



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

**1 to 15 November 2023**

**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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<b>Rule Number</b>	13.9.9
<b>Date</b>	8/11/2023
<b>ASX Code</b>	JHG
<b>Listed Company</b>	JANUS HENDERSON GROUP PLC
<b>Waiver Number</b>	WLC230225-001
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ('ASX') grants Janus Henderson Group plc (the 'Company') a waiver from ASX Settlement Operating Rule 13.9.9 to the extent necessary to prevent a situation where shareholders of the Company holding Company securities on the New York Stock Exchange ('NYSE') convert them into CDIs after the Company announces its delisting from the ASX.</p> <p>2. The waiver applies, in respect of the proposed delisting, from the date that the Company announces the delisting from ASX to the date the Company is officially delisted from ASX, such that the last day on which it is required to process requests for the creation of CDIs would be the trading day before it announces the delisting to the market ('Relevant Period').</p> <p>3. In relation to the Relevant Period, if there are any changes to such period, the waiver applies to the revised period, provided that the Company:</p> <p>4.1 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>4.2 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. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Period.</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 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> The waiver is considered necessary to prevent a situation where shareholders of the Company holding Company securities on NYSE convert their holding into CDIs for the purpose of taking advantage of the arrangements put in place to enable existing CDI holders to elect how to deal with their CDI holding as a consequence of the Company's delisting from the ASX</p>

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