

ASIC Class Rule Waiver [CW 14-1091]

About this compilation

Compilation No. 2

This is a compilation of ASIC Class Rule Waiver [CW 14-1091] as in force on 30 June 2017. It includes any commenced amendment affecting the legislative instrument to that date.

This compilation was prepared by the Australian Securities and Investments Commission.

The notes at the end of this compilation (the *endnotes*) include information about amending instruments and the amendment history of each amended provision.

Australian Securities and Investment Commission
ASIC Market Integrity Rules (ASX Market) 2010 – Rule 3.4.1
Class Rule Waiver

Enabling Provision

1. The Australian Securities and Investments Commission (ASIC) makes this instrument under Rule 1.2.1 of the *ASIC Market Integrity Rules (ASX Market) 2010 (ASX Rules)*.

Title

2. This instrument is ASIC Class Rule Waiver [CW 14-1091].

When this waiver applies

4. The relief in paragraph 5 of this instrument applies when:
 - (a) the client is not a Retail Client; and
 - (b) the Market Transaction is in respect of a Product which is a Derivatives Market Contract.

Waiver

5. ASIC relieves a Market Participant from the obligation to comply with Rule 3.4.1, subject to the conditions in paragraph 7 and 8 of this instrument.

Period during which this waiver applies

6. The relief in paragraphs 5 of this instrument applies from the date this instrument commences under paragraph 3 until 30 June 2020.

Conditions

7. The Market Participant has notified the client before entering a Trading Message on the client's behalf that Market Transactions effected for the client are subject to:
 - (i) the directions, decisions and requirements of the Market Operator, the ASX Rules, the Market Operating Rules, the Clearing Rules and where relevant, the Settlement Rules;

(ii) the customs and usages of the Market; and

(iii) the correction of errors and omissions; and

8. A Market Participant must keep a record of the notification referred to in condition 7 of this instrument.

Interpretation

9. In this instrument, unless the contrary intention appears, capitalised terms have the meaning given by the ASX Rules

Notes to ASIC Class Rule Waiver [CW 14-1091]

Note 1

ASIC Class Rule Waiver [CW 14-1091] (in force under Rule 1.2.1 of the *ASIC Market Integrity Rules (ASX Market) 2010*) as shown in this compilation comprises that Class Rule Waiver amended as indicated in the tables below.

Table of Instruments

Instrument number	Date of FRL registration	Date of commencement	Application, saving or transitional provisions
[CW 14-1091]	28/10/2014 (<i>see</i> F2014L01425)	28/10/2014	
[CW 16-0359]	29/4/2016 (<i>see</i> F2016L00599)	30/4/2016	-
[CW 17/0617]	29/6/2017 (<i>see</i> F2017L00794)	30/6/2017	-

Table of Amendments

ad. = added or inserted am. = amended LA = *Legislation Act 2003* rep. = repealed rs. = repealed and substituted

Provision affected	How affected
Para 3	rep. s48D LA
Para 6	am. [CW 16-0359] and [CW 17/0617]