OTC Retail Reporting Service (ORRS)

Fee Structure Effective: 1 October 2016

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.

Australia	
Monthly Account Management Fee	$350.00
# 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.	

Contacts

More details about specific Requirements can be provided by our Global Trade Repository Team

Asia Pacific
Email : GTR-APAC@dtcc.com
Tel : +65-6622 7349

Onboarding
gtronboardingasia@dtcc.com

Online registration
www.dtcc.com/gtr

Notes

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

Tax

Unless expressly stated, the fee charges are exclusive of Goods and Services Tax (GST). If GST is or becomes payable on any supply made, an additional amount is payable by the client equal to the amount of GST payable on that supply, as calculated in accordance with the GST Act in Australia. DDRS' right to receive an additional amount in respect of GST is subject to a valid tax invoice being issued to the client.

Three (3) Year Commitment Discount Option

DDRS Users have the option to elect to enter into a three (3) year commitment (the "Long Term Commitment"). By electing the Long Term Commitment, all applicable then current fees, exclusive of tax and excluding the Late Fee and Early Termination Fee, as those terms are defined below, will be reduced by 10% for a period of three (3) years following the election (the "Long Term Commitment Period"). If the Long Term Commitment is terminated prior to the end of the applicable Long Term Commitment Period 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 Long Term Commitment incentive and the total amount of fees that would have been due during the applicable portion of the Long Term Commitment Period 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_Billing@dtcc.com and, for specific billing inquires, Users should contact GTRBillinginquiries@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.

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