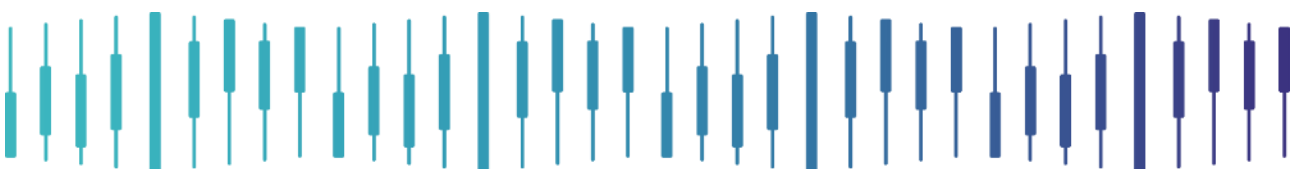


**NZ RegCo**

NZ'S LISTED  
MARKET REGULATOR

# Participant Portal User Guide

6 May 2022



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# 1. Introduction

## 1.1 Procedure Summary

This document is intended to provide guidance for NZX Market Participants in using the Participant Portal to engage with Participant Compliance on regulatory obligations and submit compliance information required under the:

- NZX Participant Rules;
- NZX Derivatives Market Rules;
- Clearing and Settlement Rules; and
- Depository Operating Rules;

Collectively “**Participant Rules Sets**” for the purpose of this User Guide.

## 1.2 Browser Support

The Portal is supported on the latest versions of the following browsers: Chrome, Firefox, Microsoft Internet Explorer 11 and Microsoft Edge. We recommend using Google Chrome for the best performance.

## 2. Portal Navigation

### 2.1 The Portal at a Glance

Each section of the portal, with the exception of the Home Page, can be broken into four distinct parts.

The screenshot displays the NZX Participant Portal interface. At the top left is the NZX logo and 'Participant Portal' text. A navigation 'Toolbar' is located at the top right, containing links for HOME, APPLICATIONS, ADVISER/DEALER, USERS, NOTIFICATIONS, and CAPITAL & FINANCIAL. Below the toolbar is the 'Applications' section header, accompanied by a 'New Items' button and a '+ New Application' button. A 'Filters' section is present, allowing users to search by Name, Type, Date Added, Last Changed, and Created By. Below the filters is a table of existing items.

Name	Type	Date Added	Last Changed	Created By	Status	Action
Application for Waiver of 10.5.1	Waivers	21/08/2018, 11:20	21/08/2018, 11:20	Jonathon Hart	Draft	<a href="#">Edit</a> <a href="#">Delete</a>
Application for Waiver of 10.5.1	Waivers	21/08/2018, 10:40	21/08/2018, 10:40	Jonathon Hart	Action required	<a href="#">Edit</a> <a href="#">Delete</a>
Application for Waiver of 10.5.1 and 10.5.11	Waivers	13/08/2018, 09:59	13/08/2018, 10:00	Jody Taylor	Pending NZX	<a href="#">Edit</a>
Application for Waiver of 10.5.1	Waivers	21/08/2018, 11:33	21/08/2018, 11:33	Jonathon Hart	Under review	
Application for Waiver of 10.5.11	Waivers	21/08/2018, 12:23	21/08/2018, 12:23	Jonathon Hart	Approved	
Application for Waiver of 10.5.11	Waivers	21/08/2018, 12:25	21/08/2018, 12:25	Jonathon Hart	Rejected	

- **Toolbar** – This is used for navigation to the different sections. The small arrow to the right of a title indicates that a filter option is available directly from the toolbar. The toolbar will always be present, regardless of what page or section the user is viewing.
- **New Items** – This button is used when creating new applications or notifications. The location of the button is consistent across the sections and it will cause a window to open within the page, allowing further selection for the item type.
- **Filters** – The filters allow the user to customise the existing items listed based on a range of criteria. Filters are not saved if the user navigates away from the page.
- **Existing Items** – This lists items based on selected filters. When an item has been approved by NZX, it will remain in the list. Similarly, rejected items will also remain. This enables the user to monitor current waivers, or NZX Advisers for example.

### 2.2 Viewing, sorting and filtering

Each page offers several filter options that enable the user to filter or sort based on the item type or status. The below uses Applications as an example, but applies to all sections except for Home.

## Applications

The screenshot shows the 'Applications' page with a toolbar at the top containing a '+ New Application' button and a dropdown menu for application types. The dropdown menu is open, showing options: All, Permissions, Rulings, Waivers (highlighted with a red '1'), Approval, Exemption, Guarantee, and Sub-debt. Below the toolbar is a table with columns: Name, Type, Date Added, Last Changed, Created By, and Status. The 'Type' column has a dropdown menu open, showing options: Waivers (highlighted with a red '2'), Show All, and a list of application types: Permissions, Rulings, Approval, Exemption, Guarantee, and Sub-debt. The 'Status' column has a dropdown menu open, showing options: Show All (highlighted with a red '3'), Show All, Approved, Action required, Draft, Pending, Rejected, and Under review.


1. Clicking on 'Applications' in the tool bar shows a drop down of application types. Selecting an application type will filter the existing applications by that type, regardless of the status of the item. As the tool bar is accessible from anywhere within the Portal, this is an easy way to quickly navigate to a full list of any particular type of application, i.e. a list of all waivers.

Selecting 'All' will display all applications with no filters applied.

2. The type filter can be changed when on the applications page by selecting the application type from the 'Type' drop down. This can be changed regardless of the filter option chosen from the 'Applications' toolbar (point 1, above).
3. The status filter can be changed when on the applications page by selecting the status from the 'Status' drop down. By default, all statuses are listed.

## Applications






The screenshot shows the 'Applications' page with a toolbar at the top containing a '+ New Application' button and a dropdown menu for application types. The dropdown menu is open, showing options: Show All (highlighted with a red '4'), and a list of application types: Permissions, Rulings, Approval, Exemption, Guarantee, and Sub-debt. Below the toolbar is a table with columns: Name, Type, Date Added, Last Changed, Created By, and Status. The 'Name' column has a search filter box (highlighted with a red '4'). The 'Status' column has a dropdown menu open, showing options: Show All (highlighted with a red '5'), Approved, Action required, Draft, Pending, Rejected, and Under review. A blue 'x' button is visible next to the 'Show All' option in the status dropdown.

4. In any filter view, a further filter can be applied based on text in the item name, the date the item was first created or changed, or by the user who created the item.
5. To clear all filters, click the  button.
6. In any filter view, the applications displayed can be sorted in ascending or descending by clicking the title of the relevant column. Ascending is indicated with a black line above the column title, and descending is indicated with a black line below the column title.

Date Added		Date Added	
13/08/2018, 09:59	13	21/08/2018, 10:40	2
21/08/2018, 10:40	21	13/08/2018, 09:59	1

## 2.3 Item Statuses

Each individual application, accreditation and notification will have a status assigned, regardless of age.

Status	Action
Draft	 
Action required	 
Pending NZX	
Under review	
Approved	
Rejected	

- **Draft** – Items that have been created but are not complete will have this status. The item will have to be submitted before the Compliance Manager or senior manager can approve it. This means that *action is required internally*.

Items with this status can be edited or deleted.

- **Pending** – Users who *do not* have Compliance Manager or Senior Manager access will see this status for items that have been created, but are pending approval from the Compliance Manager or Senior Manager before being sent to NZX for consideration. This means that *action is required internally*.
- **Action Required** – Users who have Compliance Manager or Senior Manager access will see this status for items that have been created and require review and approval before being sent to NZX for consideration. This means that *action is required internally*.

Items with this status can be edited or deleted.

- **Pending NZX** – Items with this status have been approved by the Compliance Manager or senior manager and has been submitted to NZX for consideration, however it is *not yet under consideration*. This means that action is required by NZX.

Items with this status can be edited *but cannot be deleted*.

- **Under Review** – Items with this status have been submitted and acknowledged by NZX. This means that the item *is being considered by NZX*.

Items with this status *cannot* be edited or deleted.

- **Approved** – Items that have been approved by NZX, and are current, will have this status. This means *no further action can be taken*.

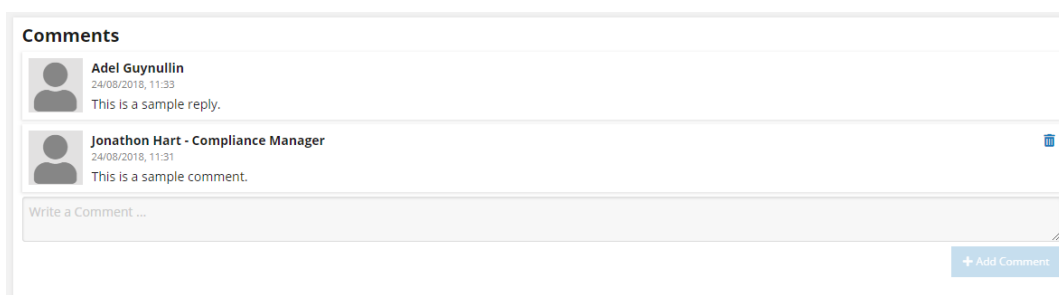
Items with this status *cannot* be edited or deleted.

- **Rejected** – Items with this status have either been rejected by the Compliance Manager or senior manager *and have not been submitted to NZX*, or have been considered by NZX but have not been approved. This means *no further action can be taken*.

Items with this status *cannot* be edited or deleted.

## 2.4 Comments

At the bottom of all notifications, periodic reporting and applications, both for designation and regulatory approval, there is a section for comments.






These comments are for notes and correspondence between the Participant and NZX. It is important to note the following:

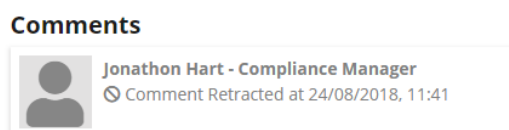
- Comments are not internal and will be visible to NZX and Participant users with permission to access the particular section of the Portal.
- Comments cannot be edited and only the user who created the comment is able to delete it.
- Comments can be added at any stage – from draft items to items that have previously been approved or rejected by NZX.
- The newest comment will be displayed first.

To create a comment:

1. Enter the desired text and click .

To delete a comment:

1. On the appropriate comment, click , located on the right side of the comment.
2. To confirm the deletion, click , to cancel click  in the popup window.
3. The comment will display as “Comment Retracted” and be greyed out.





## 2.5 User Profile

User’s profiles can be viewed by clicking the name in the top right corner of the screen:





1. Click 'My Profile' to view the user's details.
2. To edit the user's specifics, click  and amend the relevant details.
3. Click  to confirm the changes.

## 2.6 Email Preferences

1. Select 'Email Preferences' from the profile menu.
2. The user will then be presented with the following options for each section of the tool bar:
  - a. **Action Required** - You will be notified by email when an action is required.
  - b. **Approvals** - You will be notified by email when the item is approved.
  - c. **Completed** - You will be notified by email when the item is completed.
3. Users can set then select the tick-boxes based on the email notifications they wish to receive.

## 3. Users




The 'Users' tab covers all users that have access to the Portal and allows administrators to change or remove access, add new users, and update a user's details.

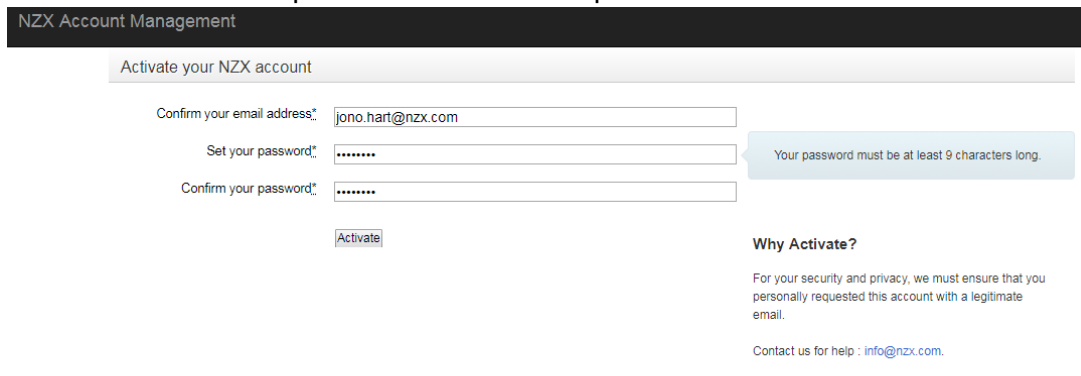
There are five user types:

- **Compliance Manager** - This user can view, create and approve all items, and administer users.
- **Compliance Team Member** - This user can view and create all items. Approval is required from a Compliance Manager or Senior Manager.
- **Finance Manager** - This user can only view, create and approve Capital & Financial Returns.
- **Finance Team Member** - This user can only view and create Capital & Financial Returns. Approval is required from a Finance Manager, Compliance Manager or Senior Manager
- **Senior Manager** - This user can view, create and approve all items, and administer users.

### 3.1 Creating a new User

To create a new user, you must be logged in with Compliance Manager or Senior Manager privileges:

1. Enter the Users section of the Portal by clicking Users on the toolbar.
2. Once in the Users page, click the  button, located on the top right below the toolbar.
3. Complete the fields with the user's details and select the role type from the drop down menu. This will limit the user's access based on their role.
4. To save the new user, click , or  to clear all fields and leave the page.
5. Once a user has been created, the individual will receive an email requesting that they activate their NZX account. The email will be from [noreply@nzx.com](mailto:noreply@nzx.com) and contain a link.
6. Click the link and complete the fields to set a password.



NZX Account Management

Activate your NZX account

Confirm your email address!

Set your password!

Confirm your password!

**Why Activate?**

For your security and privacy, we must ensure that you personally requested this account with a legitimate email.

Contact us for help : [info@nzx.com](mailto:info@nzx.com).

© Copyright NZX Limited Website Terms of Use Privacy Policy




Password length should be 9-70 characters and include must at least: 1 uppercase, 1 lowercase, 1 digit and 1 special character

7. The individual will also receive an email with a link to access the Portal. Once they have activated their account, they will be able to log in.

### 3.2 Editing or amending a User

To edit the role of an existing user, you must ask NZ RegCo to make the change (via email or phone). For instance, a user with a Compliance Team Member role may be promoted and require a Compliance Manager role.




To edit the name and contact details of an existing user, the user must select My Profile to make the changes.

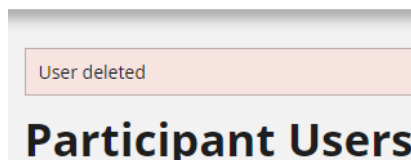
1. Click on your name in the top-right hand corner
2. Select My Profile and click 
3. Edit any of the available fields as required
4. To save the changes to the user, click , or  to cancel any changes and leave the page.

If an existing user needs to change their email address, they must be issued with a new user account. Their previous user account can be deleted by a Compliance Manager or Senior Manager.

### 3.3 Deleting a User

To delete an existing user, you must be logged in with Compliance Manager or Senior Manager privileges:

1. Enter the Users section of the Portal by clicking Users on the toolbar.
2. Once in the Users page, click the  button, located to the right of the user's entry in the list.
3. A window will pop up request confirmation of the action. Click  to confirm the deletion, or  to close the window without removing the user. Deleting a user is permanent!
4. Confirmation will appear at the top of the page, below the toolbar.



## 4. Homepage

Upon logging into the Portal, users will be automatically directed to the Homepage and can return using the toolbar or NZX logo in the top left corner.

In the right hand column, users will find their Participant's main company details and key users, with their main NZX Participant Compliance contact detailed below.

The middle column will contain the Participants 'Upcoming Coming Deadlines', specifying any items with an impending due date or those that have become overdue. Each item will specify how many days until due date (or how many days overdue), and the task can be entered for completion or submission by clicking on the title.

The left column will specify any 'Open Items' the Participant has within the Portal. These tasks will be ordered by urgency, with those requiring action at the top of the list. Items close within the past 24 hours will also appear at the bottom of this list. Each task can be entered by clicking on the title.

## 5. Applications

The 'Applications' tab covers all applications that require regulatory approval under NZX Rule Sets:

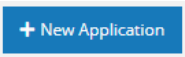
- Permissions;
- Rulings;
- Waivers;
- Approvals;
- Exemptions;
- Guarantees; and
- Subordinated Debt.

This section of the Portal allows users to submit applications and supporting documentation to NZ RegCo, view current applications and view ongoing approvals.

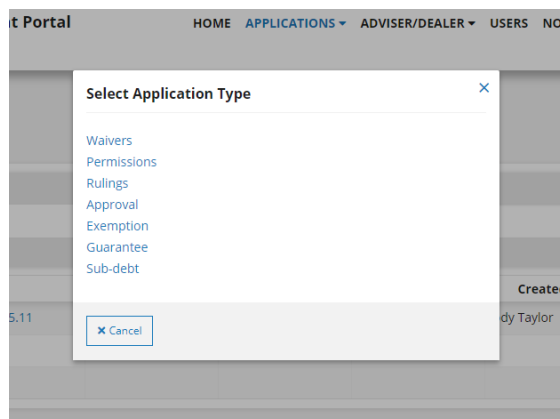
### 5.1 Creating a new Application


To create and submit an application for NZ RegCo consideration:

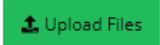
1. Enter the Applications section of the Portal by clicking Applications on the toolbar and selecting any of the options from the dropdown list.

2. Once in the Applications page, click the  button, located on the top right below the toolbar.

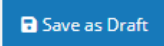
3. Select the application type from the menu located in the pop-up window.




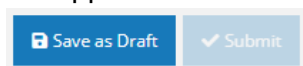
4. In the Application Form page, select the applicable Rule Set from the drop down menu and enter the Rule number in the text box below.
5. If the application pertains to more than Rule, click [+ Add another rule](#) to add additional Rules and repeat step 4 above. Click the  button to remove additional Rule entries.
6. In the Summary box, provide a brief summary of the application. Be sure to include the Rules relevant to the application, reasons for the application, and any natural persons or Market Participants involved.

7. Attach the application request letter and any supporting documentation by clicking the  button and selecting the relevant files.



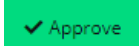
Multiple files can be selected and uploaded at once, in any format. A file must be uploaded in order to submit the application.

8. To save the application *without submitting it for Compliance Manager or Senior Manager approval*, click the  button. This will save the current state of the application, including text and any files uploaded.

9. To submit the application for approval by the Compliance Manager or Senior Manager, click the  button. All fields must be completed in order to submit the application otherwise the Submit button will be unavailable.



10. The application will then appear as an 'Action Required' open item for the Compliance Manager and Senior Managers, and a 'Pending' item for other users, within the Applications section or on the Home page.
11. The Compliance Manager, or Senior Managers, can then click on the application to review its details and any supporting information to either:

- a.  the application should the reviewer not wish it to be submitted to NZX;
- b.  the application should the details or attachments require amending before submission to NZX; or
- c.  the application for submission to NZX.

12. Once submitted, the application will be updated to a status of 'Pending NZX' meaning it is awaiting acknowledgment from NZX.
13. Once reviewed by NZX, should no further information be required, the application's status will be updated to 'Under review'.
14. Once NZX has approved the application, the status will be updated to 'Approved' and a document detailing the decisions will be available for the participants review.

## 6. Advisers and Dealers

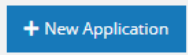
Under the Advisers and Dealers tab, Participants are able to apply, resign and manage individuals with NZX designations.

Clicking on Advisers/Dealers in the toolbar will take users to the register of all individuals with NZX designations. Filters can be used to create lists of designation types, and expanding each individual's details will show all designations that individual holds.

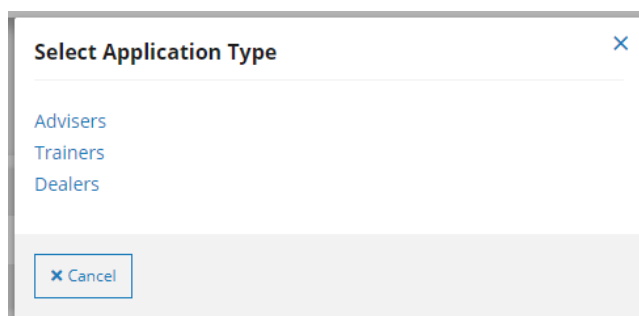
### 6.1 Creating an application for Designation

To create a new application for designation:

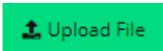
1. Enter the Designations section of the Portal by clicking Adviser/Dealer on the toolbar and selecting any of the options from the dropdown list.

2. Once in the Adviser/Dealer page, click the  button, located on the top right below the toolbar.

3. Select the application type from the menu located in the pop-up window.

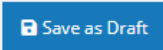


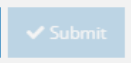





4. In the Designation Form page, select the 'Application For' from the dropdown box:
  - **Add a newly designated Adviser/Dealer/Trainer** – this is for new individuals who do not hold any other NZX designations.
  - **Add a new Adviser/Dealer/Trainer designation to an existing individual** – this is for individuals who hold another NZX designation of any kind.
  - **Transfer an Adviser/Dealer/Trainer from another organisation** – this is for individuals who have been employed, with the same designation, by another Market Participant within the preceding six months.
5. In the Designation Form page, select the 'Application Type' from the dropdown box. This dropdown lists options across all Rule Sets for the applicable application type. Once an option is selected, additional fields will become available.
6. Complete the fields with the individual's details. 'Broking Office' refers to the broking office the individual is based in.

7. Click the  button to upload the documentation supporting the individual's application. Multiple files can be selected and uploaded at once, in any format. A file must be uploaded in order to submit the application.
8. Tick to confirm the required supporting documentation has been included using the boxes provided:

Please ensure the following information is included within the supporting documentation:

- Completed application form and undertakings in the form of Appendix 9
- Evidence of the Applicant's qualifications and professional memberships
- Applicant's CV outlining employment history and experience
- Evidence of the Applicant's registrations or licences
- Details of any adverse or potentially adverse matters in relation to the Applicant which have been brought to the attention of any relevant regulatory authorities during the last 6 years
- Any other relevant information in relation to this application

9. To save the application *without submitting it for Compliance Manager or Senior Manager approval*, click the  button. This will save the current state of the application, including text and any files uploaded.
  10. To submit the application for approval by the Compliance Manager or Senior Manager, click the  button. All fields must be completed in order to submit the application otherwise the Submit button will be unavailable.
-  
11. The application will then appear as an 'Action Required' open item for the Compliance Manager and Senior Managers, and a 'Pending' item for other users, within the Applications section or on the Home page.
  12. The Compliance Manager, or Senior Managers, can then click on the individual's designation to review its details and any supporting information to either:
    - a.  the application should the reviewer not wish it to be submitted to NZX;
    - b.  the application should the details or attachments require amending before submission to NZX; or
    - c.  the application for submission to NZX.
  13. Once submitted, the application will be updated to a status of 'Pending NZX' meaning it is awaiting acknowledgment from NZX.
  14. Once reviewed by NZX, should no further information be required, the application's status will be updated to 'Under review'.


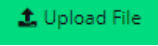
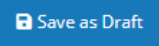
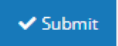


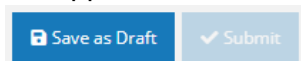
## 6.2 Resigning an Individual

To remove a designation from an individual, the resign function can be used:


1. Enter the Designations section of the Portal by clicking Adviser/Dealer on the toolbar and selecting any of the options from the dropdown list.
2. Select the relevant individual and expand their details by clicking the arrow to the left of their name.

Application Type	Created By	Date Added	Last Changed	Status	Action
Dealer	Jody Taylor	24/08/2018, 10:58	24/08/2018, 11:00	Approved	
Derivatives Adviser Accreditation	Jody Taylor	24/08/2018, 10:58	24/08/2018, 11:00	Approved	
NZX Adviser Accreditation	Jody Taylor	20/08/2018, 17:24	24/08/2018, 10:55	Approved	




3. Click the  button to the right of the individual's name.
4. Select the effective date for the individual's resignation. This is usually their last day of employment.
5. For Dealer resignations, Appendix 8 of the Participant Rules or a System Access Removal Request form from the Derivative Market Rules is required. Upload this by using the  button.
6. To save the resignation without submitting it for Compliance Manager or Senior Manager approval, click the  button. This will save the current state of the application, including text and any files uploaded.
7. To submit the resignation for approval by the Compliance Manager or Senior Manager, click the  button. All fields must be completed in order to submit the application otherwise the Submit button will be unavailable.



8. The resignation will then appear as an 'Action Required' open item for the Compliance Manager and Senior Managers, and a 'Pending' item for other users, within the Applications section or on the Home page.

Application Type	Created By	Date Added	Last Changed	Status	Action
Pending Resignation	Jody Taylor	24/08/2018, 11:06	24/08/2018, 11:06	Action required	
Dealer	Jody Taylor	24/08/2018, 10:58	24/08/2018, 11:00	Approved	

9. The Compliance Manager, or Senior Managers, can then click on the individual's resignation to review its details and any supporting information to either:

- a.  the resignation should the reviewer not wish it to be submitted to NZX;
- b.  the resignation should the details or attachments require amending before submission to NZX; or
- c.  the resignation for submission to NZX.

10. Once submitted, the resignation will be updated to a status of 'Pending NZX' meaning it is awaiting acknowledgment from NZX.

11. Once reviewed by NZX, should no further information be required, the resignation's status will be updated to 'Under review'.

12. Once the resignation is approved by NZX, *all* of the individual's designations will be removed and the individual *will not be displayed* in the register.

## 7. Notifications

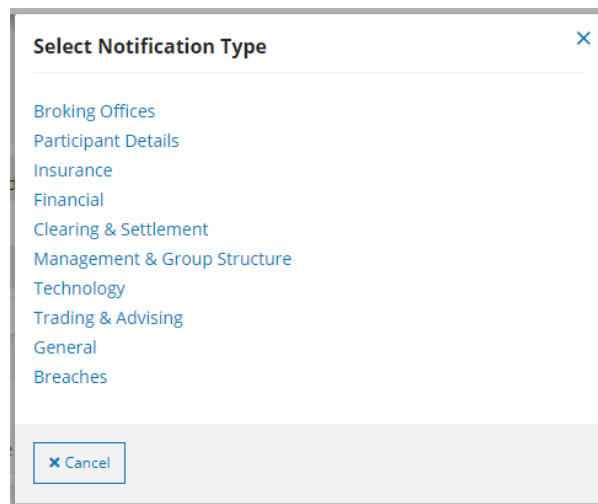
Under the Notifications tab, Participants are able to notify NZX using online forms for the specific provision of information requirements prescribed under the Participant Rules Sets, and upload supporting information as attachments.

Clicking on Notifications in the toolbar will take users to the register of all draft, pending, submitted and acknowledged notifications for the Participant.

### 7.1 Submitting Notifications to NZX

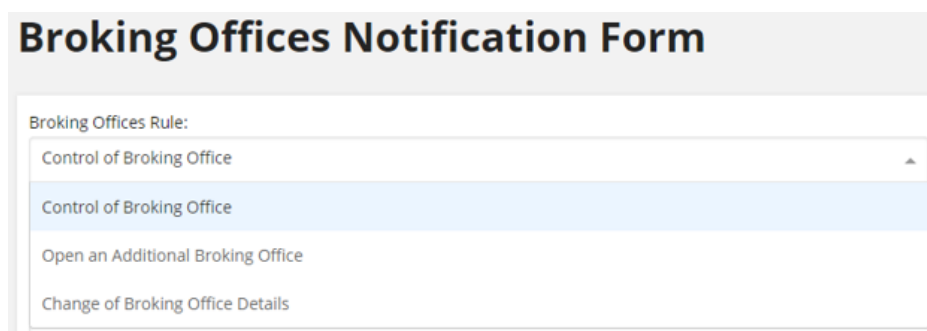
To submit Notifications to NZX and/or CHO in the Portal:

1. Click the **+ New Notification** button, located on the top right below the toolbar.
2. Select the Notification type from the menu located in the pop-up window.

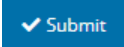

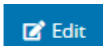
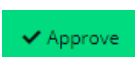


Each link will take the user through to a page containing the Notification Forms for that general category of information.

3. Once selecting a category, the first drop down list will contain the Notification options that will determine the form to be used for supplying the relevant information and attachments:



4. Once selecting a form, complete each field as per the instructions, and **Upload Files**
5. To save as a draft to complete at a later time, click **Save as Draft**.

6. To submit for approval by the Compliance Manager, or other Senior Manager, click .
7. The item will then appear as an 'Action Required' open item for the Compliance Manager and Senior Managers, and a 'Pending' item for other users, within the Notifications section or on the Home page.
8. The Compliance Manager or Senior Managers, can then click on the Notification to review its details and any supporting information to either:
  - a.  the notification should the reviewer not wish it to be submitted to NZX;
  - b.  the notification should the details or attachments require amending before submission to NZX; or
  - c.  the notification for submission to NZX.
9. Once submitted, the Notification will be updated to a status of 'Pending NZX' awaiting acknowledgment from Participant Compliance.
10. Once reviewed by PC, should no further information be required, the Notification's status will be updated to 'Acknowledged'.
11. A record of the Notification will be kept in the Notification section for future reference, and appear in the Home page for 24 hours.

## 8. Capital & Financial

The 'Capital & Financial' tab caters for a Market Participant's capital adequacy notification and periodic reporting obligations required under the applicable Participant Rules Sets. This section of the Portal allows users to submit information and supporting documentation to NZ RegCo, and review past submissions, categorised as follows:

- Capital Change Notifications;
- Monthly Returns;
- Half-year Returns; and
- Annual Returns.

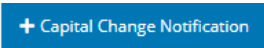
Users with Finance Team Member or Finance Manager permission will only see this section of the Portal.

### 8.1 Capital Change Notification

Participants have the obligation to notify NZX and CHO where their Capital Adequacy Ratio moves above or below any of the following thresholds between two consecutive Business Days:

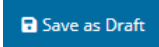
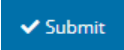


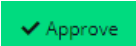
**100%, 120%, 150%, 200%, 300%, 500% and 1000%**

Notifications for changes in a Participant's Capital Adequacy Ratio are performed by:

1. Enter the Capital & Financial section of the Portal by clicking Capital & Financial on the tool bar and selecting any of the options from the dropdown list.
2. Once entering the selected capital filing list, click the  button.
3. In the Capital Change Notification page, fill in the fields for the Participant's Capital Adequacy figures for the previous Business Day (T-1), and Business Day before that (T-2), reflecting the movement across the applicable threshold:

T - 1 day	T - 2 days
<input type="text" value="20/08/2018"/>	<input type="text" value="17/08/2018"/>
NTCA	
<input type="text" value="\$ 25648641.00"/>	<input type="text" value="\$ 25648466.00"/>
TRR/Minimum NTCA	
<input type="text" value="\$ 7546189.00"/>	<input type="text" value="\$ 9228642.00"/>
Capital adequacy ratio	
<input type="text" value="% 340"/>	<input type="text" value="% 278"/>

4. In the text box below, specify the '*Factors that resulted in the change in Capital Adequacy Ratio*', detailing in NTCA or Total Risk Requirements that have contributed to the movement.

5. Should the Participant's Capital Adequacy Ratio move to level below 120%, a full breakdown of the Participant's Capital Adequacy Calculations must be uploaded as 'Supporting Documents'.
6. To save as a draft to complete at a later time, click .
7. To submit for approval by the Compliance Manager, or other Senior Manager, click .
8. The item will then appear as an 'Action Required' open item for the Compliance Manager and Senior Managers, and a 'Pending' item for other users, within the Capital & Financial section or on the Home page.
9. The Compliance Manager or Senior Managers, can then click on the Capital Change Notification to review its details and any supporting information to either:
  - a.  the notification should the reviewer not wish it to be submitted to NZX;
  - b.  the notification should the details or attachments require amending before submission to NZX; or
  - c.  the notification for submission to NZX.
10. Once submitted, the Notification will be updated to a status of 'Pending NZX' awaiting acknowledgment from Participant Compliance.
11. Once reviewed by PC, should no further information be required, the Notification's status will be updated to 'Acknowledged'.
12. A record of the Notification will be kept in the Capital & Financial section for future reference, and appear in the Home page for 24 hours.

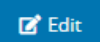
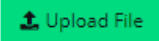
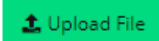

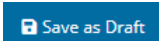


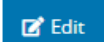
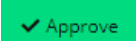
## 8.2 Monthly Reporting Returns

Each Participant is required to provide NZX and/or CHO a monthly report of its Capital Adequacy Calculations performed throughout the month and a full breakdown of the Capital Adequacy Calculation for the last day of that month.

Monthly Returns must be provided within *10 Business Days* of the end of each calendar month.

The submission of a Participant's monthly returns are performed within the Portal as follows:

1. On the first day of each calendar month, the previous month's Return will be automatically generated by the Portal as an 'Action Required' item in the Capital & Financial section, and under the 'Upcoming Deadlines' on the home page.

2. Click into the un-submitted Monthly Return, which will contain no information, and click  to commence attaching the required information and documentation to the filing.
3. Once in the entering the Monthly Return, upload tab '1. Capital Adequacy Calc' for the month end in CSV format, by clicking the first  button, selecting the CSV file from the appropriate the file drive, and clicking 'Open' from the pop up box. Please note, tab '1. Capital Adequacy Calc' must:
  - a. be in the format prescribed by the NZX's Capital Adequacy Template (i.e. no inserted/removed columns or rows);
  - b. have data populated in the mandatory cells; and
  - c. be saved in CSV format;for the Portal to accept the file for submission.
4. Click the second  button to attach the Monthly Return's supporting documentation. Multiple files may be selected for a single upload and the Portal will allow for additional uploads from other locations.
5. The attached files will be displayed above the button and individual files can be removed by click the  icon.
6. Once all files have been uploaded, tick-off the applicable boxes as a final check of the items required to be supplied in the Monthly Return for the Participants Accreditation(s).
7. To save as a draft to complete at a later time, click .
8. To submit for approval by the Compliance Manager, or other Senior Manager, click .
9. The Monthly Return will then appear as an 'Action Required' open item for the Compliance Manager and Senior Managers, and a 'Pending' item for other users, within the Capital & Financial section or on the Home page.
10. The Compliance Manager or Senior Managers, can then click on the Monthly Return to review its details and supporting information to either:
  - a.  the Monthly Return should the reviewer not wish it to be submitted to NZX;
  - b.  the Monthly Return should the details or attachments require amending before submission to NZX; or
  - c.  the Monthly Return for submission to NZX.

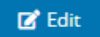
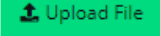
11. Once submitted, the Monthly Return will be updated to a status of 'Pending NZX' awaiting acknowledgment from PC.
12. Once reviewed by PC, should no further information be required, the Monthly Return's status will be updated to 'Acknowledged'.
13. A record of the Monthly Return and its attachments will be kept in the Capital & Financial section for future reference, and appear in the Home page for 24 hours.

### 8.3 Annual Reporting Returns

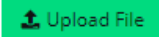

Each Participant is required to provide NZX an annual report of its Capital Adequacy, year-end financial statements, annual compliance certifications and other organisational information required under the relevant Participant Rules Sets.

The Annual Reporting Return must be submitted to NZX within *90 days* of the Participant's financial year end.

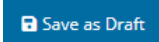
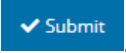


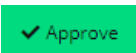
The submission of a Participant's Annual Return is performed within the Portal as follows:

1. Two calendar months following the end of the Participant's final year, a draft Annual Return will be automatically generated by the Portal as an 'Action Required' item in the Capital & Financial section, and under the 'Upcoming Deadlines' on the home page.
2. Click into the un-submitted Annual Return, which will contain no information, and click  to commence attaching the required information and documentation to the filing.
3. Once in the entering the Annual Return, upload tab '1. Capital Adequacy Calc' for the financial year-end in CSV format, by clicking the first  button, selecting the CSV file from the appropriate the file drive, and clicking 'Open' from the pop up box. Please note, tab '1. Capital Adequacy Calc' must:
  - a. be in the format prescribed by the NZX's Capital Adequacy Template (i.e. no inserted/removed columns or rows);
  - b. have data populated in the mandatory cells; and
  - c. be saved in CSV format;

for the Portal to accept the file for submission.

4. Click the second  button to attach the Annual Return's supporting documentation. Multiple files may be selected for a single upload and the Portal will allow for additional uploads from other locations.
5. The attached files will be displayed above the button and individual files can be removed by click the  icon.



6. Once all files have been uploaded, tick-off the applicable boxes as a final check of the items required to be supplied in the Annual Return for the Participants Accreditation(s).
7. To save as a draft to complete at a later time, click  .
8. To submit for approval by the Compliance Manager, or other Senior Manager, click .
9. The Annual Return will then appear as an 'Action Required' open item for the Compliance Manager and Senior Managers, and a 'Pending' item for other users, within the Capital & Financial section or on the Home page.
10. The Compliance Manager or Senior Managers, can then click on the Annual Return to review its details and supporting information to either:
  - a.  the Annual Return should the reviewer not wish it to be submitted to NZX;
  - b.  the Annual Return should the details or attachments require amending before submission to NZX; or
  - c.  the Annual Return for submission to NZX.
11. Once submitted, the Annual Return will be updated to a status of 'Pending NZX' awaiting acknowledgment from PC.
12. Once reviewed by PC, should no further information be required, the Annual Return's status will be updated to 'Acknowledged'.
13. A record of the Annual Return and its attachments will be kept in the Capital & Financial section for future reference, and appear in the Home page for 24 hours.


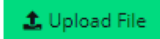
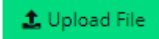

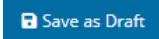



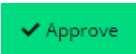
## 8.4 Half-year Reporting Returns

Each Clearing Participant is required to provide CHO a half year report of its Capital Adequacy, with un-audited financial statements for the year to date.

All Half-year Returns must be submitted to NZX within *60 days* of the Clearing Participant's financial half-year end.

The submission of a Participant's Half-year Returns is performed within the Portal as follows:

1. One calendar month following the end of the Participant's final year, a draft Half-year Returns will be automatically generated by the Portal as an 'Action Required' item in the Capital & Financial section, and under the 'Upcoming Deadlines' on the home page.

2. Click into the un-submitted Half-year Returns, which will contain no information, and click  to commence attaching the required information and documentation to the filing.
3. Once in the entering the Half-year Returns, upload tab '1. Capital Adequacy Calc' for the financial year-end in CSV format, by clicking the first  button, selecting the CSV file from the appropriate the file drive, and clicking 'Open' from the pop up box. Please note, tab '1. Capital Adequacy Calc' must:
  - a. be in the format prescribed by the NZX's Capital Adequacy Template (i.e. no inserted/removed columns or rows);
  - b. have data populated in the mandatory cells; and
  - c. be saved in CSV format;
 for the Portal to accept the file for submission.
4. Click the second  button to attach the Half-year Returns's supporting documentation. Multiple files may be selected for a single upload and the Portal will allow for additional uploads from other locations.
5. The attached files will be displayed above the button and individual files can be removed by click the  icon.
6. Once all files have been uploaded, tick-off the applicable boxes as a final check of the items required to be supplied in the Half-year Return for the Participants Accreditation(s).
7. To save as a draft to complete at a later time, click .
8. To submit for approval by the Compliance Manager, or other Senior Manager, click .
9. The Half-year Return will then appear as an 'Action Required' open item for the Compliance Manager and Senior Managers, and a 'Pending' item for other users, within the Capital & Financial section or on the Home page.
10. The Compliance Manager or Senior Managers, can then click on the Half-year Return to review its details and supporting information to either:
  - a.  the Half-year Return should the reviewer not wish it to be submitted to NZX;
  - b.  the Half-year Return should the details or attachments require amending before submission to NZX; or
  - c.  the Half-year Return for submission to NZX.

11. Once submitted, the Half-year Return will be updated to a status of 'Pending NZX' awaiting acknowledgment from PC.
12. Once reviewed by PC, should no further information be required, the Half-year Return's status will be updated to 'Acknowledged'.
13. A record of the Half-year Return and its attachments will be kept in the Capital & Financial section for future reference, and appear in the Home page for 24 hours.

## 9. Information Requests

NZ RegCo may request information via the Portal using the Information Request functionality. Such requests will include a due date and attachments detailing what information is to be provided.

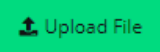

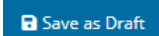
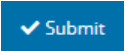
At present, this functionality is able to be utilised for:

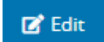
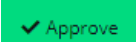
- Inspection Requests; and
- Surveillance Enquiries.

Participants are able to view Inspection Requests via the Upcoming Deadlines section of the Portal Home page and will receive an email upon receipt of Information Requests.

### 9.1 Responding to Information Requests

To respond to an Information Request in the Portal:

1. Enter into the Information Request and view what information has been requested, within the 'NZX Summary' field and by downloading documents in the 'NZX Documents' field. The due date for the information request will also be detailed within the request.
2. Respond to the information request, by entering into the information request and:
  - a. Entering text into the 'Notes' field within the information request; and/or
  - b. Uploading documents under the 'Supporting Documents' field by clicking the  button and selecting the required files. The attached files will be displayed above the button and individual files can be removed by clicking the  icon.
3. To save as a draft to complete at a later time, click .
4. To submit for approval by a Compliance Manager, or other Senior Manager, click .
5. The Information Request response will then appear as an 'Action Required' open item for Compliance Managers and Senior Managers, and a 'Pending' item for other users, within the Information Request section or on the Home page.
6. Compliance Managers and Senior Managers, can then click on the Information Request to review its details and supporting information to either:

- a.  the Information Request response should the details or attachments require amending before submission to NZX; or
  - b.  the Information Request response for submission to NZX.
7. Once submitted, the Information Request response will be updated to a status of 'Pending NZX' awaiting acknowledgment from PC and will then be updated to a status of 'Under Review' once PC has confirmed receipt of the response.
  8. Once reviewed by PC, should no further information be required, the Information Request response's status will be updated to 'Acknowledged'.
  9. A record of the Information Request and its attachments will be kept in the Information Request section for future reference and appear in the Home page for 24 hours.