

ASX Settlement Operating Rules Procedures

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SECTION 8 HOLDING FINANCIAL PRODUCTS IN THE SETTLEMENT FACILITY

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PROCEDURE 8.18.2 ~~CHANGE OF HOLDER RECORD DETAILS~~ACTION FOLLOWING CHANGE OF REGISTRATION DETAILS

The action to be taken by a Participant where there is a change to Registration Details recorded in a Holder Record is as follows:

- (a) the Participant must Transmit a Valid Originating Message that specified the existing HIN for the Holder Record and the ~~n~~New Registration Details;
- (b) the Controlling Participant must maintain ~~documentation~~records to verify that the Registration Details relating to the change that are noted in the Valid Originating Message, are correct and authorised by the ~~client~~Holder;
- (c) on receipt of notification from ASX Settlement that the change to the Registration Details has been made in accordance with the Valid Originating Message, the Participant must check to make sure that the change to the Registration Details of the Holder have been made to the correct Holding; and
- (d) if the change to the Registration Details were not made to the correct Holding, then the Controlling Participant must liaise with ASX Settlement as soon as possible, and in any event no later than two Business Days, to rectify the error.

Introduced 11/03/04

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