



Register of ASX Settlement Operating Rule Waivers

16 to 31 March 2022

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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Rule Number	5.6.1(b)
Date	18/03/2022
ASX Code	YAL
Listed Company	YANCOAL AUSTRALIA LIMITED
Waiver Number	WLC220044-001
Decision	<p>1. Based solely on the information provided, ASX Limited ('ASX') grants 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 2001 ('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 ('AGM'), being 30 May 2022 ('AGM Date').</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 the Company:</p> <p>1.2.1 notifies ASX Listings Compliance ('ASXLC') of the change to the AGM Date at least two 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 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 AGM will be four 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 provides 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 Regulations.</p> <p>Present Application The Company is dual 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 both exchanges. ASX will grant a waiver of ASX Operating Rule 5.6.1 (b) for the AGM to be held on 30 May 2022 (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</p>

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date of the AGM 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 2022, 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	26/03/2022
ASX Code	URW
Listed Company	UNIBAIL-RODAMCO-WESTFIELD
Waiver Number	WLC220043-001
Decision	<p>1. Based solely on the information provided, ASX Limited ('ASX') grants Unibail-Rodamco-Westfield (the 'Group') a waiver from ASX Settlement Operating Rule 13.9.4 on the following conditions:</p> <p>1.1 The waiver only applies in respect of the period set out below ("Relevant Period"):</p> <p>1.1.1 From and including 29 April 2022 up to and including 9 May 2022.</p> <p>1.2 In relation to the above Relevant Period, if there are any changes to such period, the waiver will apply to the revised period, provided that the Group:</p> <p>1.2.1 notifies ASX Settlement ("ASXS") of the change to the period at least two (2) business days prior to the change (the 'Notification'); and</p> <p>1.2.2 ASXS does not object to the change within a period of one (1) business day from the date it receives the Notification.</p> <p>1.3 The Group 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 holders to cast their votes twice at the AGM in respect of the same parcel of stapled securities due to the different record dates for determining the entitlement of shareholders and CDI holders to vote at the AGM. This is due to the operation of conversions between the Group's multiple securities' registers in the different jurisdictions. The waivers are granted subject to the condition that no conversions (transmutations) will be processed during the Relevant Period and the Group issues a market release informing investors of this.</p>

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Register of ASX Settlement Operating Rule Waivers

Rule Number	13.9.4
Date	11/03/2022
Warrant or AQUA Product	VANGUARD ALL-WORLD EX-US SHARES INDEX ETF
Waiver Number	WWI220002-001
Decision	<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 23 March 2022, 23 June 2022 and 21 September 2022.</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>1.3.1 This waiver will expire on 31 October 2022.</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 the Schedule is within 12 business hours of ASX Settlement transmitting the Message.</p> <p>Present Application 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

Rule Number	13.9.4
Date	11/03/2022
Warrant or AQUA Product	VANGUARD US TOTAL MARKET SHARES INDEX ETF
Waiver Number	WWI220001-001
Decision	<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 25 March 2022, 27 June 2022 and 27 September 2022.</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>1.3.1 This waiver will expire on 31 October 2022.</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 the Schedule is within 12 business hours of ASX Settlement transmitting the Message.</p> <p>Present Application 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

Rule Number	13.9.9
Date	26/03/2022
ASX Code	URW
Listed Company	UNIBAIL-RODAMCO-WESTFIELD
Waiver Number	WLC220043-002
Decision	<p>1. Based solely on the information provided, ASX Limited ('ASX') grants Unibail-Rodamco-Westfield (the 'Group') a waiver from ASX Settlement Operating Rule 13.9.9 on the following conditions:</p> <p>1.1 The waiver only applies in respect of the period set out below ("Relevant Period"):</p> <p>1.1.1 From and including 29 April 2022 up to and including 9 May 2022.</p> <p>1.2 In relation to the above Relevant Period, if there are any changes to such period, the waiver will apply to the revised period, provided that the Group:</p> <p>1.2.1 notifies ASX Settlement ("ASXS") of the change to the period at least two (2) business days prior to the change (the 'Notification'); and</p> <p>1.2.2 ASXS does not object to the change within a period of one (1) business day from the date it receives the Notification.</p> <p>1.3 The Group 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 holders to cast their votes twice at the AGM in respect of the same parcel of stapled securities due to the different record dates for determining the entitlement of shareholders and CDI holders to vote at the AGM. This is due to the operation of conversions between the Group's multiple securities' registers in the different jurisdictions. The waivers are granted subject to the condition that no conversions (transmutations) will be processed during the Relevant Period and the Group issues a market release informing investors of this.</p>

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Rule Number	13.9.9
Date	11/03/2022
Warrant or AQUA Product	VANGUARD ALL-WORLD EX-US SHARES INDEX ETF
Waiver Number	WWI220002-002
Decision	<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 23 March 2022, 23 June 2022 and 21 September 2022.</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>1.3.1 This waiver will expire on 31 October 2022.</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 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>Present Application 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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Rule Number	13.9.9
Date	11/03/2022
Warrant or AQUA Product	VANGUARD US TOTAL MARKET SHARES INDEX ETF
Waiver Number	WWI220001-002
Decision	<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 25 March 2022, 27 June 2022 and 27 September 2022.</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>1.3.1 This waiver will expire on 31 October 2022.</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 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>Present Application 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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