



SFE NOTICE NO.

222/09

Date of Issue: 30 December 2009

Effective Date: 30 December 2009

NEW FINANCIAL RETURNS SYSTEM

The purpose of this notice is to provide Participants with an update on the new electronic return lodgement system which will be used by all SFE Full Participants and all SFE Clearing Participants that are subject to the NTA requirements.

The new system, called the "Return Lodgement & Monitoring (RLM) System", will be accessible via the ASX Online website. It will replace the existing paper based return submission for NTA Participants.

The development and testing of the RLM system is nearing completion and it is anticipated that the system will go live in Quarter 1 2010.

Training

As part of the roll-out of the new system, ASX will be offering training to all Participants. It is envisaged that training will be conducted from mid January to end February 2010 in Sydney and Melbourne. Alternative arrangements will be made for RLM users that are located offshore. It is likely that each training session will be around 2.5 hours in duration.

ASX requires that at least one person from each Participant entity attend a training session.

Details of training sessions will be provided to Participants separately.

An online training module will be available on an ongoing basis for new users of the RLM system in the future.

ASX Online Accounts

All RLM users will be required to have a valid ASX Online Participants account. If you require an account please contact the ASX Online Help Desk on 1800 682 484 or via e-mail at participants.online@asx.com.au. You will need a separate ASX Online account for each Participant entity.

We recommend that you obtain any required ASX Online accounts well in advance of the implementation date for RLM.

Implementation

At this stage, it is envisaged that the RLM system will go live on 1 March 2010. To facilitate a smooth transition to the new system, Participants will be required to prepare returns under both the current process and the RLM system for one month only.

The anticipated commencement dates for use of the RLM system are as follows:

- Ad hoc & Summary returns – all returns dated 1 March 2010 or later are to be submitted using the RLM system.



- Monthly NTA returns – February 2010 return is to be submitted in both the paper based and RLM formats. Returns dated March 2010 onwards are to be submitted using the RLM system.
- Annual audited returns – all returns dated 1 January 2010 onwards are to be submitted using the RLM system. Please note that December 2009 annual audited returns are to be prepared in paper format notwithstanding the due date being 31 March 2010. This is to facilitate comparison with the corresponding quarterly NTA return.

Participants will be notified if there are any changes to the above dates.

Return Submission Requirements

There will be no change to the timeframes for return submission as a result of the introduction of the RLM system.

There will, however, be a change to the types of returns required to be lodged under the NTA Requirements. The current monthly return format will cease to apply. Instead, Participants will be required to lodge a return in the current quarterly format applicable to SFE/SFECC Participants. Essentially, Participants will be required to lodge the Statement of Net Tangible Assets with all notes and attachments including a Statement of Net Liquid Assets, Statement of Client Funds and Statement of Secured Creditors on a monthly basis. The timeframe for submission will remain the last business day of the following month.

Please note that the implementation of the RLM system will not change the obligation to lodge returns with both ASX/ACH and SFE/SFECC for entities that are Participants in both markets.

Should you have any queries please contact Ben Christiansen, Senior Futures Supervision Officer on (02) 9227 0222 or ben.christiansen@asx.com.au or Leena Xu, Senior Futures Supervision Officer / Financial Analyst on (02) 9227 0231 or leena.xu@asx.com.au.

A handwritten signature in black ink, appearing to read 'R Coaldrake', is written in a cursive style.

Robert Coaldrake
General Manager, Futures Supervision and Capital Monitoring

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