



SFE NOTICE NO.

058/10

Date of Issue: 23 April 2010

Effective Date: 23 April 2010

RETURN LODGEMENT & MONITORING (RLM) SYSTEM IMPLEMENTATION

SFE Notice 222/09 issued on 30 December 2009 provided initial information on the RLM System which will be used by all SFE Full Participants and all SFE Clearing Participants that are subject to the NTA requirements.

The RLM system is now available to Participants to enable administrative tasks, as outlined below, to be undertaken. RLM is to be used for return creation and submission from the commencement dates outlined further below.

RLM can be accessed by going to <https://www.asxonline.com/Participants/Welcome> and clicking on "Access RLM". The username and password to log in to RLM are the same as your username and password for ASX Online.

User Accounts

A RLM user account has been set up for one person at each Participant organisation. That person should have received an email from ASX Capital Monitoring advising that their user account has been set up. If this is not the case, please contact ASX Capital Monitoring as soon as possible.

The initial user for each Participant is now required to create additional RLM user accounts for all other people in their organisation that will need to use the RLM system. Please refer to section 4 of the RLM System User Guide for instructions on creating user accounts.

Each RLM user account that is created needs to be activated by ASX Futures Supervision & Capital Monitoring. Therefore, when user accounts have been created please email sfereturns@asx.com.au to seek activation.

Each person needs to have a valid ASX Online Participants account before a RLM user account can be created for them. If any ASX Online accounts are still required, the ASX Online system administrator in your organisation can create these or alternatively you can contact the ASX Online Help Desk on 1800 682 484 or participants.online@asx.com.au.

Please note that anyone with a new ASX Online account will first need to activate that account by logging into ASX Online (<https://www.asxonline.com/Participants/Login>) and changing their password. There may then be a delay of up to 30 minutes before they can access RLM (provided that their RLM account has been activated by Capital Monitoring).

Contact Details

Each Participant should also enter in contact details for their organisation. This is done via the "Participants Overview" section in RLM. Contact details need to be entered otherwise the Participant will not receive any of the system generated emails.

Please refer to section 5 of the RLM System User Guide for instructions on entering contact details.

We encourage all Participants to complete this task prior to 3 May 2010 but definitely prior to submitting the first return in RLM.

User Guide

The RLM System User Guide is available within the RLM System by clicking "Help" and is also available on ASX Online. Please refer to this document for information on the functions available within the RLM system.

Contact Support

For any issues with accessing ASX Online or RLM, including password issues, you should contact the ASX Online Help Desk on 1800 682 484 or participants.online@asx.com.au.



For all other issues relating to the functionality within the RLM system itself, please email sfereturns@asx.com.au or contact any of the ASX Futures Supervision & Capital Monitoring team members.

Commencement Dates

The commencement dates for use of the RLM system for the various return types are set out below. As previously advised, Participants will be required to prepare returns under both the current process and the RLM system for one month only in order to facilitate a smooth transition to the new system.

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.

- Ad hoc and summary returns – all returns dated 1 May 2010 or later are to be submitted using the RLM system.
- Monthly NTA returns – April 2010 return (due on 31 May 2010) is to be submitted in both the paper based and RLM formats. Please note that the paper based return for April will be in the current monthly return (short form) format whereas the RLM return will be in the current quarterly return format applicable to SFE/SFECC participants. Returns dated May 2010 onwards are to be submitted using the RLM system.
- Annual audited returns – all returns dated 1 May 2010 onwards are to be submitted using the RLM system. Please note that March 2010 annual audited returns are to be prepared in paper format notwithstanding the due date being 30 June 2010. This is to facilitate comparison with the corresponding quarterly NTA return.

As noted in SFE Notice 222/09, the current monthly NTA 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.

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
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