



**Public Register of Waivers
Granted Under Rule 1.5 of the Chi-X Operating Rules**

Rule Number	14.23A(a)(i)
Effective Date	25 June 2020
Product Issuer(s)/Participant(s)	Deutsche Access Investments Limited (DAIL)
Waiver Number	COMP-143
Basis On Which Waiver Is Granted	<p>Under Rule 14.23A(a)(i) of the Operating Rules the underlying asset of a TraCR must be a member of the S&P 500 index or the Dow Jones Industrial Average. This is intended to ensure that there is a proven track record of trading in a US listed environment.</p> <p>The waiver in relation to a TraCR for Zoom Video Communications, Inc, (Zoom) was granted on the basis that information was provided by DAIL which demonstrated Zoom was in substantial compliance with the eligibility criteria of the S&P500 index and had a proven track record of listing and substantial trading.</p>
Terms & Conditions	N/A



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Rule Number	14.23A(a)(i)
Effective Date	30 September 2020
Product Issuer(s)/Participant(s)	Deutsche Access Investments Limited (DAIL)
Waiver Number	COMP-148
Basis On Which Waiver Is Granted	<p>Under Rule 14.23A(a)(i) of the Operating Rules the underlying asset of a TraCR must be a member of the S&P 500 index or the Dow Jones Industrial Average. This is intended to ensure that there is a proven track record of trading in a US listed environment.</p> <p>The waiver in relation to a TraCR for Tesla Inc, (Tesla) was granted on the basis that information was provided by DAIL which demonstrated that Tesla:</p> <ul style="list-style-type: none">- meets the basic eligibility criteria for inclusion in the S&P500 index*,- has been a member of the NASDAQ 100 index since 2014; and- has a proven track record of substantial trading in a US listed environment. <p>*It is noted that the makeup of the S&P 500 index is at the discretion of index committee, and that the new entrants to the index announced on 4 September 2020 did not include Tesla.</p>
Terms & Conditions	N/A



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Rule Number	14.24(e) and 14.25
Effective Date	Wednesday 9 December 2020
Product Issuer(s)/ Participant(s)	Product Issuers of Quoted Funds
Waiver Number	COMP-149
Basis On Which Waiver Is Granted	<p>For reasons related to the circumstances in which the Chi-X Rules were initially drafted (as outlined in Consultation Paper 2/2020), the requirements in rules 14.24(e) and 14.25 imposed obligations on the issuers of managed funds that were the same as those imposed on the issuers of warrants and TraCRs, and which were additional to the requirements imposed, as a matter of practice, on issuers of products quoted on the AQUA market (other than structured products). This was not intended and Chi-X has consulted on amending the rules (as outlined below) so that they clearly only apply to warrants and TraCRs (Chi-X does not currently quote structured products) but such rule amendments have not yet been made.</p> <p>The waiver in relation to 14.24(e) and 14.25 was granted on the basis that it is in accordance with the proposed amendments in Consultation Paper 2/2020 (as outlined below) and aligning the technical outcome with the intent of the rules pending the formal amendment of the rules.</p> <p>14.24 Investment Products – Eligibility Criteria – Terms Of Issue – Required Content</p> <p>The terms of issue for an investment product must:</p> <p>...</p> <p>(e) <u>in the case of an investment product that is a TraCR or warrant</u>, state that the terms of issue will only be amended in a way that is consistent with rule 14.25.</p> <p>14.25 Investment Products – Eligibility Criteria – Amending the Terms of Issue</p> <p>To be eligible for quotation, the terms of issue of an investment product <u>that is a TraCR or warrant</u>, must not be capable of amendment other than as follows:</p> <p>...</p>
Terms & Conditions	N/A



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Rule Number	14.21(c)
Effective Date	Wednesday 31 March 2021
Product Issuer(s)/ Participant(s)	Product Issuers of Quoted Funds
Waiver Number	COMP-150
Basis On Which Waiver Is Granted	<p>Under Rule 14.21(c) of the Operating Rules the counterparty of an OTC derivative must be an authorised deposit-taking institution (ADI), or a foreign deposit taking institution that is subject to regulation that is equivalent to that imposed on an ADI and is in a jurisdiction specified in the procedures. This is intended to ensure that the issuers of managed funds use counterparties that are appropriately regulated to lower the risk that the counterparty may default on its obligations.</p> <p>The waiver in relation to the use of a Commodity Futures Trading Commission (“CFTC”) registered swap dealer was granted on the basis that it is not necessary for the counterparty of an OTC derivative used by the issuer of a managed fund to be a “deposit-taking” entity and that it aligns the technical application with the intent of the Rule, pending the formal amendment of the Rule.</p>
Terms & Conditions	N/A