

ASX/ASX 24 Off-Shore Permissions Summary

Overview of permissions currently held by ASX Group with foreign regulators



Jurisdiction	Regulator	Participant Types Allowed	Products
USA	Commodity Futures Trading Commission (CFTC)	ASX 24	SPI Futures/Options* Commodity Futures* Energy Futures* Interest Rate Futures*
USA	Securities and Exchange Commission (SEC)	None – Clients Only	Exchange Traded Options (ETOs)
Singapore	Monetary Authority of Singapore (MAS)	ASX	Cash Equities Listed Managed Investments (LMIs) ETOs** Warrants/ETFs (AQUA)** ASX Futures** Interest Rate Securities**
		ASX 24	Contracts For Difference (CFDs)** SPI Futures/Options** Commodity Futures** Energy Futures** Interest Rate Futures**
Hong Kong	Securities and Futures Commission (SEC)	ASX	Cash Equities ETOs Warrants/ETFs (AQUA) LMIs ASX Futures Interest Rate Securities
		ASX 24	CFDs SPI Futures/Options Commodity Futures Energy Futures Interest Rate Futures
United Kingdom	Financial Services Authority (FSA)	ASX 24	CFDs SPI Futures/Options Commodity Futures Energy Futures Interest Rate Futures

* <http://cftc.gov/international/foreignmarketsandproducts/foreignproducts.html> to determine if a no-action letter has been issued to allow the offer or sale of a foreign exchange-traded broad-based security index futures contract (or option thereon) in the United States of particular products. No-action relief has been granted re: ASX/S&P 50 Futures and ASX/S&P 200 Futures is permitted and some ASX 24 contracts. Note: relief must be obtained in respect of any other products to be offered in the US.

** ASX 24's recognition is restricted to its operation of a futures market and a market in respect of CFDs on equities listed on ASX, and CFDs on Indices for which approval has been granted under s42 of the Securities and Futures Act. ASX's recognition is restricted to its operation of a securities market. Note: both ASX and ASX 24 must obtain the approval of the authority to list/de-list or permit the trading of any futures contract; any right, option or derivative re: any debentures, stock or shares; any right under a CFD or any other contract the purpose of which is to secure a profit or avoid a loss by reference to fluctuations in: the value/price of any debenture, stock or shares; the value/price of any group of debenture stock or shares; or any index of any debenture, stock or shares. No approval for ASX Clear/ASX Settlement Participants.

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