



# **Register of ASX Settlement Operating Rule Waivers**

**16 to 31 July 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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## Register of ASX Settlement Operating Rule Waivers

<b>Rule Number</b>	4.11.1
<b>Date</b>	13/07/2020
<b>Participant</b>	Citicorp Nominees Pty Ltd
<b>Waiver Number</b>	WPA200003-001
<b>Decision</b>	Based solely on the information provided and pursuant to ASX Settlement Operating Rule 3.3.1, ASX Settlement Pty Ltd grants CNPL a waiver from providing statutory declarations in relation to itself and from each of its directors as required under ASX Settlement Operating Rules Procedure 4.11.1 in connection with its application to be a Product Issuer Settlement Participant.
<b>Basis For Decision</b>	<p><b>Underlying Policy</b> The underlying policy of the rule is that an applicant seeking admission as a participant in the ASX Settlement facility must satisfy ASX that it is of high business integrity. High business integrity is interpreted as high standards of honesty in the conduct of business by the person.</p> <p><b>Present Application</b> CNPL has been a General Settlement Participant of ASX since 1994 and has confirmed to ASX Settlement that it has not been subject to any significant regulatory matters that may impact upon its business integrity.</p> <p>Further, CNPL has confirmed its directors have not been subject to any significant regulatory matters that may impact its business integrity as they are all considered to be of high business integrity and meet the requirements as outlined by ASX in ASXSOR Procedure 4.11.1(c).</p>

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# Register of ASX Settlement Operating Rule Waivers

<b>Rule Number</b>	13.9.4
<b>Date</b>	23/07/2020
<b>ASX Code</b>	RMD
<b>Listed Company</b>	RESMED INC
<b>Waiver Number</b>	WLC200272-001
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ('ASX') grants Resmed Inc ('RMD') a waiver from ASX Settlement Operating Rule 13.9.4 on the following conditions:</p> <p>2. The waiver only applies in respect of the dividend periods set out below (the 'Relevant Periods'):</p> <p>2.1 From and including 19 August 2020 up to and including 20 August 2020</p> <p>2.2 From and including 11 November 2020 up to and including 12 November 2020</p> <p>2.3 From and including 10 February 2021 up to and including 11 February 2021</p> <p>2.4 From and including 12 May 2021 up to and including 13 May 2021</p> <p>3. In relation to the above Relevant Periods, if there are any changes to such dividend periods, the waiver will apply to those revised periods, provided that RMD:</p> <p>3.1 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>3.2 ASXS does not object to the change within a period of one (1) business day from the date it receives the Notification.</p> <p>4. RMD issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Period.</p> <p>5. This waiver will expire on 23 July 2021.</p>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b> 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><b>Present Application</b> Due to the different settlement and transfer procedures applicable to the RMD's primary and secondary listing, the timing and application of the cum-dividend and ex-dividend periods prior to the record date will be different for common stock and for Chess Depository Interests. Accordingly, there is potential, with respect to the operation of conversion between the two securities' registers, for inequalities to exist as to standing, cum or ex, of the respective security holders. The waivers are necessary to ensure a consistent approach is applied to all security holders and their dividend entitlement.</p>

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# Register of ASX Settlement Operating Rule Waivers

<b>Rule Number</b>	13.9.9
<b>Date</b>	23/07/2020
<b>ASX Code</b>	RMD
<b>Listed Company</b>	RESMED INC
<b>Waiver Number</b>	WLC200272-002
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ('ASX') grants Resmed Inc ('RMD') a waiver from ASX Settlement Operating Rule 13.9.9 on the following conditions:</p> <p>2. The waiver only applies in respect of the dividend periods set out below (the 'Relevant Periods'):</p> <p>2.1 From and including 19 August 2020 up to and including 20 August 2020</p> <p>2.2 From and including 11 November 2020 up to and including 12 November 2020</p> <p>2.3 From and including 10 February 2021 up to and including 11 February 2021</p> <p>2.4 From and including 12 May 2021 up to and including 13 May 2021</p> <p>3. In relation to the above Relevant Periods, if there are any changes to such dividend periods, the waiver will apply to those revised periods, provided that RMD:</p> <p>3.1 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>3.2 ASXS does not object to the change within a period of one (1) business day from the date it receives the Notification.</p> <p>4. RMD issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Period.</p> <p>5. This waiver will expire on 23 July 2021.</p>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b></p> <p>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><b>Present Application</b></p> <p>Due to the different settlement and transfer procedures applicable to the RMD's primary and secondary listing, the timing and application of the cum-dividend and ex-dividend periods prior to the record date will be different for common stock and for Chess Depository Interests. Accordingly, there is potential, with respect to the operation of conversion between the two securities' registers, for inequalities to exist as to standing, cum or ex, of the respective security holders. The waivers are necessary to ensure a consistent approach is applied to all security holders and their dividend entitlement.</p>

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