



# **Register of ASX Operating Warrant and AOUA Rule Waivers**

**16 to 30 April 2021**

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

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

**For all product enquiries, please contact:  
- Customer Service Centre on 131 279**

ASX Limited ABN 98 008 624 691 and its related bodies corporate reserve all rights in the material incorporated in this publication. No part of this publication may be photocopied, reproduced, transcribed into or stored in a retrieval system or any other form of electronic medium, nor may it be transmitted in any form or by any means whether electronic, mechanical or otherwise without the prior written approval of the General Manager, Market Information, ASX Limited. NO RESPONSIBILITY IS ACCEPTED FOR ANY INACCURACIES IN THE MATTER PUBLISHED



## Register of ASX Operating Warrant and AQUA Rule Waivers

<b>Rule Number</b>	10A.10.8
<b>Date</b>	14/04/2021
<b>ASX Code</b>	VET
<b>Listed Company</b>	VANGUARD ETHICALLY CONSCIOUS AUSTRALIAN SHARES ETF
<b>Waiver Number</b>	WLC210063-001
<b>Decision</b>	1. Based solely on the information provided, ASX Limited ('ASX') grants Vanguard Investments Australia Ltd (the 'Issuer') a waiver from ASX Operating Rules Schedule 10A.10.8 to the extent necessary to permit the Issuer to appoint Jane Street Financial Limited ('Jane Street') as its market maker agent on condition that the Issuer and Jane Street have adequate procedures and arrangements in place which support the liquidity in Vanguard Ethically Conscious Australian Shares ETF (ASX: VETH).
<b>Basis For Decision</b>	<p><b>Underlying Policy</b>  AQUA Products admitted to Trading Status which propose to satisfy ASX Operating Rule 10A.3.6(b) require the AQUA Product Issuer to appoint a Trading Participant to perform AQUA Product Market Making functions where the AQUA Product Issuer is not a Trading Participant or does not directly make a market in all or some AQUA Product Series.</p> <p><b>Present Application</b>  The Issuer is seeking to replace its existing lead market maker for the Fund. The Issuer proposes to conduct liquidity activities via an agency agreement with a party, of which both are not a Trading Participant, but will have an arrangement in place to enter bids, execute and settle orders with a Trading Participant. The Issuer and agent have adequate procedures and arrangements in place which support liquidity activities and the ability to enter and execute orders on a timely basis through a Trading Participant to meet its requirement to provide a reasonable bid on an ongoing basis under ASX Operating Rule 10A.3.6(b). As it appears that the Issuer will otherwise comply with the requirements of ASX Operating Rule 10.A.3.6, it is proposed to grant the waiver.</p>

ASX Limited ABN 98 008 624 691 and its related bodies corporate reserve all rights in the material incorporated in this publication. No part of this publication may be photocopied, reproduced, transcribed into or stored in a retrieval system or any other form of electronic medium, nor may it be transmitted in any form or by any means whether electronic, mechanical or otherwise without the prior written approval of the General Manager, Market Information, ASX Limited. NO RESPONSIBILITY IS ACCEPTED FOR ANY INACCURACIES IN THE MATTER PUBLISHED