



Register of ASX Operating Warrant and AOUA Rule Waivers

1 to 15 October 2023

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

Rule Number	10A.10.8
Date	14/09/2023
ASX Code	UTI
Listed Company	BETASHARES INFLATION PROTECTED US TRSY BOND CH ETF
Waiver Number	WLC230201-001
Decision	<p>1. Based solely on the information provided, ASX grants the Issuer a waiver from Rule 10A.10.8 of Schedule 10A of the ASX Operating Rules to the extent necessary to permit Betashares Capital Ltd ('Issuer') to appoint BNP Paribas Arbitrage ('BNPP') as its market maker agent on condition that the Issuer and BNPP have adequate procedures and arrangements in place which support the liquidity in the Betashares Inflation-Protected U.S. Treasury Bond Currency Hedged ETF (ARSN 664 916 974).</p> <p>2. ASX has considered the application of Rule 10A.10.8 of Schedule 10A of the ASX Operating rules only and makes no statement as to the Issuer's compliance with other Rules.</p> <p>3. If the Fund is not admitted to Trading Status by 7 September 2024, paragraph 1 will cease to have effect.</p>
Basis For Decision	<p>Underlying Policy Rule 10A.3.6(b) of Schedule 10A of the ASX Operating Rules requires 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>Present Application The Issuer is seeking to issue a new AQUA Product. The Issuer proposes to conduct liquidity activities via an agency agreement. Neither the Issuer nor the agent are Trading Participants but the agent will have an arrangement in place to enter bids and offers, and execute and settle orders with a Trading Participant. The Issuer and agent have adequate procedures and arrangements in place which support liquidity activities in each AQUA Product 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).</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



Register of ASX Operating Warrant and AQUA Rule Waivers

Rule Number	10A.10.8
Date	14/09/2023
ASX Code	US1
Listed Company	BETASHARES US TREASURY BOND 7-10YR CH ETF
Waiver Number	WLC230200-001
Decision	<p>1. Based solely on the information provided, ASX grants Betashares Capital Ltd ('Issuer') a waiver from Rule 10A.10.8 of Schedule 10A of the ASX Operating Rules to the extent necessary to permit the Issuer to appoint BNP Paribas Arbitrage ('BNPP') as its market maker agent on condition that the Issuer and BNPP have adequate procedures and arrangements in place which support the liquidity in the Betashares U.S. Treasury Bond 7-10 Year Currency Hedged ETF (ARSN 664 917 319).</p>
Basis For Decision	<p>Underlying Policy Rule 10A.3.6(b) of Schedule 10A of the ASX Operating Rules requires 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>Present Application The Issuer is seeking to issue a new AQUA Product. The Issuer proposes to conduct liquidity activities via an agency agreement. Neither the Issuer nor the agent are Trading Participants but the agent will have an arrangement in place to enter bids and offers, and execute and settle orders with a Trading Participant. The Issuer and agent have adequate procedures and arrangements in place which support liquidity activities in each AQUA Product 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).</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