



ASX Online forms

Frequently Asked Questions (FAQs)

5 February 2024

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Purpose of this document

This document has been prepared to assist listed entities with common queries they may have in relation to the usage of ASX online forms and ASX Listing Rules changes which came into effect on 5 June 2021.

The information in this document is **current as of 5 February 2024**. Given the content and technical releases to the online form and ASX Online platform continues to evolve, the information in this document is subject to change.

Background

ASX has introduced an enhanced process for the announcement of certain corporate action and capital change events by Issuers. The announcement process for listed entities and their corporate action or capital change events is mandated via structured Appendices to the ASX Listing Rules. Should an Appendix to ASX Listing Rules be identified as an “ASX online form”, listed entities are obliged to make that announcement by completing and lodging an online form via ASX’s online announcement service, ASX Online Companies. Once an Issuer completes an online form ready for announcement submission, a PDF announcement will be generated for processing by the ASX Market Announcements Office and release to the market. The introduction of the online forms has made it possible to:

- Provide more prescriptive requirements about the information to be announced for certain events, presenting only relevant questions and identifying mandatory vs. non-mandatory questions
- Validate and prefill information as the Issuer is filling in an ASX online form.
- Provide information or warning messages for certain scenarios that may also be presented to the market announcements office and referred to ASX Listings Compliance prior to market release
- Manage the online workflow allowing Issuers to generate ‘New’, ‘Update’ and ‘Cancel’ for an event.
- Easily classify and standardise the format for certain announcement types and automate the release of structured information as soon as possible after the PDF announcement is released. The structured data within the online form will auto generate the content of corporate action and capital change notifications and is used in downstream systems such as ASX Trade, CHESS and is also made available in information services.

Where else to find help

Listed entities can also find more information about the online forms and their use on the Online Forms - Resources section of the Help page of ASX Online Companies, including recorded webinars for each form, and overviews of key changes.

<https://www.asxonline.com/companies/html/help.html#onlineFormsResources>

[ASX has also made available to listed entities the ASX Online Training Environment.](#) The training environment reproduces ASX Online Companies but is not connected to the ASX market announcements platform or any other system, providing a safe environment for users to familiarise themselves with the environment and announcement processes. For example you can use the PDF or online form announcement process, but release of the announcement and resulting confirmations are simulated).

If you need to ask a question, ASX recommends that you contact your ASX Listings Adviser in the first instance before completing or submitting a form.

In 2021 the following Guidance Notes were updated to support the use of the online forms.

Guidance Note 14 – ASX MARKET ANNOUNCEMENTS PLATFORM

<https://www.asx.com.au/content/dam/asx/rules-guidance-notes-waivers/asx-listing-rules/guidance-notes/gn14-asx-market-announcements-platform.pdf>

Guidance Note 20 – ASX ONLINE

<https://www.asx.com.au/content/dam/asx/rules-guidance-notes-waivers/asx-listing-rules/guidance-notes/gn20-asx-online.pdf>

Additional guidance on:

- Granting access to allow external advisers to access ASX Online to assist in preparing ASX online forms
- Technical difficulties accessing ASX Online or the ASX online forms
- Problems completing a particular ASX online form

Guidance Note 30 – NOTIFYING CHANGES IN ISSUED SECURITIES AND APPLYING FOR QUOTATION OF NEW OR ADDITIONAL SECURITIES

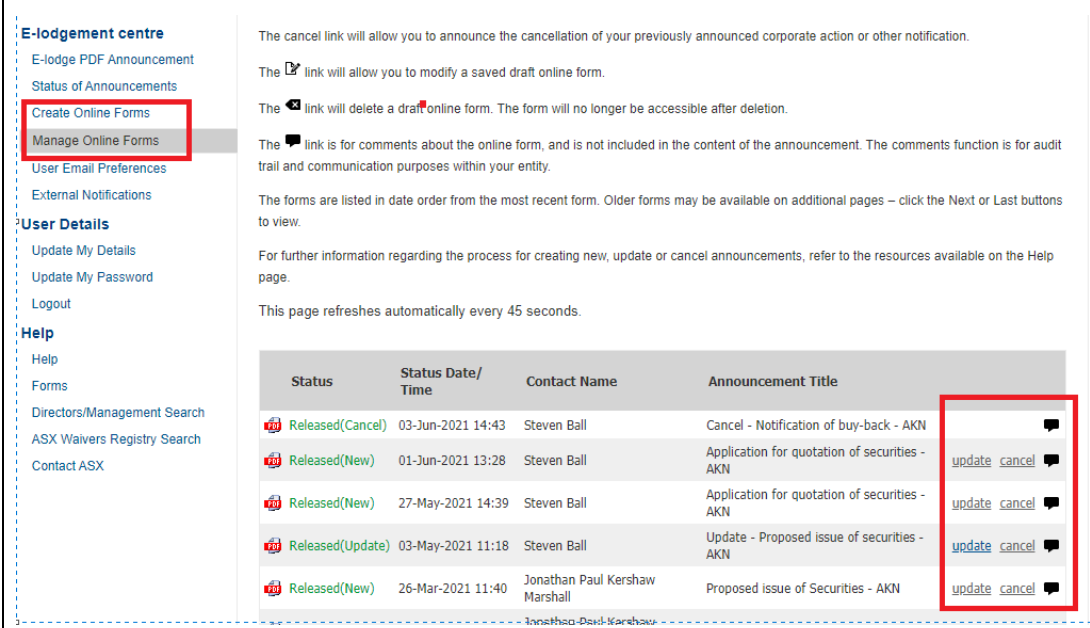

































<https://www.asx.com.au/content/dam/asx/rules-guidance-notes-waivers/asx-listing-rules/guidance-notes/gn30-quotation-of-additional-securities.pdf>

- Notification obligations relating to changes in issued securities
- How to apply for the quotation of new or additional securities
- Summary of notification obligations relating to changes in issued securities explaining what notifications are required for common corporate actions and events

Frequently Asked Questions and Answers

ASX LISTING RULES CHANGES		
Topic	Question	Answer
Online forms available for use	<i>How do I know which online form to lodge?</i>	<p>Please see Annexure A to Guidance Note 30 for an overview of the scenarios for form usage.</p> <p>Please also refer to the material available in the ASX Online – Help section. https://www.asxonline.com/companies/html/help.html</p>
Word version of forms	<i>Where can I find the word version of online forms and other forms?</i>	All forms that are Appendices to the Listing Rules can be found on the Forms page on ASX Online Companies. This page will indicate whether the form is also available as an online form, or word form only.
Word version of forms	<i>When can a word version of the online form be used?</i>	<p>If an ASX online form has been made available on ASX Online Companies – Create Online Forms page then it must be used to announce the referenced events (refer to Listing Rule 15.3). When a transaction has been first submitted to ASX using an online form, any subsequent updates to or cancellation of the event must also be done using the online form.</p> <ul style="list-style-type: none"> - The equivalent word versions of the online forms which are also made available on ASX Online Companies – Login and Forms pages are intended for emergency use only. Details of what qualifies as emergency use outlined in Guidance Note 20: ASX Online – section 14 and 15. <p>Unless ASX has specifically requested the listed entity to submit a paper-based form such as event previously submitted as a word form and therefore no system workflow exists or where a corporate action event cannot be supported, the word form should be only be used in limited circumstances.</p> <p>If there is a technical issue, please contact your ASX Online Help Desk. to discuss how to address the issue.</p>

ONLINE FORM FUNCTIONALITY		
Topic	Question	Answer
Lodging, updating and cancelling an online form	How do I create, or update/cancel a previous announcement?	<p>Announcements related to a single event are linked and processed chronologically in ASX Online forms.</p> <p>New: To announce an event for the first time choose the appropriate form located in the 'Create Online Forms' screen of ASX Online Companies.</p> <p>Update: Once that announcement has been released to market, to advise of an update go to the 'Manage Online Forms' page. The previously submitted (new) announcement will be available to do an 'update' or 'cancel' via an online form. If the user clicks on 'Update' the previously submitted form will be presented for completion of updated information, including the reason for the update.</p> <p>If the user instead chooses (in error) to create a new form, this can create a duplicate event in ASX and participant systems resulting in technical issues. If that occurs ASX will contact the Issuer to notify of this error and remove one of the events from its system.</p> <p>Cancel: To announce the cancellation of a previous online form announcement (an example is if you want to announce the cancellation of a dividend or some other event or capital change) go to the 'Manage Online Forms' screen and select "cancel" next to the latest announcement concerning the event you wish to cancel. A cancellation form will be presented for the user to complete the reason for the cancellation and submit.</p> <p>Once a cancellation is submitted, the announcement will no longer be available for any further updates in the Manage Online Forms page. Prior to submitting a cancellation ASX strongly advises that the user contacts their ASX Listings Compliance Adviser to discuss the matter.</p> <p>These workflow functions are also covered in the recorded webinar available on the Help page of ASX Online Companies called "Online Forms - the basics 2021 webinar".</p>

ONLINE FORM FUNCTIONALITY																																
Topic	Question	Answer																														
		<p><i>Diagram: ASX Online – Manage Online Forms</i></p>  <p>E-lodgement centre</p> <ul style="list-style-type: none"> E-lodge PDF Announcement Status of Announcements Create Online Forms Manage Online Forms User Email Preferences External Notifications <p>User Details</p> <ul style="list-style-type: none"> Update My Details Update My Password Logout <p>Help</p> <ul style="list-style-type: none"> Help Forms Directors/Management Search ASX Waivers Registry Search Contact ASX <p>The cancel link will allow you to announce the cancellation of your previously announced corporate action or other notification.</p> <p>The  link will allow you to modify a saved draft online form.</p> <p>The  link will delete a draft online form. The form will no longer be accessible after deletion.</p> <p>The  link is for comments about the online form, and is not included in the content of the announcement. The comments function is for audit trail and communication purposes within your entity.</p> <p>The forms are listed in date order from the most recent form. Older forms may be available on additional pages – click the Next or Last buttons to view.</p> <p>For further information regarding the process for creating new, update or cancel announcements, refer to the resources available on the Help page.</p> <p>This page refreshes automatically every 45 seconds.</p> <table border="1"> <thead> <tr> <th>Status</th> <th>Status Date/Time</th> <th>Contact Name</th> <th>Announcement Title</th> <th></th> </tr> </thead> <tbody> <tr> <td> Released(Cancel)</td> <td>03-Jun-2021 14:43</td> <td>Steven Ball</td> <td>Cancel - Notification of buy-back - AKN</td> <td></td> </tr> <tr> <td> Released(New)</td> <td>01-Jun-2021 13:28</td> <td>Steven Ball</td> <td>Application for quotation of securities - AKN</td> <td>update cancel </td> </tr> <tr> <td> Released(New)</td> <td>27-May-2021 14:39</td> <td>Steven Ball</td> <td>Application for quotation of securities - AKN</td> <td>update cancel </td> </tr> <tr> <td> Released(Update)</td> <td>03-May-2021 11:18</td> <td>Steven Ball</td> <td>Update - Proposed issue of securities - AKN</td> <td>update cancel </td> </tr> <tr> <td> Released(New)</td> <td>26-Mar-2021 11:40</td> <td>Jonathan Paul Kershaw Marshall</td> <td>Proposed Issue of Securities - AKN</td> <td>update cancel </td> </tr> </tbody> </table>	Status	Status Date/Time	Contact Name	Announcement Title		 Released(Cancel)	03-Jun-2021 14:43	Steven Ball	Cancel - Notification of buy-back - AKN		 Released(New)	01-Jun-2021 13:28	Steven Ball	Application for quotation of securities - AKN	update cancel 	 Released(New)	27-May-2021 14:39	Steven Ball	Application for quotation of securities - AKN	update cancel 	 Released(Update)	03-May-2021 11:18	Steven Ball	Update - Proposed issue of securities - AKN	update cancel 	 Released(New)	26-Mar-2021 11:40	Jonathan Paul Kershaw Marshall	Proposed Issue of Securities - AKN	update cancel 
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Announcement header (title)	<i>Can I change the announcement header associated with the online forms?</i>	<p>If an announcement is submitted using an ASX online form, the announcement header (title) and associated report types are automatically assigned. The user cannot select or modify the header.</p> <p>Refer section 10 of Guidance Note 20 for a list of the automatically derived announcement headers for online forms.</p>																														

ONLINE FORM FUNCTIONALITY		
Topic	Question	Answer
Online form error, information and warning messages	<i>What happens if I see a warning message or error while completing the form?</i>	<p>There are three types of alert displayed in the ASX online forms and is presented if the form validates the data field.</p> <ol style="list-style-type: none"> 1. Information messages in black: The message is for information only and does not require rectification. 2. Warning messages in orange coloured text: This will not prevent the user from reviewing and submitting the online form but will generate an internal flag for ASX Market Announcements office post submission of the online form. Depending on the warning message, this may be referred to ASX Listings Compliance for additional review before the announcement is released to market. ASX will review the relevant item causing the warning and this may cause an operational or technical issue, ASX will contact the person nominated by the entity under ASX Listing Rule 12.6 as the person responsible for communication with ASX, to resolve the issue prior to continuing the processing of the form (i.e. before the announcement is release to market). A list of fields which will generate an internal alert to ASX Market Announcements team is provided in Annexure A. <p>The orange warning message is not published in the equivalent PDF announcement to market. It is for issuer and ASX internal use only.</p> <ol style="list-style-type: none"> 3. Error messages with red coloured text will prevent the user from reviewing and submitting the form until the error is rectified.
Only one 'purpose' per form Appendix 2A and Appendix 3G	<i>I can only select one purpose/reason under Q2.1, is it my understanding a new form is therefore required for each new reason?</i>	<p>That is correct, only one purpose or type of issue is available for selection under Part 2 - Q2.1 of Appendix 2A or Appendix 3G.</p> <p>A separate application is to be submitted if an issue with a different purpose is required.</p>
Conflicting date error	<p><i>Why am I being blocked from announcing another corporate action using an online form? The following error message is being presented in the form:</i></p> <p>Error text:</p> <p><i>"ASX has an existing corporate action record for one or more securities with</i></p>	<p>ASX online forms are designed to prevent concurrent corporate action events with overlapping key dates for the same security. Please note that two or more corporate actions on the same security may not run with different record dates if the timetables result in overlapping (but not identical) ex-periods.</p> <p>It is permissible to run different corporate actions with the same record date except in the case of reorganisations – consolidations/splits which cannot run at the same time as any other corporate action for that entity. Also refer to Listing Rule 7.14.</p>


ONLINE FORM FUNCTIONALITY		
Topic	Question	Answer
	<p><i>conflicting dates. Submission of your proposed corporate <u>action will not be permitted</u> using the Online Form. Please contact your ASX listings compliance adviser for further clarification.</i></p> <p><i>Impacted securities: ASX Code 1, ASX Code 2"</i></p>	<p>If a corporate action does not breach the concurrency rule but the user receives this warning as there is more than one corporate action in ASX's database, the best course of action is to contact your ASX Listings Adviser and alert them to this situation.</p> <p>ASX will advise whether the proposed concurrent corporate actions are acceptable and therefore can be submitted via an online form, or not acceptable and provide the proposed course of action.</p>
<p>Discrepancy in Issued Capital</p> <p>Part 4 of Appendices 2A and 3G</p> <p>Part 3 of Appendix 3H</p>	<p><i>The number of securities is not correct as presented in the total issued capital section of the form? It appears there is no way to update this.</i></p>	<p>The number of securities in Part 4 of Appendix 2A/3G or Part 3 in the Appendix 3H representing the total securities on issue automatically calculated and cannot be changed in the online forms. The calculation takes into account the figures currently recorded within ASX system records and performs a 'forward looking' security adjustment pursuant to that application. If there is a discrepancy in the total number of securities, this is typically due to:</p> <p>1. Timing Issue - if a user is attempting to lodge multiple forms on the same day, a discrepancy will exist while ASX is yet to process and confirm the outstanding applications.</p> <p>Security updates are not immediate and processing timing is required to reflect the new totals based on the effective date for quotation/cancellation including downstream processing timings for ASX Trade, CHESSE, market information subscribers and data vendors.</p> <p>ASX will take into account the application 'Issue Date', 'Cessation Date', or any other key timetable dates along with the time when the form is released to market before the actual security adjustment is recorded. ASX will provide a separate confirmation to issuers for quotation or change to security on issue once the capital change has been formally adjusted.</p> <p>An Issuer can continue to lodge additional forms, however any discrepancies in the total figures under Issued capital across Quoted and Unquoted securities is likely due to timing and requires the adjustment or quotation of the securities to take effect. Refer to the respective Appendices for ASX timings on application processing.</p> <p>Diagram: <i>Note relating to the potential discrepancy highlighted in Part 4 - Appendix 2A online form</i></p>

ONLINE FORM FUNCTIONALITY						
Topic	Question	Answer				
		<p>Part 4 - Issued capital following quotation</p> <p>i Following the quotation of the +securities the subject of this application, the issued capital of the entity will comprise: (A discrepancy in these figures compared to your own may be due to a matter of timing if there is more than one application for quotation/issuance currently with ASX for processing.)</p> <p>This section is read only. ASX will include the relevant +securities and total number on issue based on existing ASX records plus the changes noted in this application. The figures provided below are used to calculate the total market capitalisation of the entity published by ASX from time to time.</p> <p>i 4.1 Quoted +securities (total number of each +class of +securities quoted on ASX following the +quotation of the +securities subject of this application)</p> <table border="1"> <thead> <tr> <th>ASX +security code and description</th> <th>i Total number of +securities on issue</th> </tr> </thead> <tbody> <tr> <td>FPH : ORDINARY FULLY PAID FOREIGN EXEMPT NZX</td> <td>576,371,510</td> </tr> </tbody> </table> <p>2. Issuer has not previously notified ASX of security changes: Refer to next question/response.</p>	ASX +security code and description	i Total number of +securities on issue	FPH : ORDINARY FULLY PAID FOREIGN EXEMPT NZX	576,371,510
ASX +security code and description	i Total number of +securities on issue					
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Wholesale Debt Notes	<i>I am unable to verify how ASX has calculated the number of debt securities in the debt classes</i>	<p>Although an debt Issuer will typically announce a monetary (dollar figure e.g. \$) for the amount issued against wholesale debt securities, ASX will convert this amount to represent the notional 'Number of securities' on issue taking into account the 'Face value' of the notes.</p> <p>For example, when an Issuer is looking to issue new or top-up an existing class of notes using the online form, the Issuer will be requested to provide the 'Total Principal Amount (\$)', and the online form will calculate the number of securities to be added/adjusted based on the Face Value recorded against the note in ASX systems.</p>				

ONLINE FORM FUNCTIONALITY		
Topic	Question	Answer
		<div data-bbox="1019 454 2027 502" style="background-color: #f0f0f0; padding: 5px;"> ▾ Wholesale debt securities details </div> <div data-bbox="1041 518 1960 662"> <p> i * +Security currency * Total principal amount of class i Face value </p> <p> <input type="text" value="USD - US Dollar"/> <input type="text" value="USD 1,000,000.000000"/> <input type="text" value="USD 20,000.000000"/> </p> <p style="margin-left: 700px; font-size: small;">This must be input as a \$ amount per security.</p> </div> <div data-bbox="1041 678 1355 758"> <p>Number of +securities</p> <input type="text" value="50"/> </div> <div data-bbox="1041 766 2004 917"> <p>i * Please provide any further information relating to the principal terms of the +securities</p> <div style="border: 1px solid #ccc; height: 50px; width: 100%;"></div> </div> <div data-bbox="974 957 2027 1021" style="margin-top: 20px;"> <p>Part 4 of the online form will always populate the 'total number of securities' on issue, rather than the Principal amount of the class/note.</p> </div>

APPENDIX 3B – Proposed issue of securities		
Topic	Question	Answer
Relationship between online forms Appendix 3B, Appendix 2A and Appendix 3G	<i>I am trying to lodge an Appendix 2A / 3G online, but the form is advising it cannot locate the original Appendix 3B.</i>	<p>If an Appendix 3B was originally submitted to ASX using a word version form (PDF'd), any subsequent Appendix 2A/3G relating to that proposal will need to be submitted as an unstructured word version form.</p> <p>If you are preparing to submit an Appendix 2A or 3G related to a proposed issue announced in an Appendix 3B, then the Appendix 3B must have been submitted to ASX as an online form, for it to then be visible in the subsequent Appendix 2A or 3G online form.</p>
Deferred Settlement Trading requested outside corporate action events	<i>Appendix 3B does not have any questions to allow for deferred trading e.g. Placement of retail debt securities, preference shares type offers. How should this be handled?</i>	<p>If an entity is seeking a deferred settlement trading timetable for the issuance of new securities not resulting from a corporate action event, ASX requests the issuer contact their Listings Adviser before submitting the Appendix 3B.</p>
Lodgement timing between Appendix 3B and Appendix 2A	<i>Can I lodge an Appendix 3B and Appendix 2A for the same event on the same day?</i>	<p>ASX has observed that some listed entities have lodged Appendix 3B and Appendix 2A on the same business day and the typical circumstance has been that the Issuer overlooked lodging the Appendix 3B for the proposed issue. Lodgement of these two forms on the same day should be avoided. There is a need for a 1 business day gap between lodgement of the proposed issue of new securities (Appendix 3B) and the confirmation of its issue (Appendix 2A). This is particularly the case if the Issuer is proposing to issue a 'new' class of securities.</p> <p>If the securities have already been issued, it is acceptable that only an Appendix 2A for application of securities is submitted, no need for Appendix 3B (proposed issue). Please see Guidance Note 30.</p> <p>Appendix 2A is to be submitted with ASX when the entity knows the final number of securities to be issued being on or closer to the advised Issue Date of the event.</p>
Scope of Appendix 3B	<i>Are there events where an Appendix 3B should not be used?</i>	<p>The proposed issue of equity securities for the following events fall outside Listing Rule 3.10.3A and <u>do not</u> require notification via an Appendix 3B.</p> <ul style="list-style-type: none"> - Employee incentive scheme - Conversion of any convertible securities (including company options)

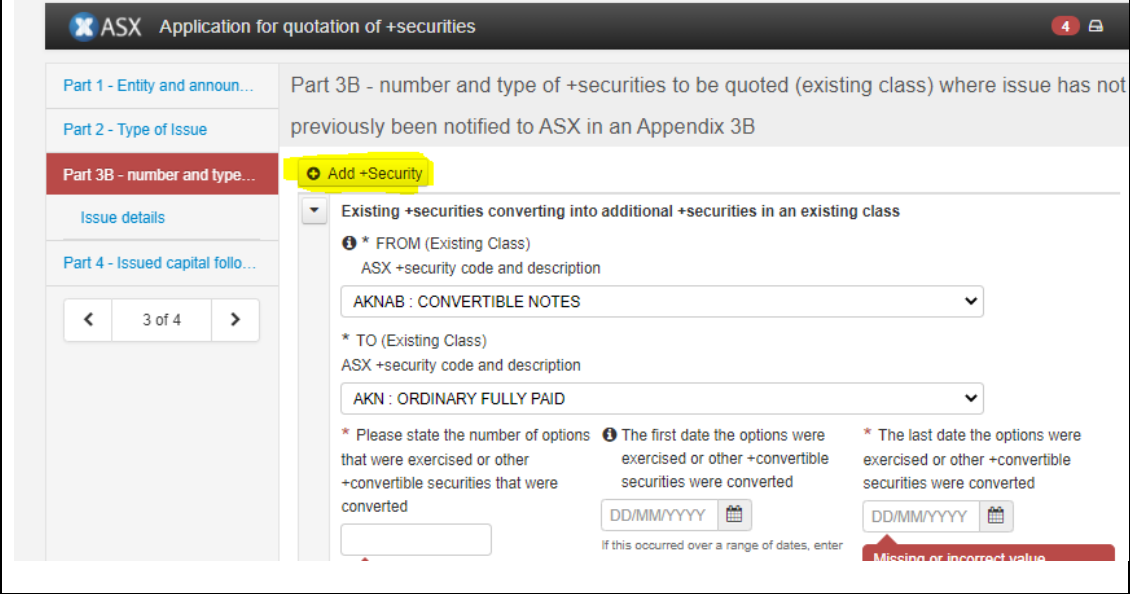
APPENDIX 3B – Proposed issue of securities		
Topic	Question	Answer
		<ul style="list-style-type: none"> - Payment up of partly paid securities <p>For issues related to Dividend or distribution reinvestment plan (DRP), Appendix 2A or Appendix 3G will serve as the appropriate notification (see LR 3.10.3A - LR 3.10.3C).</p> <p>ASX has observed that some Appendix 3B notifications have been received with the selection being 'Placement' or 'Other' to declare the proposed issuance of securities for the above events. Please note that Appendix 3B is not the appropriate form and will result in inappropriate processing.</p>

APPENDIX 2A – Application for quotation of securities		
Topic	Question	Answer
Frequency of form lodgements – active employee plans	<i>We have a very active employee plan with a number of different classes of securities recorded at ASX. That means we are having to lodge multiple forms for any plan changes. How can we minimise this?</i>	<p>Listed entities can combine classes of securities issued under an employee scheme to reduce the number of classes a company has on issue despite the securities having different strike process, expiry dates or performance hurdles. Please refer to section 2.7 of Guidance Note 30.</p> <p>Please consult your Listings Adviser to review the security class list and any possible combinations.</p>
FROM (Existing Class) security	<i>What if I don't require a FROM class to be selected or if one does not exist?</i>	<p>The FROM (Existing Class) was added to the form to allow flexibility to the online form structure depending on the scenario. Some of the question presentation within the online forms is standardised to allow for multiple types of scenarios.</p> <p>If 'no security currently exists' is selected, the user will be asked for a 'Security description' box to fill. Where this is not relevant, ASX guidance is to enter 'not applicable' or 'n/a' in response.</p> 
	<i>Securities issued under employment incentive scheme that are not subject to a restriction or transfer or that are to be quoted notwithstanding</i>	As above, if there is no conversion, there is an option in the 'FROM (Existing Class)' dropdown to select 'No security currently exists'.

APPENDIX 2A – Application for quotation of securities		
Topic	Question	Answer
	<i>there is a restriction or transfer there should not be a FROM and TO, there is no conversion or transfer?</i>	If 'No security currently exists' is selected then ASX system processing will recognise there is no adjustment needed to take place in the 'FROM' security for this scenario.
Update to Issue Date	<i>I am unable to extend or push out the Issue Date in the Appendix 2A e.g. for a Rights issue or Security Purchase Plan (SPP).</i>	<p>For corporate action events such as Bonus issues, Non-Renounceable, Renounceable, Accelerated entitlement offers there is a system workflow that should be considered based on the timetable previously advised by the issuer via an Appendix 3B.</p> <p>Appendix 2A Issue Date is automatically derived from the related Appendix 3B. For corporate action events, this date will be greyed out (not editable) if the Issue Date is today or future dated. To amend the Issue Date to another future date, a user must retrieve the Appendix 3B form via 'Manage Online Forms' and submit an Update to that form – updating the Issue Date. The update must be received by ASX prior to 12pm (Sydney time) on the previously announced Issue Date.</p> <p>The cut-off time on 'Issue Date' is common across all corporate action events. This is because the Issue Date is recorded in the corporate action event, and any change has knock-on market ramifications to the management of the event lifecycle (i.e. for ending or extending the deferred settlement period and to allow normal trading next business day) and that ASX systems such as ASX Trade and CHESS, as well as market information subscribers receives appropriate notification relating to the change.</p> <p>For corporate action events, ASX Operations sends an email to the recorded Company Secretary to remind them of the actions needed prior to the Issue Date. This reminder will include instructions on how to amend the Issue Date if needed (via Appendix 3B), and how to confirm the number of securities to be issued under Appendix 2A/3G event on Issue Date.</p> <p>For Security Purchase Plan (SPP), update to the Issue Date within the Appendix 3B is to occur prior to 12pm (Sydney time) <u>on or before</u> the previously advised Issue Date. If the Issue Date is in the past, there is system logic that will prevent certain fields from being updated in the online form, as the event is now deemed complete or from a workflow perspective an Appendix 2A/3G is expected to be lodged with ASX.</p> <p>If the Issue Date is now a past date, given the event has no deferred trading impact, it is acceptable for lodgement of the Appendix 2A/3G to represent confirmation for security quotation. The user will be presented with the 'old'</p>

APPENDIX 2A – Application for quotation of securities		
Topic	Question	Answer
		<p>Issue Date from the Appendix 3B (proposed issue) and the user can update this date as part of the application process in the Appendix 2A/3G.</p> <p>For Placements/Non Pro Rata events, similar to SPP above, the same Appendix 3B Issue Date extension and time limits apply. It is acceptable that confirmation of these details (once the Issue Date has lapsed) reflects the latest information in the Appendix 2A/3G should an Issuer be prevented from updating these details in the existing Appendix 3B.</p>
On Issue Date	<i>What happens on Issue Date, and what if the entity cannot confirm the issue of securities and apply for quotation on the Issue Date for corporate action events?</i>	<p>Securities to be issued under a corporate action event (e.g. Non-Renounceable, Renounceable and Bonus issue) must be confirmed with ASX via an Appendix 2A and/or Appendix 3G on the Issue Date unless otherwise extended.</p> <p>The Issue Date marks the completion of the corporate action event and the end of deferred settlement trading of new securities being issued. If the entity is unable to confirm the number of securities issued on the Issue Date, or the date is not extended via an updated Appendix 3B, then ASX Operations will defer the corporate action Issue Date in ASX's database. This will then set the new corporate action Issue Date to another future date for the entity to confirm issuance of the securities (typically the next business day). The event will continue to be deferred by ASX until confirmation is satisfied by an Issuer. Please contact your Listing Compliance Adviser immediately if this occurs.</p> <p>If there are additional securities to be allocated following the corporate action event such as a Shortfall allocation or other security placement, any new Appendix 2A created will retrieve the Issue Date as recorded based on the related Appendix 3B. This is expected, and the user can now amend the corporate action Issue Date (now in the past) to the relevant Issue Date. There is no longer a dependency on the corporate action event, as it has concluded from a workflow perspective in ASX systems.</p>
Distribution schedule	<i>Will the distribution schedule only be presented in the form for a new class of quoted securities?</i>	<p>The distribution schedule will be presented correctly for completion for the following conditions:</p> <ul style="list-style-type: none"> - If the Issuer picks responses in Q2.1 other than 'previous 3B', then distribution schedule will only be displayed for new class of security, except as noted below. - The form won't display distribution schedule if the Issuer is retail debt or wholesale debt, or if the Issuer is foreign exempt.

APPENDIX 2A – Application for quotation of securities		
Topic	Question	Answer
	<p><i>Practically we only need distribution schedule and top twenty if it is a <u>new</u> class of quoted security.</i></p>	<ul style="list-style-type: none"> - The form will display distribution schedule if Issue Date is past or current (otherwise the form shows a pop up message to remind Issuers of the future requirement). - The form will display distribution schedule for ordinary / part paid shares, options, convertible debt. <p>For the following scenarios, the distribution schedule will be displayed, but can be ignored as it is a non-mandatory question:</p> <ul style="list-style-type: none"> - If the Issuer picks response in Q2.1 'previous 3B', the distribution schedule question will be displayed regardless of whether the securities are new or existing class. If the securities to be issued are in an existing class the Issuer can ignore this question.
<p>ASX restricted securities now being quoted</p>	<p><i>Why do we need to advise the Issue Date? They would have been on issue for some time as an unquoted security.</i></p> <p><i>The Issue Price would have been asked when the securities were issued and is not now relevant.</i></p> <p><i>What security class should be selected in 'from' and 'to'?</i></p> <p><i>What ranking information should I input?</i></p>	<p>Issue Date: ASX requires an Issue Date to schedule when the change is to be processed within ASX systems and to market data subscribers. The quotation date for new securities is calculated from the advised Issue Date even if this date is retrospective. ASX advice is to provide the original Issue Date of the securities to be quoted (e.g. per original prospectus/IPO date).</p> <p>ASX also notes the timing requirement for application of quotation of previously escrowed securities it should be after the escrow has expired, noting the timing requirement in Listing Rules 2.8.5.</p> <p>Issue price: ASX requires an Issue Price in order to determine the appropriate subsequent listing fee. For securities coming out of escrow it is the initial price under the prospectus/offer document per Guidance Note 15.</p> <p>Security: Select the "FROM (existing)" security being the unquoted ASX code assigned for the restricted security provided to the entity in prior notifications. If in doubt, the user can also refer to Part 4 of the online form to view all the active security classes on issue.</p> <p>Please contact your Listings Compliance Adviser for guidance if the security class cannot be located.</p> <p>Ranking: Please select 'Yes – ranks equally' for when seeking quotation of securities that were previously escrowed if you have selected an existing 'TO' security being the fully paid ordinary class of the entity. ASX system processing will reduce the number of securities against the restricted class and quote the additional securities in the 'TO' class being the subject to the application.</p> <p>Important: If you answer as No, this will (incorrectly) trigger the set-up of a new quoted class of security.</p>

APPENDIX 2A – Application for quotation of securities		
Topic	Question	Answer
<p>Add row feature: Multiple security changes / Issue dates</p>	<p><i>Can you add multiple security class adjustment in the one Appendix 2A for the same purpose/type of issue?</i></p>	<p>Although the Appendix 2A online form can only support one purpose or type of issue under Q 2.1, additional securities to be quoted across different security classes, or different Issue dates can be supported by using the “Add Security” with a plus sign in it under Part 3B of the form.</p> <p>This will create another table requesting for additional security details of change or adjustment for that class. To remove the row, simply click the icon with a minus sign in it.</p> <p>Refer diagram below:</p> 
<p>Security quotation Date (effective Date)</p>	<p><i>When will my securities be quoted following lodgement of an Appendix 2A?</i></p>	<p>The date for when quotation of new securities is granted (and the new number reflected in ASX’s system) is calculated from the Issue Date and the time in which the Appendix 2A is lodged to ASX.</p>

APPENDIX 2A – Application for quotation of securities		
Topic	Question	Answer
		<p>If Issue Date is:</p> <ul style="list-style-type: none"> - Today or in the past (i.e. securities have already been issued) and the online form is lodged <u>before 12pm</u> (Sydney time), the quotation of shares and update to ASX's database will occur overnight. The event details will be disseminated to market data subscribers that business day for overnight effect, ready for the following business day. - If online form is <u>lodged after 12pm</u>, quotation of securities is not reflected overnight and is effective two business days from the advised Issue Date – again to give the market data subscribers sufficient time to be advised of the security changes before quotation is granted. - If Issue Date is in the future, the event will be processed by ASX system based on that future date with overnight effect, ready for the following business day (so no change to security class total until the event is processed by ASX). <p>The listed entity will receive an email confirmation granting official quotation of the securities once this occurs.</p> <p>If the issuer has arranged for DVP settlement for the issue using the Primary Market Facility, quotation is generally granted the day after the settlement date, provided the Appendix 2A has been submitted before 12pm (Sydney time) on the settlement date.</p>
Transfer of existing securities already quoted	<i>I wish to advise a 'transfer of existing securities'. Appendix 2A form stops me from proceeding in the next question on resultant securities.</i>	<p>For transfers, if a user is selecting that the resultant securities are:</p> <ul style="list-style-type: none"> - <i>Intended to be, but are not yet, quoted by ASX (greyed out):</i> This is not permissible in Appendix 2A (for application for quotation of new securities) since transfers of securities implies the securities are already quoted. <p>If there is a 'transfer' of existing securities and the resultant securities are already quoted by ASX, Appendix 3G online form is the appropriate form and will cover this notification.</p>
Quoted option class is not available for conversion	<i>Why can't I locate my quoted option class in drop down list to advise the exercise of options into shares?</i>	A quoted option will cease quotation 4 business days before its expiry/maturity pursuant to the timetable in Appendix 6A. ASX Online is currently unable to retrieve inactive instruments that have ceased quotation (end-

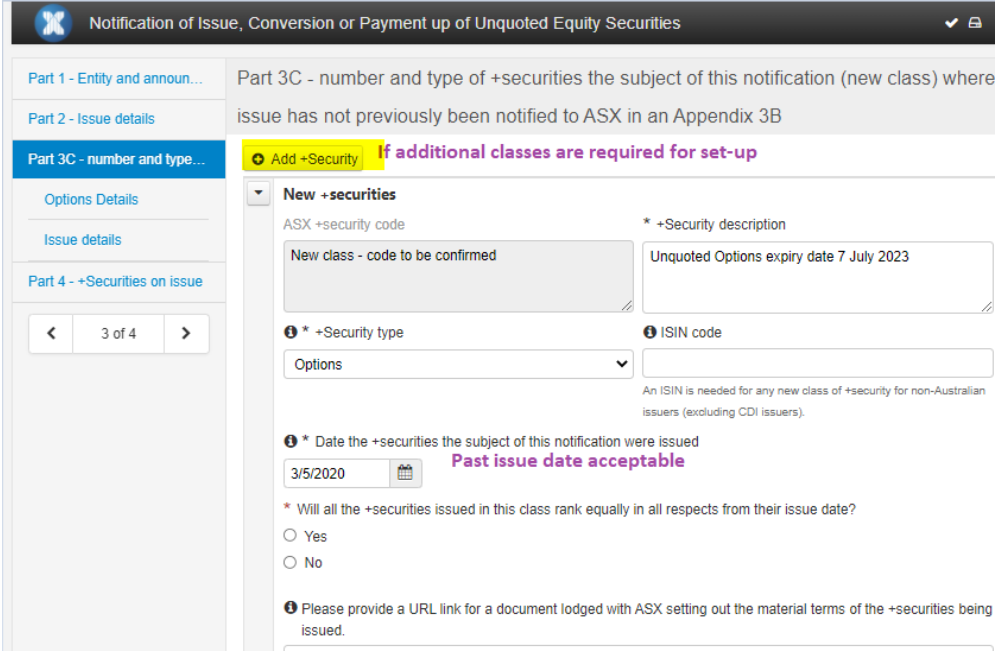
APPENDIX 2A – Application for quotation of securities		
Topic	Question	Answer
		<p>dated) which is preventing the option/convertible note to appear in Appendix 2A to allow for quotation of shares following exercise/conversion. The use of the word version of Appendix 2A is therefore the preferred method.</p> <p>⚠ Some users have incorrectly selected the new deferred line (e.g. ABCN) to represent the fully paid ordinary shares for option conversion. The deferred line is created pursuant to Appendix 6A timetable and should not be used for adjustment in the online form.</p>

APPENDIX 3G – Notification of issue, conversion or payment up of unquoted equity securities

Topic	Question	Answer
<p>Frequency of announcements – active employee plans</p>	<p><i>We have a very active employee plan with a number of different classes of securities recorded at ASX. That means we are having to lodge multiple forms for any plan changes. How can we minimise this?</i></p>	<p>Please refer to section 2.7 of Guidance Note 30, it proposes that an Issuer can combine classes of securities issued under an employee scheme to reduce the number of classes a company has on issue despite the securities having different strike process, expiry dates or performance hurdles. Please consult your Listings Adviser to review the security class list and any possible combinations.</p>
<p>Frequent notification permissible?</p>	<p><i>We have frequent movements due to employee changes/resignation in our company. Do we need to wait until the end of the quarter (i.e. lodgement 10 days after quarter) for notification?</i></p>	<p>The Listing Rule changes in June 2021 allowed for less frequent notification being the quarterly advice of employee plan changes. ASX notes that flexibility is permitted and the rule surrounding quarterly reporting is considered a backstop (deadline date). The timing was also considered following feedback from Issuers who found it to be onerous and highly administrative if they were subject to frequent notifications due to employee change.</p> <p>A listed entity is however not prevented from lodging Appendix 3G more frequently if they wish to report regular changes and to keep their capital structure up to date with ASX.</p>
<p>New unquoted classes not previously notified to ASX</p>	<p><i>What is the best method to notify ASX of unquoted classes already on issue, but not previously disclosed via a market announcement?</i></p>	<p>An Issuer can submit an Appendix 3G to notify of securities not previously disclosed to ASX. In Q2.1 select the purpose (e.g. issued under an employee incentive scheme) for which the notification is required. If current categories are not applicable, the Issuer can select 'Other'. Then in Q2.2a, there is an option to select 'does not have an existing ASX security code (new class)' which will trigger the requirement for a new unquoted class to be created by ASX once received.</p>

APPENDIX 3G – Notification of issue, conversion or payment up of unquoted equity securities		
Topic	Question	Answer
		<p><input checked="" type="radio"/> Other</p> <p>Note that your selection of items from this list will determine the items then available for selection in Q2.2 and other questions in Part 2. If you change your selection in this list (e.g. remove a previously selected item) it will have an affect on the items available in Q2.2.</p> <p>* Please specify</p> <div style="border: 1px solid #ccc; padding: 5px; min-height: 40px;"> notification of unquoted classes </div> <p>i * 2.2a This notification is given in relation to an issue of +securities in a class which is not quoted on ASX and which:</p> <p><input type="checkbox"/> has an existing ASX security code ("existing class")</p> <p><input checked="" type="checkbox"/> does not have an existing ASX security code ("new class")</p>

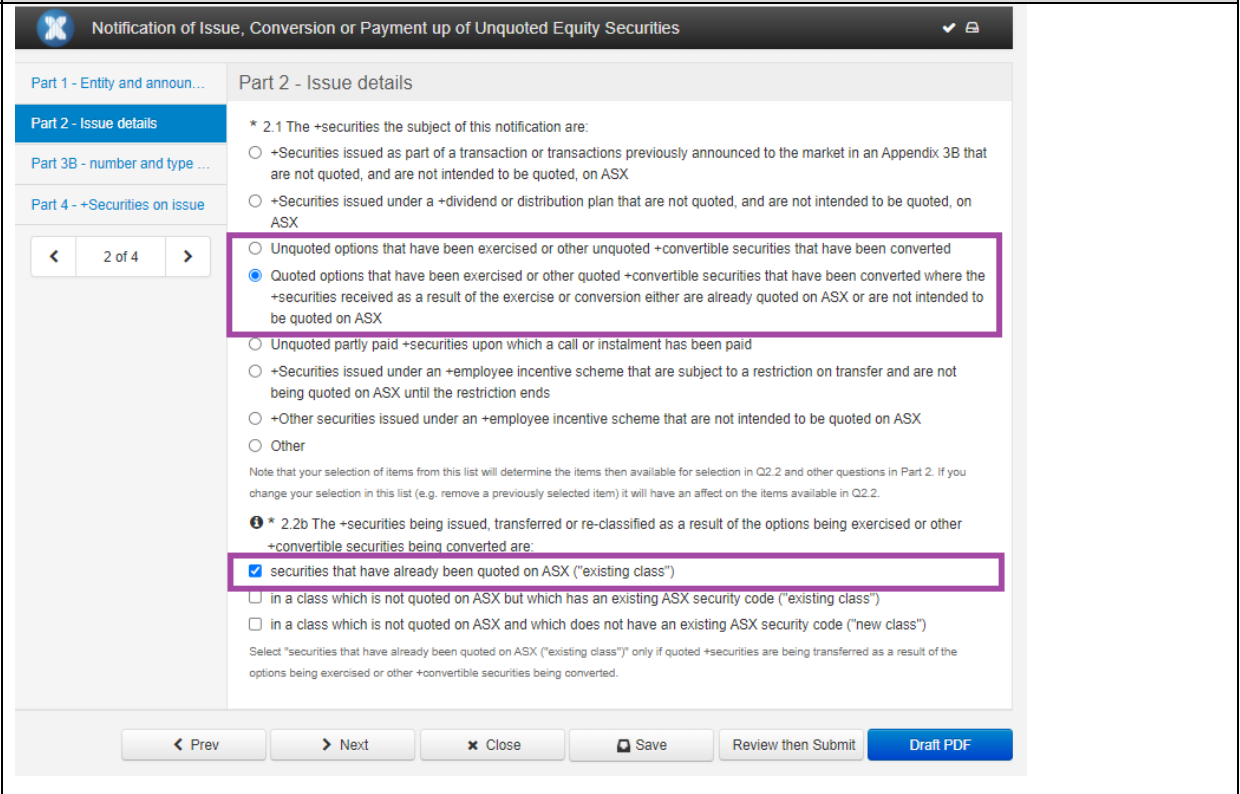
APPENDIX 3G – Notification of issue, conversion or payment up of unquoted equity securities

Topic	Question	Answer
		 <p>Part 3C - number and type of +securities the subject of this notification (new class) where issue has not previously been notified to ASX in an Appendix 3B</p> <p>Add +Security If additional classes are required for set-up</p> <p>New +securities</p> <p>ASX +security code: <input type="text" value="New class - code to be confirmed"/> * +Security description: <input type="text" value="Unquoted Options expiry date 7 July 2023"/></p> <p>* +Security type: <input type="text" value="Options"/> ⓘ ISIN code: <input type="text"/></p> <p><small>An ISIN is needed for any new class of +security for non-Australian issuers (excluding CDI issuers).</small></p> <p>ⓘ * Date the +securities the subject of this notification were issued: <input type="text" value="3/5/2020"/> ⓘ Past issue date acceptable</p> <p>* Will all the +securities issued in this class rank equally in all respects from their issue date? <input type="radio"/> Yes <input type="radio"/> No</p> <p>ⓘ Please provide a URL link for a document lodged with ASX setting out the material terms of the +securities being issued.</p> <p>If an additional unquoted security (e.g. with different security type, terms, exercise price) is required, the Issuer can also +Add Security which will create another category for new security details to be provided.</p> <p>Once completed, the Issuer will be able to view the new classes represented under Part 4 of the form.</p>

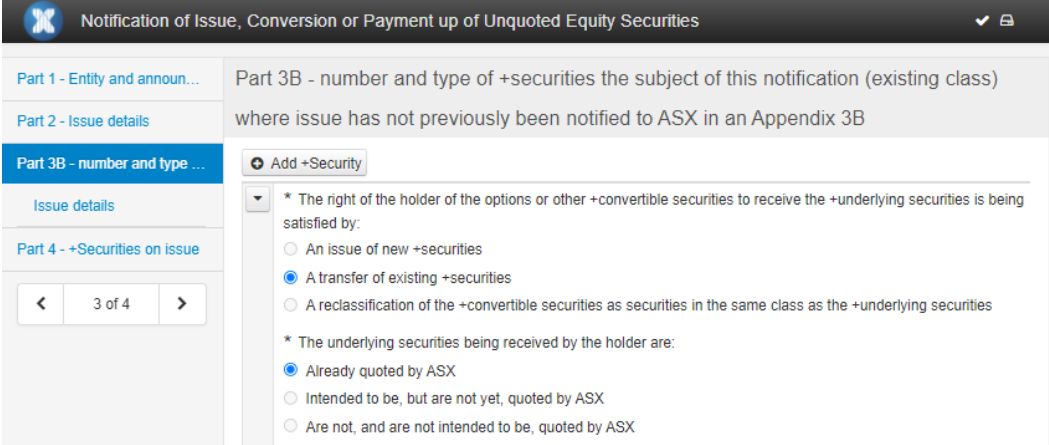
APPENDIX 3G – Notification of issue, conversion or payment up of unquoted equity securities

Topic	Question	Answer								
		<p>4.2 Unquoted +Securities (Total number of each +class of +securities issued but not quoted on ASX)</p> <table border="1" data-bbox="965 496 1827 692"> <thead> <tr> <th data-bbox="965 496 1603 560">ASX +security code and description</th> <th data-bbox="1603 496 1827 560">Total number of +securities on issue</th> </tr> </thead> <tbody> <tr> <td data-bbox="965 560 1603 600">ANZAA : OPTION EXPIRING VARIOUS DATES EX VARIOUS PRICES</td> <td data-bbox="1603 560 1827 600">7,091,818</td> </tr> <tr> <td data-bbox="965 600 1603 639">New class - code to be confirmed : Unquoted Options expiry date 7 July 2023</td> <td data-bbox="1603 600 1827 639">15,000</td> </tr> <tr> <td data-bbox="965 639 1603 692">New class - code to be confirmed : Unquoted Options expiry date 31 December 2025</td> <td data-bbox="1603 639 1827 692">50,000</td> </tr> </tbody> </table> <p>Upon receipt by ASX, ASX Operations will set-up the new unquoted securities and the Issuer (. Company Secretary recorded) will receive an email confirmation when this occurs including the relevant ASX codes allocated.</p>	ASX +security code and description	Total number of +securities on issue	ANZAA : OPTION EXPIRING VARIOUS DATES EX VARIOUS PRICES	7,091,818	New class - code to be confirmed : Unquoted Options expiry date 7 July 2023	15,000	New class - code to be confirmed : Unquoted Options expiry date 31 December 2025	50,000
ASX +security code and description	Total number of +securities on issue									
ANZAA : OPTION EXPIRING VARIOUS DATES EX VARIOUS PRICES	7,091,818									
New class - code to be confirmed : Unquoted Options expiry date 7 July 2023	15,000									
New class - code to be confirmed : Unquoted Options expiry date 31 December 2025	50,000									
<p>Exercise of an existing class into 'already quoted' securities/shares</p>	<p><i>How do I report exercise/conversion of securities which will be satisfied by existing shares? I am not seeking quotation of new shares.</i></p>	<p>For quoted/unquoted securities exercised or converted, satisfied through the issue of existing 'quoted' shares, the Issuer can use the Appendix 3G form for this notification.</p> <p>There is system logic within the form that does not result in a change to the total number of securities on issue in the resultant quoted security class.</p> <p>The applicable workflow to select in Appendix 3G as follows:</p>								

APPENDIX 3G – Notification of issue, conversion or payment up of unquoted equity securities

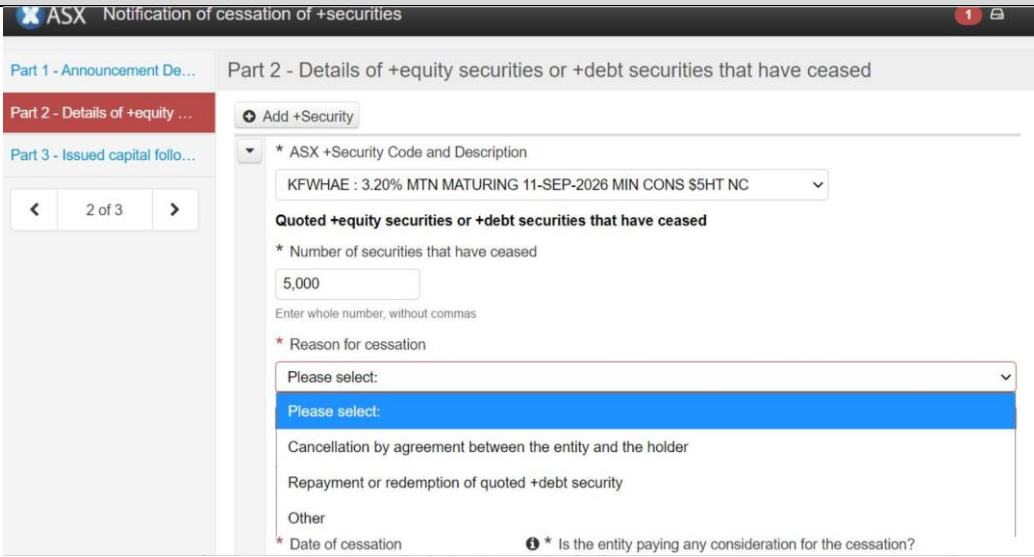
Topic	Question	Answer
		

APPENDIX 3G – Notification of issue, conversion or payment up of unquoted equity securities

Topic	Question	Answer
		 <p>This will result in a reduction of the FROM class (option/note being converted), however will not adjust the number of securities on issue in the ordinary share class in Part 4 of the form.</p>
<p>Unquoted Entitlement (Intermediate) security for non-renounceable issues</p>	<p><i>I can see this security in the Unquoted summary in Part 4 of the form. What is this class?</i></p>	<p>This temporary security was introduced in July 2020 to assist settlement participants in dealing with Non-renounceable corporate action processing. It has a similar function to the Rights code for Renounceable events, though is not quoted or traded, it is for information purposes only. The security is active from the Ex-date to the Applications Close Date and will remain on the company records until completion of the non-renounceable offer. For more information regarding the code, this following notice was issued to the market:</p> <p>#0839.20.07: 0920 – New ISIN for Entitlement in Non-Renounceable rights issue</p>

APPENDIX 3H – Notification of cessation of securities		
Topic	Question	Answer
Date of Cessation	<i>What Date of Cessation should I use if it covers a period of time (e.g. due to quarterly lodgement of cessations)?</i>	<p>Where cessation has occurred over a range of dates, enter the date for when the last cessation occurred. ASX expects this to be the end of the quarter as the relevant date (e.g. 30 June 2021, 30 September 2021) and recommends an Issuer includes a note in the “any other information” field to say that it covers securities issued under an employee incentive scheme that ceased to exist over the quarter ending on that date.</p> <p>Note: ASX plans to make a future enhancement to the form to include a From – To date range.</p>
Effective Date of reduced balance	<i>When will I see the change reflecting the reduced balance?</i>	<p>The processing timing by ASX depends on the ‘Cessation Date’ advised, along with the timing of form lodgement.</p> <p>If Cessation Date is:</p> <ul style="list-style-type: none"> - Today or in the past (i.e. cancellation of securities has occurred) and form is lodged <u>before 12pm</u> (Sydney time), the adjustment of securities to ASX’s database will occur overnight. The event will be disseminated to market data subscribers that business day for overnight effect. - If form is <u>lodged after 12pm</u>, the change is not reflected overnight and will be adjusted the following business day (extra day) – again to give the market data subscribers sufficient time to be advised of the security changes before the cancellation/cessation of securities take place. - If Cessation Date is set in the future, the event will be processed by ASX’s system based on that future date (so no change in security class total until the event is processed by ASX). <p>The listed entity will receive an email confirmation granting official quotation of the securities once this occurs.</p>
Expired or lapsed Quoted Options /Convertible notes not visible in security list	<i>I am unable to locate my quoted option class to notify of its cessation/lapse.</i>	<p>ASX Online is currently unable to retrieve inactive instruments that have ceased quotation or have matured which is preventing the option/convertible note to appear in Appendix 3H (for cancellation/lapse). This is due to the security being end-dated by ASX 4 business days before its expiry/maturity date pursuant to the timetable in Appendix 6A. ASX does not therefore expect an Appendix 3H to be lodged in these circumstances, however if required the use of a word form is therefore the preferred method.</p> <p>Note: ASX plans to update the Listing Rules to reflect this.</p>

APPENDIX 3H – Notification of cessation of securities		
Topic	Question	Answer
Instrument removal and maturity	Does Appendix 3H deal with the maturity and security removal on issue?	<p>Security removal does not occur in all scenarios following lodgement of the online form.</p> <p>Appendix 3H online form will automatically reduce (negatively adjust) the total number of securities based on the cancellation or cessation notification within ASX system.</p> <p>The automatic removal of the instrument only occurs in limited scenarios as outlined below:</p> <p><u>Unquoted instruments</u> Once the number of securities is reduced to zero, ASX systems will automatically end-date that unquoted class. Once end-dated, the instrument will no longer appear in the Issuer's list of securities.</p> <p><u>Quoted company options, convertible notes</u> Similar to cancellation of ordinary fully paid ordinary shares, the Appendix 3H online form can be sent for partial adjustment following cessations/cancellations of securities in that quoted class.</p> <p>For options/convertible note the actual cessation/expiry of the security is dealt by the Appendix 6A timetable whereby ASX systems will automatically end-date the instrument 4 business days before the expiry date. Once end-dated, the instrument will no longer appear in the Issuer's list of securities.</p>
Wholesale Debt Issuer	Can wholesale debt Issuers use the Appendix 3H?	<p>Yes, Appendix 3H extends to all quoted equity instruments including wholesale debt instruments.</p> <p>The Reason for cessation allows for cancellation by agreement between entity and holder, along with Repayment/redemption scenarios. If a negative adjustment be required outside the listed selection, the Issuer can select 'Other' in the drop-down which will then allow them to provide additional information, as shown below.</p>

APPENDIX 3H – Notification of cessation of securities		
Topic	Question	Answer
		 <p>The screenshot shows the ASX 'Notification of cessation of +securities' form. It is divided into three parts: Part 1 - Announcement Details, Part 2 - Details of +equity securities or +debt securities that have ceased, and Part 3 - Issued capital follow-up. The 'Add +Security' button is visible. The form includes a dropdown for 'ASX +Security Code and Description' with the value 'KFWHAE : 3.20% MTN MATURING 11-SEP-2026 MIN CONS \$5HT NC'. Below this, there is a section for 'Quoted +equity securities or +debt securities that have ceased' with a field for 'Number of securities that have ceased' containing '5,000'. A dropdown for 'Reason for cessation' is open, showing options: 'Cancellation by agreement between the entity and the holder', 'Repayment or redemption of quoted +debt security', and 'Other'. There is also a field for 'Date of cessation' and a checkbox for 'Is the entity paying any consideration for the cessation?'.</p>
Timing for notification of cancellation of securities pursuant to buy-back	<i>The Listing Rule notes that cancellation of securities should be notified within 5 business days of the Final Buy-Back Notice for an on market buy-back. Can I lodge cancellations more frequently?</i>	<p>Appendix 3H is appropriate to advise the cancellation of securities during a buy-back and there is no prevention from lodging more frequently and waiting until the final notice. The rule is a backstop date (after buy-back notice) to announce final cancellation of securities.</p> <p>ASX notes that Issuers should be aware of any other capital changes going on during buy-back and possible balance differences between Issuer and ASX, particularly if cancellations from buy-backs have not been advised to ASX. On that basis it is better that an Issuer advises cancellations more frequently, rather than waiting until the final notice.</p>
KMP lapses	<i>Do we need to provide details of the lapse of KMP holdings?</i>	ASX has planned an additional enhancement to the form to include a specific question regarding these details. ASX suggests for now that Issuers use text field to provide KMP details.

APPENDIX 3C – Notification of buy-back		
Topic	Question	Answer
New buy-back notification	<i>Should entities use the Appendix 3C for new buy-backs?</i>	<p>Yes, under Listing Rule 3.8A that came into effect 5 June 2021 all new buy-backs events must be notified using the available online form. This will allow the listed entity to update the buy-back event lifecycle electronically and retain pre-existing data based on original notification. The new Appendix 3C will now include the daily buy-back notification (previously known as Appendix 3E), any key updates (previously known as Appendix 3D) and final buy-back notification (previously known as Appendix 3F).</p> <p>Please note, if a word form is used for an Appendix 3C to notify of a new buy-back e.g. due to a technical issue or other, all subsequent notifications about the buy-back will need to be lodged by way of a word form (updated Appendix 3C). There is no system workflow to retrieve existing data from the original Appendix 3C.</p>
Buy-back cancellation of shares	<i>Is Appendix 3H for cancellation of securities necessary following a buy-back?</i>	<p>Yes, in order to reflect the actual cancellation of securities recorded on ASX following a buy-back, an Appendix 3H is necessary. The Appendix 3C is for buy-back event notification.</p> <p>Also noting that the Appendix 3H (cancellation/cessation of securities) has superseded the ASIC form 484 for ASX internal processing. An ASIC form 484 should therefore not be lodged on ASX market announcement platform.</p> <p>Note: Please also refer to Appendix 3H section of this document for frequency and timing of notification relating to buy-backs</p>
On market buy-back – daily updates	<i>I have an active buy-back in progress, and lodging Daily buy-back notifications via updates. I have noticed that I am unable to update some fields in section 3A – particularly Q3A.1 – ‘Total number of securities on issue in the class of securities to be bought back’. I have been cancelling securities as the buy-back progresses, so should I reduce this figure?</i>	<p>The figure at 3A.1 is intended to be static as at the time of the original announcement of the buy-back and not reflect cancellations. Even if Issuers could change this figure, ASX would not use that as a basis to change its records for total number of securities on issue.</p> <p>Issuers are reminded to advise ASX of any cancellations via lodgement of the Appendix 3H. This can be done as frequently as desired - which is a better outcome for record keeping rather than waiting until the buy-back is concluded and to meet the ‘back stop’ requirements of the buy-back timetable, where the cancellation needs to be advised within 5 business days of the Final notice.</p>

APPENDIX 4A – Statement of CDIs on Issue		
Topic	Question	Answer
Keeping security totals up to date with ASX	<i>What is the relationship of Appendix 3H and Appendix 3G to the Appendix 4A for CDIs (transmutation). We often have unquoted changes. When is it best to lodge so that all security balances marry up?</i>	<p>A good starting point to use the online forms to ensure balances is looking at the Appendices 3G and 3H to perform necessary adjustments. Issuer can also check balances in Part 4, without lodging the form.</p> <p>Although the Appendix 4A is not intended for unquoted security changes (e.g. employee securities), any transmutation changes on each class of CDIs issued over quoted securities. There should also be a corresponding change to 'unquoted' class that represents the underlying security.</p> <p>If a listed entity reports unquoted changes via Appendix 3G/3H (e.g. for new or updated employee related securities), the instrument updates will then flow (once processed) into the Appendix 4A by the end of the month.</p> <p>Noting that if a listed entity lodges multiple forms in the same day (e.g. Appendix 2A, 3G, 3H and 4A), there is no automatic balance updates between the forms intra-day. As previously noted, there is a timing consideration to enable the new totals to be adjusted across all the online forms based on its effective date and system timing. Refer to respective forms for processing timing (effective date).</p>

Annexure 1 - Online form fields which generate warning messages and/or internal flags for ASX Market Announcements Office

When a warning message within the online form is presented to ASX Market Announcement Office, the announcement may be referred to ASX Listings Compliance. ASX will need to consider each scenario on a case by case basis, depending on the timing of the change versus the original announcement, any processing and the event timetable. It may be that ASX ignores the update or change, allows the change or makes some other arrangements. The Issuer will be informed of any exceptional response.

Appendix Type of change	Warning message:	ASX response once announcement is received
Appendix 2A (application for quotation) Field: Issue date	Any updates to the Issue date will need to be reviewed by your ASX listings compliance adviser before the announcement will be released to market. <i>Triggered when ASX may be experiencing a technical issue regarding validation.</i>	ASX will check the changed issue date against existing records before allowing the form to be release to market. ¹
Appendix 2A (application for quotation) Type of announcement: Cancellation	Any cancellations will need to be reviewed by your ASX listings compliance adviser before the announcement will be released to market.	ASX will check any market or downstream impact before accepting the cancellation.
Appendix 2A (application for quotation) Field: Date of +disclosure document or +PDS	Date of +disclosure document or +PDS is more than 7 days in past.	ASX Listings Compliance will review the dates provided before allowing the form to be released to market.
<ul style="list-style-type: none"> • Appendix 3B (proposed issue) • Appendix 2A (application for quotation) 	If the securities have any unusual terms, you should approach ASX as soon as possible for confirmation under listing rule 6.1 that the terms are appropriate and equitable.	ASX Listings Compliance will review the security information before releasing the form to the market.

Appendix Type of change	Warning message:	ASX response once announcement is received
<ul style="list-style-type: none"> Appendix 3G (notification of unquoted securities) <p>Field: Part 3B - Details of +securities proposed to be issued</p>		
<ul style="list-style-type: none"> Appendix 3B (proposed issue), Appendix 3C (notification of buy-back (re off-market buy-back)), Appendix 3A.1 (Dividend) Appendix 3A.2 (Interest payment) Appendix 3A.3 (Consolidation/Split) Appendix 3A.4 (Capital Return) 	<p>ASX checks each announcement for any other corporate action event currently in progress for your entity. This is done to avoid overlapping timetables (i.e. concurrent events). The normal concurrent event check has encountered a technical issue. You may still submit the announcement - it will be sent to Market Announcement Operations and the ASX listings compliance adviser for review prior to the announcement's release to market.</p> <p><i>ASX may be experiencing a technical issue regarding validation.</i></p>	<p>ASX will check the event against existing events recorded in ASX systems and will act appropriately.</p>
<p>Appendix 3B (proposed issue)</p> <p>Field: Non renounceable offer – offer ratio</p>	<p>You have selected a ratio greater than 1:1. Listing rule 7.11.3 requires that non-renounceable offers must not exceed a ratio of 1:1. Please ensure that you comply with listing rule 7.11.3 or have a waiver from that rule.</p>	<p>ASX Listings Compliance will review the ratio information before allowing the form to be released to market.</p>
<p>Appendix 3B (proposed issue)</p> <p>Field: issue date (Bonus issue, Non Renounceable, Renounceable, Accelerated and SPP event)</p>	<p>You have selected a date for issue date for retail security holders that is more than 5 after the prescribed listing rule timetable for Issue date for retail +security holders. Please review the date input and consult your ASX listings compliance adviser. You may continue to submit this form with the warning present. The warning</p>	<p>ASX Listings Compliance to review before allowing the form to be released to market.</p>

Appendix Type of change	Warning message:	ASX response once announcement is received
	message will be reviewed by ASX staff prior to release of the announcement to market.	
Appendix 3B (proposed issue) Field: For SPP events – issue date	You have selected a date for Issue date and last day for entity to announce results of security purchase plan offer that is more than 5 business days after the prescribed listing rule timetable for Issue date and last day for entity to announce results of security purchase plan offer. Please review the date input and consult your ASX listings compliance adviser. You may continue to submit this form with the warning present. The warning message will be reviewed by ASX staff prior to release of the announcement to market	ASX Listings Compliance to review the timetable dates before allowing the form to be released to market.
Appendix 3B (proposed issue) Field – for SPP events: date of announcement in timetable	Are you sure you wish to enter a past date? ** Date of announcement of +security purchase plan	Noting the announcement of the security purchase plan must preferably be made prior to the commencement of trading on the announcement date. ASX Listings Compliance will review the dates before allowing the form to be released to market..
Appendix 3G (notification of unquoted changes) Update announcement	Downstream events for this announcement may have already been processed as part of the previous submission. Please consider this before approving this update announcement <i>ASX may be experiencing a technical issue regarding validation.</i>	ASX Listings Compliance to review the notified changes with ASX Operations team before allowing the form to be released to market.
Appendix 3G (notification of unquoted changes) Cancel announcement	Downstream events for this announcement may have already been processed as part of the previous submission. Please consider this before approving this cancel announcement <i>ASX may be experiencing a technical issue regarding validation.</i>	ASX Listings Compliance to review the notified cancellation with ASX Operations team before allowing the form to be released to market.

Appendix Type of change	Warning message:	ASX response once announcement is received
Appendix 3H (cessation of securities) Update to date of cessation	Any updates to the Date of cessation will need to be reviewed by your ASX listings compliance adviser before the announcement will be released to market. <i>ASX may be experiencing a technical issue regarding validation.</i>	ASX Listings Compliance to review the notified changes with ASX Operations team before allowing the form to be released to market.
Appendix 3H (cessation of securities) Cancel announcement	Any cancellations will need to be reviewed by your ASX listings compliance adviser before the announcement will be released to market. <i>ASX may be experiencing a technical issue regarding validation.</i>	ASX Listings Compliance to review the notified cancellation with ASX Operations team before allowing the form to be released to market.
Appendix 3A.1 (Dividend) Cancel announcement	You appear to be announcing a cancellation of a previously announced dividend or distribution. Please note the obligation in listing rule 3.21 to include in the announcement an explanation satisfactory to ASX of your reasons for the cancellation. If you have not already consulted with your ASX Listings Compliance adviser on this issue, please do so before lodging this form.	ASX Listings Compliance to review the notified cancellation with ASX Operations team before allowing the form to be released to market.
Appendix 3A.1 (Dividend) Change to payment date (deferral)	You appear to be announcing a deferral of a previously announced dividend or distribution. Please note the obligation in listing rule 3.21 to include in the announcement an explanation satisfactory to ASX of your reasons for the deferral. If you have not already consulted with your ASX Listings Compliance adviser on this issue, please do so before lodging this form.	ASX Listings Compliance to review the notified deferral with ASX Operations team with ASX Operations team before allowing the form to be released to market.
Appendix 3A.1 (Dividend) Change (reduction) to payment amount	You appear to be announcing a reduction of a previously announced dividend or distribution. Please note the obligation in listing rule 3.21 to include in the announcement an explanation satisfactory to ASX of your reasons for the reduction. If you have not already	ASX Listings Compliance to review the notified reduction with ASX Operations team before allowing the form to be released to market.

Appendix Type of change	Warning message:	ASX response once announcement is received
	consulted with your ASX Listings Compliance adviser on this issue, please do so before lodging this form.	
Appendix 3A.2 (Interest Payment) Cancel announcement	You appear to be announcing a cancellation of a previously announced interest payment. Please note the obligation in listing rule 3.22 to include in the announcement an explanation satisfactory to ASX of your reasons for the cancellation. If you have not already consulted with your ASX Listings Compliance adviser on this issue, please do so before lodging this form.	ASX Listings Compliance to review the notified cancellation with ASX Operations team before allowing the form to be released to market.
Appendix 3A.2 (Interest Payment) Change to payment date (deferral)	You appear to be announcing a deferral of a previously announced interest payment. Please note the obligation in listing rule 3.22 to include in the announcement an explanation satisfactory to ASX of your reasons for the deferral. If you have not already consulted with your ASX Listings Compliance adviser on this issue, please do so before lodging this form.	ASX Listings Compliance to review the notified deferral with ASX Operations team before allowing the form to be released to market.
Appendix 3A.2 (Interest Payment) Change (reduction) to payment amount	You appear to be announcing a reduction of a previously announced interest payment. Please note the obligation in listing rule 3.22 to include in the announcement an explanation satisfactory to ASX of your reasons for the reduction. If you have not already consulted with your ASX Listings Compliance adviser on this issue, please do so before lodging this form.	ASX Listings Compliance to review the notified reduction with ASX Operations team before allowing the form to be released to market.
Appendix 3A.3 (Consolidation/Split) Change to timetable dates	The record date and ex-date cannot be changed (even to postpone it or cancel it) any later than 12 noon Sydney time on the day before the previous ex-date advised. Please contact ASX if you need further information.	ASX Listings Compliance to review the notified change with ASX Operations team before allowing the form to be released to market.

Appendix Type of change	Warning message:	ASX response once announcement is received
Appendix 3A.3 (Consolidation/Split) Change to issue date	Please note that the issue date cannot be changed (even to postpone it) any later than 12 noon AEST on the previous +issue date advised.	ASX Listings Compliance to review the notified change with ASX Operations team before allowing the form to be released to market.
Appendix 3A.3 (Consolidation /Split) Change to ratio	Please note that the consolidation ratio cannot be changed any later than 12 noon Sydney time on the date present in Q3.3 - "last day for trading in pre consolidation or split +securities". Please contact ASX if you need further information.	ASX Listings Compliance to review the notified change with ASX Operations team before allowing the form to be released to market.
Appendix 3A.3 (Consolidation /Split) Change to ratio	Please note that the split ratio cannot be changed any later than 12 noon Sydney time on the date present in Q3.3 - "last day for trading in pre consolidation or split +securities". Please contact ASX if you need further information.	ASX Listings Compliance to review the notified change with ASX Operations team before allowing the form to be released to market.
Appendix 3A.4 (Capital Return) Selective return of capital	Please note that you have indicated in your response to Q2.2 that the event is a selective return of capital (i.e. it is not an equal return where all holders receive an equal return). Please check that this is correct. You may submit this announcement, however a warning will be presented to ASX Market Announcements Office for review prior to release to market. ASX will contact the entity to confirm it is in fact a selective return of capital.	ASX Listings Compliance to review the notified change with ASX Operations team before allowing the form to be released to market.
Appendix 3A.4 (Capital Return) Change to timetable dates	The record date and ex-date cannot be changed (even to postpone it or cancel it) any later than 12 noon Sydney time on the day before the previous ex-date advised. Please contact ASX if you need further information.	ASX Listings Compliance to review the notified change with ASX Operations team before allowing the form to be released to market.
Appendix 3A.4 (Capital Return) Change to payment date	Please note that the payment date cannot be changed (even to postpone it or cancel it) any later than 12 noon Sydney time on the day of the previous payment date advised.	ASX Listings Compliance to review the notified change with ASX Operations team before allowing the form to be released to market.

Glossary

The table below explains any abbreviations and acronyms contained elsewhere in the document.

DVP	Delivery versus payment
ISIN	International Securities Identification Number
SPP	Security Purchase Plan