



## **Register of ASX Clear (Futures) Operating Rule Waivers**

**16 to 31 May 2012**

**The purpose of this register is to record when ASX has exercised its discretion and granted a waiver from the ASX Clear (Futures) Operating rules. Waivers are published bi-monthly and include information such as:**

- Organisation**
- Rule Number**
- Decision Details**
- Basis for Decision**

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<b>Rule Number</b>	4.14(a)
<b>Date</b>	2/05/2012
<b>Participant</b>	Deutsche Bank AG
<b>Waiver Number</b>	WPA120010-001
<b>Decision</b>	<p>The application should be granted based on the information provided by the Participant and previous exemptions granted by Participant Compliance. It is recommended that Management approves this request.</p> <p>Based solely on the information provided and pursuant to ASX Clear (Futures) Operating Rule 9A.3.8, ASX Clear (Futures) Pty Limited grants Deutsche Bank AG an exemption from ASX Clear (Futures) Operating Rule 4.14 (a).</p> <p>The exemption allows the Participant to provide the Form 405 instead of an FS 71 audit report, at the same time that they provide it to ASIC under the relief provided to overseas based authorised deposit taking institutions (ADIs) by ASIC Class Order 03/283.</p> <p>This exemption has been granted to the Participant on the basis that the relief provided to overseas based authorised deposit taking institutions (ADIs) by ASIC Class Order 03/283 continues to be applicable to the Participant.</p>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b> The underlying ASX Clear (Futures) policy is that the Participant is to provide the prescribed form at the same time that they provide it to ASIC under the relief provided to overseas based authorised deposit taking institutions (ADIs) by ASIC Class Order 03/283.</p> <p><b>Present Application</b> The request for an exemption from Deutsche Bank AG is similar in nature to previous exemptions granted and it is also consistent with ASX Clear (Futures) policy.</p>