



# **Register of ASX Operating Warrant and AQUA Rule Waivers**

**16 to 30 June 2014**

**The purpose of this register is to record when ASX has exercised its discretion and granted a waiver from the ASX Operating Warrant and AQUA 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>	Section 1 - 1000(b)
<b>Date</b>	30/06/2014
<b>Participant</b>	Jump Trading Pacific Pte Ltd
<b>Waiver Number</b>	WPA140017-001
<b>Decision</b>	<p>Based solely on the information provided and similar waivers requested and approved, ASX Limited grants Jump Trading Pacific Pte Ltd ("JTPPL") a waiver from ASX Operating Rule 1000(b) subject to the following ongoing conditions:</p> <p>With regards to ASX Operating Rule 1000(b) JTPPL:</p> <ol style="list-style-type: none"> <li>1. is a foreign company;</li> <li>2. continues to be registered as a body corporate incorporated in Singapore;</li> <li>3. does not have a place of business nor any physical presence in Australia;</li> <li>4. conducts no physical activity or trading in Australia;</li> <li>5. does not establish or use a share transfer office in Australia;</li> <li>6. does not administer, manage, or deal with property situated in Australia, as an agent, legal personal representative or trustee;</li> <li>7. does not issue debentures in Australia and/or as a guarantor for a company that does;</li> <li>8. does not engage in conduct that is intended to induce persons in Australia to utilise the financial services the Company provides; and</li> <li>9. does not, nor is it permitted to, carry on business in Australia.</li> </ol>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b> Where a Participant is not required to register as a foreign corporation in Australia under Division 2 of Part 5B.2 of the Corporations Act they are permitted to request a waiver of ASX Operating Rule 1000(b) and 1000(c) and ASX 24 Operating Rule 1000(b) and 1000(c) under ASX and ASX 24 policy.</p> <p><b>Present Application</b> The request for a waiver from JTPPL is similar in nature to previous waivers granted and it is also consistent with ASX policy. ASX Limited grants JTPPL a waiver from ASX Operating Rule 1000(b) subject to the following ongoing conditions:</p> <p>With regards to ASX Operating Rule 1000(b) JTPPL:</p> <ol style="list-style-type: none"> <li>1. is a foreign company;</li> <li>2. continues to be registered as a body corporate incorporated in Singapore;</li> <li>3. does not have a place of business nor any physical presence in Australia;</li> <li>4. conducts no physical activity or trading in Australia;</li> <li>5. does not establish or use a share transfer office in Australia;</li> <li>6. does not administer, manage, or deal with property situated in Australia, as an agent, legal personal representative or trustee;</li> <li>7. does not issue debentures in Australia and/or as a guarantor for a company that does;</li> <li>8. does not engage in conduct that is intended to induce persons in Australia to utilise the financial services the Company provides; and</li> <li>9. does not, nor is it permitted to, carry on business in Australia.</li> </ol>

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<b>Rule Number</b>	Section 1 - 1000(c)
<b>Date</b>	30/06/2014
<b>Participant</b>	Jump Trading Pacific Pte Ltd
<b>Waiver Number</b>	WPA140017-002
<b>Decision</b>	<p>ASX Limited grants JTPPL a waiver from ASX Operating Rule 1000(c) subject to the following ongoing conditions: With regards to ASX Operating Rule 1000(c) JTPPL:</p> <ol style="list-style-type: none"> <li>1. the Company's activity as a Trading Participant is solely on its own behalf and it must not trade on behalf of clients;</li> <li>2. it continues to operate in accordance with the legal opinion provided as part of their application and that legal opinion remains current; and</li> <li>3. the Company must at all times comply with the ASX Operating Rules, including those ASX Operating Rules that require compliance with provisions in the Corporations Act 2001 (Cth) that apply to an Australian Financial Services Licensee (other than ASX Operating Rules waived by ASX).</li> </ol>
<b>Basis For Decision</b>	<p><b>Underlying Policy</b> Where a Participant is not required to register as a foreign corporation in Australia under Division 2 of Part 5B.2 of the Corporations Act they are permitted to request a waiver of ASX Operating Rule 1000(b) and 1000(c) and ASX 24 Operating Rule 1000(b) and 1000(c) under ASX and ASX 24 policy.</p> <p><b>Present Application</b> Based solely on the information provided and similar waivers requested and approved, ASX Limited grants JTPPL a waiver from ASX OR 1000(c) subject to the following ongoing conditions.</p> <ol style="list-style-type: none"> <li>1. the Company's activity as a Trading Participant is solely on its own behalf and it must not trade on behalf of clients;</li> <li>2. it continues to operate in accordance with the legal opinion provided as part of their application and that legal opinion remains current; and</li> <li>3. the Company must at all times comply with the ASX Operating Rules, including those ASX Operating Rules that require compliance with provisions in the Corporations Act 2001 (Cth) that apply to an Australian Financial Services Licensee (other than ASX Operating Rules waived by ASX).</li> </ol>