

# **ASX SETTLEMENT OPERATING RULES PROCEDURES**

## **SECTION 1**

### **PROCEDURE 1.10.1 METHODS OF GIVING NOTICE IN WRITING**

Unless otherwise specified in correspondence with a Facility User, documents addressed to ASX Settlement should be addressed to:

General Manager, Clearing and Settlement Operations

ASX Settlement Pty Ltd  
Exchange Centre  
20 Bridge Street  
SYDNEY NSW 2000

Telephone: 1800 814 051  
Facsimile: 02 9227 0265

Notice to ASX Settlement may be given by:

1. Delivering it personally to the person specified above or otherwise specified in correspondence with the Facility User;
2. Leaving it at or by sending it by courier or post to the address specified above or otherwise specified in correspondence with the Facility User;
3. Sending it by facsimile to the facsimile number specified above or otherwise specified in correspondence with the Facility User;
4. Updating the Facility User's corporate details on ASX Online where applicable, unless otherwise directed by ASX Settlement;
5. Submitting it via the participants forms facility on the web-based system interface known as ASX Online where applicable, unless otherwise directed by ASX Settlement; or
6. Specific email by any method which identifies an ASX Settlement department or an ASX Settlement employee's name or title as addressee and no notice of non-delivery has been received.

Where a Facility User is also a participant in another market or clearing and settlement facility operated by ASX Settlement or a Related Body Corporate of ASX Settlement and the notice being provided relates both to its role as a Facility User and that other participation, a notice given to ASX Settlement or a Related Body Corporate of ASX Settlement in accordance with

the operating rules of that other market or facility is taken to be given to ASX Settlement in accordance with these Rules.

ASX Settlement may give notice to any person, firm or corporation by any of the following methods:

1. Delivering it to the recipient personally;
2. Leaving it at, or by sending it by courier or post to, the address of the recipient last notified to ASX Settlement;
3. Sending it by facsimile to the recipient's facsimile number last notified to ASX Settlement;
4. A circular or bulletin addressed to a class of persons and delivered or communicated by any means permitted under this Procedure;
5. Specific email by any method which identifies a person or person's title as addressee and no notice of non-delivery has been received;
6. Broadcast email by any method which identifies the addressee and which, having regard to all relevant circumstances at the time, was reliable as appropriate for the purposes for which the information was communicated; ~~or~~
7. Sending it via ASX Online; ~~or~~

8. The online portal made available to Participant Sponsored Holders.

Introduced 09/07/08 Amended 02/02/09, 19/02/10 Amended 15/06/15, 10/01/19

## PROCEDURE 1.10.2 DELIVERY OF NOTICE

Notice by:

1. Post is taken to be given on the second Business Day after the document is put in the post, in a stamped envelope or other covering addressed to the recipient;
2. Courier is taken to be given at the time of delivery to the address referred to in Procedure 1.10.1;
3. Facsimile is taken to be given when the sender's facsimile machine indicates a successful transmission to the facsimile number referred to in Procedure 1.10.1;
4. Email, under Procedure 1.10.1 is taken to be given 2 hours after the time the email enters the recipient's information system, unless a response to the contrary is received (e.g. an out of office notification); ~~and~~
5. The web-based system interface known as ASX Online is taken to be given at the time which that system records the transmission; ~~and~~

6. The online portal made available to Participant Sponsored Holders is taken to be given at the time the information is made available in the portal.

For the purposes of the Rules, a notice given in accordance with Procedure 1.10.1 to a person is taken to be received by that person at the time it is given to that person under this Procedure 1.10.2.

Introduced 11/03/04 Amended 09/07/08, 02/02/09, 10/01/19

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## SECTION 2 DEFINITIONS AND INTERPRETATION

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“**Email Purpose**” – The categories of communications that a Holder may indicate a preference to receive by delivery to an email address are:

- (a) ASX Settlement and Issuer communications ~~only~~;
- (b) ASX Settlement Issuer communications only; or
- (c) ASX Settlement and Issuer communications only.

For the purposes of paragraphs (a) and (b) above, ASX Settlement will not deliver communications to an email address unless a Message which contains Email Details that include an Email Purpose specified in paragraphs (a) or (b) has been received by ASX Settlement on or after such date as notified by ASX Settlement in a market notice (“e-statements commencement date”). This applies irrespective of whether a Message which contains Email Details that include an Email Purpose specified in paragraphs (a) or (b) has been received by ASX Settlement prior to the e-statements commencement date.

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### PROCEDURE 8.18.3

The Notice to be given by ASX Settlement is a Notice:

- (a) notifying:
  - (i) the Controlling Participant that the requested change has been made; and
  - (ii) in respect of each class of Financial Products in a CHESS Holding of that person, the Issuer of those Financial Products that there has been a change of Holder Record details for that person; and
- (b) if the Holder Record has been established on behalf of a Participant Sponsored Holder:
  - (i) give Notice of the change to that Participant Sponsored Holder; and
  - (ii) if the change to the Holder Record includes: ~~is~~

(A) a change of address, where that Participant Sponsored Holder has not indicated a preference to receive ASX Settlement communications by delivery to an email address, send the Notice to the old address of that Participant Sponsored Holder;

(B) a change of email address, where that Participant Sponsored Holder has indicated a preference to receive ASX Settlement communications by delivery to an email address, send the Notice to the old email address of that Participant Sponsored Holder;

(C) a preference to receive ASX Settlement communications by delivery to an email address, rather than by post, send the Notice to the address of that Participant Sponsored Holder;

(D) the removal of a preference to receive ASX Settlement communications by delivery to an email address, send the Notice to that email address of that Participant Sponsored Holder.

Note: For the purpose of Procedure 8.18.3(b)(ii), references to a preference to receive ASX Settlement communications by delivery to an email address relate only to indications of such preference received by ASX Settlement by way of Message on or after the e-statements commencement date (as referred to in the definition of Email Purpose in Procedure 2.13.1).

Introduced 11/03/04

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