

| Trade Report Type  | Cboe Aus. Code | Iress Code        | Fidessa Code | Comparable ASX Code | Minimum Requirements Summary   | Reporting/Validation Times   | Applicable Products              |
|--|----------------|-------------------|--------------|---------------------|--|--|----------------------------------|
| NBBO X Trades within the spread (meaningful price improvement)   | S              | NX                | SS           | NX                  | Trade price is validated against the NBBO at time of receipt, with an ASIC approved tolerance.   | <b>Continuous Trading 10:00 to 16:13</b><br>Where a valid two-sided spread exists - for further details refer to Cboe NBBO methodology                           | EQUITIES                         |
| Block Trade  | B              | SP                | BB           | S1                  | <b>For Equity Market Products<sup>1</sup></b><br>Not Less than \$1m for Tier 1<br>Not Less than \$500k for Tier 2<br>Not Less than \$200k for Tier 3                 | <b>06:35 to 18:55</b>  | EQUITIES<br>ETF/QMFs             |
| ETF Special Trade - Unit Creation and Redemption                 | F              | ET                | EF           | ET                  | For the Creation or Redemption of ETF units on behalf of issuer by Market Maker.   | <b>06:35 to 18:55</b>  | ETF/QMFs                         |
| Large Portfolio Trade  | P              | SX                | PP           | SX                  | <b>Client to Client.</b><br>Total Not Less than \$5m AUD and ≥ 10 products with ≥ \$200k value each. Any additional stocks do not have a minimum value requirement.  | <b>06:35 to 18:55</b>  | EQUITIES<br>ETF/QMFs             |
| Large Portfolio Trade - Facilitated (Delayed reporting accepted) | P <sup>2</sup> | SXDE <sup>3</sup> | PP           | SX                  | <b>Principal to Client.</b><br>Total Not Less than \$5m AUD and ≥ 10 products with ≥ 200k value each. Any additional stocks do not have a minimum value requirement. | <b>06:35 to 18:55</b><br>- If done before 13:00, reportable until 09:45 next trading day.<br>- If received after 13:00, reportable until 13:00 next trading day. | EQUITIES<br>ETF/QMFs             |
| Large Principal Transaction                                      | T              | PX                | TT           | S1                  | <b>FSSBSC Categories</b><br>A - Not less than \$15m<br>B - Not less than \$10m<br>C - Not less than \$5m<br>D - Not less than \$2m                                   | <b>06:35 to 18:55</b>  | EQUITIES<br>ETF/QMFs             |
| Large Principal Transaction (Delayed reporting accepted)         | t <sup>4</sup> | PXDE <sup>3</sup> | LR           | S1                  | <b>FSSBSC Categories</b><br>A - Not less than \$15m<br>B - Not less than \$10m<br>C - Not less than \$5m<br>D - Not less than \$2m                                   | <b>06:35 to 18:55</b><br>- If done before 13:00, reportable until 09:45 next trading day.<br>- If received after 13:00, reportable until 13:00 next trading day. | EQUITIES<br>ETF/QMFs             |
| Booking Purposes Trade   | X              | BP                | XB           | BP                  | Booking purposes only (not publicly disseminated)  | <b>06:35 to 18:55</b>  | EQUITIES<br>ETF/QMFs<br>WARRANTS |
| Post Trading Hours (Late Trades)                                 | L              | PC                | LL           | L1-L5               | 1 - Genuine Book Squaring<br>2 - Hedging<br>3 - Narrowly missed execution in CSPA<br>4 - Error Rectification<br>5 - Put Through                                      | <b>16:13 to 16:43</b>  | EQUITIES<br>ETF/QMFs<br>WARRANTS |
| Out of Hours (Evening Trades)                                    | E              | LT <sup>3</sup>   | EE           | OS, OR, LT          | Order received during Out of Hours Period  | <b>16:43 to 07:00</b> (next trading day). Can report until 09:45 (next trading day)  | EQUITIES<br>ETF/QMFs<br>WARRANTS |
| Pre-Trading Hours (Morning Trades)                               | M              | PO                | MM           | OS, OR, LT          | - Principal or agency trades<br>- Overseas resident clients<br>- Recognised stock exchange   | <b>07:00 to 09:45</b>  | EQUITIES<br>ETF/QMFs<br>WARRANTS |

<sup>1</sup>Tiers published quarterly by ASIC at <https://www.asic.gov.au/block-trade-tiers>

<sup>2</sup>Displayed as 'P' on market data

<sup>3</sup>Requires negotiated time to be entered

<sup>4</sup>Displayed as 't' on market data

## Trade Reporting Windows

