

APPENDIX X1: EVENTS USED FOR REASON CODES ON REGISTRY TRANSACTIONS

This table lists the events where reason codes may be used on registry transactions, and the appropriate subsequent reason code.

Event	Event Description	Reason Code	Description (as per the EIS)
Bonus Issue	Allotment of shares in a bonus issue.	BON	Bonus Issue Allotment
Bonus Share Plan	Allotment of shares in a bonus share plan.	BSP	Bonus Plan Allotment
Calls of partly paid shares	Payment of calls for partly paid shares of either a limited or no liability company.	CAL	Call Paid
	Removal of shares on which a call has not been paid.	FOR	Forfeiture of Partly Paid Shares
Capital Reconstruction of a company	Effects of a capital reconstruction.	REC	Reconstruction
Company Buy Back	Removal of securities when a holder has failed to issue instructions for a compulsory buy back.	BYB	Buy Back
Company Merger	Allotment of securities as a result of a company merger.	MER	Company Merger
Conversion	Conversions of securities other than convertible notes.	CNV	Miscellaneous Conversion
Convertible Notes	Allotment.	CNA	Convertible Note Allotment
	Conversion.	NCN	Convertible Note Conversion
	Redemption or Maturity.	CNR	Convertible Note Redemption/Maturity

ASX SETTLEMENT PROCEDURE GUIDELINES

Event	Event Description	Reason Code	Description (as per the EIS)
Distribution in Specie	Allotment of securities as a result of a distribution in specie.	DIS	Distribution in Specie
Divestment	Adjustments to CHESSE Holdings due to divestment procedures for securities other than those subject to CHESSE foreign ownership restrictions. All other processing for divestment takes place outside of CHESSE.	DVM	Divestment
	Adjustments to CHESSE Holdings due to divestment procedures for securities subject to CHESSE foreign ownership restrictions. All other processing for divestment takes place outside of CHESSE.	AFO	Adjustment for Foreign Ownership
Dividend in form of securities	Allotment of shares as a result of the company deciding to pay the dividend in the form of shares.	SCD	Scrip Dividend
Dividend Reinvestment Plan	Allotment of shares in a dividend reinvestment plan.	DRP	Dividend Plan Allotment
Float	Allotment of securities as a result of a company float.	FLT	Float
Income Reinvestment	Allotment of securities in a reinvestment of income other than dividend income e.g. interest, trust income, etc.	IDA	Income Distribution Allotment
Miscellaneous Adjustment	Any adjustment where no specific reason codes is applicable. For example: <ul style="list-style-type: none"> • Error fixing. • Unusual Corporate Actions 	ADJ	Adjustment
Miscellaneous Allotment	Any allotment of securities where no specific reason code is applicable.	ALT	Miscellaneous Allotment

ASX SETTLEMENT PROCEDURE GUIDELINES

Event	Event Description	Reason Code	Description (as per the EIS)
Non-Registry Initiated Movement	Movement due to the CHESSE subregister closing. For example in the event of an issuer being delisted.	CSC	CHESSE Subregister Closed
	Movement due to the CHESSE subregister being archived.	SAR	Subregister Archived
Non-Renounceable Issues	Allotment of new securities following acceptance of the issue.	NRE	Non-Renounceable Issue Allotment
Options	Allotment.	OPT	Option Allotment
	Option exercised.	OEX	Option Exercised
Placement	Allotment due to a placement of securities.	PLC	Placement
Non Pro-Rata Entitlement	Cum entitlement reporting facility	PRI	Non pro-rata entitlement
Redemption	Redemptions of securities other than convertible notes.	RED	Miscellaneous Redemption
Renounceable Rights Issues	Allotment of rights entitlements (rights securities).	RHE	Renounceable Rights Entitlement Allotment
	Removal of rights entitlements (rights securities) upon acceptance	RHA	Renounceable Rights Accepted
	Allotment of new securities following acceptance of a rights entitlement OR Transformation of rights securities to new securities.	RHT	Renounceable Rights Issue Allotment
Reversal	Reversal of an allotment or transfer due to various errors/events.	REV	Allotment Reversal
Scheme of Arrangement	Effects of a scheme of arrangement.	SOA	Scheme of Arrangement
Share Purchase Plan	Allotment of securities as a result of a share purchase plan.	SPP	Share Purchase Plan
Share Top-up Plan	Allotment of securities as a result of a share top up plan.	STP	Share Top-up Plan

ASX SETTLEMENT PROCEDURE GUIDELINES

Event	Event Description	Reason Code	Description (as per the EIS)
Takeovers	Allotment of securities as consideration from a takeover that is unconditional.	TKA	Takeover Consideration Allotment
	Movement of securities from the client to the offeror for a takeover subject to a compulsory acquisition by the offeror.	CAQ	Compulsory Acquisition by Offeror
Warrants	Allotment.	WAL	Warrant Allotment
	Exercise.	WEX	Exercise of a warrant