



TMX AUSTRALIA EXCHANGE

Claim for Compensation under Compensation Arrangements (Rule 11 of the Operating Rules)





ABOUT THIS CLAIM FORM

This form is for use by a retail client seeking compensation for a loss covered by the insurance arrangements of TMX Australia Exchange, which is the trading name of TMX Australia Exchange Pty Limited (previously Cboe Australia Pty Ltd) ("TMX"). These insurance arrangements are referred to in rule 11.2 of the Operating Rules, which may be accessed at: <https://www.tmxaustralia.com/compliance>.

A retail client may only make a claim in respect of a loss described in rule 11.7. Only one claim may be made in respect of a particular loss. The claim must be made within six months of whichever is the later of (a) the claim arising or (b) the client becoming aware of his/her ability to make a claim. TMX may require a client making a claim to pay money, or transfer other property, in support of a claim. TMX may also, by notice, require a person to deliver to it documents or copies of documents (including documents of or evidencing title to financial products), statements of evidence or other information that TMX considers will assist it in determining a claim. TMX may disallow a claim if the person making the claim fails to comply with any such notice.

Note that compensation under rule 11 is available only in respect of losses that occurred prior to 26 October 2020 and claims must be made on or before 25 October 2027. This is because TMX changed its compensation arrangements from those set out in rule 11 to the National Guarantee Fund (NGF) on 26 October 2020. Pursuant to the conditions of TMX's market licence, TMX maintains compensation arrangements under rule 11 in a transitional capacity for seven years to ensure historic claims relating to conduct which occurred prior to the change to the NGF can be dealt with. A person whose loss occurred after 26 October 2020 should not complete this form and should instead consider making a claim under the NGF. Information about the NGF is available here: <https://www.segc.com.au/>

Claimant's full name:

Date of birth:

Postal address:

Email address:

Phone contact:

Date:

Claimants are advised to contact TMX Compliance in advance of submitting this form at: au.compliance@cboe.com.

Completed claim forms should be returned to:

Compliance
TMX Australia Exchange
Level 23 Governor Phillip Tower
1 Farrer Place
Sydney NSW 2000

Or via email au.compliance@cboe.com



CLAIM INFORMATION

The information requested below should be included in the space provided or in a clearly labelled attachment and referenced in the relevant space below.

1. PARTICIPANT AND ACCOUNT DETAILS

Please provide the Participant and account details that are the subject of your claim.

2. OUTLINE OF THE CLAIM

Please outline the facts giving rise to the claim (please provide additional information in a clearly labelled attachment if there is insufficient space below).

3. CLAIM AMOUNT

Please specify the sum you are seeking as compensation in respect of the above matter.



4. OTHER PROCEEDINGS

Please provide details of any other proceedings or regulatory inquiries that are or have been conducted in relation to the matter outlined in section 2 above.



PRIVACY ACT AUTHORISATION AND CONFIRMATION

The undersigned Claimant confirms that the information provided above is true and correct and authorises TMX to exchange information about the Claimant, including any relevant sensitive information, for the purpose of dealing with the claim. In the course of the consideration of the claim, TMX may require the Claimant to submit personal information. TMX will collect, retain and process any such personal information in accordance with the Privacy Act 1988 (Cth) and TMX's privacy policy. The Claimant agrees to provide all necessary consents for that personal information to be disclosed:

- a) for the purpose of dealing with this claim;
- b) where that disclosure is permitted by, and made in accordance with, the TMX Operating Rules;
- c) to the Australian Securities and Investments Commission, the Reserve Bank of Australia, any other regulatory authority and any of their respective delegates; and
- d) where that disclosure is required to comply with any legal, statutory or regulatory requirement.

TMX's Privacy Policy is available on the website at: <https://tmx.com/en/privacy-policy>. The Claimant may request a copy and access to their personal information by contacting TMX Compliance at: au.compliance@cboe.com

Signature of Claimant

Name

Date

