

Bulk opt-in of HINs to electronic Holder communications

Guiding Principles



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These guiding principles have been prepared for the information of ASX Settlement Participants



Coordination

- Participants must lodge bulk opt-in plans and execution schedules with ASX Equity Post Trade Operations.
- ASX, Participants, and Share Registries will coordinate planned dates with their respective investor support teams.
- Execution is subject to ASX impact assessment of proposed volumes.
- Subject to impact assessment of planned bulk opt-in volumes*
 - One Bulk opt-in per Participant per day, as coordinated by ASX
 - Avoid bulk opt-in across consecutive days to allow all entities (ASX, Participants, Share Registries) sufficient time to support anticipated volumes of inbound investor support queries
- Participants are reminded to follow the MT203 message requirements outlined in [Section 3.5](#) of the [technical & process fact sheet for the electronic delivery of CHES holding statements and notifications](#). Adhering to the prescribed MT203 message format ensures accurate processing of electronic communication opt-ins. MT203 messages submitted in full compliance with these conditions will qualify for the waiver of the \$1.50 fee per opt-in message.



Execution timing

- Bulk opt-in window becomes available from 11 May 2026.
- Schedule only in non-critical periods:
 - Second and third weeks of the month
 - Weekdays 2:00 PM – 6:00 PM
- Exclude reporting periods, Fridays (to prevent weekend impact), holiday periods, and critical industry blackout windows (e.g., CHES Release 1 targeted for April 2026).
- Execution occurs in a timeslot allocated by ASX Settlement.
 - Dependency: Agree the execution date first; investor notification timing and periods will be derived from the confirmed date.
- Where multiple Participants request the same date, allocation is prioritised by ASX Equity Post Trade Operations by order of submission. *

* Subject to impact assessment of bulk opt-in volumes (e.g. whether Participant(s) plan to opt-in 10k HINs in single day vs. 100k HINs in a single day)

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Execution cadence

- Maximum 250,000 HIN opt-ins per Participant per day.
- Execute in staged increments:
 - Commence with lower volumes and increase over time.
 - Begin with basic account selection criteria; transition to HINs with the most active holdings as confidence increases.
- Maintain sufficient intervals between increments to handle inbound enquiries and operational checks.



Compliance

- Provide ASX Settlement (ASX Equity Post Trade Operations) with the investor notification dates and notification period.
- Participants must be able to demonstrate Holder authority for all HINs opted-in, including those under negative consent.
- ASX Settlement will notify investors of changes to communication preference by email and by post.
- Please be reminded that [ASX Settlement Operating Rule 8.18.2](#) requires Participants to notify ASX Settlement of any change to Registration Details within 2 Business Days of receiving authority. If you expect that it will take longer than 2 Business Days, please contact your Participants Compliance Advisor or email Participants.Compliance@asx.com.au to discuss a waiver. ASX aims to advise applicants of the outcome of a waiver request within 20 business days, so please provide sufficient notice

For more information, please contact Issuer Services at issuers@asx.com.au.

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