



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

**16 to 31 January 2014**

**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>	13.9.4
<b>Date</b>	28/01/2014
<b>ASX Code</b>	CYY
<b>Listed Company</b>	COVENTRY RESOURCES INC
<b>Waiver Number</b>	WLC140003-001
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ("ASX") grants Coventry Resources Inc. (the "Company") a waiver from ASX Settlement Operating Rule 13.9.4 on the following conditions:</p> <p>1. The waiver only applies for the period from and including 29 January 2014 up to and including 4 February 2014 (the "Relevant Period").</p> <p>2. 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 13.9.4 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>  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 two different jurisdictions. 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>	17/01/2014
<b>ASX Code</b>	PVM
<b>Listed Company</b>	PMI GOLD CORPORATION
<b>Waiver Number</b>	WLC140002-001
<b>Decision</b>	<p>1. Based on the information provided, ASX Limited ("ASX") grants PMI Gold Corporation (the "Company") a waiver of ASX Settlement Operating Rule 13.9.4 on the following conditions:</p> <p>1.1. The waiver only applies to the transfer of CHESSE Depository Interests ("CDIs") to common shares from the close of trade on 31 January 2014 to 6 February 2014 ("Relevant Period").</p> <p>1.2. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Period.</p> <p>1.3. The waiver is subject to any amendments to ASX Settlement Operating Rules 13.9.4 or changes in the interpretation or administration of the relevant rules and policies of the ASX Group.</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> The waiver is considered necessary to allow the Company to prevent holders of, common shares from converting their shares to CDIs and CDI holders converting their CDIs to common shares, in the period between the Canadian Plan of Arrangement ("Plan") between the Company and Asanko Gold Inc being approved by shareholders of the Company and implementation of the Plan on or about 6 February 2014</p>



<b>Rule Number</b>	13.9.4
<b>Date</b>	21/01/2014
<b>Warrant or AQUA Product Issuer</b>	VANGUARD ALL-WORLD EX-US SHARES INDEX ETF
<b>Waiver Number</b>	WWI140002-001
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ("ASX") grants Vanguard Investments Australia Limited (the "Company") be granted a waiver of ASX Settlement Operating Rule 13.9.4 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. VANGUARD US TOTAL MARKET SHARES INDEX ETF and VANGUARD ALL-WORLD EX-US SHARES INDEX - 28 March 2014, 27 June 2014, 29 September 2014 and 29 December 2014;</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 of the change to the distribution period at least two (2) business days prior to the change; and</p> <p>(b) 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>2. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the relevant period.</p> <p>3. This waiver will expire on 10 January 2015.</p>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b></p> <p>1. 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.</p> <p>2. The Scheduled Time contained in the Schedule is within 12 business hours of ASX Settlement transmitting the Message.</p> <p><b>Present Application</b></p> <p>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>

<b>Rule Number</b>	13.9.4
<b>Date</b>	21/01/2014
<b>Warrant or AQUA Product Issuer</b>	VANGUARD US TOTAL MARKET SHARES INDEX ETF
<b>Waiver Number</b>	WWI140001-001
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ("ASX") grants Vanguard Investments Australia Limited (the "Company") a waiver of ASX Settlement Operating Rule 13.9.4 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. VANGUARD US TOTAL MARKET SHARES INDEX ETF and VANGUARD ALL-WORLD EX-US SHARES INDEX - 28 March 2014, 27 June 2014, 29 September 2014 and 29 December 2014;</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 of the change to the distribution period at least two (2) business days prior to the change; and</p> <p>(b) 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>2. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the relevant period.</p> <p>3. This waiver will expire on 10 January 2015.</p>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b></p> <p>1. 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.</p> <p>2. The Scheduled Time contained in the Schedule is within 12 business hours of ASX Settlement transmitting the Message.</p> <p><b>Present Application</b></p> <p>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>



<b>Rule Number</b>	13.9.9
<b>Date</b>	28/01/2014
<b>ASX Code</b>	CYY
<b>Listed Company</b>	COVENTRY RESOURCES INC
<b>Waiver Number</b>	WLC140003-002
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ("ASX") grants Coventry Resources Inc. (the "Company") a waiver from ASX Settlement Operating Rule 13.9.9 on the following conditions:</p> <p>1. The waiver only applies for the period from and including 29 January 2014 up to and including 4 February 2014 (the "Relevant Period").</p> <p>2. 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 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 two different jurisdictions. 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>	13.9.9
<b>Date</b>	17/01/2014
<b>ASX Code</b>	PVM
<b>Listed Company</b>	PMI GOLD CORPORATION
<b>Waiver Number</b>	WLC140002-002
<b>Decision</b>	<p>1. Based on the information provided, ASX Ltd grants PMI Gold Corporation (the "Company") a waiver of ASX Settlement Operating Rule 13.9.9 on the following conditions:</p> <p>1.1. The waiver only applies to the transfer of CHESSE Depository Interests ("CDIs") to common shares from the close of trade on 31 January 2014 to 6 February 2014 ("Relevant Period").</p> <p>1.2. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the Relevant Period.</p> <p>1.3. The waiver is subject to any amendments to ASX Settlement Operating Rule 13.9.9 or changes in the interpretation or administration of the relevant rules and policies of the ASX Group.</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 allow the Company to prevent holders of, common shares from converting their shares to CDIs and CDI holders converting their CDIs to common shares, in the period between the Canadian Plan of Arrangement ("Plan") between the Company and Asanko Gold Inc being approved by shareholders of the Company and implementation of the Plan on or about 6 February 2014</p>



<b>Rule Number</b>	13.9.9
<b>Date</b>	21/01/2014
<b>Warrant or AQUA Product Issuer</b>	VANGUARD ALL-WORLD EX-US SHARES INDEX ETF
<b>Waiver Number</b>	WWI140002-002
<b>Decision</b>	<p>1. Based solely on the information provided, ASX Limited ("ASX") grants Vanguard Investments Australia Limited (the "Company") a waiver of ASX Settlement Operating rule 13.9.9 on the following conditions:</p> <ol style="list-style-type: none"> <li>1. The waiver applies only to the funds listed below in respect of the distribution periods set out below (the "relevant periods"); <ol style="list-style-type: none"> <li>I. VANGUARD US TOTAL MARKET SHARES INDEX ETF and VANGUARD ALL-WORLD EX-US SHARES INDEX - 28 March 2014, 27 June 2014, 29 September 2014 and 29 December 2014;</li> </ol> <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> <ol style="list-style-type: none"> <li>(a) notifies ASX Settlement of the change to the distribution period at least two (2) business days prior to the change; and</li> <li>(b) ASX Settlement does not object to the change within a period of one (1) business day from the date it receives the notification.</li> </ol> </li> <li>2. The Company issues a market release informing investors that no conversions (transmutations) will be processed during the relevant period.</li> <li>3. This waiver will expire on 10 January 2015.</li> </ol>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b></p> <ol style="list-style-type: none"> <li>1. 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.</li> <li>2. 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.</li> </ol> <p><b>Present Application</b></p> <p>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>





<b>Rule Number</b>	13.9.9
<b>Date</b>	21/01/2014
<b>Warrant or AQUA Product Issuer</b>	VANGUARD US TOTAL MARKET SHARES INDEX ETF
<b>Waiver Number</b>	WWI140001-002
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