



Register of ASX Clear (Futures) Operating Rule Waivers

16 to 31 March 2016

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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Rule Number	4.14(a)
Date	29/03/2016
Participant	Societe Generale Securities Australia Pty Ltd
Waiver Number	WPA160001-001
Decision	ASX Clear (Futures) Pty Ltd grants Societe Generale Securities Australia Pty Ltd an exemption from ASX Clear (Futures) Rule 4.14(a) such that the deadline for lodgement of the 2015 annual audit certificate is varied from 31 March 2016 (being three months after the participant's financial year end) to 29 April 2016.
Basis For Decision	<p>Underlying Policy All non-ADI participants are required to provide the prescribed annual audit certificate within three months of their financial year end in order to provide ASX Clear (Futures) with assurance, within a reasonable timeframe, on their compliance with the financial requirements set out in the Operating Rules.</p> <p>Present Application The reason for the extension request is a one-off situation due to changes within the corporate group over the 2015 financial year. Granting this extension of time is consistent with ASX Clear Operating Rule 4.4.4 which allows ASX Clear to grant an extension of up to one month for the lodgement of the equivalent audit report required under the ASX Clear Rules.</p>