



BUSINESS ACTIVITIES RETURN

Participant name:		Quarter ending:	
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Introductory Information

This form is a prescribed return under ASX Clear Operating Rule S1.3.1(1). It is to be completed by participants on a quarterly basis.

The information provided will be used by ASX Clear as part of its assessment of the minimum core capital requirement for each participant.

The form seeks information on each participant's own account business and non-ASX client activity. Activities or products for which the participant is licensed but does not currently trade/offer (and has no plans to trade/offer) should not be reported in this return.

Participants have the option to request that their business be automatically deemed material (and hence subject to the additional \$5m core capital requirement) for either or both of these activities, in which case they will not have to provide the required information for that activity/ies.

Sign-off Requirement and Method of Submission

This return must be signed by a director of the participant. It is to be submitted via email to CRAteam@asx.com.au.

A. Own Account (Principal) Business

Examples of what constitutes own account business can be found in the Capital Liquidity Handbook. Guidance on the information required to be reported is provided below.

1. Does the participant undertake any own account (principal) business? Yes/No
If no, proceed to section B.
2. If yes, does the participant wish to have its own account business deemed material? Yes/No
 - If yes, proceed to section B.
 - If no, please complete the tables on the following page, taking into account the guidance and instructions given below.

How to complete the tables

There are three tables to be completed:

1. Principal positions – for each product listed in column 1, please provide:
 - the turnover in A\$ value for the last quarter (ending 31 March, 30 June, 30 September or 31 December as applicable), six months and year;
 - your organisation’s position/risk limit for that product. The limit is as per your organisation’s internal risk management processes. Please ensure you report both the limit amount and a description of the type of limit. Note that ASX Clear’s assessment will be based on the aggregate limit amount across all products and therefore a limit should not be repeated in multiple lines of the table if it applies to multiple products (eg, if a participant has a total limit for debt instruments regardless of whether they are listed or unlisted instruments, the limit should not be duplicated in the listed debt instruments row and the unlisted debt instruments row of the table). The limit should be shown in a single row at the participant’s discretion and a comment should be included in section C of the return to explain the approach the participant has taken; and
 - average limit utilisation over the last quarter.
2. Other principal activity – for each activity listed in column 1, please provide your organisation’s exposure limit for that activity and the number of transactions undertaken during the reporting quarter. For a participant that only does underwriting on a fully sub-underwritten basis (such that at no time does it have any net underwriting exposure), the participant should answer yes to Q1 above and report a nil exposure limit in table 2.
3. Revenue from principal activities – for each product category listed in column 1, please provide the revenue generated in the last quarter, six months and year. Revenue should include dividend and interest income, as well as the realised and unrealised gains/losses on principal positions.

Principal Positions	Turnover Quarterly (Value)	Turnover Half-Yearly (Value)	Turnover Yearly (Value)	Limit (amount and description)	Limit Utilisation
Australian Equities, Derivatives & Debt					
Listed Equities					
Unlisted Equities					
Equities Flexclear (OTC)					
Listed Debt Instruments					
Unlisted Debt Instruments					
Exchange Traded Options					
Futures (including Options over Futures)					
OTC –Cleared A\$ products					
OTC – Non Cleared A\$ products					
Other – please specify					
Non Australian Equities, Derivatives & Debt					
Listed Equities					
Unlisted Equities					
Listed Debt Instruments					
Unlisted Debt Instruments					
Exchange Traded Options					
Futures (including Options over Futures)					
OTC – Cleared non A\$ products					
OTC – Non Cleared non A\$ products					
Other – please specify					
Foreign Exchange					
Spot					
Forward					
Derivatives					
Other – please specify					
Other financial products					
Please specify					

Other Principal Activity	Exposure Limit	Number of Transactions (in the quarter)
Underwriting		
Facilitation		

Revenue from Principal Activities	Revenue Quarterly	Revenue Half-Yearly	Revenue Yearly
Australian Equities, Derivatives & Debt			
Non Australian Equities, Derivatives & Debt			
Foreign Exchange			
Other financial products			
Underwriting & Facilitation			
Total			

B. Non-ASX Client Activity

Examples of what constitutes non-ASX client activity can be found in the Capital Liquidity Handbook. Guidance on the information required to be reported is provided below.

1. Does the participant undertake any non-ASX client activity? Yes/No
If no, proceed to section C.
2. If yes, does the participant wish to have its non-ASX client activity deemed material? Yes/No
 - If yes, proceed to section C.
 - If no, please complete the table on the following page, taking into account the guidance and instructions given below.

How to complete the table

For each product or item listed in column 1 of the table, please provide:

1. the information as requested in column 2. Note that where data is required for the last 12 months this needs to be data for the 12 months up to the end of the quarter which this return is for;
2. YTD revenue (actual) – actual revenue generated for that activity for the participant's **financial year to date**;
3. annual revenue (forecast) – forecast revenue for that activity for the next 12 months; and
4. forecast revenue as % of total forecast revenue – specify what percentage that activity makes up of the participant's total forecast revenue for the next 12 months.

Please note that there are additional guidance notes below the table for some of the products or items listed in column 1.

Non-ASX Client Activity	Information		YTD Revenue (actual)	Annual Revenue (forecast)	Forecast Revenue as % of Total Forecast Revenue
Australian Equities (not cleared by ASX Clear) and International Equities ¹	Number of clients traded for in the last 12 months				
	Number of transactions in the last 12 months				
	Value of transactions in the last 12 months				
	Exchanges traded upon				
Australian Exchange Traded Derivatives (not cleared by ASX Clear or ASX Clear (Futures)) and International Exchange Traded Derivatives ¹	Number of clients traded for in the last 12 months				
	Number of transactions in the last 12 months				
	Value of transactions in the last 12 months				
	Exchanges traded upon				
Foreign Exchange	Number of clients traded for in the last 12 months				
	Number of transactions in the last 12 months				
	Value of transactions in the last 12 months				
Debt Instruments ²	Number of clients traded for in the last 12 months				
	Number of transactions in the last 12 months				
	Value of transactions in the last 12 months				
OTC Derivatives (not cleared by ASX Clear or ASX Clear (Futures))	Number of clients traded for in the last 12 months				
	Number of transactions in the last 12 months				
	Value of transactions in the last 12 months				
Stock Lending ³	Source of stock (client vs. principal)				
	Number of clients (if source is client)				
	Number of transactions in the last 12 months				
	Value of transactions in the last 12 months				
Margin Lending ⁴	Number of clients				
	Size of loan portfolio				
	Loan to valuation ratio (Number of LVRs>90%)				
Credit Facilities Provided by Participant	Number of clients				
	Total limit of facilities granted				
	Total utilisation of facilities granted				
Other – please specify					

¹ International equities and exchange traded derivatives only need to be reported if the participant is an intermediary between its clients and the international broker and has exposure to both entities. Introducing broker type arrangements whereby the client is a direct client of the international broker do not need to be reported.

² This would include off market purchases of bonds on behalf of a client, off market transactions in discount securities such as bank bills and placing client funds in a cash management trust.

³ Only needs to be reported where the participant is the stock lender.

⁴ Only needs to be reported where the participant is the margin lender.

C. Comments (optional)

Please use this space to provide any additional comments in relation to this return, including details of any new activities being planned.

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D. Director's Sign-off

I certify that the information presented in this return is, to the best of my knowledge and belief, true and correct.

Director's name:	
Director's signature:	
Date:	