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Miscellaneous

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ANZ Margin Services Pty Ltd
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ANZ Nominees Limited
Miscellaneous

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BT Securities Limited (Margin Lending)

BT Securities Limited (Margin Lending) Head Office
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Equity Trustees Limited

Equity Trustees Limited **Head Office**
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Guardian Trust Australia Limited **Head Office**
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ING Life Ltd *Miscellaneous*

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Miscellaneous

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Miscellaneous

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Miscellaneous

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Perpetual Trustees Consolidated Limited

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Miscellaneous

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Miscellaneous

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Miscellaneous

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Miscellaneous

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SECTION 2 - DEALING

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2. DEALING

2.1 DEFINITIONS

In Section 2 of the Rules, unless the context otherwise requires:

“Adjust Phase” means a period of time prescribed by the Exchange during which:

- (a) an existing Bid or Offer may be cancelled, or may be adjusted so as to either decrease the price of the Bid or increase the price of the Offer, or to decrease the quantity of Securities the subject of the Bid or Offer;
- (b) no new Bids, except Bids by a Trading Participant which has made an announcement pursuant to Section 674(1) of the Corporations Act, or Offers may be entered; and
- (c) no transactions apart from Special Crossings may be effected.

“After Hours Adjust Phase” means a period of time prescribed by the Exchange during which a Bid or Offer may be cancelled or amended where no improvement in priority or increase in quantity results from such an amendment.

“Approved ETF” means an ETF Security which is from time to time declared by the Exchange to be included in a class of financial products to which Section 1020B(4)(e) of the Corporations Act applies. A list of Approved ETFs is contained in Appendix 6.6B of the Rules.

“Approved Security” means a Security (excluding ETF Securities) which is from time to time declared by the Exchange to be included in a class of Securities to which Section 1020B(4)(e) of the Corporations Act applies. A list of Approved Securities is contained in Appendix 6.6 of the Rules.

“Auction Price” is the price calculated by applying the principles below (to each Security) in the following order until a single price results:

- (a) maximum executable volume - this principle determines the price (or prices) at which the largest possible executable volume is achieved.
- (b) minimum surplus - this principle ascertains the price (or prices) at which the unfilled or unmatched quantity is at a minimum.
- (c) market pressure - this principle ascertains whether the result achieved under the previous principle exists on the buy or sell side of the market.
- (d) reference price - this principle narrows the potential prices as calculated above and confirms one of the potential prices. Confirmation occurs by using either:
 - (i) The price of the last on-market trade for that day; or
 - (ii) If no on-market trades have occurred on the Trading Day, the official closing price from the previous Trading Day.

Where a confirmation cannot be achieved (as no on-market trades have ever occurred) the lowest of the narrowed potential prices will become the relevant price.

“Authorised Person” means a natural person permitted by a Trading Participant to submit Orders into the Trading Participant’s system for Automated Client Order Processing, in any of the following capacities:

- (a) in their own right as client; or
- (b) as agent for a client; or
- (c) as a securities representative of a Trading Participant whose duties include trading or dealing in Securities.

“Automated Client Order Processing” is the Automated Order Processing of an Order submitted by an Authorised Person into a Trading Participant’s system.

“Automated Order Processing” means the process by which Orders are registered in the Trading Participant’s system, and if accepted for submission into SEATS by the Trading Participant, submitted as corresponding Trading Messages without being keyed or rekeyed by a Designated Trading Representative.

“Automated Order Processing Requirements” means the requirements of Rule 2.2.2.

“Bid” means a price and quantity of Securities to be purchased.

“Block Special Crossing” means a special crossing made in accordance with Rule 2.8.3.

“Call Paid” means Securities are traded on a call paid basis. Securities are traded on a call paid basis in accordance with time frames prescribed in the ASX Listing Rules.

“Closing Phase” means a period of time as prescribed by the Exchange pursuant to Rule 2.6.6(1) when Bids or Offers may be entered, amended or cancelled but transactions must not be effected on SEATS.

“Closing Single Price Auction” means the matching procedure conducted at the time prescribed by the Exchange, in accordance with Business Rule 2.6.5A.

“Collateral Securities” means Securities the subject of Official Quotation and accepted by a Clearing Participant as whole or part of the deposit or margins of cover prescribed by Rule 2.13.

“Condition” means each of the conditions to which sales on a Conditional Market are subject.

“Conditional Market” means a market declared by the Exchange to be a conditional market under Rule 2.12.2.

“Conditional Sale” means a sale which is conditional on fulfilment of Conditions and made on a Conditional Market.

“Confirmed FOR Securities” has the meaning given to that expression in Section 21 of the SCH Business Rules.

“Conventional Sale” means a sale where the vendor has a presently exercisable and unconditional right to vest the Securities in the purchaser.

“Cross” or “Crossing” means, in relation to a transaction in Securities, the circumstance where a Trading Participant acts:

- (a) on behalf of both buying and selling clients to that transaction; or
- (b) on behalf of a buying or selling client on one side of that transaction and as Principal on the other side.

“Cum Dividend” means securities traded on the basis that the securities carry an entitlement to the next dividend payable by the Issuer, and are designated as “CD” on SEATS.

“Dealing Rules” means the Business Rules governing the processes of dealing in and of reporting dealings in Securities and includes Rules 2.4 to 2.18.

2. DEALING

2.1 DEFINITIONS

In Section 2 of the Rules, unless the context otherwise requires:

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“Authorised Person” means a natural person permitted by a Trading Participant to submit Orders into the Trading Participant’s system for Automated Client Order Processing, in any of the following capacities:

- (a) in their own right as client; or
- (b) as agent for a client; or
- (c) Representative of a Trading Participant whose duties include trading or dealing in Securities.

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2.2 TRADING OBLIGATIONS OF TRADING PARTICIPANT

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2.2.2 AUTOMATED ORDER PROCESSING

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- (2) A Trading Participant using its system for Automated Client Order Processing must also have accreditation procedures in place to ensure that each Authorised Person:
 - (a) unless the person is a Representative of a Trading Participant whose duties include trading or dealing in Securities, has demonstrated that the Authorised Person or the client on whose behalf the Authorised Person has authority to submit Orders, and has the required financial resources to meet its obligations to the Trading Participant in relation to Orders which are the subject of Automated Client Order Processing by the Trading Participant; and
 - (b) has demonstrated to the Trading Participant knowledge of the Order entry system of the Trading Participant and of the Dealing Rules, procedures and practices of the Exchange relevant to the type of Order submission facilities given to the Authorised Person by the Trading Participant.

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2.2.9 DESIGNATED TRADING REPRESENTATIVES

- (3) To be eligible for registration as a Designated Trading Representative, a person must:
 - (a) hold a Dealers Licence or Australian Financial Services Licence, or be a Representative of the Trading Participant which allows the person to deal in Securities; and
 - (b) have demonstrated knowledge of the Dealing Rules and relevant practices and procedures of the Exchange. This requirement is initially achieved by passing the examination set for that purpose by the Exchange.

...

- (13) If:
 - (a) a Designated Trading Representative ceases to hold a Dealers Licence or Australian Financial Services Licence, or be a Representative of the Trading Participant; or
 - (b) a Trading Participant wishes the registration of a Designated Trading Representative to be withdrawn,

the Trading Participant must Notify the Exchange in writing of:

- (c) the name of the relevant Designated Trading Representative; and

(d) the Trading Day upon which the withdrawal of the registration is to take effect.

The registration of the Designated Trading Representative will be taken to be withdrawn automatically at the end of After Hours Adjust Phase on the Trading Day specified in that notice, or, if the Exchange so determines, at such earlier time as the Exchange shall Notify the Trading Participant.

2. DEALING

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2.2 TRADING OBLIGATIONS OF TRADING PARTICIPANT

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2.2.2 AUTOMATED ORDER PROCESSING

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- (4) Before using its Automated Order Processing, a Trading Participant must:
- (a) provide certification in the form prescribed by the Exchange from an appropriately qualified person concerning compliance by the Trading Participant with rule 2.2.2(1); and
 - (b) provide any other information regarding compliance by the Trading Participant with the Automated Order Processing Requirements which the Exchange requests.
- (5) If a Trading Participant using its system for automated Order Processing under the Rules proposes to make a material change to the organisational and technical resources employed to comply with Rule 2.2.2(1), the Trading Participant must immediately Notify the Exchange of those propose changes and unless the Exchange agrees otherwise, provide at the election of the Exchange:
- (a) confirmation as prescribed by the Exchange, from an appropriately qualified person that the change does not detract from a certification previously provided under rule 2.2.2; or
 - (b) a further certification, as prescribed by the Exchange, so that the system as changed is certified by an appropriately qualified person concerning compliance by the Trading Participant with rule 2.2.2(1)

prior to implementation of the proposed material changes.

...

“Defined Circumstances” means that:

- (a) it is an Equity Combination as defined under Section 12 of the Rules;
- (b) the transactions are conducted in accordance with Rule 7.7.3.14 or Rule 7.7.4.9 (as applicable)
- (c) the transaction in the Equity Securities is entered into at or within the Bid and Offer as displayed in SEATS when the Equity Combination is transacted; and
- (d) the transactions are reported to the Exchange simultaneously.

“Designated Trading Representative” means a person registered by the Exchange pursuant to Rule 2.2.9.

“Dividend” includes distributions in specie and liquidation distributions.

“Enquire Phase” means the period of time prescribed by the Exchange in accordance with Rule 2.6.8(1).

“Equity Securities” means:

- (a) shares in a body corporate or an unincorporated body other than redeemable preference shares which are Loan Securities in accordance with paragraph (c) of the definition of Loan Securities;

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