

ASX Settlement Operating Rules

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SECTION 8 HOLDING FINANCIAL PRODUCTS IN THE SETTLEMENT FACILITY

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8.7 ESTABLISHING A HOLDER RECORD

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8.7.2 Establishing a Holder Record

If a Participant Transmits a Valid Message to ASX Settlement requesting ASX Settlement to establish a Holder Record that includes the matters specified in the Procedures, ASX Settlement must:

- (a) establish a Holder Record on CHESS for that person;
- (b) allocate a HIN to that Holder; and
- (c) if the Holder Record has been established for a Participant Sponsored Holder, promptly send a Notice in relation to that Holder Record to that Participant Sponsored Holder.

If the Holder Record is in relation to a person that is a Participant Sponsored Holder, the Participant must, in the absence of any specific alternative ~~written~~ authority from that ~~other person~~ Holder, specify as the current Registration Details in the Message, the name, address and, if applicable, Email ~~De~~etails of the person as recorded in the Sponsorship Agreement.

Introduced 11/03/04 Origin SCH 5.4.1, 5.4.1B Amended 02/11/09

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8.18 CHANGE OF HOLDER RECORD DETAILS

8.18.1 No change of Registration Details without authority

A Participant must not effect a change of Registration Details in relation to a Holder Record without the prior ~~written~~ authority of the relevant Holder. The Participant must retain a record of that ~~written~~ authority.

Introduced 11/03/04 Origin SCH 11.8.1 Amended 09/05/05

8.18.2 Action following change of Registration Details

If there is any change to the Registration Details recorded in a Holder Record for a person on behalf of whom a Participant is authorised to operate one or more CHESS Holdings, the Participant must within 2 Business Days of ~~obtaining-receiving~~ written

authority from the Holder to effect that change, notify ASX Settlement of the change to the Registration Details in accordance with the Procedures.

Introduced 11/03/04 Origin SCH 11.8.2, 11.8.3, 11.8.4, 11.8.8, 11.8.9 Amended 18/12/06

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8.18.5 Participant indemnity for unauthorised or incorrect request

If a Participant has Transmitted a Message to ASX Settlement requesting a change to the Registration Details of a Participant Sponsored Holder but the Participant:

- (a) was not authorised, at the time that the Message was Transmitted by that Participant Sponsored Holder to request the change; or
- (b) has provided incorrect details in:
 - (i) the Message requesting the change to Holder Record details; or
 - (ii) the documents to be maintained under Rule 8.18.4 where the change in ~~R~~egistration ~~D~~etails includes a change of name,

the Participant indemnifies ASX Settlement or the Issuer from and against all losses, damages, costs and expenses which ASX Settlement or the Issuer may suffer or incur by reason of the matters described in this paragraph (a) or (b).

Introduced 11/03/04 Origin SCH 11.8.7

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APPENDIX 1 SCHEDULED TIMES

Rule Number	Requirement	Sydney Time
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Rule 8.18.3	ASX Settlement to process an amendment to a Holder Record	within 2 Business Days of: <ul style="list-style-type: none">• receiving the Valid <u>receiving the Valid</u> <u>Originating Message in</u> <u>accordance with Rule</u> <u>8.18.2; or</u>• <u>if applicable,</u> receiving the documentation required <u>requested</u> under the <u>Procedures relating to</u> Rule 8.18.43.
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