



ASIC

Australian Securities & Investments Commission

ASIC Market Integrity Rules (ASX 24 Market) 2010

Volume 2

This compilation was prepared on 8 May 2013 taking into account amendments up to *ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No. 1)*. See the Notes at the end of these Rules.

Volume 1 contains Chapters 1 to 7.

Volume 2 contains the Schedule (Forms 1 to 8) and the Notes.

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Schedule

Form 1 Part 1

DIRECTORS' DECLARATION

CLIENT FUNDS

As directors of[entity name] ("the Participant"), we are responsible for maintaining an effective internal control structure, including establishing and maintaining accounting records and effective internal controls designed to ensure compliance with the requirements of Rule 2.2.6 of the *ASIC Market Integrity Rules (ASX 24 Market) 2010* in relation to clients' segregated accounts.

In carrying out this responsibility, we have had regard to the interests of the clients and owners of the Participant, and to the general effectiveness and efficiency of the operations of the Participant.

In the opinion of the directors, the Participant maintained, in all material respects, during the[insert number] month period ended[insert date] suitably designed and effective internal controls to comply with the requirements of Rule 2.2.6 of the *ASIC Market Integrity Rules (ASX 24 Market) 2010* in relation to clients' segregated accounts.

.....

Authorised in accordance with Rule 2.3.5(2)

.....

Name

.....

Date

.....

Authorised in accordance with Rule 2.3.5(2)

.....

Name

.....

Date

Form 1 Part 2

Annual Statement of Client Funds

Auditor's Report

We have audited the accounting records and internal control policies and procedures ("internal controls") of[Entity Name] (the "Participant") designed to ensure compliance with the requirements of Rule 2.2.6 of the *ASIC Market Integrity Rules (ASX 24 Market) 2010* ("ASX 24 Rules") in relation to clients' segregated accounts (the "Clients' Segregated Accounts Rules") in order to express an opinion about their effectiveness for the period/year ended[date] ("the Financial Year").

The directors of the Participant are responsible for maintaining an effective internal control structure, including establishing and maintaining accounting records and effective internal controls designed to ensure compliance with the requirements of the Clients' Segregated Accounts Rules. We have conducted an independent audit of the internal controls designed to ensure compliance with the requirements of the Clients' Segregated Accounts Rules in order to express an opinion on them to the directors of the Participant for the Financial Year ended.....[insert date].

Our audit has been conducted in accordance with Australian Auditing Standards and accordingly included such tests and procedures as we considered necessary in the circumstances. Our procedures included examination, on a test basis, of evidence supporting the Participant's accounting records and operation of its internal controls in relation to compliance with the requirements of the Clients' Segregated Accounts Rules. These procedures have been undertaken to form an opinion whether in all material aspects, the Participant maintained suitably designed and effective internal controls to ensure compliance with the requirements of the Clients' Segregated Accounts Rules for the Financial Year.

This report has been prepared for the Participant in order to meet its obligations to give this report to ASIC in accordance with Rule 2.3.5(1)(b) of the ASX 24 Rules. We disclaim any assumption of responsibility for reliance on this report to any person other than the Participant and ASIC, or for any purpose other than that for which it was prepared.

Inherent Limitations

Because of the inherent limitations of any internal control structure it is possible that fraud, errors or non-compliance with laws and regulations may occur and not be detected. Further, the overall internal control structure, within which the internal controls designed to ensure compliance with the requirements of the Clients' Segregated Accounts Rules operate, has not been audited, and no opinion is expressed as to its effectiveness.

An audit is not designed to detect all weaknesses in internal controls or all instances of noncompliance with the requirements of the Clients' Segregated Accounts Rules as it is not performed continuously throughout the period/year and the tests performed over the internal controls are on a sample basis having regard to the nature and size of the Participant.

Any projection of the evaluation of internal controls to future periods is subject to the risk that the internal controls may become inadequate because of changes in conditions, or that the degree of compliance with them may deteriorate.

The audit opinion expressed in this report has been formed on the above basis.

[Qualified] Auditor's Opinion

In our opinion, [except for the matters referred to in the qualification below,] the Participant maintained, in all material respects during the Financial Year, suitably designed and effective internal controls to comply with the requirements of the Clients' Segregated Accounts Rules

Qualification (if applicable)

Name of Audit Firm

Director's/Partner's Signature

Name of /Director/Partner

Address of Audit Firm

Date

Form 2

Annual Audited NTA Return

Return Details

Participant Type:

Participant Sub-Type:

Return Status:

Version:

Lodgement Date:

Original Lodgement Date:

Return Date:

Annual Audited NTA Return

Return Date:

NTA Return Details

NTA

Statement of Net Tangible Assets

	Note	Current Period	Prior Period	Movement \$	Movement %
Current Assets	1				
<i>less</i> Current Liabilities	2				
Net Current Assets (working Capital)					
Non Current Assets	3				
<i>less</i> Non Current Liabilities	4				
Net Assets					
Shareholder's Equity funded by:					
Equity	5				
Reserves & Retained earnings	6				
Approved Subordinated Debt	7				
Total Shareholder's Equity					
<i>less</i> Excluded/Intangible Assets	3f				
Net Tangible Assets					
Contingent Liabilities	8				
Lease Commitments	9				
Capital Commitments	10				
Net Standby Credit Facilities	11				
Foreign Exchange Exposure	12				

Annual Audited NTA Return

Return Date:

CAS

Current Assets

Current Assets – Note 1

	Current Period	Prior Period	Movement \$	Movement %
Total Current Assets				

Annual Audited NTA Return

Return Date:

CAS-REC

Receivables

Current Assets: Receivables – Note 1(a)

	Current Period		Prior Period		Movement \$	Movement %
Futures Clients						
<i>less</i> provision for doubtful debts	=		=			
Other Clients						
<i>less</i> provision for doubtful debts	=		=			
Dealers						
<i>less</i> provision for doubtful debts	=		=			
Other Receivables						
<i>less</i> provision for doubtful debts	=		=			
Sub Total						

Annual Audited NTA Return

Return Date:

CAS-CSH

Cash

Current Assets: Cash-Note 1(b)

	Current Period	Prior Period	Movement \$	Movement %
Cash at Bank (general accounts)				
Clients' Segregated Account at Bank				
Trust Account at Bank				
Cash on Hand				
Sub Total				

Annual Audited NTA Return

Return Date:

CAS-DEP

Deposits

Current Assets: Deposits – Note1(c)				
	Current Period	Prior Period	Movement \$	Movement %
Deposits with ASX Clear - Client Account				
Deposits with ASX Clear - House Account				
Deposits with ASX Clear (Futures) - Client Account				
Deposits with ASX Clear (Futures) – House Account				
Deposits with ASX Clear Participant				
Deposits with ASX Clear (Futures) Participant(s) - Client				
Deposits with ASX Clear (Futures) Participant(s) - House				
Deposits with ASX Participant				
Deposits with ASX 24 Participant(s) – Client				
Deposits with ASX 24 Participant(s) - House				
Deposits with Overseas Brokers - Client				
Deposits with Overseas Brokers - House				
Client funds invested in accordance with legislation				
Deposits with a stock exchange				
Other (Provide details)				
Sub Total				

Annual Audited NTA Return

Return Date:

CAS-REL

Company Related

Current Assets: Related/Associated Company Receivables - Note 1(d)

	Current Period	Prior Period	Movement \$	Movement %
Deposits (provide names of related parties)				
Loans (maturing within 12 months) (provide names of related parties)				
Receivables (provide names of related parties)				
Other (provide details)				
Sub Total				

Annual Audited NTA Return

Return Date:

CAS-OTH

Other Current Assets

Current Assets: Other - Note 1(e)

	Current Period	Prior Period	Movement \$	Movement %
Listed Securities (at stated value)				
At market value				
At cost value				
At other value (provide details)				
Investment in subsidiaries				
Investment in associated Companies				
Bills of Exchange				
Government & semi-Government Securities				
Prepayments				
Loans to Directors				
Other (provide details)				
Sub Total				

Annual Audited NTA Return

Return Date:

CLB

Current Liabilities

Current Liabilities: Total - Note 2

	Current Period	Prior Period	Movement \$	Movement %
Total Current Liabilities				

Annual Audited NTA Return

Return Date:

CLB-TOP

Section Name

Current Liabilities: Trade & other Payables - Note 2(a)

	Current Period	Prior Period	Movement \$	Movement %
Futures Clients - External				
Futures Clients - Related/Associated				
Other Clients				
Dealers				
Lease Liability				
Sundry Payables				
Other (provide details)				
Sub Total				

Annual Audited NTA Return

Return Date:

Short Term Borrowings

CLB-STB

Current Liabilities: Short Term Borrowings - Note 2(b)

	Current Period	Prior Period	Movement \$	Movement %
Bank Overdraft (provide lender names)				
Bank Loans (provide lender names)				
At call (provide lender names)				
Other (provide details)				
Sub Total				

Annual Audited NTA Return

Return Date:

Related / Associated Company Payables

CLB-REL

Current Liabilities: Related/Associated Company Payables - Note 2(c)

	Current Period	Prior Period	Movement \$	Movement %
Loans (due within 12 months) (provide names of related parties)				
Payables (provide names of related parties)				
Other (provide details)				
Sub Total				

Annual Audited NTA Return

Return Date:

Other Current Liabilities

CLB-OTH

Current Liabilities: Other - Note 2(d)

	Current Period	Prior Period	Movement \$	Movement %
Provision for Income Tax				
Provision for Dividend				
Provision for Annual Leave				
Provision for long Service Leave				
Sundry Provisions				
Sundry Accruals				
Other (provide details)				
Sub Total				

Annual Audited NTA Return

Return Date:

Non Current Assets

NCA

Non Current Assets: Total - Note 3

	Current Period	Prior Period	Movement \$	Movement %
Total Non-Current Assets				

Annual Audited NTA Return

Return Date:

Property, Plant & Equipment

NCA - PPE

Non-Current Assets: Property, Plant & Equipment - Note 3(a)

	Current Period		Prior Period		Movement \$	Movement %
Land & Buildings – at fair value/cost						
<i>less accumulated depreciation</i>	=		=			
Leasehold Improvement - at fair value/cost						
<i>less accumulated depreciation</i>	=		=			
Plant, Vehicles, fixtures & fittings						
<i>less accumulated depreciation</i>	=		=			
Other (provide details)						
Sub Total						

Annual Audited NTA Return

Return Date:

NCA - FAS

Financial Assets

Non-Current Assets: Financial Assets - Note 3(b)

	Current Period	Prior Period	Movement \$	Movement %
Government & semi-Government Securities				
Listed Securities (at stated value)				
At market value				
At cost value				
At other value (provide details)				
Investment in subsidiaries				
Investment in associated Companies				
Other (provide details)				
Sub Total				

Annual Audited NTA Return

Return Date:

Loans & Deposits

NCA - LAD

Non-Current Assets: Loans & Deposits - Note 3(c)

	Current Period	Prior Period	Movement \$	Movement %
Due between 1-2 years (provide names of parties loan/deposit held with)				
Due after 2 years (provide names of parties loan/deposit held with)				
Sub Total				

Annual Audited NTA Return

Return Date:

NCA - REL

Related / Associated company Receivables

Non-Current Assets: Related/Associated Company Receivables - Note 3(d)

	Current Period	Prior Period	Movement \$	Movement %
Deposits (provide names of related parties)				
Loans (provide names of related parties)				
Receivables (provide names of related parties)				
Other (provide details)				
Sub Total				

Annual Audited NTA Return

Return Date:

Other Non Current Assets

NCA - OTH

Non-Current Assets: Other - Note 3(e)

	Current Period	Prior Period	Movement \$	Movement %
Prepayments				
Loans to Directors				
Other (provide details)				
Sub Total				

Annual Audited NTA Return

Return Date:

Excluded / Intangible Assets

NCA - EIA

Non-Current Assets: Excluded/Intangible Assets - Note 3(f)

	Current Period	Prior Period	Movement \$	Movement %
Formation Costs				
Goodwill				
Patents, Trademarks & Preliminary Expenses				
Deferred Tax Assets				
Participant Rights / Access Membership to:				
ASX 24				
ASX				
ASX Clear (Futures)				
ASX Clear				
Other Exchanges / Clearing Houses (provide details)				
Unlisted Securities (provide details)				
ASX Clear Participant commitment				
ASX Clear (Futures) Participant commitment (cash only)				
Other commitments (provide details)				
Sub Total				

Annual Audited NTA Return

Return Date:

Non Current Liabilities

NCL

Non-Current Liabilities - Note 4

	Current Period	Prior Period	Movement \$	Movement %
Total Non-Current Liabilities				

Annual Audited NTA Return

Return Date:

Long Term Borrowings

NCL - LTB

Non-Current Liabilities: Long Term Borrowings - Note 4(a)

	Current Period	Prior Period	Movement \$	Movement %
Bank Loans (provide names of lenders)				
Other Loans (provide names of lenders)				
Subordinated Loans (provide names of lenders)				
Sub Total				

Annual Audited NTA Return

Return Date:

Related/Associated Company Payables

NCL - REL

Non-Current Liabilities: Related/Associated Company Payables - Note 4(b)

	Current Period	Prior Period	Movement \$	Movement %
Loans (provide names of related parties)				
Payables (provide names of related parties)				
Other (provide details)				
Sub Total				

Annual Audited NTA Return

Return Date:

Other Non Current Liabilities

NCL - OTH

Non-Current Liabilities: Other - Note 4(c)

	Current Period	Prior Period	Movement \$	Movement %
Provision for Income Tax				
Provision for Long Service Leave				
Provision for Dividend				
Deferred Taxation Liability				
Lease Liability				
Other Payables				
Other Accruals & Sundry Provisions				
Other (provide details)				
Sub Total				

Annual Audited NTA Return

Return Date:

EQY

Equity

Equity - Note 5

	Current Period	Prior Period	Movement \$	Movement %
Voting Shares				
Non-Voting Shares				
Other (provide details)				
TOTAL				

Annual Audited NTA Return

Return Date:

Reserves & Retained Earnings

RRE

Reserves & Retained Earnings - Note 6

	Current Period	Prior Period	Movement \$	Movement %
Accumulated Profits/ (Losses) at beginning of month				
Profit/ (Loss) from Futures of Operations for the month				
Profit/ (Loss) from Rest of Operations for the month				
Accumulated Profits/ (Losses) at end of month				
Adjustment to Retained Earnings - Increases (provide details)				
Adjustment to Retained Earnings - Decreases (provide details)				
Other Revenue Reserves				
Capital Reserves				
Dividend				
Other (provide details)				
Total				

Annual Audited NTA Return

Return Date:

ASO

Approved Subordinated Debt

Approved Subordinated Debt - Note 7

Lender	Maturity	Facility Limit	Current Period	Prior Period	Movement \$	Movement %
Total						

Annual Audited NTA Return

Return Date:

CGL

Contingent Liabilities

Contingent Liabilities - Note 8

	Current Period	Prior Period	Movement \$	Movement %
Guarantees (provide details)				
Other (provide details)				
TOTAL				

Annual Audited NTA Return

Return Date:

Lease Commitments

LCM

Lease Commitments - Note 9

	Current Period	Prior Period	Movement \$	Movement %
Operating Leases (provide details)				
TOTAL				

Annual Audited NTA Return

Return Date:

CEC - Capital Expenditure Commitments

CEC

Capital Expenditure Commitments - Note 10

	Current Period	Prior Period	Movement \$	Movement %
0				
TOTAL				

Annual Audited NTA Return

Return Date:

Standby Credit Facilities

SCF

Standby Credit Facilities - Note 11

			Limit Amount	
Type	Provider/Participant Name	Terms & Availability	Current Period	Prior Period
Granted in favour of the Participant				
Sub Total				
Granted by the Participant in favour of another				
Sub Total				
Total				

Annual Audited NTA Return

Return Date:

Foreign Exchange Exposure

FEE

Foreign Exchange Exposure - Note 12

	Current Period	Prior Period	Movement \$	Movement %
Net Gain/Loss				

Form 3 Part 1

Net Tangible Asset Return (NTA Return)

Director's Declaration DRD

Return Date:

DIRECTORS' STATEMENT TO AUSTRALIAN SECURITIES & INVESTMENTS COMMISSION (ASIC) AND/OR ASX CLEAR (FUTURES) PTY LIMITED

STATEMENT OF NET TANGIBLE ASSETS

This Return as athas been prepared pursuant to the ASIC Market Integrity Rules (ASX 24 Market) 2010 or ASX Clear (Futures) Operating Rules (as applicable) from accounting records and other records maintained by(the "Participant").

These accounting and other records have been properly and accurately maintained throughout the..... month(s) ended ("the Reporting Period") and form an appropriate basis upon which to assess and regularly review the financial stability of the Participant. The statements have been prepared on a going concern basis.

The Net Tangible Assets of the Participant have been maintained in accordance with the ASIC Market Integrity Rules (ASX 24 Market) 2010 and/or ASX Clear (Futures) Operating Rules (as applicable) throughout the Reporting Period. The calculation provided by the Participant to ASIC or ASX Clear (Futures) (as applicable) is an accurate reflection of the Participant's Net Tangible Asset position as at

In our opinion:-

- (a) as at the date of this statement and having regard to the nature of the Participant's business and the associated risk, no events have occurred, or are anticipated, which, may result in a material deterioration in the financial position of the Participant;
- (b) as at the date of this statement, the Participant confirms the attached financial information provided to ASIC or ASX Clear (Futures) (as applicable) accurately reflects the Participant's Net Tangible Asset position having regards to the ASIC Market Integrity Rules (ASX 24 Market) 2010 and/or ASX Clear (Futures) Operating Rules (as applicable);
- (c) the internal controls for processing and monitoring the transactions were adequate throughout the Reporting Period and proper segregation of duties existed;
- (d) the internal procedures designed to ensure compliance with all the conditions or restrictions imposed by ASIC or ASX Clear (Futures) (as applicable) applicable to the Participant are adequate;
and

(e) there are reasonable grounds to believe that the Participant will be able to meet its obligations as and when they fall due based on the following sources of liquid funds

We are aware that a false declaration may result in disciplinary action being taken against the Participant. We certify that the above information is to the best of our knowledge and belief true and correct.

Financial Return Authorisation

Sole Director Company:	
Board Resolution Date	
Authorisation 1	
Authorisation Date 1	
Authorisation 2	
Authorisation Date 2	

Form 3 Part 2

DIRECTORS' DECLARATION

ANNUAL STATEMENT OF NET TANGIBLE ASSETS

As directors of[entity name] ("the Participant"), we are responsible for maintaining an effective internal control structure, including establishing and maintaining accounting records and effective internal controls designed to ensure compliance with the net tangible asset rules in Chapter 5 of the *ASIC Market Integrity Rules (ASX 24 Market) 2010*.

In carrying out this responsibility, we have had regard to the interests of the clients and owners of the Participant, and to the general effectiveness and efficiency of the operations of the Participant.

In the opinion of the directors, the Participant maintained, in all material respects, during the[insert number] month period ended[insert date] suitably designed and effective internal controls to comply with the requirements of Chapter 5 of the *ASIC Market Integrity Rules (ASX 24 Market) 2010* in relation to the maintenance of net tangible assets.

.....

Authorised in accordance with Rule 6.2.1(7)

.....

Name

.....

Date

.....

Authorised in accordance with Rule 6.2.1(7)

.....

Name

.....

Date

Form 4 Part 1

Auditor's Report on the Net Tangible Asset Rules

Independent Auditor's Report To the Directors

We have audited the accounting records and internal control policies and procedures ("internal controls") of[Entity Name] (the "Participant") designed to ensure compliance with the Chapter 5 of the ASIC Market Integrity Rules (ASX 24 Market) 2001 (ASX 24 Rules) in relation to the maintenance of net tangible assets (the "Net Tangible Assets Rules") in order to express an opinion about their effectiveness for the period/year ended[date] (Financial Year).

The directors of the Participant are responsible for maintaining an effective internal control structure, including establishing and maintaining accounting records and effective internal controls designed to ensure compliance with the requirements of the Net Tangible Assets Rules. We have conducted an independent audit of the internal controls designed to ensure compliance with the requirements of the Net Tangible Assets Rules in order to express an opinion on them to the directors of the Participant for the Financial Year.

Our audit has been conducted in accordance with Australian Auditing Standards and accordingly included such tests and procedures as we considered necessary in the circumstances. Our procedures included examination, on a test basis, of evidence supporting the Participant's accounting records and operation of its internal controls in relation to compliance with the requirements of the Net Tangible Assets Rules. These procedures have been undertaken to form an opinion whether in all material aspects, the Participant maintained suitably designed and effective internal controls to ensure compliance with the requirements of the Net Tangible Assets Rules for the Financial Year.

This report has been prepared for the Participant in order to meet its obligations to give this report to ASIC in accordance with the ASX 24 Rules. We disclaim any assumption of responsibility for reliance on this report to any person other than the Participant and ASIC or for any purpose other than that for which it was prepared.

Inherent Limitations

Because of the inherent limitations of any internal control structure it is possible that fraud, errors or non-compliance with laws and regulations may occur and not be detected. Further, the overall internal control structure, within which the internal controls designed to ensure compliance with the requirements of the Net Tangible Assets Rules operate, has not been audited, and no opinion is expressed as to its effectiveness.

An audit is not designed to detect all weaknesses in internal controls or all instances of noncompliance with the requirements of the Net Tangible Assets Rules as it is not performed continuously throughout the period/year and the tests performed over the internal controls are on a sample basis having regard to the nature and size of the Participant.

Any projection of the evaluation of internal controls to future periods is subject to the risk that the internal controls may become inadequate because of changes in conditions, or that the degree of compliance with them may deteriorate.

The audit opinion expressed in this report has been formed on the above basis.

Auditor's Opinion

In our opinion, [except for the matters referred to in the qualification below] the Participant maintained, in all material respects, during the Financial Year suitably designed and effective internal controls to comply with the requirements of Chapter 5 of the ASX 24 Rules in relation to the maintenance of net tangible assets.

Qualification (if applicable)

Name of Audit Firm

Director's/ Partner's Signature

Name of /Director/Partner

Address of Audit Firm

Date

Form 4 Part 2

Auditor's Report on NTA Return

Independent Auditors Report to the Directors

We have audited the financial information set out in the Audited NTA Return ('Return') of(the 'Participant') excluding the Directors Statement Relating to Accounts of the Participant and "Prior Period" balances as shown in the Audited NTA Return (the "Return") of the Participant for the Financial Year ended[date] (Financial Year).

The Responsibility of the Directors for the Return

The directors of the Participant are responsible for the preparation and fair presentation of the financial information set out in the Return in accordance with the requirements of the ASIC Market Integrity Rules (ASX 24 Market) 2010 (ASX 24 Rules). This responsibility includes establishing and maintaining internal controls relevant to the preparation and fair presentation of the financial information set out in the Return to ensure that the Return is free from material misstatement, whether due to fraud or error; selecting and applying appropriate accounting policies; and making accounting estimates that are reasonable in the circumstances.

Auditor's Responsibility

Our responsibility is to express an opinion on the financial information set out in the Return based on our audit. We conducted our audit in accordance with Australian Auditing Standards. These Auditing Standards require that we comply with relevant ethical requirements relating to audit engagements and plan and perform the audit to obtain reasonable assurance, whether the financial information set out in the attached Return, is free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures of the financial information set out in the Return. The procedures selected depend on the auditor's judgement, including the assessment of the risks of material misstatement of the financial information set out in the Return whether due to fraud or error. In making those risk assessments, the auditor considers internal controls relevant to the Participant's preparation and fair presentation of the financial information set out in the Return in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Participant's internal controls. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by the directors of the Participant, as well as evaluating the overall presentation of the financial information set out in the Return.

The Return has been prepared in accordance with Rule 6.2.1 of the ASX 24 Rules. The Return may not be suitable for another purpose. Our report is intended solely for the Participant and ASIC and should not be distributed to or used by parties other than the Participant and ASIC.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

INDEPENDENCE

In conducting our audit, we have complied with the independence requirements of APES 110: Code of Ethics for Professional Accountants.

AUDITOR'S OPINION

In our opinion, [except for the matters referred to in the qualification below], the Return of the Participant for the Financial Year presents fairly, in all material respects, the financial information of the Participant for the Financial Year as required by ASIC in accordance with the ASX 24 Rules that are relevant to the preparation and presentation of the Return.

QUALIFICATION (IF APPLICABLE)

Name of Audit Firm

Director's/ Partner's Signature

Name of /Director/Partner

Address of Audit Firm

Date

Form 5

Monthly Net Tangible Asset Return

Return Date:

Return Details

Participant Type:

Participant Sub-Type:

Return Status:

Version:

Lodgement Date:

Original Lodgement Date:

Net Tangible Asset Return

Return Date:

NTA Return Details

NTA

Statement of Net Tangible Assets

	Note	Current Period	Prior Period	Movement \$	Movement %
Current Assets	1				
<i>less</i> Current Liabilities	2				
Net Current Assets (working capital)					
Non Current Assets	3				
<i>less</i> Non Current Liabilities	4				
Net Assets					
Shareholders Equity funded by:					
Equity	5				
Reserves & Retained earnings	6				
Approved Subordinated Debt	7				
Total Shareholder's Equity					
<i>less</i> Excluded/Intangible Assets	3f				
Net Tangible Assets					
Contingent Liabilities	8				
Lease Commitments	9				
Capital Commitments	10				
Net Standby Credit Facilities	11				
Foreign Exchange Exposure	12				

Net Tangible Asset Return

Return Date:

CAS

Current Assets

Current Assets - Note 1

	Current Period	Prior Period	Movement \$	Movement %
Total Current Assets				

Net Tangible Asset Return

Return Date:

CAS - REC

Receivables

Current Assets: Receivables - Note 1(a)

	Current Period		Prior Period		Movement \$	Movement %
Futures Clients						
<i>less provision for doubtful debts</i>	=		=			
Other Clients						
<i>less provision for doubtful debts</i>	=		=			
Dealers						
<i>less provision for doubtful debts</i>	=		=			
Other Receivables						
<i>less provision for doubtful debts</i>	=		=			
Sub Total						

Net Tangible Asset Return

Return Date:

Cash

CAS - CSH

Current Assets: Cash - Note 1(b)

	Current Period	Prior Period	Movement \$	Movement %
Cash at Bank (general accounts)				
Clients' Segregated Account at Bank				
Trust Account at Bank				
Cash on Hand				
Sub Total				

Net Tangible Asset Return

Return Date:

Deposits

CAS - DEP

Current Assets: Deposits - Note 1(c)

	Current Period	Prior Period	Movement \$	Movement %
Deposits with ASX Clear - Client Account				
Deposits with ASX Clear - House Account				
Deposits with ASX Clear (Futures) - Client Account				
Deposits with ASX Clear (Futures) - House Account				
Deposits with ASX Clear Participant				
Deposits with ASX Clear (Futures) Participant(s) - Client				
Deposits with ASX Clear (Futures) Participant(s) - House				
Deposits with ASX Participant				
Deposits with ASX 24 Participant(s) - Client				
Deposits with ASX 24 Participant(s) - House				
Deposits with Overseas Brokers – Client				
Deposits with Overseas Brokers – House				
Client funds invested in accordance with legislation				
Deposits with stock exchange				
Other (provide details)				
Sub Total				

Net Tangible Asset Return

Return Date:

Company Related

CAS - REL

Current Assets: Related/Associated Company Receivables - Note 1(d)

	Current Period	Prior Period	Movement \$	Movement %
Deposits (provide names of related parties)				
Loans (maturing within 12 months) (provide names of related parties)				
Receivables (provide names of related parties)				
Other (provide details)				
Sub Total				

Net Tangible Asset Return

Return Date:

Other Current Assets

CAS - OTH

Current Assets: Other - Note 1(e)

	Current Period	Prior Period	Movement \$	Movement %
Listed Securities (at stated value)				
At market value				
At cost value				
At other value (provide details)				
Investment in subsidiaries				
Investment in associated Companies				
Bills of Exchange				
Government & semi-Government Securities				
Prepayments				
Loans to Directors				
Other (provide details)				
Sub Total				

Net Tangible Asset Return

Return Date:

Current Liabilities

CLB

Current Liabilities: Total – Note 2

	Current Period	Prior Period	Movement \$	Movement %
Total Current Liabilities				

Net Tangible Asset Return

Return Date:

Section Name

CLB - TOP

Current Liabilities: Trade & other Payables - Note 2(a)

	Current Period	Prior Period	Movement \$	Movement %
Futures Clients – External				
Futures Clients – Related/Associated				
Other Clients				
Dealers				
Lease Liability				
Sundry Payables				
Other (provide details)				
Sub Total				

Net Tangible Asset Return

Return Date:

Short Term Borrowings

CLB - STB

Current Liabilities: Short Term Borrowings - Note 2(b)

	Current Period	Prior Period	Movement \$	Movement %
Bank Overdraft (provide lender names)				
Bank Loans (provide lender names)				
At call (provide lender names)				
Other (provide details)				
Sub Total				

Net Tangible Asset Return

Return Date:

CLB - REL

Related / Associated Company Payables

Current Liabilities: Related/Associated Company Payables - Note 2(c)

	Current Period	Prior Period	Movement \$	Movement %
Loans (due within 12 months) (provide names of related parties)				
Payables (provide names of related parties)				
Other (provide details)				
Sub Total				

Net Tangible Asset Return

Return Date:

CLB - OTH

Other Current Liabilities

Current Liabilities: Other - Note 2(d)

	Current Period	Prior Period	Movement \$	Movement %
Provision for Income Tax				
Provision for Dividend				
Provision for Annual Leave				
Provision for long Service Leave				
Sundry Provisions				
Sundry Accruals				
Other (provide details)				
Sub Total				

Net Tangible Asset Return

Return Date:

Non Current Assets

NCA

Non-Current Assets: Total - Note 3

	Current Period	Prior Period	Movement \$	Movement %
Total Non-Current Assets				

Net Tangible Asset Return

Return Date:

Property, Plant & Equipment

NCA - PPE

Non-Current Assets: Property, Plant & Equipment - Note 3(a)

	Current Period		Prior Period		Movement \$	Movement %
Land and Buildings – at fair value / cost						
<i>less</i> accumulated depreciation	=		=			
Leasehold Improvement - at fair value / cost						
<i>less</i> accumulated depreciation	=		=			
Plant, vehicles, fixtures & fittings						
<i>less</i> accumulated depreciation	=		=			
Other (provide details)						
Sub Total						

Net Tangible Asset Return

Return Date:

Financial Assets

NCA-FAS

Non-Current Assets: Financial Assets - Note 3(b)

	Current Period	Prior Period	Movement \$	Movement %
Government & semi-Government Securities				
Listed Securities (at stated value)				
At market value				
At cost value				
At other value (provide details)				
Investment in subsidiaries				
Investment in associated Companies				
Other (provide details)				
Sub Total				

Net Tangible Asset Return

Return Date:

Loans & Deposits

NCA-LAD

On-Current Assets: Loans & Deposits - Note 3(c)

	Current Period	Prior Period	Movement \$	Movement %
Due between 1-2 years (provide names of parties loan/deposit held with)				
Due after 2 years (provide names of parties loan/deposit held with)				
Sub Total				

Net Tangible Asset Return

Return Date:

Related / Associated company Receivables

NCA-REL

Non-Current Assets: Related/Associated Company Receivables - Note 3(d)

	Current Period	Prior Period	Movement \$	Movement %
Deposits (provide names of related parties)				
Loans (provide names of related parties)				
Receivables (provide names of related parties)				
Other (provide details)				
Sub Total				

Net Tangible Asset Return

Return Date:

NCA-OTH

Other Non Current Assets

Non-Current Assets: Other - Note 3(e)

	Current Period	Prior Period	Movement \$	Movement %
Prepayments				
Loans to Directors				
Other (provide details)				
Sub Total				

Net Tangible Asset Return

Return Date:

Excluded / Intangible Assets

NCA-EIA

Non-Current Assets: Excluded/Intangible Assets - Note 3(f)

	Current Period	Prior Period	Movement \$	Movement %
Formation Costs				
Goodwill				
Patents, Trademarks & Preliminary Expenses				
Deferred Tax Assets				
Participant Rights / Access to Membership to:				
ASX 24				
ASX				
ASX Clear (Futures)				
ASX Clear				
Other Exchanges / Clearing Houses (provide details)				
Unlisted Securities (provide details)				
ASX Clear Participant commitment				
ASX Clear (Futures) Participant commitment (cash only)				
Other commitments (provide details)				
Sub Total				

Net Tangible Asset Return

Return Date:

NCL

Non Current Liabilities

Non-Current Liabilities - Note 4

	Current Period	Prior Period	Movement \$	Movement %
Total Non-Current Liabilities				

Net Tangible Asset Return

Return Date:

Long Term Borrowings

NCL-LTB

Non-Current Liabilities: Long Term Borrowings - Note 4(a)

	Current Period	Prior Period	Movement \$	Movement %
Bank Loans (provide names of lenders)				
Other Loans (provide names of lenders)				
Subordinated Loans (provide names of lenders)				
Sub Total				

Net Tangible Asset Return

Return Date:

Related/Associated Company Payables

NCL-REL

Non-Current Liabilities: Related/Associated Company Payables - Note 4(b)

	Current Period	Prior Period	Movement \$	Movement %
Loans (provide names of related parties)				
Payables (provide names of related parties)				
Other (provide details)				
Sub Total				

Net Tangible Asset Return

Return Date:

NCL-OTH

Other Non Current Liabilities

Non-Current Liabilities: Other – Note 4(c)

	Current Period	Prior Period	Movement \$	Movement %
Provision for Income Tax				
Provision for Long Service Leave				
Provision for Dividend				
Deferred Taxation Liability				
Lease Liability				
Other Payables				
Other Accruals & Sundry Provisions				
Other (provide details)				
Sub Total				

Net Tangible Asset Return

Return Date:

Equity

EQY

Equity – Note 5

	Current Period	Prior Period	Movement \$	Movement %
Voting Shares				
Non-Voting Shares				
Other (provide details)				
TOTAL				

Net Tangible Asset Return

Return Date:

Reserves & Retained Earnings

RRE

Reserves & Retained Earnings - Note 6

	Current Period	Prior Period	Movement \$	Movement %
Accumulated Profits / (Losses) at beginning of month				
Profit / (Loss) from Futures Operations for the month				
Profit / (Loss) from Rest of Operations for the month				
Accumulated Profits / (Losses) at end of month				
Adjustment to Retained Earnings – Increases (provide details)				
Adjustment to Retained Earnings – Decreases (provide details)				
Other Revenue Reserves				
Capital Reserves				
Dividend				
Other (provide details)				
Total				

Net Tangible Asset Return

Return Date:

Approved Subordinated Debt

ASO

Approved Subordinated Debt - Note 7

Lender	Maturity	Facility Limited	Current Period	Prior Period	Movement \$	Movement %
Total						

Net Tangible Asset Return

Return Date:

CGL

Contingent Liabilities

Contingent Liabilities - Note 8

	Current Period	Prior Period	Movement \$	Movement %
Guarantees (provide details)				
Other (provide details)				
TOTAL				

Net Tangible Asset Return

Return Date:

LCM

Lease Commitments

Lease Commitments - Note 9

	Current Period	Prior Period	Movement \$	Movement %
Operating Leases (provide details)				
TOTAL				

Net Tangible Asset Return

Return Date:

CEC - Capital Expenditure Commitments

CEC

Capital Expenditure Commitments - Note 10

	Current Period	Prior Period	Movement \$	Movement %
TOTAL				

Net Tangible Asset Return

Return Date:

Standby Credit Facilities

SCF

Standby Credit Facilities - Note 11

			Limit Amount	
Type	Provider/Participant Name	Terms & Availability	Current Period	Prior Period
Granted in favour of the Participant:				
Sub Total				
Granted by the Participant in favour of other:				
Sub Total				
Total				

Net Tangible Asset Return

Return Date:

Foreign Exchange Exposure

FEE

Foreign Exchange Exposure - Note 12

	Current Period	Prior Period	Movement \$	Movement %
Net Gain/Loss				

Net Tangible Asset Return

Return Date:

RAS

Receivables Analysis

Receivables Analysis - Attachment A

Amounts Owed by	Current	30 Days	60 Days	90 Days+	Total Outstanding
Future Clients					
Other Clients					
Dealers					
Other Receivables					
<i>Less Provision for Doubtful Debt</i>					
Sub Total					
Ageing Analysis %					

Net Tangible Asset Return

Return Date:

DIR

Directors

Directors - Attachment B

Current Period	Prior Period
Board Directors (Full Name)	
Company Secretary (Full Name)	
CEO (Full Name)	

Net Tangible Asset Return

Return Date:

SHA

Shareholders

Shareholders - Attachment C

Voting					
Class of Shares	Value per Share	Shareholder Name	Number of Shares	Current Period	Prior Period
Voting Total					

Non-Voting					
Class of Shares	Value per Share	Shareholder Name	Number of Shares	Current Period	Prior Period
Non-Voting Total					
Total Contributed Equity					

Net Tangible Asset Return

Return Date:

Related/Associated Company Receivables

REL

Related/Associated Company Receivables - Attachment D

Current Assets			
Name of Related/Associated Company	Evidence Provided	Current Period	Prior Period
Sub Total			
Non - Current Assets			
Sub Total			
Total			

Net Tangible Asset Return

Return Date:

NLA

Net Liquid Assets

Statement of Net Liquid Assets - Attachment E

	Note	Current Period	Prior Period	Movement \$	Movement %
Liquid Assets					
Cash at Bank and on Hand					
Deposits with ASX Clear (Futures)					
Deposits with ASX Clear					
Deposits with other Participants					
Investments with authorised Institutions (24 hour call or better)					
Other Investments (24 hour call or better)					
Deposits with a Stock Exchange					
Government & Semi-Government Securities					
Bank Accepted Bills					
Listed Securities					
Other (provide details)					
Total Liquid Assets					
Liquid Liability					
Other Clients					
Other Creditors - at call					
Client Credit Margins (if mark to market not used)					
Loans & Deposits - at call					

Net Tangible Asset Return

Return Date:

Bank Overdraft					
Other (provide details)					
Total Liquid Liabilities					
Current Net Liquid Assets					

Net Tangible Asset Return

Return Date:

SEC

Secured Creditors

Statement of Secured Creditors - Attachment F

	Note	Nature & Extent of Security	Terms	Granted in favour of	Current Period	Prior Period
Current Liabilities						
Bank Overdraft						
Bank Loans						
Loans & Deposits						
Related/Associated Company Payables						
Other (Provide details)						
Total Current Liabilities						
Non-Current Liabilities						
Bank Overdraft						
Bank Loans						
Loans & Deposits						
Related/Associated Company Payables						
Other (provide details)						
Total Non-Current Liabilities						
Total Secured Creditors						

Form 6

Net Tangible Asset Return (NTA Return)

Director's Declaration

DRD Return Date:

DIRECTORS' STATEMENT TO AUSTRALIAN SECURITIES & INVESTMENTS COMMISSION (ASIC) AND/OR ASX CLEAR (FUTURES) PTY LIMITED

STATEMENT OF NET TANGIBLE ASSETS

This Return as athas been prepared pursuant to the ASIC Market Integrity Rules (ASX 24 Market) 2010 or ASX Clear (Futures) Operating Rules (as applicable) from accounting records and other records maintained by(the "Participant").

These accounting and other records have been properly and accurately maintained throughout the..... month(s) ended ("the Reporting Period") and form an appropriate basis upon which to assess and regularly review the financial stability of the Participant. The statements have been prepared on a going concern basis.

The Net Tangible Assets of the Participant have been maintained in accordance with the ASIC Market Integrity Rules (ASX 24 Market) 2010 and/or ASX Clear (Futures) Operating Rules (as applicable) throughout the Reporting Period. The calculation provided by the Participant to ASIC or ASX Clear (Futures) (as applicable) is an accurate reflection of the Participant's Net Tangible Asset position as at

In our opinion:-

- (a) as at the date of this statement and having regard to the nature of the Participant's business and the associated risk, no events have occurred, or are anticipated, which, may result in a material deterioration in the financial position of the Participant;
- (b) as at the date of this statement, the Participant confirms the attached financial information provided to ASIC or ASX Clear (Futures) (as applicable) accurately reflects the Participant's Net Tangible Asset position having regards to the ASIC Market Integrity Rules (ASX 24 Market) 2010 and/or ASX Clear (Futures) Operating Rules (as applicable);
- (c) the internal controls for processing and monitoring the transactions were adequate throughout the Reporting Period and proper segregation of duties existed;
- (d) the internal procedures designed to ensure compliance with all the conditions or restrictions imposed by ASIC or ASX Clear (Futures) (as applicable) applicable to the Participant are adequate; and

(e) there are reasonable grounds to believe that the Participant will be able to meet its obligations as and when they fall due based on the following sources of liquid funds

We are aware that a false declaration may result in disciplinary action being taken against the Participant. We certify that the above information is to the best of our knowledge and belief true and correct.

Financial Return Authorisation

Sole Director Company:	
Board Resolution Date	
Authorisation 1	
Authorisation Date 1	
Authorisation 2	
Authorisation Date 2	

Form 7

Summary NTA Return

Return Date:

Return Details

Participant Type:

Participant Sub-Type:

Return Status:

Version:

Lodgement Date:

Original Lodgement Date:

Summary NTA Return

Return Date:

NTA Return Details

NTA

Statement of Net Tangible Assets

	Note	Current Period	Prior Period	Movement \$	Movement %
Current Assets	1				
<i>less</i> Current Liabilities	2				
Net Current Assets (working capital)					
Non Current Assets	3				
<i>less</i> Non Current Liabilities	4				
Net Assets					
Shareholders Equity funded by:					
Equity	5				
Reserves & Retained earnings	6				
Approved Subordinated Debt	7				
Total Shareholder's Equity					
<i>less</i> Excluded/Intangible Assets	3f				
Net Tangible Assets					
Contingent Liabilities	8				
Lease Commitments	9				
Capital Commitments	10				
Net Standby Credit Facilities	11				
Foreign Exchange Exposure	12				

Summary NTA Return

Return Date:

Non Current Assets

NCA

Non-Current Assets: Total - Note 3

	Current Period	Prior Period	Movement \$	Movement %
Total Non-Current Assets				

Summary NTA Return

Return Date:

NCA-EIA

Excluded / Intangible Assets

Non-Current Assets: Excluded/Intangible Assets - Note 3(f)

	Current Period	Prior Period	Movement \$	Movement %
Formation Costs				
Goodwill				
Patents, Trademarks & Preliminary Expenses				
Deferred Tax Assets				
Participant Rights / Access to Membership to:				
ASX 24				
ASX				
ASX Clear (Futures)				
ASX Clear				
Other Exchanges / Clearing Houses (provide details)				
Unlisted Securities (provide details)				
ASX Clear Participant commitment				
ASX Clear (Futures) Participant commitment (cash only)				
Other commitments (provide details)				
Sub Total				

Summary NTA Return

Return Date:

Reserves & Retained Earnings

RRE

Reserves & Retained Earnings - Note 6

	Current Period	Prior Period	Movement \$	Movement %
Accumulated Profits / (Losses) at beginning of month				
Profit / (Loss) from Futures Operations for the month				
Profit / (Loss) from Rest of Operations for the month				
Accumulated Profits / (Losses) at end of month				
Adjustment to Retained Earnings – Increases (provide details)				
Adjustment to Retained Earnings – Decreases (provide details)				
Other Revenue Reserves				
Capital Reserves				
Dividend				
Other (Provide details)				
Total				

Form 8

Ad Hoc NTA Return

Return Date:

Return Details

Participant Type:

Participant Sub-Type:

Return Status:

Version:

Lodgement Date:

Original Lodgement Date:

Ad Hoc NTA Return

Return Date:

NTA Return Details

NTA

Statement of Net Tangible Assets

	Note	Current Period	Prior Period	Movement \$	Movement %
Current Assets	1				
<i>less</i> Current Liabilities	2				
Net Current Assets (working capital)					
Non Current Assets	3				
<i>less</i> Non Current Liabilities	4				
Net Assets					
Shareholders Equity funded by:					
Equity	5				
Reserves & Retained earnings	6				
Approved Subordinated Debt	7				
Total Shareholder's Equity					
<i>less</i> Excluded/Intangible Assets	3f				
Net Tangible Assets					
Contingent Liabilities	8				
Lease Commitments	9				
Capital Commitments	10				
Net Standby Credit Facilities	11				
Foreign Exchange Exposure	12				

Ad Hoc NTA Return

Return Date:

CAS

Current Assets

Current Assets - Note 1

	Current Period	Prior Period	Movement \$	Movement %
Total Current Assets				

Ad Hoc NTA Return

Return Date:

CAS - REC

Receivables

Current Assets: Receivables - Note 1(a)

	Current Period		Prior Period		Movement \$	Movement %
Futures Clients						
<i>less provision for doubtful debts</i>	=		=			
Other Clients						
<i>less provision for doubtful debts</i>	=		=			
Dealers						
<i>less provision for doubtful debts</i>	=		=			
Other Receivables						
<i>less provision for doubtful debts</i>	=		=			
Sub Total						

Ad Hoc NTA Return

Return Date:

Cash

CAS - CSH

Current Assets: Cash - Note 1(b)

	Current Period	Prior Period	Movement \$	Movement %
Cash at Bank (general accounts)				
Clients' Segregated Account at Bank				
Trust Account at Bank				
Cash on Hand				
Sub Total				

Ad Hoc NTA Return

Return Date:

Deposits

CAS - DEP

Current Assets: Deposits - Note 1(c)

	Current Period	Prior Period	Movement \$	Movement %
Deposits with ASX Clear - Client Account				
Deposits with ASX Clear - House Account				
Deposits with ASX Clear (Futures) - Client Account				
Deposits with ASX Clear (Futures) - House Account				
Deposits with ASX Clear Participant				
Deposits with ASX Clear (Futures) Participant(s) - Client				
Deposits with ASX Clear (Futures) Participant(s) - House				
Deposits with ASX Participant				
Deposits with ASX 24 Participant(s) - Client				
Deposits with ASX 24 Participant(s) - House				
Deposits with Overseas Brokers – Client				
Deposits with Overseas Brokers – House				
Client funds invested in accordance with legislation				
Deposits with a stock exchange				
Other (provide details)				
Sub Total				

Ad Hoc NTA Return

Return Date:

Company Related

CAS - REL

Current Assets: Related/Associated Company Receivables - Note 1(d)

	Current Period	Prior Period	Movement \$	Movement %
Deposits (provide names of related parties)				
Loans (maturing within 12 months) (provide names of related parties)				
Receivables (provide names of related parties)				
Other (provide details)				
Sub Total				

Ad Hoc NTA Return

Return Date:

Other Current Assets

CAS - OTH

Current Assets: Other - Note 1(e)

	Current Period	Prior Period	Movement \$	Movement %
Listed Securities (at stated value)				
At market value				
At cost value				
At other value (provide details)				
Investment in subsidiaries				
Investment in associated Companies				
Bills of Exchange				
Government & semi-Government Securities				
Prepayments				
Loans to Directors				
Other (provide details)				
Sub Total				

Ad Hoc NTA Return

Return Date:

Current Liabilities

CLB

Current Liabilities: Total – Note 2

	Current Period	Prior Period	Movement \$	Movement %
Total Current Liabilities				

Ad Hoc NTA Return

Return Date:

CLB - TOP

Section Name

Current Liabilities: Trade & other Payables - Note 2(a)

	Current Period	Prior Period	Movement \$	Movement %
Futures Clients – External				
Futures Clients – Related/Associated				
Other Clients				
Dealers				
Lease Liability				
Sundry Payables				
Other (provide details)				
Sub Total				

Ad Hoc NTA Return

Return Date:

Short Term Borrowings

CLB - STB

Current Liabilities: Short Term Borrowings - Note 2(b)

	Current Period	Prior Period	Movement \$	Movement %
Bank Overdraft (provide lender names)				
Bank Loans (provide lender names)				
At call (provide lender names)				
Other (provide details)				
Sub Total				

Ad Hoc NTA Return

Return Date:

CLB - REL

Related / Associated Company Payables

Current Liabilities: Related/Associated Company Payables - Note 2(c)

	Current Period	Prior Period	Movement \$	Movement %
Loans (due within 12 months) (provide names of related parties)				
Payables (provide names of related parties)				
Other (provide details)				
Sub Total				

Ad Hoc NTA Return

Return Date:

CLB - OTH

Other Current Liabilities

Current Liabilities: Other - Note 2(d)

	Current Period	Prior Period	Movement \$	Movement %
Provision for Income Tax				
Provision for Dividend				
Provision for Annual Leave				
Provision for long Service Leave				
Sundry Provisions				
Sundry Accruals				
Other (provide details)				
Sub Total				

Ad Hoc NTA Return

Return Date:

Non Current Assets

NCA

Non-Current Assets: Total - Note 3

	Current Period	Prior Period	Movement \$	Movement %
Total Non-Current Assets				

Ad Hoc NTA Return

Return Date:

Property, Plant & Equipment

NCA - PPE

Non-Current Assets: Property, Plant & Equipment - Note 3(a)

	Current Period		Prior Period		Movement \$	Movement %
Land and Buildings – at fair value / cost						
less accumulated depreciation	=		=			
Leasehold Improvement - at fair value / cost						
less accumulated depreciation	=		=			
Plant, vehicles, fixtures & fittings						
less accumulated depreciation	=		=			
Other (provide details)						
Sub Total						

Ad Hoc NTA Return

Return Date:

Financial Assets

NCA-FAS

Non-Current Assets: Financial Assets - Note 3(b)

	Current Period	Prior Period	Movement \$	Movement %
Government & semi-Government Securities				
Listed Securities (at stated value)				
At market value				
At cost value				
At other value (provide details)				
Investment in subsidiaries				
Investment in associated Companies				
Other (provide details)				
Sub Total				

Ad Hoc NTA Return

Return Date:

Loans & Deposits

NCA-LAD

Non-Current Assets: Loans & Deposits - Note 3(c)

	Current Period	Prior Period	Movement \$	Movement %
Due between 1-2 years (provide names of parties loan/deposit held with)				
Due after 2 years (provide names of parties loan/deposit held with)				
Sub Total				

Ad Hoc NTA Return

Return Date:

Related / Associated company Receivables

NCA-REL

Non-Current Assets: Related/Associated Company Receivables - Note 3(d)

	Current Period	Prior Period	Movement \$	Movement %
Deposits (provide names of related parties)				
Loans (provide names of related parties)				
Receivables (provide names of related parties)				
Other (provide details)				
Sub Total				

Ad Hoc NTA Return

Return Date:

Other Non Current Assets

NCA-OTH

Non-Current Assets: Other - Note 3(e)

	Current Period	Prior Period	Movement \$	Movement %
Prepayments				
Loans to Directors				
Other (provide details)				
Sub Total				

Ad Hoc NTA Return

Return Date:

NCA-EIA

Excluded / Intangible Assets

Non-Current Assets: Excluded/Intangible Assets - Note 3(f)

	Current Period	Prior Period	Movement \$	Movement %
Formation Costs				
Goodwill				
Patents, Trademarks & Preliminary Expenses				
Deferred Tax Assets				
Participant Rights / Access to Membership to:				
ASX 24				
ASX				
ASX Clear (Futures)				
ASX Clear				
Other Exchanges / Clearing Houses (provide details)				
Unlisted Securities (provide details)				
ASX Clear Participant commitment				
ASX Clear (Futures) Participant commitment (cash only)				
Other commitments (provide details)				
Sub Total				

Ad Hoc NTA Return

:

Non Current Liabilities

NCL

Non-Current Liabilities - Note 4

	Current Period	Prior Period	Movement \$	Movement %
Total Non-Current Liabilities				

Ad Hoc NTA Return

Return Date:

Long Term Borrowings

NCL-LTB

Non-Current Liabilities: Long Term Borrowings - Note 4(a)

	Current Period	Prior Period	Movement \$	Movement %
Bank Loans (provide names of lenders)				
Other Loans (provide names of lenders)				
Subordinated Loans (provide names of lenders)				
Sub Total				

Ad Hoc NTA Return

Return Date:

Related/Associated Company Payables

NCL-REL

Non-Current Liabilities: Related/Associated Company Payables - Note 4(b)

	Current Period	Prior Period	Movement \$	Movement %
Loans (provide names of related parties)				
Payables (provide names of related parties)				
Other (provide details)				
Sub Total				

Ad Hoc NTA Return

Return Date:

NCL-OTH

Other Non Current Liabilities

Non-Current Liabilities: Other – Note 4(c)

	Current Period	Prior Period	Movement \$	Movement %
Provision for Income Tax				
Provision for Long Service Leave				
Provision for Dividend				
Deferred Taxation Liability				
Lease Liability				
Other Payables				
Other Accruals & Sundry Provisions				
Other (provide details)				
Sub Total				

Ad Hoc NTA Return

Return Date:

Equity

EQY

Equity – Note 5

	Current Period	Prior Period	Movement \$	Movement %
Voting Shares				
Non-Voting Shares				
Other (provide details)				
TOTAL				

Ad Hoc NTA Return

Return Date:

Reserves & Retained Earnings

RRE

Reserves & Retained Earnings - Note 6

	Current Period	Prior Period	Movement \$	Movement %
Accumulated Profits / (Losses) at beginning of month				
Profit / (Loss) from Futures Operations for the month				
Profit / (Loss) from Rest of Operations for the month				
Accumulated Profits / (Losses) at end of month				
Adjustment to Retained Earnings – Increases (provide details)				
Adjustment to Retained Earnings – Decreases (provide details)				
Other Revenue Reserves				
Capital Reserves				
Dividend				
Other (Provide details)				
Total				

Ad Hoc NTA Return

Return Date:

ASO

Approved Subordinated Debt

Approved Subordinated Debt - Note 7

Lender	Maturity	Facility Limit	Current Period	Prior Period	Movement \$	Movement %
Total						

Ad Hoc NTA Return

Return Date:

Contingent Liabilities

CGL

Contingent Liabilities - Note 8

	Current Period	Prior Period	Movement \$	Movement %
Guarantees (provide details)				
Other (provide details)				
TOTAL				

Ad Hoc NTA Return

Return Date:

LCM

Lease Commitments

Lease Commitments - Note 9

	Current Period	Prior Period	Movement \$	Movement %
Operating Leases (provide details)				
TOTAL				

Ad Hoc NTA Return

Return Date:

CEC - Capital Expenditure Commitments

CEC

Capital Expenditure Commitments - Note 10

	Current Period	Prior Period	Movement \$	Movement %
TOTAL				

Ad Hoc NTA Return

Return Date:

Standby Credit Facilities

SCF

Standby Credit Facilities - Note 11

			Limit Amount	
Type	Provider/Participant Name	Terms & Availability	Current Period	Prior Period
Granted in favour of the Participant:				
Sub Total				
Granted by the Participant in favour of other:				
Sub Total				
Total				

Ad Hoc NTA Return

Return Date:

FEE

Foreign Exchange Exposure

Foreign Exchange Exposure - Note 12

	Current Period	Prior Period	Movement \$	Movement %
Net Gain/Loss				

Ad Hoc NTA Return

Return Date:

RAS

Receivables Analysis

Receivables Analysis - Attachment A

Amounts Owed by	Current	30 Days	60 Days	90 Days+	Total Outstanding
Future Clients					
Other Clients					
Dealers					
Other Receivables					
<i>Less Provision for Doubtful Debt</i>					
Sub Total					
Ageing Analysis %					

Ad Hoc NTA Return

Return Date:

DIR

Directors

Directors - Attachment B

Current Period	Prior Period
Board Directors (Full Name)	
Company Secretary (Full Name)	
CEO (Full Name)	

Ad Hoc NTA Return

Return Date:

Shareholders

SHA

Shareholders - Attachment C

Voting					
Class of Shares	Value per Share	Shareholder Name	Number of Shares	Current Period	Prior Period
Voting Total					

Non-Voting					
Class of Shares	Value per Share	Shareholder Name	Number of Shares	Current Period	Prior Period
Non-Voting Total					
Total Contributed Equity					

Ad Hoc NTA Return

Return Date:

Related/Associated Company Receivables

REL

Related/Associated Company Receivables - Attachment D

Current Assets			
Name of Related/Associated Company	Evidence Provided	Current Period	Prior Period
Sub Total			
Non - Current Assets			
Sub Total			
Total			

Ad Hoc NTA Return

Return Date:

NLA

Net Liquid Assets

Statement of Net Liquid Assets - Attachment E

	Note	Current Period	Prior Period	Movement \$	Movement %
Liquid Assets					
Cash at Bank and on Hand					
Deposits with ASX Clear (Futures)					
Deposits with ASX Clear					
Deposits with other Participants					
Investments with authorised Institutions (24 hour call or better)					
Other Investments (24 hour call or better)					
Deposits with a Stock Exchange					
Government & Semi-Government Securities					
Bank Accepted Bills					
Listed Securities					
Other (provide details)					
Total Liquid Assets					
Liquid Liability					
Other Clients					
Other Creditors - at call					
Client Credit Margins (if mark to market not used)					
Loans & Deposits - at call					

Ad Hoc NTA Return

Return Date:

Bank Overdraft					
Other (provide details)					
Total Liquid Liabilities					
Current Net Liquid Assets					

Ad Hoc NTA Return

Return Date:

SEC

Secured Creditors

Statement of Secured Creditors - Attachment F

	Note	Nature & Extent of Security	Terms	Granted in favour of	Current Period	Prior Period
Current Liabilities						
Bank Overdraft						
Bank Loans						
Loans & Deposits						
Related/Associated Company Payables						
Other (provide details)						
Total Current Liabilities						
Non-Current Liabilities						
Bank Overdraft						
Bank Loans						
Loans & Deposits						
Related/Associated Company Payables						
Other (provide details)						
Total Non-Current Liabilities						
Total Secured Creditors						

Notes to ASIC Market Integrity Rules (ASX 24 Market) 2010

Note 1

ASIC Market Integrity Rules (ASX 24 Market) 2010 (in force under s798G(1) of the *Corporations Act 2001*) as shown in this compilation comprises those Rules amended as indicated in the tables below.

Table of Instruments

Instrument name	Date of FRLI registration	Date of commencement	Application, saving or transitional provisions
ASIC Market Integrity Rules (ASX 24 Market) 2010 (F2010L02212)	01/08/2010	01/08/2010	-
ASIC Market Integrity Rules (ASX 24 Market) Amendment 2011 (No. 1) (F2011L01553)	29/07/2011	01/08/2011	-
ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1) (F2013L00739)	03/05/2013	04/05/2013	-

Table of Amendments

ad. = added or inserted am. = amended rep. = repealed rs. = repealed and substituted

Provision affected	How affected
Rule 1.4.3	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), items [1] to [7]
Part 2.2 (heading)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [8]
Rule 2.2.1 (heading)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [9]
Subrule 2.2.1(1) (heading)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [10]
Paragraph 2.2.1(1)(ab)	ad. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [11]
Paragraph 2.2.1(1)(c)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [12]

ad. = added or inserted am. = amended rep. = repealed rs. = repealed and substituted

Provision affected	How affected
Paragraph 2.2.1(1)(e)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), items [13] and [14]
Subrule 2.2.1(2) (heading)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [15]
Paragraph 2.2.1(2)(ab)	ad. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [16]
Paragraph 2.2.1(2)(b)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), items [17] and [18]
Subrule 2.2.1(3) (heading)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [19]
Subrule 2.2.1(4) and 2.2.1(5)	ad. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [20]
Paragraph 2.2.3(1)(a)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [21]
Paragraph 2.2.4(4)(b)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [21A]
Subparagraph 2.2.5(1)(b)(v)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [21B]
Subparagraph 2.2.6(f)(i)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [22]
Paragraph 2.2.6(j)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [23]
Rule 2.2.8	ad. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [24]
Rule 2.3.5, maximum penalty	ad. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [25]
Part 2.3	ad. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2011 (No. 1), paragraph 4(a)
Part 2.4	ad. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [26]
Subrule 3.1.7(1)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [27]
Subrule 3.1.7(2)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), items [28] and [29]

ad. = added or inserted am. = amended rep. = repealed rs. = repealed and substituted

Provision affected	How affected
Rule 3.1.8	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [30]
Subrule 3.1.8(2)	ad. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [31]
Subrule 3.1.10(1)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), items [32] and [33]
Subrule 3.1.10(2)	rep. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [34]
Subrule 3.1.13(1A)	ad. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [35]
Rule 3.3.1A	ad. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [36]
Rule 3.3.2	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [37]
Rule 3.4.2	renumbered. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [38]
Rule 3.4.2	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [38A]
Subrule 3.4.2(2)	ad. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [39]
Rule 3.4.2, maximum penalty	ad. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), items [40]
Paragraph 3.5.2(2)(a)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), items [41] to [43]
Rule 3.5.3	ad. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [44]
Chapter 5	ad. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2011 (No. 1), paragraph 4(b)
Chapter 6	ad. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2011 (No. 1), paragraph 4(b)
Chapter 7	ad. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2011 (No. 1), paragraph 4(b)
Rule 7.2.9 (heading)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [45]

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Provision affected	How affected
Paragraph 7.2.10(b)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [45A]
Subparagraph 7.2.10(b)(i)	am. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [46]
Subparagraph 7.2.10(b)(ii)	rep. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [47]
Subparagraph 7.2.10(b)(iii)	renumbered. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No.1), item [48]
Forms 1 - 8	ad. ASIC Market Integrity Rules (ASX 24 Market) Amendment 2011 (No. 1), paragraph 4(b)