



TraCR Application Instructions

If you want new TraCRs issued to you (instead of buying them on the Chi-X Market), you need to decide how you will submit your Application.

Option 1: You can submit your Application directly to Link Market Services Limited (the Registrar). To do this, you need to follow instructions in option 1 below; or

Option 2: If you have an Authorised Broker, you can instruct your Authorised Broker to submit an Application to DAIL on your behalf. To do this, you need to follow instructions in option 2 below. An Authorised Broker is a Stockbroker that has been approved by DAIL to submit Applications and Cancellation Requests. Not all Stockbrokers are Authorised Brokers. Your Stockbroker may be able to become an Authorised Broker. Ask your Stockbroker to call the TraCR information line (1300 551 346) to find out how to become an Authorised Broker.

Please note there are different fees associated with each option.

Option 1: How to submit your Application directly to the Registrar

If you submit an Application directly to the Registrar, you must pay the Issuance Fee and the Process Fee to DAIL. Follow the five steps below and call the TraCR information line on 1300 551 346 if you have any questions.

Step 1

Complete the Application Form by providing the following information:

- Section A. Insert the number of TraCRs and the Chi-X ticker symbol for the Series of TraCRs you are requesting.
- Section B. Complete the Registration details (e.g. name, address, email and contact number), these details will be recorded on the register once TraCRs are issued to you. You also need to advise how you want to hold your TraCRs once they are issued to you:
 - (i) If you have a Stockbroker and want to hold your TraCRs in an existing broker sponsored account, you will need to provide your HIN (a unique Holder Identification Number which will begin with an 'X') and your Stockbrokers PID (CHESS Participant Identification Number). You can find your HIN and PID on the top right hand corner of a CHESS holding statement, or you can ask your Stockbroker to provide them to you.
 - (ii) Alternatively, you can hold TraCRs on the TraCR issuer sponsored register. If you are applying for additional TraCRs in a Series of TraCRs that you already own, you can provide your SRN (Security holder Reference Number which will begin with an 'I') relating to your existing holding in that Series of TraCR. You can find your SRN on the top right hand corner of your TraCR issuer sponsored holding statement, or you can

ask the Registrar to provide it to you. If you don't hold TraCRs in the same Series, or don't want the new TraCRs to be added to your existing issuer sponsored holding, please leave the SRN field blank and a new SRN will be issued to you by the Registrar.

- Section C. You need to provide the name and contact details for the US broker/US custodian who:
- (i) currently holds shares in the relevant Underlying Company on your behalf; and
 - (ii) has agreed to deliver the shares in the relevant Underlying Company to DAIL on receipt of your instruction (refer step 4).

You also need to provide their DTC Participant Number and DTC Participant Sub Account Number that they will use to transfer the shares to DAIL.

Section D. Provide your credit card details for payment of the Issuance Fee and Process Fee.

Section E. Insert date and sign in accordance with the instructions on the Application Form.

Step 2

Lodge your completed Application Form with the Registrar, via mail or email, using the addresses provided on the Application Form.

Step 3

Contact the Registrar (via phone 1300 551 346 or email tracr@linkmarketservices.com.au) to confirm your Application has been received and ask them to provide you with a unique Application transaction reference number. The Registrar will provide this number to you after they have checked your Application Form and processed the Issuance Fee and Process Fee.

Step 4

Provide your US broker/US custodian (the person nominated in Step 1 section C) with the transaction reference number obtained in step 3 and instruct them to deliver the relevant shares in the Underlying Company via a free-delivery to the following account, and to include the transaction reference number. They must deliver one share in the relevant Underlying Company for each new TraCR you want issued to you.

DTC Participant Name: Deutsche Bank AG, New York Branch

DTC Participant Number: 2690

DTC Participant Sub-account Number: 153-02933-13

Transaction Reference Number: *reference number obtained from Registrar in Step 3 above*

***NOTE THAT WITHOUT THE INCLUSION OF THE TRANSACTION REFERENCE NUMBER ON THE DELIVERY INSTRUCTIONS FROM YOUR US BROKER/US CUSTODIAN, THE SHARE ACCEPTANCE WILL BE REJECTED**

Step 5

You will receive a welcome letter from DAIL.

If you provided a HIN, look for delivery of your TraCRs in your relevant Australian brokerage account. You will also receive a CHESS holding statement

If you did not provide a HIN, you will receive a TraCR issuer sponsored holding statement from DAIL.

Option 2: How to submit your Application via your Authorised Broker

Step 1

Speak to your Authorised Broker about the issuance of new TraCRs. If your Authorised Broker submits an Application on your behalf, it must pay the Issuance Fee to DAIL. Your Authorised Broker may pass the Issuance Fee on to you and may also charge you other fees. You should ask your Authorised Broker what fees it will charge you.

You will need to provide your Authorised Broker with any information it requires to process the Application.

Step 2

Your Authorised Broker will need to submit an Application by logging into the following website

www.adr.db.com/tracrs.

When they submit the Application online your Authorised Broker will receive a unique transaction reference number. Your Authorised Broker will need to quote this number to DAIL when they are checking the progress of your Application.

Step 3

Instruct your Authorised Broker to deliver the relevant shares in the Underlying Company to DAIL. If your Authorised Broker has any questions on how to deliver the shares they should contact DAIL.

Step 4

Look for delivery of your TraCRs in your relevant Australian brokerage account. You will receive a CHESS holding statement and a welcome letter from DAIL.