



# **Register of ASX 24 Operating Rules Rule Waivers**

**16 to 30 November 2020**

**The purpose of this register is to record when ASX has exercised its discretion and granted a waiver from the ASX 24 Operating Rules 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>	1000(a)
<b>Date</b>	25/11/2020
<b>Participant</b>	Rigel Cove LP
<b>Waiver Number</b>	WPA200004-001
<b>Decision</b>	ASX grants the waiver pursuant to ASX 24 Operating Rule 6030.
<b>Basis For Decision</b>	<p><b>Underlying Policy</b> ASX 24 Operating Rule 1000(a) prevents applicants other than body corporates from being admitted as trading participants. The underlying policy was established to provide certainty of the counterparty's legal structure.</p> <p><b>Present Application</b> Rigel Cove LP (RCLP) requested a waiver from ASX 24 Operating Rule 1000(a). In support of its application it provided a legal opinion from an Australian and also a New York based legal firm, which confirmed that RCLP would provide the same recourse rights to ASX as if RCLP was a body corporate under ASX 24 Operating Rule 1000 (a).</p> <p>RCLP must notify ASX in writing:</p> <ul style="list-style-type: none"> <li>o of any proposed change(s) to its legal structure which may affect the recourse rights of Australian Securities Exchange Limited under the ASX 24 Operating Rules prior to the change(s) becoming effective; and</li> <li>o immediately if it becomes aware of information that would change the legal opinions provided in support of its admission as an ASX 24 Trading Participant.</li> </ul>

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