

ASX SETTLEMENT OPERATING RULES PROCEDURES

SECTION 2 DEFINITIONS AND INTERPRETATION

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“Approved Market Operator” – ASX Settlement has approved the market licensees listed below as Approved Market Operators in relation to the following services and for the purpose of the rules and procedures pertaining to those services:

Clearing and Settlement Arrangements (including Trade Acceptance Service)	Settlement Facilitation Service			
	Transfer Facilitation Service	DvP Facilitation Service ¹	Corporate Actions Service ²	ASX Primary Market Facility ³
<ol style="list-style-type: none"> 1. ASX Limited 2. Chi-XBoe Australia Pty Limited 3. National Stock Exchange of Australia Limited 		<ol style="list-style-type: none"> 1. National Stock Exchange of Australia Limited <u>12.</u> Sydney Stock Exchange Limited 	<ol style="list-style-type: none"> 1. National Stock Exchange of Australia Limited <u>12.</u> Sydney Stock Exchange Limited 	<ol style="list-style-type: none"> 1. National Stock Exchange of Australia Limited <u>12.</u> Sydney Stock Exchange Limited

¹ A market licensee that receives the DvP Facilitation Service also receives the Transfer Facilitation Service as the ability to transfer financial products is an integrated component of the DvP settlement function.

² The ASX Corporate Actions Service includes the processing of corporate actions by ASX Settlement for Issuers of Approved Financial Products quoted on or approved for quotation on the market of the market licensee where the holdings of those products are eligible for registration on the CHES system.

³ The ASX Primary Market Facility includes the provision by ASX Settlement of settlement services to Participants and Issuers of Approved Financial Products quoted on or approved for quotation by the market licensee in connection with the processing of Allocation Components of Offers of such financial products and the processing of Allocation Interests in DvP Settlement under Section 15 of the ASX Settlement Operating Rules.

Introduced 23/09/05 Amended 20/07/07, 27/06/11, 15/08/11, 28/12/11, 20/01/14, 17/04/14, 20/01/16, 29/06/18, 23/11/20

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SECTION 4 ADMISSION OF OTHER SETTLEMENT PARTICIPANTS

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PROCEDURE 4.9.1 SETTLEMENT PARTICIPANT TO LODGE SETTLEMENT BOND

For the purpose of Rule 4.9.1, the following Approved Market Operators are specified:

- (a) ASX Limited (ACN 008 624 691);
- (b) ~~Chi-X~~Cboe Australia Pty Limited (ACN 129 584 667);
- (c) National Stock Exchange of Australia Limited (ACN 000 902 063).

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