



Register of ASX 24 Operating Rules Rule Waivers

16 to 30 November 2014

The purpose of this register is to record when ASX has exercised its discretion and granted a waiver from the ASX 24 Operating Rules 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**

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Rule Number	3500
Date	12/11/2014
Participant	Credit Suisse AG
Waiver Number	WPA140025-001
Decision	ASX grants the waiver pursuant to ASX24 Operating Rule 6030.
Basis For Decision	<p>Underlying Policy Australian Securities Exchange Limited has previously granted waivers to ASX 24 Trading Participants with offshore Related Body Corporates which permit those participants to report positions held through the offshore Related Body Corporate at the omnibus level on T+1 and at the beneficial holder level on T+2. These waivers were granted on the basis that it was difficult for ASX 24 Trading Participants to retrieve beneficial holder information from their offshore Related Body Corporates by 8:00am on T+1 due to time-zone constraints around end-of-day processing.</p> <p>Present Application Based solely on the information provided by the Participant, ASX does not believe that granting the requested waiver would undermine the core principles on which the ASX 24 Operating Rules are based. Moreover, the request for a waiver from ASX 24 Operating Rule Procedure 3500.1(a) is similar in nature to previous waivers granted to other ASX 24 Trading Participants.</p> <p>The waiver is subject to the following conditions:</p> <ol style="list-style-type: none"> 1. Only positions held in the account of the nominated offshore related body corporate may be reported in the Daily Beneficial Ownership Report (DBOR) at the omnibus level on T+1; 2. The Participant must submit a separate report by 8:00am on the day after the DBOR is due (i.e. T+2), containing a breakdown of the positions that comprise the omnibus account, detailing all clients holding an Open Position and providing the same information in the same format required in the DBOR.

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Rule Number	3500
Date	20/10/2014
Participant	HSBC Bank Australia Limited
Waiver Number	WPA140021-001
Decision	ASX grants the waiver pursuant to ASX24 Operating Rule 6030.
Basis For Decision	<p>Underlying Policy Australian Securities Exchange Limited has previously granted waivers to ASX 24 Trading Participants with offshore Related Body Corporates which permit those participants to report positions held through the offshore Related Body Corporate at the omnibus level on T+1 and at the beneficial holder level on T+2. These waivers were granted on the basis that it was difficult for ASX 24 Trading Participants to retrieve beneficial holder information from their offshore Related Body Corporates by 8:00am on T+1 due to time-zone constraints around end-of-day processing.</p> <p>Present Application Based solely on the information provided by the Participant, ASX does not believe that granting the requested waiver would undermine the core principles on which the ASX 24 Operating Rules are based. Moreover, the request for a waiver from ASX 24 Operating Rule Procedure 3500.1(a) is similar in nature to previous waivers granted to other ASX 24 Trading Participants.</p>

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Rule Number	3500
Date	2/10/2014
Participant	Merrill Lynch (Australia) Futures Limited
Waiver Number	WPA140019-001
Decision	ASX grants the waiver pursuant to ASX24 Operating Rule 6030.
Basis For Decision	<p>Underlying Policy Australian Securities Exchange Limited has previously granted waivers to ASX 24 Trading Participants with offshore Related Body Corporates which permit those participants to report positions held through the offshore Related Body Corporate at the omnibus level on T+1 and at the beneficial holder level on T+2. These waivers were granted on the basis that it was difficult for ASX 24 Trading Participants to retrieve beneficial holder information from their offshore Related Body Corporates by 8:00am on T+1 due to time-zone constraints around end-of-day processing.</p> <p>Present Application Based solely on the information provided by the Participants, ASX does not believe that granting the requested waiver would undermine the core principles on which the ASX 24 Operating Rules are based. Moreover, the request for a waiver from ASX 24 Operating Rule Procedure 3500.1(a) is similar in nature to previous waivers granted to other ASX 24 Trading Participants. The waiver is subject to the following conditions:</p> <ol style="list-style-type: none"> 1. Only positions held in the account of the nominated offshore related body corporate may be reported in the Daily Beneficial Ownership Report (DBOR) at the omnibus level on T+1; 2. The Participant must submit a separate report by 8:00am on the day after the DBOR is due (i.e. T+2), containing a breakdown of the positions that comprise the omnibus account, detailing all clients holding an Open Position and providing the same information in the same format required in the DBOR.

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Rule Number	3500
Date	7/11/2014
Participant	UBS AG
Waiver Number	WPA140023-001
Decision	ASX grants the waiver pursuant to ASX24 Operating Rule 6030.
Basis For Decision	<p>Underlying Policy Australian Securities Exchange Limited has previously granted waivers to ASX 24 Trading Participants with offshore Related Body Corporates which permit those participants to report positions held through the offshore Related Body Corporate at the omnibus level on T+1 and at the beneficial holder level on T+2. These waivers were granted on the basis that it was difficult for ASX 24 Trading Participants to retrieve beneficial holder information from their offshore Related Body Corporates by 8:00am on T+1 due to time-zone constraints around end-of-day processing.</p> <p>Present Application Based solely on the information provided by the Participant, ASX does not believe that granting the requested waiver would undermine the core principles on which the ASX 24 Operating Rules are based. Moreover, the request for a waiver from ASX 24 Operating Rule Procedure 3500.1(a) is similar in nature to previous waivers granted to other ASX 24 Trading Participants.</p> <p>The waiver is subject to the following conditions:</p> <ol style="list-style-type: none"> 1. Only positions held in the account of the nominated offshore related body corporate may be reported in the Daily Beneficial Ownership Report (DBOR) at the omnibus level on T+1; 2. The Participant must submit a separate report by 8:00am on the day after the DBOR is due (i.e. T+2), containing a breakdown of the positions that comprise the omnibus account, detailing all clients holding an Open Position and providing the same information in the same format required in the DBOR.

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