



Register of ASX Settlement Operating Rule Waivers

16 to 29 February 2020

The purpose of this register is to record when ASX has exercised its discretion and granted a waiver from the ASX Settlement 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	5.6.1(b)
Date	21/02/2020
ASX Code	YAL
Listed Company	YANCOAL AUSTRALIA LIMITED
Waiver Number	WLC200021-001
Decision	<p>1. Based solely on the information provided, ASX Limited ('ASX') grant Yancoal Australia Limited (the 'Company') a waiver from ASX Settlement Operating Rule 5.6.1 (b) to the extent necessary to permit the Company to specify a time for the purpose of determining voting entitlements at a meeting of Holders under Regulations 7.11.37 and 7.11.38 of the Corporations Regulations no more than 4 business days, on the following conditions:</p> <p>1.1 The waiver only applies in respect of the date of the Annual General Meeting set out below ("AGM Date"):</p> <p>1.1.1 The date of the Annual General Meeting is scheduled for 29 May 2020.</p> <p>1.2 In relation to the AGM Date, if there are any changes to the AGM Date, the waiver will apply to the revised date, provided that the Company:</p> <p>1.2.1 notifies ASX Listings Compliance ("ASXLC") of the change to the AGM Date at least two (2) business days prior to the change (the "Notification"); and</p> <p>1.2.2 ASXLC does not object to the change within a period of one (1) business day from the date it receives the Notification.</p> <p>1.3 The Company issues a market release informing investors that the record date for determining voting entitlements at the Annual General Meeting will be 4 business days before the AGM Date rather than the time period prescribed by ASX Settlement Operating Rules and the Corporations Act.</p> <p>1.4 The Company is successful in its application to ASIC for relief from regulation 7.11.37(3)(b) of the Corporations Act and provides evidence of such relief to ASX.</p> <p>1.5 The Company is required to provide written notice to ASX of any changes to the Company's listing on the Hong Kong Stock Exchange that would affect the application of this waiver.</p>
Basis For Decision	<p>Underlying Policy ASX Settlement Operating Rule 5.6.1(b) provides that a record date for determining voting entitlements at a meeting of holders must not be more than 48 hours before a meeting of holders under Regulations 7.11.37 and 7.11.38 of the Corporations Regulations.</p> <p>Present Application The Company is dual primary listed on ASX and the Hong Kong Stock Exchange ("HKSE"). As an entity listed on the Hong Kong Stock Exchange, the Company is required to comply with the Hong Kong Securities Clearing Company ("HKSCC") rules. Under those rules, if the Company elects to include a Record Date for a meeting, the HKSCC rules requires the Record Date to be at least 4 business days before the meeting, and for the deadline for the submission of the proxy appointment form to be after the Record Date. This is to allow sufficient time for HKSCC to obtain voting instructions from the participants, collate the voting instructions, and submit the proxy appointment form(s) to the Company by the Company's set deadline. The Company is therefore unable to comply with the requirements of</p>

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both exchanges. ASX will grant a waiver of ASXS Operating Rule 5.6.1(b) for the AGM to be held on 29 May 2020 (or such other date agreed with ASX) on the condition the Company releases an announcement to the market that the Record Date for determining voting entitlements at the AGM will be 4 business days before the date of the AGM, ASIC grants the Company relief from regulation 7.11.37(3)(b) of the Corporations Act, and the Company provide notice to ASX of any changes to the Company's listing on the HKSE that would affect the application of this waiver. If there is any change in the date of the AGM for 2020, the Company is to notify ASX of this change.

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Register of ASX Settlement Operating Rule Waivers

Rule Number	13.9.4
Date	28/02/2020
ASX Code	NWS
Listed Company	NEWS CORPORATION..
Waiver Number	WLC200022-001
Decision	<p>1. Based solely on the information provided, ASX Limited ("ASX") grants News Corporation (the "Company") a waiver from ASX Settlement Operating Rules 13.9.4 and 13.9.9 on the following conditions:</p> <p>1.1 The waiver only applies in respect of the dividend period set out below (the "Relevant Period"):</p> <p>I. From and including 9 March 2020 up to and including 11 March 2020.</p> <p>2. In relation to the above Relevant Period, if there are any changes to such dividend period, the waiver will apply to the revised period, provided that the Company:</p> <p>I. notifies ASX Settlement ("ASXS") of the change to the dividend period at least two (2) business days prior to the change (the "Notification"); and</p> <p>II. ASXS does not object to the change within a period of one (1) business day from the date it receives the Notification.</p> <p>3. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Period.</p>
Basis For Decision	<p>Underlying Policy ASX Settlement Operating Rule 13.9.4 requires an Issuer that receives a Valid Message under Rule 13.9.3(b) to generate a Trustee Transfer Form in accordance with the Procedures and register that Transfer in the Principal Register, within the Scheduled Time. The Scheduled Time contained in Appendix 1 is within 12 business hours of ASXS transmitting the Message.</p> <p>Present Application The waivers are considered necessary to prevent the potential for a holder to gain inappropriate access to a dividend made by the Company as a result of differences in time zones and ex entitlement periods between two different jurisdictions. Such disparity may create an opportunity for a holder who is not entitled to receive a dividend to inappropriately gain access to that dividend as issuances can't be tagged to clarify whether they are trading with or without the dividend.</p>

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Register of ASX Settlement Operating Rule Waivers

Rule Number	13.9.9
Date	28/02/2020
ASX Code	NWS
Listed Company	NEWS CORPORATION..
Waiver Number	WLC200022-002
Decision	<p>1. Based solely on the information provided, ASX Limited ("ASX") grants News Corporation (the "Company") a waiver from ASX Settlement Operating Rules 13.9.4 and 13.9.9 on the following conditions:</p> <p>1.1 The waiver only applies in respect of the dividend period set out below (the "Relevant Period"):</p> <p>I. From and including 9 March 2020 up to and including 11 March 2020.</p> <p>2. In relation to the above Relevant Period, if there are any changes to such dividend period, the waiver will apply to the revised period, provided that the Company:</p> <p>I. notifies ASX Settlement ("ASXS") of the change to the dividend period at least two (2) business days prior to the change (the "Notification"); and</p> <p>II. ASXS does not object to the change within a period of one (1) business day from the date it receives the Notification.</p> <p>3. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Period.</p>
Basis For Decision	<p>Underlying Policy ASX Settlement Operating Rule 13.9.9 requires an Issuer that receives a Valid Message under Rule 13.9.8 and properly completed transfer documentation to transmit a Message to ASXS to transfer the Financial Products, enter the Transfer in the Principal Register and in certain circumstances verify the Registration Details, within the Scheduled Time. The Scheduled Time contained in Appendix 1 is within 12 business hours of ASXS queuing the Transfer or of the Issuer receiving the documentation, whichever is the later.</p> <p>Present Application The waivers are considered necessary to prevent the potential for a holder to gain inappropriate access to a dividend made by the Company as a result of differences in time zones and ex entitlement periods between two different jurisdictions. Such disparity may create an opportunity for a holder who is not entitled to receive a dividend to inappropriately gain access to that dividend as issuances can't be tagged to clarify whether they are trading with or without the dividend.</p>

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