



Market Operations Notice

Date: Thursday 27th October, 2011

Reference number: 0023/11

Subject: Chi-X Australia announces admission of trading participants and final details for launch

- Chi-X Australia Trading Participants
- Arrangements for connectivity testing on Saturday 29 October 2011
- Gross short sale reporting
- Wash trade cancellation procedures

Chi-X Australia Trading Participants

Chi-X is pleased to announce that it has admitted 24 firms as Participants under its Operating Rules. Full details of the firms are listed in the table below. Please note that any Participant that is also an ASX participant will trade on Chi-X under the PID issued by ASX in accordance with the Market Integrity Rules (Competition in Exchange Markets).

Where a Chi-X Participant is not an ASX participant, Chi-X will issue a PID. Interactive Brokers is the only participant meeting that criteria at the date of this notice and Chi-X has issued a PID of 2321.

The first 22 participants listed below are approved to commence trading at market launch. Chi-X will issue a Market Operations Notice to advise when Interactive Brokers and State One Stockbroking are approved to commence trading.

Chi-X Australia Participant
Bell Potter Securities Limited
BBY Ltd
Citigroup Global Markets Australia Pty Limited
Commonwealth Securities Limited
Credit Suisse Australia (Equities) Limited
Deutsche Securities Australia Limited
GETCO Australia Pty Limited
Goldman Sachs & Partners Australia Pty Ltd
Instinet Australia Pty Ltd
ITG Australia Limited
J.P. Morgan Securities Australia Limited
Macquarie Securities (Australia) Limited
Merrill Lynch Equities (Australia) Limited
Moelis Australia Securities Pty Ltd
Morgan Stanley Australia Securities Limited
Nomura Australia Limited
Patersons Securities Limited
Penson Financial Services Australia Pty Ltd

RBC Securities Australia Pty Ltd
RBS Equities (Australia) Limited
UBS Securities Australia Ltd
Virtu Financial Asia Pty Ltd
Interactive Brokers LLC
State One Stockbroking

Arrangements for connectivity testing on Saturday 29 October 2011

We confirm that the production systems will be available this Saturday 29 October for final connectivity testing from 8am to 12 noon. This will also allow client production systems to logon to Chi-X servers but participants will not be able to submit orders.

We encourage all launch partners to participate in this test window. It is the final opportunity to test production configurations and firewall settings before market launch.

The Chi-X team will be available to assist with any queries during the test window. Please use the support email and telephone numbers at the end of this Notice if you have any queries on the day.

Gross short sale reporting

In accordance with Chi-X Procedure 4.8, Chi-X confirms that it has nominated ASX as its agent for the purposes of receiving gross short sale reports in respect of participants' trading activity on the Chi-X market.

Chi-X Participants that are not also ASX Participants are required to submit their gross short sale report (in the same format required by ASX) to Chi-X by 8am on the next business day so that Chi-X may lodge the information on behalf of the Chi-X participant(s) with ASX by 9am.

Wash trade cancellation procedures

Requests to cancel wash trades are to be lodged with Chi-X before 5pm each trading day in a csv file. The relevant fields required in the csv file are set out in the attachment to the revised [Trade Cancellation Policy](#) released today. The format of the csv in the revised document has been simplified and shows just two columns ExecBroker (FIX tag <76>) and TransactID (FIX tag <6807>) for the buyer message (i.e. where Side equals '1') on the Trading Interface and Trade Feed.

If you have any queries, please do not hesitate to contact one of the team.

Chi-X Australia

Tel: +61 2 8078 1701 | **Fax:** +61 2 9252 0120 | **Email:** au.support@chi-x.com |

Web: www.chi-x.com.au