



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

**1 to 15 July 2021**

**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**

**For all product enquiries, please contact:  
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## Register of ASX Settlement Operating Rule Waivers

<b>Rule Number</b>	13.9.4
<b>Date</b>	9/07/2021
<b>ASX Code</b>	VEU
<b>Listed Company</b>	VANGUARD ALL-WORLD EX-US SHARES INDEX ETF
<b>Waiver Number</b>	WLC210147-001
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ('ASX') grants Vanguard Investments Australia Limited (the 'Issuer') a waiver of ASX Settlement Operating Rule 13.9.4 on the following conditions:</p> <p>1.1 The waiver applies only to the funds listed below in respect of the relevant dates set out below (the "relevant dates");</p> <p>1.1.1 Vanguard All-World Ex-US Shares Index ETF (ASX: VEU) on 22 December 2021.</p> <p>1.2 In relation to the above relevant dates, if there are any changes to such relevant dates, the waiver will apply to those revised dates, provided that the Issuer:</p> <p>1.2.1 notifies ASX Settlement of the change to the relevant dates at least two (2) business days prior to the change; and</p> <p>1.2.2 ASX Settlement 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 Issuer issues a market release informing investors that no conversions (transmutations) will be processed during the relevant dates.</p> <p>1.4 This waiver will expire on 29 January 2022.</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 the Schedule is within 12 business hours of ASX Settlement transmitting the Message.</p> <p><b>Present Application</b> The Waiver is considered necessary to prevent the potential for a holder to gain inappropriate access to a distribution or other corporate action made by a Fund as a result of differences in time zones and public holidays between Australia and the US. Such disparity may create an opportunity for a holder who is not entitled to receive a distribution to inappropriately gain access to that distribution as issuances can't be tagged to clarify whether they are trading with or without the distribution.</p>

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# Register of ASX Settlement Operating Rule Waivers

<b>Rule Number</b>	13.9.4
<b>Date</b>	9/07/2021
<b>ASX Code</b>	VTS
<b>Listed Company</b>	VANGUARD US TOTAL MARKET SHARES INDEX ETF
<b>Waiver Number</b>	WLC210148-001
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ('ASX') grants Vanguard Investments Australia Limited (the 'Issuer') a waiver of ASX Settlement Operating Rule 13.9.4 on the following conditions:</p> <p>1.1 The waiver applies only to the funds listed below in respect of the relevant dates set out below (the "relevant dates");</p> <p>1.1.1 Vanguard US Total Market Shares Index ETF (ASX: VTS) on 29 December 2021.</p> <p>1.2 In relation to the above relevant dates, if there are any changes to such relevant dates, the waiver will apply to those revised dates, provided that the Issuer:</p> <p>1.2.1 notifies ASX Settlement of the change to the relevant dates at least two (2) business days prior to the change; and</p> <p>1.2.2 ASX Settlement 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 Issuer issues a market release informing investors that no conversions (transmutations) will be processed during the relevant dates.</p> <p>1.4 This waiver will expire on 29 January 2022.</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 the Schedule is within 12 business hours of ASX Settlement transmitting the Message.</p> <p><b>Present Application</b> The Waiver is considered necessary to prevent the potential for a holder to gain inappropriate access to a distribution or other corporate action made by a Fund as a result of differences in time zones and public holidays between Australia and the US. Such disparity may create an opportunity for a holder who is not entitled to receive a distribution to inappropriately gain access to that distribution as issuances can't be tagged to clarify whether they are trading with or without the distribution.</p>

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# Register of ASX Settlement Operating Rule Waivers

<b>Rule Number</b>	13.9.9
<b>Date</b>	9/07/2021
<b>ASX Code</b>	VEU
<b>Listed Company</b>	VANGUARD ALL-WORLD EX-US SHARES INDEX ETF
<b>Waiver Number</b>	WLC210147-002
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ('ASX') grants Vanguard Investments Australia Limited (the 'Issuer') a waiver of ASX Settlement Operating Rule 13.9.9 on the following conditions:</p> <p>1.1 The waiver applies only to the funds listed below in respect of the relevant dates set out below (the "relevant dates");</p> <p>1.1.1 Vanguard All-World Ex-US Shares Index ETF (ASX: VEU) on 22 December 2021.</p> <p>1.2 In relation to the above relevant dates, if there are any changes to such relevant dates, the waiver will apply to those revised dates, provided that the Issuer:</p> <p>1.2.1 notifies ASX Settlement of the change to the relevant dates at least two (2) business days prior to the change; and</p> <p>1.2.2 ASX Settlement 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 Issuer issues a market release informing investors that no conversions (transmutations) will be processed during the relevant dates.</p> <p>1.4 This waiver will expire on 29 January 2022.</p>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b> 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 ASX Settlement 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 the Schedule is within 12 business hours of ASX Settlement queuing the Transfer or of the Issuer receiving the documentation, whichever is the later.</p> <p><b>Present Application</b> The Waiver is considered necessary to prevent the potential for a holder to gain inappropriate access to a distribution or other corporate action made by a Fund as a result of differences in time zones and public holidays between Australia and the US. Such disparity may create an opportunity for a holder who is not entitled to receive a distribution to inappropriately gain access to that distribution as issuances can't be tagged to clarify whether they are trading with or without the distribution.</p>

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<b>Date</b>	9/07/2021
<b>ASX Code</b>	VTS
<b>Listed Company</b>	VANGUARD US TOTAL MARKET SHARES INDEX ETF
<b>Waiver Number</b>	WLC210148-002
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ('ASX') grants Vanguard Investments Australia Limited (the 'Issuer') a waiver of ASX Settlement Operating Rule 13.9.9 on the following conditions:</p> <p>1.1 The waiver applies only to the funds listed below in respect of the relevant dates set out below (the "relevant dates");</p> <p>1.1.1 Vanguard US Total Market Shares Index ETF (ASX: VTS) on 29 December 2021.</p> <p>1.2 In relation to the above relevant dates, if there are any changes to such relevant dates, the waiver will apply to those revised dates, provided that the Issuer:</p> <p>1.2.1 notifies ASX Settlement of the change to the relevant dates at least two (2) business days prior to the change; and</p> <p>1.2.2 ASX Settlement 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 Issuer issues a market release informing investors that no conversions (transmutations) will be processed during the relevant dates.</p> <p>1.4 This waiver will expire on 29 January 2022.</p>
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