

Bankruptcy

means:

- (a) in the case of a body corporate, where:
 - (i) an administrator of the body corporate is appointed under section 436A, 436B or 436C of the Corporations Act;
 - (ii) the body corporate commences to be wound up or ceases to carry on a business;
 - (iii) a receiver, or a receiver and manager, of property of the body corporate is appointed, whether by a court or otherwise; or
 - (iv) the body corporate enters into a compromise or arrangement with its creditors or a class of them; or
- (b) in the case of a natural person, where:
 - (i) a creditor's petition or a debtor's petition is presented under Division 2 or 3, as the case may be, of Part IV of the *Bankruptcy Act 1966* against the person, the partnership in which the person is a partner, or two or more joint debtors who include the person;
 - (ii) the person's property becomes subject to control under Division 2 of Part X of the *Bankruptcy Act 1966*;
 - (iii) the person executes a deed of assignment or deed of arrangement under Part X of the *Bankruptcy Act 1966*;
 - (iv) the person's creditors accept a composition under Part X of the *Bankruptcy Act 1966*; or
 - (v) the person's creditors accept a debt agreement proposal under Part IX of the *Bankruptcy Act 1996*,

and, where a reference is made to a Division or Part of the *Bankruptcy Act 1966*, that reference includes a reference to the provisions of a law of an external territory, or a country other than Australia or an external territory, that correspond to that Division or Part;

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| Board | means the Board of Directors of ASTC; |
| Broker | means: <ul style="list-style-type: none">(a) a Participating Organisation of ASX admitted to participate in CHESS under Rule 2.1.1;(b) a Participating Organisation admitted to participate in CHESS as a NSSP under Rule 2.1A; or(c) a department or subsidiary of ASX admitted to participate in CHESS under Rule 2.5.1(c); |
| Broker Nominee Company | means a body corporate controlled and operated by a Broker that carries on the business of holding Financial Products as a trustee or nominee; |
| Bulk SLS Loan | means a loan of Financial Products from the SLS Provider to ASX; |
| Bulk SLS Return Loan | means a return of a Bulk SLS Loan by ASX to the SLS Provider; |
| Business Day | means a day other than: <ul style="list-style-type: none">(a) a Saturday, Sunday, New Year's Day, Good Friday, Easter Monday, Christmas Day, Boxing Day; and(b) any other day that ASX shall declare and publish is not a business day; <p style="text-align: center;"><i>Note: This definition mirrors the ASX Business Rules definition.</i></p> |
| Business Hours | means the hours between Start of Day and End of Day; |

Cancellation Stamp

means a stamp used by a Broker that bears the words 'DOCUMENT CANCELLED', and makes provision for:

- (a) inclusion of the cancellation date;
- (b) inclusion of the CHESSTransaction Identifier as specified in the Message Transmitted by the Broker to SCH that initiates the Transfer or Conversion;
- (c) inclusion of a declaration that the stamp has been affixed to the actual Certificate;
- (d) (i) incorporation of the facsimile signature as part of the stamp itself; or

- (ii) inclusion by hand of the signature; of the person authorised to certify the cancellation on the Broker's behalf;
- Cash Sub-record means a CHES record:
- (a) ancillary to a Participant's Net Position Record; and
 - (b) tagged with an RTGS Account Identifier,
- that tracks amounts to be debited or credited, on settlement of an RTGS Instruction, to the account of the Participant linked to that RTGS Account Identifier;
- CCP means TNSC or on and from the Transition Date in Rule 20.3 OCH or such other entity nominated by ASTC and approved by ASIC when operating as the central counterparty to a Broker/Broker transaction novated in accordance with the Rules;
- CDI stands for CHES Depositary Interest and means a unit of beneficial ownership in a Principal Security, registered in the name of the Depositary Nominee, and includes:
- (a) CUFS; and
 - (b) DIs;
- CDI Register means a register of CDI Holdings maintained by a Principal Issuer under the Rules, consisting of:
- (a) an Issuer-Sponsored Subregister of Holders of CDIs and a CHES Subregister of Holders of CDIs; or
 - (b) with the consent of SCH, a CHES Subregister of Holders of CDIs

Note: SCH may consent to a CDI Register consisting of a CHES Subregister only, where the relevant offer is limited to institutional Holders.

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| Certificate | means any document issued to a Holder of Financial Products or Participating Foreign Securities as evidence of that Holder's title to those Financial Products or Participating Foreign Securities, for example, a share certificate, an option certificate, debenture or warrant; |
| Certificate Details | in relation to a Certificate for Financial Products in a Certificated Holding, means the Certificate Number and the number and class of Financial Products represented by the Certificate; |
| Certificate Number | means a reference number allocated by an Issuer in respect of, and printed on, a Certificate; |
| Certificated Holding | means a Holding of Financial Products on the Certificated Subregister; |
| Certificated Subregister | means that part of an Issuer's register for a class of the Issuer's CHES Approved Financial Products that is administered by the Issuer (and not SCH) and that records Holdings of Financial Products in that class for which Certificates are issued; |
| Certificated to CHES | means a Transfer or Conversion of Financial Products from a Certificated Holding to a CHES Holding; |
| Change of Registration Details | means information altering Registration Details in the electronic records of SCH; |
| CHES | stands for the Clearing House Electronic Subregister System and means the System (including without limitation the Feeder System) established and operated by SCH for: (a) the clearing and settlement of transactions in CHES Approved Financial Products; (b) the Transfer of Financial Products; and (c) the registration of Transfers; |
| CHES Approved | in relation to Financial Products, means Financial Products approved by SCH in accordance with Section 3, Section 3A or Section 3B; |

CHESS Bank

means the Entity that operates the clearing facility for inter-bank payments on behalf of SCH and may, where permitted by the Reserve Bank of Australia, include ASTC;

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| CHES Bidder | means a Participant entitled or authorised (whether as the bidder or on behalf of the bidder) to receive acceptances of bids made under a takeover bid in accordance with these Rules; |
| CHES Commencement Date | in relation to a class of an Issuer's Financial Products, means the date on which Financial Products in that class become CHES Approved; |
| CHES Debit Cap | in relation to a Net Position Record for an RTGS Participant, means a facility within the Feeder System that, if activated, enables the Participant's Net Position Record to go into debit up to the CHES Debit Limit, at any time when the relevant RTGS Payments Provider is deemed to have made the election set out in Rule 7A.5.2(a). |
| CHES Debit Limit | in relation to a CHES Debit Cap at any time, means the dollar amount: (a) most recently notified in accordance with Rule 7A.5.1(c) or Rule 7A.5.4(c); and (b) recorded by SCH against the Net Position Record to which that CHES Debit Cap applies; |
| CHES Debit Cap Status | means at any time the status of a CHES Debit Cap as authorised at that time by the RTGS Payments Provider for the relevant RTGS Participant, being either: (a) active; or (b) null (inactive); |
| CHES Holding | means a Holding of Financial Products or a Holding of FDIs on the CHES Subregister; |
| CHES Nil Paid Rights Subregister | means the Subregister administered by SCH that records Holdings of rights; |
| CHES Payments Provider User Group | means the subsystem within the interbank payments system, operated by the Reserve Bank of Australia, established to enable financial institutions to satisfy payment obligations of CHES Participants on behalf of CHES Participants; |

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| CHES Provision | means: <ul style="list-style-type: none">(a) a provision of these Rules; or(b) a provision of Chapter 7 of the Corporations Act which is material to the operation of CHES; |
| CHES Security Key | means an electronic code that is: <ul style="list-style-type: none">(a) generated by SCH; and(b) used to ensure secure communications between SCH and CHES Users; |
| CHES Software | means all systems and applications programs relevant to the operation of CHES including (without limitation) all of the computer software maintained and used by SCH for the purposes of CHES (other than software used by a CHES User to communicate with CHES); |
| CHES Subregister | means <ul style="list-style-type: none">(a) that part of an Issuer's register; or(b) that part of a Foreign Issuer's CUFS Register, for a class of the Issuer's CHES Approved Financial Products that is administered by SCH; and(c) in relation to Section 3B means the FDI Register for a class of Participating Foreign Securities that is administered by SCH. |
| CHES to Certificated | means a Transfer or Conversion of Financial Products from a CHES Holding to a Certificated Holding; |
| CHES to CHES | means a Transfer of Financial Products from one CHES Holding to another CHES Holding; |
| CHES to Issuer Sponsored | means a Transfer or Conversion of Financial Products from a CHES Holding to an Issuer Sponsored Holding; |
| CHES User | means: <ul style="list-style-type: none">(a) a Participant; or(b) an Issuer of CHES Approved Financial Products; |
| Clearing Account | means a Settlement Account or an Accumulation Account; |

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| Clearing Agreement | means an agreement entered into between a trading participant of ASX, under ASX Business Rule 2.1A.2, and a clearing participant of ASX, under ASX Business Rule 2.1A.3, which complies with ASX Business Rule 2.1A.4 |
| Clearing Holding | means a Settlement Holding or an Accumulation Holding; |
| Commission | means the Australian Securities & Investment Commission; |
| Communication | means an electronic communication within CHESSESS which may affect the balance of a CHESSESS Holding; |
| Complete Corporate Action Record | means a record of information relating to a Corporate Action that includes all relevant dates; |
| Compliance Period | means the period expiring on the first to occur of: (a) the Business Day that is one calendar month after Financial Products were Transferred to a Broker by ASX pursuant to an SLS Loan; or (b) an earlier Business Day specified by ASX and notified in writing to the Broker; |
| Confirmed FOR Indicator | means, when specified in a Message transmitted by a Participant, that the Participant is seeking to effect a Transfer or Conversion as a Foreign to Foreign Allocation; <i>Note: the indicator to be set in such instances is "OR"</i> |

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| Confirmed FOR Financial Products | means the lesser of either: <ul style="list-style-type: none">(a) the number of FOR Financial Products in a Holding whose Residency Indicator is recorded by SCH as “F”, calculated as the current Holding Balance of FOR Financial Products; or(b) the number of FOR Financial Products in a Holding whose Residency Indicator is recorded as “F”, at Start of Day, adjusted by:<ul style="list-style-type: none">(i) those Financial Products transferred into the Holding pursuant to a Foreign to Foreign Allocation during that Business Day; and(ii) any Conversions of those Financial Products into or out of the Holding; and(iii) those Holding Adjustments initiated by an Issuer pursuant to Rule 8.20.4(a); less(iv) those Financial Products transferred out of the Holding pursuant to a Foreign to Foreign Allocation during that Business Day; |
| Contravention Notice | means a Notice given by SCH to a CHES User under Rule 18.3.5 or 18.4.2; |
| Controlling Participant | in relation to a CHES Holding, means the Participant that has the capacity in CHES to either: <ul style="list-style-type: none">(a) Transfer or Convert Financial Products from the Holding; or(b) transfer in terms of Rule 3B.6.1.2 or Transmute FDIs from the Holding; |
| Conversion | means a movement of Financial Products from a Holding on one Subregister to a Holding on another Subregister without any change in legal ownership; |
| Conversion Request Document | means a document supplied by an NBP to an Issuer that entitles the Issuer to authorise a Conversion of Financial Products from an Issuer Sponsored or Certificated Holding to a CHES Holding; |

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| Convertible Form | means when the Broker or NBP has received all the necessary documentation such that: <ul style="list-style-type: none">(a) the registry is satisfied that the Registration Details for the Certificates, SRN or other form of Source Holding match the Registration Details for the Target Holding; and(b) the Broker or NBP is able to initiate the Conversion message; |
| Corporate Action | means <ul style="list-style-type: none">(a) action taken by an Issuer of Financial Products for the purpose of giving an Entitlement to Holders of a class of the Issuer's Financial Products; and(b) action taken by a Principal Issuer for the purpose of giving an Entitlement in respect of Principal Securities held by a Depository Nominee to Holders of CDIs;(c) in relation to Section 3B action taken by an issuer of Participating Foreign Securities for the purposes of giving an Entitlement in respect to Participating Foreign Securities, held by a Depository Nominee. |
| CUFS | stands for CHESSE Units of Foreign Securities and means a unit of beneficial ownership in a Financial Product of a Foreign Issuer, registered in the name of the Depository Nominee; |
| Cum Entitlement | in relation to a Transfer or a Conversion, means a Transfer or Conversion of Parent Financial Products together with the Entitlement to a Corporate Action; |
| Cum Entitlement Balance | means, in respect of a Corporate Action, the number of Parent Financial Products to be used by the Issuer to calculate the Entitlement of a Holder or a former Holder of Parent Financial Products; |
| Cum Processing | means processing of Cum Entitlement Transfers and Conversions by deducting Financial Products from or entering Financial Products into the Cum Entitlement Balance for a Holding; |

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| Current Valuation | means the current market valuation of Financial Products, being the last sale price for the Financial Products at the close of business on the previous Business Day, or if a higher offer price or lower bid price exists at that time, that price; |
| Custodial Purposes | for the purposes of Rules 9.2.3 and 10.2.3, means in relation to Financial Products in a Clearing Holding, any purpose other than the purpose of facilitating: (a) the execution of outstanding orders; or (b) the clearing and settlement of outstanding transactions; |
| Debit Cap Compliant | in Section 7A, has the meaning given in Rule 7A.17.2; |
| Delivering Broker | means the Broker that is obliged to deliver Financial Products under a BBS transaction; |
| Delivery Obligation | in relation to an RTGS Instruction, means an obligation on the part of one party to deliver certain Financial Products to the other on settlement; |
| Demand Report | means a Message Transmitted by SCH to a CHES User to provide information about CHES Holdings or CHES Subregister movements in accordance with parameters specified by the CHES User; |
| Demand Transfer | means a Transfer other than a Settlement Transfer, for example, (a) a Transfer from a Sponsored Holding to a Broker's Settlement Holding in preparation for settlement, or (b) a Transfer between CHES Holdings to give effect to an Off-Market Transaction; |

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| Depository Nominee | means the Entity appointed under these Rules, being either: (a) CHESS Depository Nominees Pty Ltd (as long as it remains admitted to participate in CHESS under Rule 2.5.1); or (b) an Entity admitted as an NBP under Rule 2.3.1(b)(iii)-(ix), whose function is to hold Title or Other Interest to Principal Securities or Participating Foreign Securities. |
| Deputy President | means the Deputy President of a Tribunal appointed in accordance with Section 18; |
| Despatch | in relation to Financial Products to be entered into a CHESS Holding pursuant to a Corporate Action, means Transmit a Message to enter the Financial Products into the Holding; |
| Despatch Date | means the date by which an Issuer is required to have despatched Certificates (or in the case of rights, entitlement and acceptance forms in relation to those rights) or to have entered Financial Products (including rights) into Security Holders' uncertificated Holdings in accordance with Listing Rules or otherwise as determined by the relevant Exchange and notified from time to time; |
| DI | stands for Depository Interest and means a unit of beneficial ownership in a Financial Product which is not a Financial Product of a Foreign Issuer, registered in the name of the Depository Nominee; |
| DI Issuer | means an Issuer of Financial Products quoted on ASX, a condition of the issue being that the Financial Products are held by investors in Australia in the form of DIs; |
| Direct Holding | means a CHESS Holding where the Holder is: (a) the Controlling Participant; or (b) if the Controlling Participant is an incorporated entity, a Related Body Corporate of that Participant; or (c) if the Controlling Participant is a partnership, a nominee company provided all of its issued capital is owned by the partners; |

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| Direct Settlement | means settlement of a transaction is effected by the counterparties by Demand Transfer; |
| Disciplinary Panel | means the panel of persons established under Rule 18.1.1; |
| Disciplinary Register | means the register maintained by SCH under Rule 18.6.1; |
| Disciplinary Tribunal | means the tribunal established to hear Proceedings in accordance with Section 18; |
| Divestment | means action taken by an Issuer to require or effect the disposal of Financial Products; |
| Dual Entry Demand Message | means a Message that complies with Rule 6.2.6; |
| Dual Entry Demand Transfer | means a Demand Transfer of Financial Products that gives effect to a Dual Entry Demand Message; |
| Dual Entry RTGS Instruction | means an RTGS Instruction that results from Matched Dual Entry RTGS Messages; |
| Dual Entry RTGS Message | means an RTGS Message that relates to a DvP RTGS Transaction; |
| Dual Entry Settlement Message | means a Message that complies with Rule 7.15; |
| Dual Entry Settlement Instruction | means a Settlement Instruction that results from Matched Dual Entry Settlement Messages; |
| Dual Entry Switch to RTGS Message | means a Message that, in accordance with the requirements of the EIS, requests that a transaction be removed from DvP Net Settlement and included in Real Time Gross Settlement under Section 7A; |
| Dual Entry Switch to Scheduled Settlement Message | in relation to a Dual Entry RTGS Instruction, means a Message that, in accordance with the requirements of the EIS, requests that a transaction be removed from Real Time Gross Settlement and included in Scheduled Settlement under Section 7; |
| DvP Declaration | means the time when all the registered payment instructions in the CHESSE Payments Provider User Group are simultaneously effected for the purposes of DvP Net Settlement; |

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| DvP Notification | means the notification of DvP Declaration to be given by SCH to a Payments Provider under the Standard Client Bank Deed; |
| DvP Net Settlement | means a component of Scheduled Settlement in which irrevocable payment is made through the funds transfer procedures or alternative payment arrangements specified in Rule 7.2 or 7.3 in exchange for the irrevocable Transfer of Financial Products; |
| DvP Net Settlement Instruction | means a Scheduled Settlement Instruction with a Settlement Amount in relation to a DvP Transaction; |
| DvP Real Time Gross Settlement | means a component of Real Time Gross Settlement in CHES in which the Payment Obligation and the Delivery Obligation identified in a DvP RTGS Instruction are irrevocably and simultaneously settled in accordance with Rule 7A.22; |
| DvP RTGS | stands for DvP Real Time Gross Settlement; |
| DvP RTGS Instruction | means an RTGS Instruction that identifies a Payment Obligation and a Delivery Obligation; |
| DvP RTGS Transaction | means an RTGS Transaction that is to settle in DvP Real Time Gross Settlement; |
| DvP Settlement | means: (a) DvP Net Settlement; or (b) DvP Real Time Gross Settlement; |
| DvP Settlement Instruction | means: (a) a DvP Net Settlement Instruction; or (b) a DvP RTGS Instruction; |
| DvP Transaction | has the meaning set out in Rule 7.1.3; |
| EIS | stands for External Interface Specification, and means a document, made by the Board, that provides detailed information about protocols, message formats and security features for communications between CHES Users and SCH; |

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| Election Date | means the date by which a person must instruct an Issuer if the person wishes to convert or exercise Financial Products in accordance with the terms of a Corporate Action; |
| End of Day | means on any Trading Day, 7:00pm Sydney time or such other time as SCH may from time to time determine; |
| End of Day Processing Phase | means on any Trading Day, the time period after End of Day during which various scheduled processing and system administration tasks are completed (for example, financial products maintenance, corporate action processing, archiving and system backup); |
| Entitlement | means a security benefit as defined in Regulation 7.5.01 of the Corporations Regulations and includes (without limitation): (a) rights; (b) bonus issues; (c) dividend, interest and trust distribution payments; (d) priority issues; (e) offers under an equal access scheme; and (f) in relation to Participating Foreign Securities means any equivalent or similar benefit (however described) provided or offered by the issuer of the Participating Foreign Securities; |
| Entitlement Date | in relation to Section 3B means, a date specified by the Depositary Nominee as the date by reference to which the Depositary Nominee will identify the persons entitled to the benefit of a Corporate Action; |
| Entity | means the business entity constituted by: (a) an individual carrying on business on his or her own account; (b) a body corporate or unincorporate; (c) all of the partners of a partnership; or (d) the trustee or trustees of a trust carrying on business in that capacity; |
| ET Derivatives | means Exchange traded derivatives entered into on a market in a derivatives instrument that is operated by ASX or any of its related bodies corporate; |

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| ET Derivatives Cover | means Financial Products lodged with, or otherwise made available to, OCH as security for deposits or margins payable in relation to ET Derivatives transactions; |
| ETF Application | means the application required by an Issuer to enable new ETF Financial Products to be created and despatched to a subscriber; |
| ETF Financial Products | means Financial Products of a registered managed investment scheme: <ul style="list-style-type: none">(a) listed on the Exchange;(b) with power and approval to continually issue and have quoted on the Exchange, Financial Products in the scheme; and(c) which provides for the issue of new Financial Products in return for the subscriber transferring to the scheme a portfolio of Financial Products. |
| Event of Non-Compliance | means an event for which Notice must be given under Rule 19.1.1; |
| Ex Date | means the date on which the relevant Exchange changes the basis of quotation for a class of Parent Financial Products to signify that trading in that class no longer carries the entitlement; |
| Ex Entitlement | in relation to a Transfer or a Conversion, means a Transfer or Conversion of Parent Financial Products without the Entitlement to a Corporate Action; |
| Ex Period | means the Period from Start of Day on the Ex Date to End of Day on the Record Date in respect of a Corporate Action; |

Excess Financial Products

means:

- (a) those FOR Financial Products determined by an Issuer that cause the Foreign Ownership Percentage Level to be exceeded; or
- (b) with the exception of a Foreign to Foreign Allocation, those FOR Financial Products determined by an Issuer, where the Issuer is authorised to do so under its constitution or governing legislation, to have been transferred into a Holding with a Residency Indicator of "F", on the day when the Foreign Ownership Percentage Level Foreign Holder Percentage Level is exceeded;

Exchange

means:

- (a) ASX; or
- (b) in the Rules made from time to time pursuant to arrangements entered into under section 798C of the Corporations Act, in relation to quoted financial products issued by ASX, "the Commission"; or
- (c) in relation to:
 - (i) a class of financial products quoted, or to be quoted by; or
 - (ii) a participating organisation of:
 - (A) a securities exchange under the Old Corporations Act ; or
 - (B) a market licensee under the Corporations Act

other than ASX, that securities exchange or market licensee as the case requires; or

- (d) an exempt stock market under section 771 of the Old Corporations Act; or
- (e) a special stock market under section 770A of the Old Corporations Act; or
- (f) a financial market or type of financial market exempted under section 791C of the Corporations Act

Excluded Cash Sub-record

means a Cash Sub-record so designated by an RTGS Participant for the purposes of Rule 7A.17;

Excluded Class of Securities

means a class of Securities declared by SCH from time to time as a class of Securities that is not eligible for processing in CHESS;

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| Exemption Code | means a numeric code in the form approved by the Australian Taxation Office for the purpose of TFN exemption reporting; |
| Fail | means the removal under the Rules of the whole or part of a Settlement Instruction from Scheduled Settlement or Real Time Gross Settlement, on a Business Day; |
| FDI | stands for Foreign Depositary Interest and which comprises a beneficial interest or Other Interest in a Participating Foreign Security held by a Depositary Nominee; |
| FDI Register | means the record of Holders of FDIs containing the information required by Rule 3B.6.3; |
| FDI Transaction | means a transaction where on transfer of clear funds the Depositary Nominee records or removes FDIs in the FDI Register as the case requires; |

Feeder System

in relation to CHES, means collectively the systems and procedures to effect Real Time Gross Settlement utilising an electronic interface to RITS/RTGS and, when appropriate, the AIF;

Feeder System Queue

means the facility within the Feeder System to:

- (a) test RTGS Instructions within CHES in the manner contemplated by Rules 7A.15, 7A.16 and 7A.17; and
- (b) hold and allow SCH to monitor unsettled RTGS Instructions during the RTGS Settling Phase;

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| Fees and Charges Schedule | means the Fees and Charges Schedule made by the Board under Rule 1.9.1; |
| Financial Products | means: <ul style="list-style-type: none">(a) Division 4 financial products as defined in Regulation 7.11.03 of the Corporations Regulations; or(b) For the purposes of Rule 3.3.2, financial products issued under an employee incentive scheme and company issued options |
| Financial Products Shortfall | means (the number that is greater than zero, where the number is calculated by the total number of Financial Products of a class projected to be delivered from a Holding in Scheduled Settlement on a Business Day) less the sum of the number of Financial Products of that class in that Holding at Settlement Cut-Off on that Business Day and of the total number of Financial Products of that class projected to be received into that Holding in Scheduled Settlement on that Business Day where: $SS = D - (H + R)$ and: <ul style="list-style-type: none">SS is the Financial Products ShortfallD is the total number of Financial Products of a class projected to be delivered from the HoldingH is the number of Financial Products of a class in the HoldingR is the total number of Financial Products of a class projected to be received into the Holding; |

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| Financial Products Transformation | means either: <ul style="list-style-type: none">(a) an adjustment to the Holding Balance of a CHESS Holding initiated by the Issuer because Financial Products in the Holding have:<ul style="list-style-type: none">(i) been absorbed into an existing class of Financial Products (for example, Financial Products that do not rank for a Dividend to Financial Products that do); or(ii) been assigned a new Security Code (for example, because of a Reconstruction); or(b) in respect of Allocation Interests, an adjustment to a Holding of Allocation Interests initiated by the Issuer in order to despatch CHESS Approved Financial Products under Rule 5A.17; |
| Firm Allocation Component | means that part of an Offer which is reserved for clients of a Participant under an agreement between the Issuer and a Participant; |
| FOR Financial Products | means a class of CHESS Approved Financial Products included in Schedule 1, pursuant to Rule 8.20.3; |
| Foreign Clearing House | means an Entity which: <ul style="list-style-type: none">(a) has its principal place of business in a country other than Australia;(b) is authorised to provide clearing and settlement services in the country in which it has its principal place of business; and(c) is subject to prudential and/or other regulatory supervision in the country in which it has its principal place of business by a regulatory authority that has entered into an information sharing arrangement dealing with market matters with the Commission; |

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| Foreign Confirmed Holding Net | means a report that: |
| Movement Report | <ul style="list-style-type: none">(a) for the specified period; and(b) in respect of each CHES Holding containing Confirmed FOR Financial Products in the specified class, sets out a summary on a daily basis of:(c) total units added to the Holding pursuant to Foreign to Foreign Allocations;(d) total units deducted from the Holding pursuant to Foreign to Foreign Allocations;(e) total units added to the Holding of Confirmed FOR Financial Products as a result of registry authorised transactions;(f) total units deducted from the Holding of Confirmed FOR Financial Products as a result of registry authorised transactions; and(g) the end of day closing balance for the Holding; |
| Foreign Issuer | means an Issuer whose place of incorporation does not recognise CHES as a system that can transfer and register legal Title to Financial Products; |
| Foreign Ownership Percentage Level | means the aggregate limit of foreign ownership, pursuant to the constitution or governing legislation of an Issuer whose Financial Products are included in Schedule 1; |

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| Foreign Person | <p>means, where specified pursuant to Rule 5.4.1(d), that the Holder has notified the Controlling Participant that the beneficial owner of the Financial Products in the Holding, for the purposes of legislation or under the constitution of an Issuer whose Financial Products are included in Schedule 1:</p> <ul style="list-style-type: none">(a) is a foreign person;(b) is an associate of a foreign person; or(c) has a beneficial interest in the Financial Products, part of that beneficial interest vesting in a Foreign Person, <p>other than persons, associates or interests which the legislation or constitution ignores or excludes for the purposes of aggregate foreign ownership restrictions;</p> <p><i>Note: a Residency Indicator of "F" denotes a Foreign Person</i></p> |
| Foreign Register | <p>means a register of an Issuer that is located outside Australia;</p> |
| Foreign Financial Products | <p>means financial products issued or made available by a Foreign Issuer;</p> |
| Foreign to Foreign Allocation | <p>means a Transfer or Conversion of Confirmed FOR Financial Products, including a Transfer pursuant to a transaction effected in accordance with ASX Business Rule 2.15.10, where the Residency Indicator of both the Source and Target Holdings is "F", thus resulting in a Holding of Confirmed FOR Financial Products;</p> |
| Full Download | <p>In relation to the CHES Subregister for a class of an Issuer's Financial Products, means a Demand Report Transmitted to the Issuer of:</p> <ul style="list-style-type: none">(a) the HINs of all Holders on the Subregister; and(b) the Holding Balances of all Holdings; and/or(c) the Cum Entitlement Balances for all Holdings or former Holdings; |
| Held Balance | <p>means the number of Financial Products that remain in a Certificated Holding after a Transfer by a Participant of only some of the Financial Products represented by a Certificate or Marked Transfer;</p> |

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| Held Balance Reference Number | means the number allocated by an Issuer to identify a Held Balance; |
| HIN | stands for Holder Identification Number and means a number used to: <ul style="list-style-type: none">(a) identify a Holder of Financial Products on the CHESSE Subregister; and(b) link the Holding details maintained on the CHESSE Subregister with the Holder's Registration Details; |
| Holder | means: <ul style="list-style-type: none">(a) a person registered as the legal owner of Financial Products in a Holding;(b) a person who is recorded as holding CDIs on the CDI Register;(c) a person who is recorded on a record of Allocation Interests; or(d) a person who is recorded as holding FDIs on the FDI Register; |
| Holder Record | means the Registration Details, the HIN and the Holder Type as recorded by SCH in CHESSE for the purpose of operating one or more CHESSE Holdings; |
| Holder Record Lock | means a facility that prevents Financial Products from being deducted from any current Holding to which the relevant Holder Record applies, pursuant to a Transfer or Conversion; |
| Holder Type | means a code used to indicate the capacity in which a Participant: <ul style="list-style-type: none">(a) establishes a Holder Record;(b) controls a CHESSE Holding, <i>(for example, Direct, Participant Sponsored or Clearing Account);</i> |

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| Holding | means: <ul style="list-style-type: none">(a) a number of Financial Products of an Issuer held by a Holder on the Issuer's register;(b) a number of CDIs held by a Holder on the CDI Register;(c) a number of Allocation Interests recorded in respect of a Holder; or(d) a number of FDIs recorded as held by a Holder on an FDI Register; |
| Holding Adjustment | means a movement of Financial Products to or from a CHES Holding that is initiated by an Issuer Transmitting a Message to SCH to: <ul style="list-style-type: none">(a) give effect to a Corporate Action or Reconstruction in relation to a class of the Issuer's Financial Products;(b) establish a CHES Holding pursuant to a new issue of CHES Approved Financial Products;(c) move Financial Products from a CHES Holding for the purpose of Divestment or forfeiture; or(d) move Financial Products to or from a CHES Holding in such other circumstances as:<ul style="list-style-type: none">(i) are permitted by these Rules; or(ii) may be agreed between SCH and the Issuer; |
| Holding Balance | means the number of Financial Products in a Holding; |
| Holding Lock | means, in relation to a Holding on either the CHES Subregister or an Issuer Operated Subregister, a facility that prevents Financial Products from being deducted from, or entered into, a Holding pursuant to a Transfer or Conversion; |