



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

**16 to 29 February 2012**

**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:  
- Customer Service Centre on 131 279**

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<b>Rule Number</b>	13.9.4
<b>Date</b>	22/02/2012
<b>ASX Code</b>	HGG
<b>Listed Company</b>	HENDERSON GROUP PLC.
<b>Waiver Number</b>	WLC120052-001
<b>Decision</b>	<p>Based solely on the information provided, ASX Limited ("ASX") grants Henderson Group plc (the "Company") a waiver of ASX Settlement Operating Rules 13.9.4 and 13.9.9 on the following conditions:</p> <ol style="list-style-type: none"> <li>1. The waiver only applies for the period from and including 30 April 2012 up to and including 4 May 2012 (the "Relevant Period"); and</li> <li>2. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Period.</li> </ol>
<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 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 dividend made by the Company as a result of differences in time zones and ex entitlement periods between Australia and the UK. 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>

<b>Rule Number</b>	13.9.4
<b>Date</b>	22/02/2012
<b>ASX Code</b>	ISI
<b>Listed Company</b>	ISHARES, INC.
<b>Waiver Number</b>	WLC120053-001
<b>Decision</b>	<p>Based solely on the information provided, ASX Limited ("ASX" grants iShares, Inc. (the "Company") a waiver of ASX Settlement Operating Rules 13.9.4 and 13.9.9 on the following conditions.</p> <p>1. The waiver applies only to the funds listed below in respect of the distribution periods set out below (the "Relevant Periods"):</p> <p>i. iShares MSCI Japan - 26 June 2012, 21 December 2012 and 2 January 2013;</p> <p>ii. iShares MSCI Emerging Markets - 26 June 2012, 21 December 2012 and 2 January 2013;</p> <p>iii. iShares MSCI Taiwan - 26 June 2012, 21 December 2012 and 2 January 2013;</p> <p>iv. iShares MSCI South Korea - 26 June 2012, 21 December 2012 and 2 January 2013;</p> <p>v. iShares MSCI Hong Kong - 26 June 2012, 21 December 2012 and 2 January 2013;</p> <p>vi. iShares MSCI Singapore - 26 June 2012, 21 December 2012 and 2 January 2013; and</p> <p>vii. iShares MSCI BRIC - 26 June 2012, 21 December 2012 and 2 January 2013.</p> <p>In relation to the above Relevant Periods, if there are any changes to such distribution periods, the waiver will apply to those revised periods, provided that the Company:</p> <p>(a) notifies ASX Settlement ("ASXS") of the change to the distribution period at least two (2) business days prior to the change (the "Notification"); and</p> <p>(b) ASXS does not object to the change within a period of one (1) business day from the date it receives the Notification.</p> <p>2. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Periods.</p> <p>3. This waiver will expire on 30 March 2013.</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 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 made by the Company as a result of differences in time zones and ex entitlement periods 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>

<b>Rule Number</b>	13.9.4
<b>Date</b>	22/02/2012
<b>ASX Code</b>	IST
<b>Listed Company</b>	ISHARES TRUST
<b>Waiver Number</b>	WLC120054-001
<b>Decision</b>	<p>Based solely on the information provided, ASX Limited ("ASX") grants iShares Trust (the "Corporation") a waiver of ASX Settlement Operating Rules 13.9.4 and 13.9.9 on the following conditions.</p> <p>1. The waiver applies only to the funds listed below in respect of the distribution periods set out below (the "Relevant Periods"):</p> <ul style="list-style-type: none"> <li>i. iShares S&amp;P Global 100 - 25 June 2012, 20 December 2012 and 2 January 2013;</li> <li>ii. iShares S&amp;P 500 - 29 March 2012, 22 June 2012, 28 September 2012, 24 December 2012 and 2 January 2013;</li> <li>iii. iShares S&amp;P MidCap 400 - 29 March 2012, 22 June 2012, 28 September 2012, 24 December 2012 and 2 January 2013;</li> <li>iv. iShares S&amp;P SmallCap 600 - 29 March 2012, 22 June 2012, 28 September 2012, 24 December 2012 and 2 January 2013;</li> <li>v. iShares MSCI EAFE - 26 June 2012, 21 December 2012 and 2 January 2013;</li> <li>vi. iShares S&amp;P Europe 350 - 25 June 2012, 20 December 2012 and 2 January 2013;</li> <li>vii. iShares Russell 2000 - 28 March 2012, 29 June 2012, 27 September 2012, 24 December 2012 and 2 January 2013;</li> <li>viii. iShares FTSE China 25 - 25 June 2012, 20 December 2012 and 2 January 2013;</li> <li>ix. iShares S&amp;P Global Telecommunications - 25 June 2012, 20 December 2012 and 2 January 2013;</li> <li>x. iShares S&amp;P Global Healthcare - 25 June 2012, 20 December 2012 and 2 January 2013;</li> <li>xi. iShares S&amp;P Global Consumer Staples - 25 June 2012, 20 December 2012 and 2 January 2013; and</li> <li>xii. iShares S&amp;P Asia 50 - 25 June 2012, 20 December 2012 and 2 January 2013.</li> </ul> <p>In relation to the above Relevant Periods, if there are any changes to such distribution periods, the waiver will apply to those revised periods, provided that the Corporation:</p> <ul style="list-style-type: none"> <li>(a) notifies ASX Settlement ("ASXS") of the change to the distribution period at least two (2) business days prior to the change (the "Notification"); and</li> <li>(b) ASXS does not object to the change within a period of one (1) business day from the date it receives the Notification.</li> </ul> <p>2. The Corporation issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Periods.</p> <p>3. This waiver will expire on 30 March 2013.</p>
<b>Basis For Decision</b>	<p>Underlying Policy</p> <p>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 ASX Settlement transmitting the Message.</p>

## Register of ASX Settlement Operating Rule Waivers

### Present Application

The Waiver is considered necessary to prevent the potential for a holder to gain inappropriate access to a distribution made by the Company as a result of differences in time zones and ex entitlement periods 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.

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<b>Rule Number</b>	13.9.9
<b>Date</b>	22/02/2012
<b>ASX Code</b>	HGG
<b>Listed Company</b>	HENDERSON GROUP PLC.
<b>Waiver Number</b>	WLC120052-002
<b>Decision</b>	<p>Based solely on the information provided, ASX Limited ("ASX") grants Henderson Group plc (the "Company") a waiver of ASX Settlement Operating Rules 13.9.4 and 13.9.9 on the following conditions:</p> <ol style="list-style-type: none"> <li>1. The waiver only applies for the period from and including 30 April 2012 up to and including 4 May 2012 (the "Relevant Period"); and</li> <li>2. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Period.</li> </ol>
<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 Appendix 1 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 dividend made by the Company as a result of differences in time zones and ex entitlement periods between Australia and the UK. Such disparity may create an opportunity for a holder who is not entitled to receive a dividend to inappropriately gain access to that distribution as issuances can't be tagged to clarify whether they are trading with or without the dividend.</p>

<b>Rule Number</b>	13.9.9
<b>Date</b>	22/02/2012
<b>ASX Code</b>	ISI
<b>Listed Company</b>	ISHARES, INC.
<b>Waiver Number</b>	WLC120053-002
<b>Decision</b>	<p>Based solely on the information provided, ASX Limited ("ASX") grants iShares, Inc. (the "Company") a waiver of ASX Settlement Operating Rules 13.9.4 and 13.9.9 on the following conditions.</p> <p>1. The waiver applies only to the funds listed below in respect of the distribution periods set out below (the "Relevant Periods"):</p> <ul style="list-style-type: none"> <li>i. iShares MSCI Japan - 26 June 2012, 21 December 2012 and 2 January 2013;</li> <li>ii. iShares MSCI Emerging Markets - 26 June 2012, 21 December 2012 and 2 January 2013;</li> <li>iii. iShares MSCI Taiwan - 26 June 2012, 21 December 2012 and 2 January 2013;</li> <li>iv. iShares MSCI South Korea - 26 June 2012, 21 December 2012 and 2 January 2013;</li> <li>v. iShares MSCI Hong Kong - 26 June 2012, 21 December 2012 and 2 January 2013;</li> <li>vi. iShares MSCI Singapore - 26 June 2012, 21 December 2012 and 2 January 2013; and</li> <li>vii. iShares MSCI BRIC - 26 June 2012, 21 December 2012 and 2 January 2013.</li> </ul> <p>In relation to the above Relevant Periods, if there are any changes to such distribution periods, the waiver will apply to those revised periods, provided that the Company:</p> <ul style="list-style-type: none"> <li>(a) notifies ASX Settlement ("ASXS") of the change to the distribution period at least two (2) business days prior to the change (the "Notification"); and</li> <li>(b) ASXS does not object to the change within a period of one (1) business day from the date it receives the Notification.</li> </ul> <p>2. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Periods.</p> <p>3. This waiver will expire on 30 March 2013.</p>
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<b>Date</b>	22/02/2012
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<b>Listed Company</b>	ISHARES TRUST
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<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ("ASX") grants iShares Trust (the "Corporation") a waiver of ASX Settlement Operating Rules 13.9.4 and 13.9.9 on the following conditions.</p> <p>1. The waiver applies only to the funds listed below in respect of the distribution periods set out below (the "Relevant Periods"):</p> <ul style="list-style-type: none"> <li>i. iShares S&amp;P Global 100 - 25 June 2012, 20 December 2012 and 2 January 2013;</li> <li>ii. iShares S&amp;P 500 - 29 March 2012, 22 June 2012, 28 September 2012, 24 December 2012 and 2 January 2013;</li> <li>iii. iShares S&amp;P MidCap 400 - 29 March 2012, 22 June 2012, 28 September 2012, 24 December 2012 and 2 January 2013;</li> <li>iv. iShares S&amp;P SmallCap 600 - 29 March 2012, 22 June 2012, 28 September 2012, 24 December 2012 and 2 January 2013;</li> <li>v. iShares MSCI EAFE - 26 June 2012, 21 December 2012 and 2 January 2013;</li> <li>vi. iShares S&amp;P Europe 350 - 25 June 2012, 20 December 2012 and 2 January 2013;</li> <li>vii. iShares Russell 2000 - 28 March 2012, 29 June 2012, 27 September 2012, 24 December 2012 and 2 January 2013;</li> <li>viii. iShares FTSE China 25 - 25 June 2012, 20 December 2012 and 2 January 2013;</li> <li>ix. iShares S&amp;P Global Telecommunications - 25 June 2012, 20 December 2012 and 2 January 2013;</li> <li>x. iShares S&amp;P Global Healthcare - 25 June 2012, 20 December 2012 and 2 January 2013;</li> <li>xi. iShares S&amp;P Global Consumer Staples - 25 June 2012, 20 December 2012 and 2 January 2013; and</li> <li>xii. iShares S&amp;P Asia 50 - 25 June 2012, 20 December 2012 and 2 January 2013.</li> </ul> <p>In relation to the above Relevant Periods, if there are any changes to such distribution periods, the waiver will apply to those revised periods, provided that the Corporation:</p> <ul style="list-style-type: none"> <li>(a) notifies ASX Settlement ("ASXS") of the change to the distribution period at least two (2) business days prior to the change (the "Notification"); and</li> <li>(b) ASXS does not object to the change within a period of one (1) business day from the date it receives the Notification.</li> </ul> <p>2. The Corporation issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Periods.</p> <p>3. This waiver will expire on 30 March 2013.</p>

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