

APPENDIX X2: REASON CODES FOR SECURITY MOVEMENTS

Reason Code	Description (as per EIS)	Event	Event Description
ADJ	Adjustment	Miscellaneous Adjustment	Any adjustment where no specific reason code is applicable. For example: <ul style="list-style-type: none"> • Error fixing • Unusual Corporate Actions
AFO	Adjustment for Foreign Ownership		Adjustments to CHESSE Holdings due to divestment procedures for securities subject to CHESSE foreign ownership restrictions. All other processing for divestment takes place outside of CHESSE.
ALT	Miscellaneous Allotment	Miscellaneous Allotment	Any allotment of securities where no specific reason code is applicable.
BON	Bonus Issue Allotment	Bonus Issue	Allotment of shares in a bonus issue.
BSP	Bonus Plan Allotment	Bonus Share Plan	Allotment of shares in a bonus share plan.
BYB	Buy Back	Company Buy Back	Removal of securities where a holder has failed to issue instructions for a compulsory buyback.
CAL	Call Paid	Calls of partly paid shares	Payment of calls for partly paid shares of either a limited or no liability company.
CAQ	Compulsory Acquisition by Offeror		Movement of securities from the client to the offeror for a takeover subject to a compulsory acquisition by the offeror.
CNA	Convertible Note Allotment	Convertible Notes	Allotment of a convertible note.
CNR	Convertible Note Redemption / Maturity		Redemption or Maturity of a convertible note.
CNV	Miscellaneous Conversion	Conversion	Conversions of securities other than convertible notes.
CRI	Collateral Removal	Options	Security no longer meets the criteria for eligibility as collateral cover.
CSC	CHESSE Subregister Closed	Non-Registry Initiated Movement	Movement due to the CHESSE subregister closing, for example, in the event of an Issuer being delisted.

ASX SETTLEMENT PROCEDURE GUIDELINES

Reason Code	Description (as per EIS)	Event	Event Description
DIS	Distribution in Specie	Distribution in Specie	Allotment of securities as a result of a distribution in specie.
DRP	Dividend Plan Allotment	Dividend Reinvestment Plan	Allotment of shares in a dividend reinvestment plan.
DVM	Divestment	Divestment	Adjustments to CHES Holdings due to divestment procedures for securities other than those subject to CHES foreign ownership restrictions.
EXP	Collateral Removal	Options	The imminent expiry of a security used as collateral.
FLT	Float	Float	Allotment of securities as a result of a company float.
FOR	Forfeiture of Partly Paid Shares		Removal of shares on which a call has not been paid.
IDA	Income Distribution Allotment	Income Reinvestment	Allotment of securities in a reinvestment of income other than dividend income, e.g. interest, trust income, etc.
MER	Company Merger	Company Merger	Allotment of securities as a result of a company merger.
NCN	Convertible Note Conversion		Conversion of a convertible note.
NRE	Non-Renounceable Issue Allotment	Non-Renounceable Issues	Allotment of new securities following acceptance of the issue.
ODR	Collateral Removal	Options	Collateral removal by ACH directive.
OEX	Option Exercised	Options	Option exercised.
OPT	Option Allotment	Options	Allotment of options.
PLC	Placement	Placement	Allotment due to a placement of securities.
PRI	Priority Issue	Priority Issue	Effects of a priority issue.
REC	Reconstruction	Capital Reconstruction of a company	Effects of a capital reconstruction.
RED	Miscellaneous Redemption	Redemption	Redemption of securities other than convertible notes.
REV	Allotment Reversal	Reversal	Reversal of an allotment or transfer due to various errors/events.

ASX SETTLEMENT PROCEDURE GUIDELINES

Reason Code	Description (as per EIS)	Event	Event Description
RHA	Renounceable Rights Accepted		Removal of rights entitlements (rights securities) upon acceptance.
RHE	Renounceable Rights Entitlement Allotment	Renounceable Rights Issue	Allotment of rights entitlements (rights securities).
RHT	Renounceable Rights Issue Allotment		Allotment of new securities following acceptance of a rights entitlement. OR Transformation of rights securities to new securities.
SAR	Subregister Archived	Non-Registry Initiated Movement	Movement due to the CHESSE subregister being archived.
SCD	Scrip Dividend	Payment of dividend in the form of securities	Payment of dividend in the form of securities. Distinct from a DRP where the dividend is paid in cash and the holder has the option of converting cash to a security.
SOA	Scheme of Arrangement	Scheme of Arrangement	Effects of a scheme of arrangement.
SPP	Share Purchase Plan	Share Purchase Plan	Allotment of securities as a result of a share purchase plan.
STP	Share Top-up Plan	Share Top-up Plan	Allotment of securities as a result of a share top up plan.
TKA	Takeover Consideration Allotment	Takeovers	Allotment of securities as consideration from a takeover that is unconditional.
WAL	Warrant Allotment	Warrants	Allotment of a warrant.
WDL	Warrant Delivery	Warrants	Delivery of a warrant.
WEX	Warrant Exercise	Warrants	Exercise of a warrant.
WRL	Warrant Rollover	Warrants	Rollover of a warrant.
WUX	Warrant Underlying Exercise	Warrants	Exercise of the underlying security.

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