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Participant Organisational Profile

(To be submitted along with an application to
become a Participant)

File Reference:

I:\Operations\Projects\NETS Project\NSX install package USB key\Broker Documents\NSX Participant Organisation
Profile_2010.doc





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Introduction

The Participant Organisation Profile aids the NSX in understanding the structure of a Participant's business and provides key information to the NSX on key personnel.

The profile must be filled out and sent in along with the application for Participant status.

From time to time the NSX may ask or the Participant will send in an updated profile.

More Information and Submission of Application:

Further information can be obtained from and all applications should be sent to:

General Manager
National Stock Exchange of Australia
PO BOX 283
Newcastle NSW 2300

Phone: +61 2 4929 6377

Fax: + 61 2 4929 1556

<http://www.nsx.com.au>





No.	Details	Current Details	Record any Changes
1.	MANAGEMENT/OWNERSHIP		
	Personnel		
1.1	Person who has overall control/supervision for Management		
1.2	Person who has overall control/supervision for Operations		
1.3	Person who has overall control/supervision for CHESS		
1.4	Person who has overall control/supervision for front office		
1.5	Person who has overall control/supervision for Compliance		
	Group/Intercompany Relationships		
1.6	Is the NSX Participant a part of a group (or associated with any other entity including significant shareholders)		
1.7	Number of foreign/affiliated offices (if any)		
	Organisational Hierarchy		
1.8	Management structure (please attach chart)		
	Branches		
1.9	Number of Branches (if any)		
	Outsourced Functions		





No.	Details	Current Details	Record any Changes
1.10	Is Research outsourced?		
1.11	Does another NSX Member provide you with Third Part Settlement Services?		
1.12	Are any of your computer systems outsourced?		
1.13	Are any other functions outsourced?		





No.	Details	Current Details	Record any Changes
2.	BUSINESS		
2.1	Do you deal in Derivatives - ETO's Warrants, LEPO's		
2.2	If so do you deal in Derivatives traded on overseas markets		
2.3	Do you trade in Derivatives as Principal?		
2.4	Do you receive any Referral business? If so from whom and indicate whether any commission paid.		
2.5	Do you provide Portfolio Management/Financial Advisory services?		
2.6	What research is distributed to clients containing recommendations? - eg client newsletters, research reports, company profiles.		
2.7	Do you make disclosures to clients where you or an associate has a material interest in the security?		
2.8	Do you include disclaimers in your written materials?		
2.9	Does your business include Underwritings/IPO's/Placements?		
2.10	Do you provide margin lending?		





No.	Details	Current Details	Record any Changes
2.11	Do you provide Settlement Agency Services for other NSX Members?		
2.12	Do you or an entity within your group provide cash management trust accounts?		
2.13	Do you provide clients with cash management trust accounts from external sources?		
2.14	Do you offer a securities lending service to clients?		
2.15	Do you deal in unlisted securities (local and foreign) -please indicate types of securities		
2.16	Do you have any other non-core business investments?		
2.17	Do you provide Nominee services?		
2.18	Are you involved in any other business? Eg mortgage broking		
	Financial Services Licence		
2.19	Please attach a copy of your Financial Services Licence.		
2.20	What conditions are imposed on the licence?		
	Insurance		
2.21	Do you maintain insurance policies as required by NSX Business Rule Part A 21.1		





No.	Details	Current Details	Record any Changes
2.22	Have you provided the NSX with a copy of a certificate of currency? (If not, please attach copy)		
2.23	Have you had any claims, notice of intention to make a claim or circumstance that may lead to a claim since March 2000? If so have you notified the NSX?		
Representatives			
2.24	How may employees make securities recommendations to clients?		
2.25	How many employees hold a securities dealers licence?		
2.26	How many employees hold an investment advisers licence?		
2.27	How many employees hold a dual proper authority? (eg with a financial planner) If so is it cross endorsed?		
2.28	Are there any restricted proper authority holders?		
2.29	Are there any limits on advisers trading for clients? If so what are they?		
2.30	Are advisers held responsible for their clients' debts? If so is there a minimum or maximum liability?		
Accounts			
2.31	How many active clients do you have?		





No.	Details	Current Details	Record any Changes
2.32	Do you obtain signed client agreement forms from all clients? (Please attach copy of form)		
2.33	Do you have a client checklist that is completed for all new clients?		
2.34	Do you verify client identity?		
2.35	Do you accept cash in respect of the payment for securities?		
2.36	Do you provide each new client with an Advisory Services guide?		
2.37	Do you have Complaints Procedures? Are they in writing?		
2.38	How do you treat trading errors? Are they adopted as principal and sold out?		
Discretionary Accounts			
2.39	Do you have discretionary accounts?		
2.40	Are there any trading limits imposed on discretionary accounts? If so what are they?		
Employee Trading			
2.41	Who approves orders placed on behalf of staff or their associates?		





No.	Details	Current Details	Record any Changes
2.42	Who reviews orders placed on behalf of staff or their associates (e.g. to ensure no extension of credit to employees, client order precedence is followed and no staff trading prior to release of research)		
2.43	Do you have restrictions on staff trading (e.g. no crossings with clients)		
2.44	Are there any trade embargoes imposed?		
Records			
2.45	Where are stored records located?		
2.46	How are records primarily stored? (hard copy/electronically)		
2.47	Are client instructions recorded in diaries or on computer?		





No.	Details	Current Details	Record any Changes
3	RISK MANAGEMENT		
Underwriting			
3.1	Do you have an underwriting risk management system in place?)		
3.2	Do you have procedures in place for IPO's/Placements for client participation?		
Computer Systems			
3.3	Do you have a primary back office computer system?		
3.4	Who is responsible for maintenance and development of primary back office computer system?		
3.5	Do you have a back-up disaster recovery system in place for hardware?		
3.6	Do you have a back-up/disaster recovery system in place for software?		

