

ASX SETTLEMENT PROCEDURE GUIDELINES

SECTION 26. NOTINGS26-1

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Context of this Document

The ASX Settlement Procedure Guidelines must be read in the context of the ASX Settlement Operating Rules.

Any terms explicitly defined in the ASX Settlement Operating Rules and used in the ASX Settlement Procedure Guidelines should be interpreted according to the definition given in ASX Settlement Operating Rules. This includes terms such as participant, registry, holder, issuer, subregister, and financial product. Because of the large number of these terms, they have not been capitalised for emphasis in this document.

In the interests of readability and comprehension, where a procedure applies only in the context of securities in a listed company, the specific term security has been used instead of the more generic term financial product.

Change History

Version	Date	Description of changes
1.0	May 2005	Initial version of a merged guideline document incorporating details from both the PPG and IRPG
1.2	May 2007	Renumbering of this section as the original Section 20 ASX World Link has been removed
1.7	Dec 2010	Updates to include name changes within ASX Group and ASX Operating Rule books.
3.1	Jan 2016	ASXOnline document merge.
3.2	Mar 2016	T+2 implementation and change in references from C&S Operations to Post Trade Operations

SECTION 26. NOTINGS

Issuers are responsible for the maintenance of all document notings for all subregisters including CHESS except where the noting is a registered name or address change for a CHESS holding.

The (CHESS) registration name and address change procedures detail the requirements for CHESS holdings.

All other noting requirements and correspondence between holders, their agents, holding controllers, and registries will be satisfied by industry practice. Current practice ensures that both registries and holding controllers (regardless of whom is the initial recipient of information) obtain adequate details to note internal records.

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