



## **ASIC Fee Structure Effective: 21 October 2024**

**Based on a subset of the GTR functionality, ORRS allows retail CFD and Margin Forex providers to meet their ASIC regulatory reporting requirements in a simple and cost effective way.**

### **ORRS Service Description**

- Submission via SFTP or web-portal upload only, using CSV files.
- Applies to ASIC jurisdiction reporting only.
- Processing of ORRS submissions will combine with standard OTC end of day processing to be included in ASIC's standard daily asset class reports.
- Near shore technical support provided from DTCC's regional help desk.
- Support hours aligned with Australia business hours.

### **Retail CFD and Margin Forex Providers**

- ORRS is available for reporting trades from Margin Forex and CFD brokers with primary business models providing OTC platforms trading in micro lots to retail clients for which a Public Disclosure Statement (PDS) is issued.
- Counterparties on ORRS reported positions are predominantly retail investors with no ASIC reporting obligation, with small allowance made for institutional facing hedge positions ("Prime of Prime") trades.

### **Aggregation Model for Retail CFD and Margin Forex Service Providers**

- Service providers who provide a service whereby they aggregate end-client submissions on behalf of clients that meet the requirements of the ORRS are also able to take up this service, so long as the Service Provider ensures that they have the correct agreements in place with their client to allow the Service Provider to report on their behalf.

### **Account Management Fee**

All account holders (except View Only Access users) of DTCC Data Repository (Singapore) Pte. Ltd. ("DDRS") will be subject to a monthly account management fee of A\$350.00 ("Account Management Fee"). This is billed on a monthly basis upon activation of an account for a reporting service to Australian Securities and Investments Commission ("ASIC"), regardless of whether there are open positions or not for a particular month.

There is no charge for the View Only Access to DDRS reporting service.



| Australia   |                        |
|---|------------------------|
| Number of Open Positions at Month End   | Fee per Position (AUD) |
| 0 – 100   | \$6.70                 |
| 101 – 1,000   | \$3.90                 |
| 1,001 – 10,000  | \$1.00                 |
| 10,001 - 30,000   | \$0.10                 |
| 30,001 - 100,000  | \$0.05                 |
| 100,001 +   | \$0.02                 |
| Number of open positions across asset classes are counted on the last business day of each month. |                        |

#### Notes

- All amounts are expressed in Australian dollars and are exclusive of GST or consumption tax, which will be charged where applicable.

#### **Long-Term Commitment Discount Option**

DDRS Users have the option to elect to enter into a long-term commitment with DDRS (the “Long-Term Commitment”). By electing the Long-Term Commitment, the applicable then current Account Management Fee and Position Maintenance Fees will be reduced by 10%, exclusive of tax, for the duration of the Long-Term Commitment. If the Long-Term Commitment is terminated prior to the end of the Long Term Commitment, the User shall be subject to an “Early Termination Fee” equal to: (a) the difference between the total amount of fees due after application of the incentive and the total amount of fees that would have been due during the applicable portion of the Long Term Commitment had no incentive been provided (“Total Incentive Provided”); plus (b) 5% of the Total Incentive Provided or A\$700.00, whichever is greater. To elect the Long-Term Commitment, Users should contact [GTR-Onboarding@dtcc.com](mailto:GTR-Onboarding@dtcc.com). For specific billing enquires about the Long-Term Commitment discount, Users should contact [GTRSupport@dtcc.com](mailto:GTRSupport@dtcc.com)

#### **Late Fee**

In the event all or any undisputed portion of a DDRS User’s invoice becomes ninety (90) days or more past due (the “Past Due Balance”), such DDRS User shall be subject to a late fee equal to 5% of the Past Due Balance (the “Late Fee”). The DDRS User will continue to be assessed the Late Fee on a monthly basis until the full amount of the Past Due Balance is paid.

#### **Contacts**

To discuss your ASIC regulatory requirements with our Global Trade Repository sales team please contact [GTR-APAC@dtcc.com](mailto:GTR-APAC@dtcc.com)

For further details about this fee schedule and all other GTR Billing enquiries please contact [GTRSupport@dtcc.com](mailto:GTRSupport@dtcc.com)



---

For online registration to GTR please go to <https://www.dtcc.com/forms/gtr-onboarding-questionnaire>

### **Guidance**

More guidance on GTR billing is available in the DTCC Learning Center:

<https://dtcclearning.com/documents/repository-services/manage-services-3/sfr-1/3991-gtr-services-billing-online-help/file.html>

and Section 8.1 of the GTR ASIC Rewrite: Functional Change Document:

<https://dtcclearning.com/documents/repository-services/gtr-australia-asic-rewrite/gtr-asic-rewrite-upcoming-changes/4628-asic-rewrite-functional-changes-document-2.html>