



# **Register of ASX Operating Rule Waivers**

**16 to 31 October 2024**

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

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|---------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Rule Number</b>        | 10A.10.8                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>Date</b>               | 4/10/2024                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>ASX Code</b>           | GND                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>Listed Company</b>     | BETASHARES WEALTHBUILDER NASDAQ GEARED<br>COMPLEX ETF                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>Waiver Number</b>      | WLC240180-001                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>Decision</b>           | <p>1. Based solely on the information provided, ASX grants the Issuer a waiver from Rule 10A.10.8 of Schedule 10A of the ASX Operating Rules to the extent necessary to permit Betashares Capital Ltd ('Issuer') to appoint BNP Paribas Financial Markets SNC ('Market-Maker') as its market maker agent on condition that the Issuer and Market-Maker have adequate procedures and arrangements in place which support the liquidity in the following AQUA Product.</p> <p>1.1. Betashares Wealth Builder Nasdaq 100 Geared (30-40% LVR) Complex ETF (ARSN 643 155 962)</p> <p>2. ASX has considered the application of Rule 10A.10.8 of Schedule 10A of the ASX Operating Rules only and makes no statement as to the Issuer's compliance with other Rules.</p> <p>3. If the relevant AQUA Product is not admitted to Trading Status by 4 April 2025, paragraph 1 will cease to have effect for that AQUA Product.</p>                                                                                                                                              |
| <b>Basis For Decision</b> | <p><b>Underlying Policy</b></p> <p>Rule 10A.3.6(b) of Schedule 10A of the ASX Operating Rules requires the AQUA Product Issuer to appoint a Trading Participant to perform AQUA Product market making functions where the AQUA Product Issuer is not a Trading Participant or does not directly make a market in all or some AQUA Product Series.</p> <p><b>Present Application</b></p> <p>The Issuer is seeking to issue a new AQUA Product. The Issuer proposes to conduct liquidity activities via an agency agreement. Neither the Issuer nor the agent are Trading Participants but the agent will have an arrangement in place to enter bids and offers, and execute and settle orders with a Trading Participant. The Issuer and agent have adequate procedures and arrangements in place which support liquidity activities in each AQUA Product and the ability to enter and execute orders on a timely basis through a Trading Participant to meet its requirement to provide a reasonable bid on an ongoing basis under ASX Operating Rule 10A.3.6(b).</p> |

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