Notes 8, 9, 10 & 13.

If you have any questions in relation to your participants notification obligations please contact your ASX Participants Compliance Adviser or alternatively email:
participants.compliance@asx.com.au.





Disclaimer

This presentation has been prepared to assist participants understand and comply with their notification obligations under the operating rules. This document provides general information only and may be subject to change at any time without notice. ASX Limited (ABN 98 008 624 691) and its related bodies corporate (“ASX”) makes no representation or warranty with respect to the accuracy, reliability or completeness of the information. To the extent permitted by law, ASX and its employees, officers and contractors shall not be liable for any loss or damage arising in any way (including by way of negligence) from or in connection with any information provided or omitted, or from anyone acting or refraining to act in reliance on this information.

© Copyright 2020 ASX Operations Pty Limited ABN 42 004 523 782. All rights reserved 2020.