



Register of ASX Operating Warrant and AQUA Rule Waivers

16 to 31 May 2014

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**

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Rule Number	1003
Date	19/05/2014
Participant	Susquehanna Pacific Pty Limited
Waiver Number	WPA140011-001
Decision	The application should be granted.
Basis For Decision	<p>Underlying Policy The restriction on the number of clearing arrangements a Trading Participant can have in place is related to mitigating the financial and operational risks associated with such a model.</p> <p>Present Application It is ASX's current policy to allow a Trading Participant, which is a Principal Trader, to have arrangements with more than one clearer. This is on the basis that each of the Clearing Participants provides an attestation to ASX Clear that they are aware of, and have mitigated, the risks associated with such arrangements.</p> <p>The decision to grant the waiver is conditional on Sequehanna Pacific Pty Limited:</p> <ol style="list-style-type: none">1. not having clearing arrangements under ASX Operating Rule 1003 with more than two Clearing Participants at any one time; and2. having a unique Trading Identifier for each clearing arrangement.