

Notice of initial substantial holder

Form 603
Corporations Act 2001
Section 671B

NHC

To:Company Name/Scheme **The Secretary
New Hope Corporation Limited
Level 16
175 Eagle Street
Brisbane, QLD, 4000**

PH: **(07) 3418 0500**
Fax: **(07) 3418 0355**

ACN **010 653 844**

1. Details of substantial shareholder

Name National Australia Bank Limited and its associated entities listed in Annexure A
ACN (if applicable) (ACN 010 653 844)

The holder became a substantial holder on 17/04/2020

2. Details of voting power

The total number of votes attached to all the voting shares in the company or voting interests in the scheme that the substantial holder or an associate had a relevant interest in on the date the substantial holder became a substantial holder are as follows:

Class of securities	Number of Securities	Persons' votes	Voting power
Fully paid ordinary shares	45,078,547	45,078,547	5.420%

3. Details of relevant interests

The nature of the relevant interest the substantial holder or an associate had in the following voting securities on the date the substantial holder became a substantial holder are as follows:

Holder of relevant interest	Nature of relevant interest	Class and number of securities
MLC Investments Limited	Power to control the voting and /or disposal of securities pursuant to its position as the responsible entity or trustee of various managed investment schemes and trusts	Fully paid ordinary shares 7,259,853
NULIS Nominees (Australia) Limited	Power to exercise voting rights pursuant to position held as the Registrable Superannuation Entity licensee for the superannuation products it issues.	Fully paid ordinary shares 194,694
National Australia Bank Limited	Power to control the voting and /or disposal of securities pursuant to securities lending agreements.	Fully paid ordinary shares 424,000
National Australia Bank Limited	Power to control the voting and /or disposal of securities pursuant to securities lending agreements.	Fully paid ordinary shares 37,200,000
TOTAL		45,078,547

4. Details of present registered holders

The persons registered as holders of the securities referred to in paragraph 3 above are as follows:

Holder of relevant interest	Registered holder of securities	Person entitled to be registered as holder	Class and number of securities
MLC Investments Limited	National Nominees Limited (ACN 004 278 899)		Fully paid ordinary shares 7,259,853
NULIS Nominees (Australia) Limited	NULIS Nominees (Australia) Limited (ACN 008 515 633)		Fully paid ordinary shares 194,694
National Australia Bank Limited	National Nominees Limited (ACN 004 278 899)		Fully paid ordinary shares 424,000
National Australia Bank Limited	National Nominees Limited (ACN 004 278 899)		Fully paid ordinary shares 37,200,000
			45,078,547

5. Consideration

The consideration paid for each relevant interest referred to in paragraph 3 above, and acquired in the four months prior to the day that the substantial holder became a substantial holder is as follows:

Holder of relevant interest	Date of acquisition	Consideration		Class and number of securities
		Cash	Non-cash	Fully paid ordinary shares
MLC Investments Limited	18-Feb-20	\$94,354.83		50,195
MLC Investments Limited	18-Feb-20	\$121,571.95		64,674
MLC Investments Limited	20-Feb-20	\$10,387.52		5,670
MLC Investments Limited	21-Feb-20	\$53,193.40		31,465
MLC Investments Limited	21-Feb-20	\$117,700.01		69,622
MLC Investments Limited	27-Feb-20	\$137,657.38		88,049
MLC Investments Limited	25-Feb-20	\$230,610.53		144,979
MLC Investments Limited	27-Feb-20	\$166,352.36		106,403
MLC Investments Limited	25-Feb-20	\$284,474.63		178,842
MLC Investments Limited	27-Feb-20	\$4,487.16		2,881
MLC Investments Limited	27-Feb-20	\$5,423.22		3,482
MLC Investments Limited	03-Mar-20	\$189,541.79		124,357
MLC Investments Limited	03-Mar-20	\$260,176.63		170,700
MLC Investments Limited	05-Mar-20	\$178,487.64		118,474
MLC Investments Limited	05-Mar-20	\$254,092.61		168,658
MLC Investments Limited	10-Mar-20	\$257,281.22		204,943
MLC Investments Limited	10-Mar-20	\$173,376.69		138,107
MLC Investments Limited	11-Mar-20	\$105,506.87		85,628
MLC Investments Limited	11-Mar-20	\$166,966.71		135,508
MLC Investments Limited	13-Mar-20	\$75,458.70		70,117
MLC Investments Limited	13-Mar-20	\$116,089.96		107,872
MLC Investments Limited	18-Mar-20	\$134,500.55		121,257
MLC Investments Limited	18-Mar-20	\$123,165.43		111,038
MLC Investments Limited	19-Mar-20	\$1,176.70		1,094
MLC Investments Limited	19-Mar-20	\$508,670.91		478,036
MLC Investments Limited	23-Mar-20	\$33,277.59		32,502
MLC Investments Limited	23-Mar-20	\$180,267.69		175,125
MLC Investments Limited	31-Mar-20	\$423.23		300

MLC Investments Limited	31-Mar-20	\$780,327.54		562,738
MLC Investments Limited	07-Apr-20	\$238,776.12		159,618
MLC Investments Limited	07-Apr-20	\$275,224.56		182,216
MLC Investments Limited	08-Apr-20	\$37,955.81		25,028
MLC Investments Limited	15-Apr-20	\$552,388.11		356,782
MLC Investments Limited	17-Apr-20	\$1,334,976.46		821,831
MLC Investments Limited	17-Apr-20	\$883,580.01		544,280
MLC Investments Limited	17-Apr-20	\$452,991.83		277,552
NULIS Nominees (Australia) Limited	11-Feb-20	\$9,997.04		5,333
NULIS Nominees (Australia) Limited	25-Feb-20	\$18,383.27		12,000
NULIS Nominees (Australia) Limited	25-Feb-20	\$25,012.86		15,923
NULIS Nominees (Australia) Limited	09-Mar-20	\$30,083.67		24,096
NULIS Nominees (Australia) Limited	10-Mar-20	\$10,010.80		8,097
NULIS Nominees (Australia) Limited	26-Mar-20	\$12,611.00		10,000
National Australia Bank Limited	17/04/2019 to 17/04/2020 - Securities Lending	No consideration directly referable to the securities provided by NAB.		Refer to Appendix 1 Table
National Australia Bank Limited	Purchase	\$134,766.30		62,682
National Australia Bank Limited	16/03/2019 - Stock borrow (refer Appendix 2(a))	No consideration directly referable to the securities provided by NAB.		18,600,000
National Australia Bank Limited	17/04/2019 - Stock borrow (refer Appendix 2(a))	No consideration directly referable to the securities provided by NAB.		18,600,000
National Australia Bank Limited	24/12/2019 - Stock return (refer Appendix 2(c))	No consideration directly referable to the securities provided by NAB.		35,644
National Australia Bank Limited	24/12/2019 - Stock return (refer Appendix 2(c))	No consideration directly referable to the securities provided by NAB.		27,038
National Australia Bank Limited	17/12/2019 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		85,201
National Australia Bank Limited	18/12/2019 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		78,953
National Australia Bank Limited	19/12/2019 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		916
National Australia Bank Limited	20/12/2019 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		1,840
National Australia Bank Limited	23/12/2019 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		42,044
National Australia Bank Limited	24/12/2019 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		42,700

National Australia Bank Limited	27/12/2019 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		42,200
National Australia Bank Limited	30/12/2019 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		21,428
National Australia Bank Limited	31/12/2019 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		88,736
National Australia Bank Limited	2/01/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		42,301
National Australia Bank Limited	3/01/2020 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		42,721
National Australia Bank Limited	6/01/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		1,319,442
National Australia Bank Limited	9/01/2020 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		1
National Australia Bank Limited	10/01/2020 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		1,346,019
National Australia Bank Limited	13/01/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		1,346,020
National Australia Bank Limited	17/01/2020 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		1,321,712
National Australia Bank Limited	20/01/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		1,321,712
National Australia Bank Limited	30/01/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		1
National Australia Bank Limited	31/01/2020 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		1,391,443
National Australia Bank Limited	3/02/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		97,400
National Australia Bank Limited	4/02/2020 Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		46,569
National Australia Bank Limited	5/02/2020 Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		21,023
National Australia Bank Limited	6/02/2020 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		64,514
National Australia Bank Limited	10/02/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		97,800

National Australia Bank Limited	11/02/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		34,686
National Australia Bank Limited	12/02/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		47,499
National Australia Bank Limited	13/02/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		1,246,165
National Australia Bank Limited	14/02/2020 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		1,342,466
National Australia Bank Limited	18/02/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		48,800
National Australia Bank Limited	19/02/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		1,293,666
National Australia Bank Limited	20/02/2020 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		1,352,408
National Australia Bank Limited	21/02/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		49,600
National Australia Bank Limited	24/02/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		2,868
National Australia Bank Limited	25/02/2020 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		5,068,644
National Australia Bank Limited	26/02/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		590,504
National Australia Bank Limited	27/02/2020 Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		447,016
National Australia Bank Limited	28/02/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		132,520
National Australia Bank Limited	2/03/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		5,040,378
National Australia Bank Limited	3/03/2020 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		4,511,691
National Australia Bank Limited	4/03/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		5,563,889
National Australia Bank Limited	18/03/2020 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		105,430
National Australia Bank Limited	19/03/2020 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		745,478

National Australia Bank Limited	20/03/2020 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		1,659,736
National Australia Bank Limited	23/03/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		366,700
National Australia Bank Limited	24/03/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		207,798
National Australia Bank Limited	25/03/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		276,946
National Australia Bank Limited	26/03/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		222,400
National Australia Bank Limited	27/03/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		155,200
National Australia Bank Limited	30/03/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		77,800
National Australia Bank Limited	31/03/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		72,900
National Australia Bank Limited	1/04/2020 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		90,546
National Australia Bank Limited	2/04/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		180,354
National Australia Bank Limited	3/04/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		70,801
National Australia Bank Limited	6/04/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		69,999
National Australia Bank Limited	7/04/2020 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		8,281
National Australia Bank Limited	8/04/2020 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		73,172
National Australia Bank Limited	9/04/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		55
National Australia Bank Limited	14/04/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		126,658
National Australia Bank Limited	15/04/2020 - Stock borrow (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		36,675
National Australia Bank Limited	16/04/2020 - Stock return (refer Appendix 2(b))	No consideration directly referable to the securities provided by NAB.		891,707

6. Associates

The reasons the persons named in paragraph 3 above are associates of the substantial holder are as follows:

Name and ACN/ARSN (if applicable)	Nature of association
MLC Investments Limited	MLC Investments Limited is a wholly owned subsidiary of MLC Holdings Limited whose ultimate parent is National Australia Bank Limited.
NULIS Nominees (Australia) Limited	NULIS Nominees (Australia) Limited is a wholly owned subsidiary of National Wealth Management Holdings Limited whose ultimate parent is National Australia Bank Limited.

7. Addresses

The addresses of persons named in this form are as follows:

Name	Address
MLC Investments Limited	Ground Floor 105-153 Miller Street NORTH SYDNEY NSW 2060
NULIS Nominees (Australia) Limited	Ground Floor 105-153 Miller Street NORTH SYDNEY NSW 2060
National Australia Bank Limited	Level 1 800 Bourke Street DOCKLANDS VIC 3008
National Nominees Limited	Level 1 800 Bourke Street DOCKLANDS VIC 3008

Signature

Name	Louise Thomson	Capacity Group Company Secretary for and on behalf of National Australia Bank Limited
Signature		Date 22/04/2020

Appendix 1 -

NHC

Type of agreement and parties to agreement	National Australia Bank Limited and Securities Borrowing Agreement (SBA) clients (iv) MOTOR TRADES ASSOCIATION OF AUSTRALIA SUPERAN (v) CARE SUPER PTY LTD (vii) VICSUPER PTY LTD (xii) PRIME SUPER PTY LTD (xiv) AUSTRALIAN MEAT INDUSTRY SUPERANNUATION PTY LT	National Australia Bank Limited and AMSLA Counterparties (a) DEUTSCHE SECURITIES AUSTRALIA LIMITED (b) UBS SECURITIES AUSTRALIA LTD (c) MACQUARIE BANK LTD (d) MERRILL LYNCH EQUITIES (AUSTRALIA) LTD (e) JP MORGAN SECURITIES AUSTRALIA LIMITED (f) CREDIT SUISSE (g) INSTINET AUSTRALIA PTY LTD (h) MORGAN STANLEY AUSTRALIA SECURITIES LIMITED (l) ABN AMRO CLEARING BANK N.V.
Transfer dates	17/12/2019 to 17/4/2020 Specific dates for each transfer can be found by matching the number reference in the 'Type of agreement and parties to agreement' field to the accompanying list of transactions.	17/12/2019 to 17/4/2020 Specific dates for each transfer can be found by matching the number reference in the 'Type of agreement and parties to agreement' field to the accompanying list of transactions.
Holder of voting rights	Registered owner	Registered owner
Are there any restrictions on voting	The registered owner holds voting rights. However, in certain circumstances the lender may request for the borrower to use best endeavours to arrange for voting instructions to be exercised in accordance with the instructions from the lender.	The registered owner holds voting rights. However, in certain circumstances the lender may request for the borrower to use best endeavours to arrange for voting instructions to be exercised in accordance with the instructions from the lender.
Scheduled date of return (if any)	On demand	On demand
Does the borrower have the right to return early?	Yes - at notice	Yes - at notice
Does the lender have the right to recall early?	Yes - at notice	Yes - at notice
Will the securities be returned on settlement?	Yes, or equivalent protection under Securities Borrowing Agreement.	Yes, or equivalent protection under AMSLA.
National Australia Bank Limited will, if required by the company or responsible entity to whom the prescribed form must be given or ASIC give a copy of the agreements to the company, responsible entity or ASIC.		

Appendix 1- HNC

Date	Nature of Change	Consideration	No. of Securities	Class	AMSLA Counterparty
17/12/2019	Settle Sec Loan		173896	ORD	(b)
17/12/2019	Return Security		-173896	ORD	(b)
18/12/2019	Settle Sec Loan		167146	ORD	(b)
18/12/2019	Return Security		-167146	ORD	(b)
19/12/2019	Settle Sec Loan		25000	ORD	(b)
19/12/2019	Settle Sec Loan		50000	ORD	(b)
19/12/2019	Settle Sec Loan		167146	ORD	(b)
19/12/2019	Return Security		-167146	ORD	(b)
20/12/2019	Settle Sec Loan		30000	ORD	(f)
20/12/2019	Settle Sec Loan		116000	ORD	(h)
20/12/2019	Return Security		-25000	ORD	(b)
20/12/2019	Return Security		-50000	ORD	(b)
20/12/2019	Settle Sec Loan		167709	ORD	(b)
20/12/2019	Return Security		-167709	ORD	(b)
23/12/2019	Settle Sec Loan		7000	ORD	(b)
23/12/2019	Settle Sec Loan		161319	ORD	(b)
23/12/2019	Return Security		-161319	ORD	(b)
24/12/2019	Return Security		-7000	ORD	(b)
24/12/2019	Settle Sec Loan		160689	ORD	(b)
27/12/2019	Return Security		-160689	ORD	(b)
27/12/2019	Settle Sec Loan		161319	ORD	(b)
27/12/2019	Return Security		-161319	ORD	(b)
30/12/2019	Settle Sec Loan		161319	ORD	(b)
30/12/2019	Return Security		-161319	ORD	(b)
31/12/2019	Settle Sec Loan		161319	ORD	(b)
31/12/2019	Return Security		-161319	ORD	(b)
2/01/2020	Settle Sec Loan		157254	ORD	(b)
2/01/2020	Return Security		-157254	ORD	(b)
3/01/2020	Settle Sec Loan		161319	ORD	(b)
3/01/2020	Return Security		-161319	ORD	(b)
6/01/2020	Settle Sec Loan		161319	ORD	(b)
7/01/2020	Settle Sec Loan		3000	ORD	(g)
7/01/2020	Return Security		-161319	ORD	(b)
7/01/2020	Settle Sec Loan		161319	ORD	(b)
7/01/2020	Return Security		-161319	ORD	(b)
8/01/2020	Settle Sec Loan		161049	ORD	(b)
8/01/2020	Return Security		-161049	ORD	(b)
9/01/2020	Settle Sec Loan		161049	ORD	(b)
9/01/2020	Return Security		-161049	ORD	(b)
10/01/2020	Settle Sec Loan		161049	ORD	(b)
10/01/2020	Return Security		-161049	ORD	(b)
13/01/2020	Settle Sec Loan		83000	ORD	(b)
13/01/2020	Settle Sec Loan		161049	ORD	(b)
13/01/2020	Return Security		-161049	ORD	(b)
14/01/2020	Return Security		-3000	ORD	(g)
14/01/2020	Settle Sec Loan		1000	ORD	(b)
14/01/2020	Settle Sec Loan		148179	ORD	(b)

14/01/2020	Return Security	-148179	ORD	(b)
15/01/2020	Settle Sec Loan	60000	ORD	(b)
15/01/2020	Settle Sec Loan	25000	ORD	(b)
15/01/2020	Settle Sec Loan	148359	ORD	(b)
15/01/2020	Return Security	-148359	ORD	(b)
16/01/2020	Return Security	-24287	ORD	(b)
16/01/2020	Settle Sec Loan	146109	ORD	(b)
16/01/2020	Return Security	-146109	ORD	(b)
17/01/2020	Settle Sec Loan	148295	ORD	(b)
17/01/2020	Return Security	-148295	ORD	(b)
20/01/2020	Return Security	-30000	ORD	(e)
20/01/2020	Return Security	-58713	ORD	(b)
20/01/2020	Return Security	-60000	ORD	(b)
20/01/2020	Return Security	-1000	ORD	(b)
20/01/2020	Return Security	-25000	ORD	(b)
20/01/2020	Settle Sec Loan	148295	ORD	(b)
20/01/2020	Return Security	-148295	ORD	(b)
21/01/2020	Settle Sec Loan	164019	ORD	(b)
21/01/2020	Return Security	-164019	ORD	(b)
22/01/2020	Settle Sec Loan	498818	ORD	(a)
23/01/2020	Return Security	-498818	ORD	(a)
23/01/2020	Settle Sec Loan	35000	ORD	(a)
23/01/2020	Settle Sec Loan	115975	ORD	(b)
23/01/2020	Return Security	-115975	ORD	(b)
24/01/2020	Return Security	-35000	ORD	(a)
24/01/2020	Settle Sec Loan	160869	ORD	(b)
24/01/2020	Return Security	-160869	ORD	(b)
28/01/2020	Return Security	-30000	ORD	(f)
28/01/2020	Settle Sec Loan	164019	ORD	(b)
28/01/2020	Return Security	-164019	ORD	(b)
29/01/2020	Settle Sec Loan	236000	ORD	(f)
29/01/2020	Settle Sec Loan	166719	ORD	(b)
29/01/2020	Return Security	-166719	ORD	(b)
30/01/2020	Settle Sec Loan	337000	ORD	(f)
30/01/2020	Settle Sec Loan	24000	ORD	(h)
30/01/2020	Settle Sec Loan	145479	ORD	(b)
30/01/2020	Return Security	-145479	ORD	(b)
31/01/2020	Settle Sec Loan	98000	ORD	(h)
31/01/2020	Settle Sec Loan	112989	ORD	(b)
31/01/2020	Return Security	-112989	ORD	(b)
3/02/2020	Settle Sec Loan	26400	ORD	(f)
3/02/2020	Settle Sec Loan	112989	ORD	(b)
3/02/2020	Return Security	-112989	ORD	(b)
4/02/2020	Settle Sec Loan	99993	ORD	(b)
4/02/2020	Return Security	-99993	ORD	(b)
5/02/2020	Settle Sec Loan	20000	ORD	(b)
5/02/2020	Settle Sec Loan	99993	ORD	(b)
5/02/2020	Return Security	-99993	ORD	(b)
6/02/2020	Settle Sec Loan	108000	ORD	(f)
6/02/2020	Settle Sec Loan	99993	ORD	(b)

6/02/2020	Return Security	-99993	ORD	(b)
7/02/2020	Settle Sec Loan	200000	ORD	(g)
7/02/2020	Return Security	-20000	ORD	(b)
10/02/2020	Return Security	-200000	ORD	(g)
10/02/2020	Settle Sec Loan	74073	ORD	(b)
10/02/2020	Return Security	-74073	ORD	(b)
11/02/2020	Settle Sec Loan	92073	ORD	(b)
11/02/2020	Return Security	-92073	ORD	(b)
12/02/2020	Settle Sec Loan	2250	ORD	(b)
12/02/2020	Settle Sec Loan	92073	ORD	(b)
13/02/2020	Return Security	-92073	ORD	(b)
13/02/2020	Settle Sec Loan	83584	ORD	(b)
13/02/2020	Return Security	-83584	ORD	(b)
14/02/2020	Settle Sec Loan	5000	ORD	(f)
14/02/2020	Settle Sec Loan	34000	ORD	(h)
14/02/2020	Return Security	-2250	ORD	(b)
14/02/2020	Settle Sec Loan	104201	ORD	(b)
14/02/2020	Return Security	-104201	ORD	(b)
17/02/2020	Return Security	-7535	ORD	(h)
17/02/2020	Return Security	-775	ORD	(h)
17/02/2020	Settle Sec Loan	101344	ORD	(b)
17/02/2020	Return Security	-101344	ORD	(b)
18/02/2020	Return Security	-236000	ORD	(f)
18/02/2020	Return Security	-337000	ORD	(f)
18/02/2020	Return Security	-26400	ORD	(f)
18/02/2020	Return Security	-108000	ORD	(f)
18/02/2020	Return Security	-5000	ORD	(f)
18/02/2020	Return Security	-55000	ORD	(f)
18/02/2020	Return Security	-59000	ORD	(f)
18/02/2020	Return Security	-81000	ORD	(f)
18/02/2020	Return Security	-20690	ORD	(h)
18/02/2020	Return Security	-8687	ORD	(h)
18/02/2020	Settle Sec Loan	129533	ORD	(b)
18/02/2020	Return Security	-129533	ORD	(b)
19/02/2020	Settle Sec Loan	443313	ORD	(a)
19/02/2020	Settle Sec Loan	260000	ORD	(a)
19/02/2020	Return Security	-234	ORD	(h)
19/02/2020	Return Security	-75000	ORD	(h)
19/02/2020	Return Security	-32313	ORD	(h)
19/02/2020	Settle Sec Loan	173945	ORD	(b)
19/02/2020	Return Security	-173945	ORD	(b)
20/02/2020	Settle Sec Loan	170000	ORD	(a)
20/02/2020	Settle Sec Loan	257000	ORD	(a)
20/02/2020	Return Security	-23766	ORD	(h)
20/02/2020	Return Security	-33915	ORD	(h)
20/02/2020	Settle Sec Loan	510000	ORD	(b)
20/02/2020	Return Security	-422798	ORD	(b)
20/02/2020	Settle Sec Loan	144924	ORD	(b)
20/02/2020	Return Security	-144924	ORD	(b)
21/02/2020	Settle Sec Loan	1000000	ORD	(f)

21/02/2020	Return Security	-87202	ORD	(b)
21/02/2020	Settle Sec Loan	135674	ORD	(b)
21/02/2020	Return Security	-135674	ORD	(b)
24/02/2020	Settle Sec Loan	25000	ORD	(a)
24/02/2020	Settle Sec Loan	51272	ORD	(b)
24/02/2020	Return Security	-51272	ORD	(b)
25/02/2020	Settle Sec Loan	40253	ORD	(b)
25/02/2020	Return Security	-40253	ORD	(b)
26/02/2020	Settle Sec Loan	140000	ORD	(a)
26/02/2020	Return Security	-64085	ORD	(h)
26/02/2020	Return Security	-34000	ORD	(h)
26/02/2020	Settle Sec Loan	44098	ORD	(b)
26/02/2020	Return Security	-44098	ORD	(b)
27/02/2020	Settle Sec Loan	52926	ORD	(b)
27/02/2020	Return Security	-52926	ORD	(b)
28/02/2020	Return Security	-1000000	ORD	(f)
28/02/2020	Settle Sec Loan	92690	ORD	(b)
28/02/2020	Return Security	-92690	ORD	(b)
2/03/2020	Settle Sec Loan	49738	ORD	(a)
2/03/2020	Settle Sec Loan	178214	ORD	(b)
2/03/2020	Return Security	-178214	ORD	(b)
3/03/2020	Settle Sec Loan	202877	ORD	(b)
3/03/2020	Return Security	-202877	ORD	(b)
4/03/2020	Return Security	-385000	ORD	(a)
4/03/2020	Settle Sec Loan	202877	ORD	(b)
4/03/2020	Return Security	-202877	ORD	(b)
5/03/2020	Return Security	-58313	ORD	(a)
5/03/2020	Return Security	-260000	ORD	(a)
5/03/2020	Return Security	-170000	ORD	(a)
5/03/2020	Return Security	-63000	ORD	(a)
5/03/2020	Settle Sec Loan	237527	ORD	(b)
5/03/2020	Return Security	-237527	ORD	(b)
6/03/2020	Return Security	-194000	ORD	(a)
6/03/2020	Return Security	-25000	ORD	(a)
6/03/2020	Return Security	-140000	ORD	(a)
6/03/2020	Return Security	-49738	ORD	(a)
6/03/2020	Settle Sec Loan	34000	ORD	(g)
6/03/2020	Settle Sec Loan	324978	ORD	(b)
6/03/2020	Return Security	-324978	ORD	(b)
9/03/2020	Settle Sec Loan	358705	ORD	(b)
9/03/2020	Return Security	-358705	ORD	(b)
10/03/2020	Return Security	-34000	ORD	(g)
10/03/2020	Settle Sec Loan	395122	ORD	(b)
10/03/2020	Return Security	-395122	ORD	(b)
11/03/2020	Settle Sec Loan	392039	ORD	(b)
11/03/2020	Return Security	-392039	ORD	(b)
12/03/2020	Settle Sec Loan	398182	ORD	(b)
12/03/2020	Return Security	-398182	ORD	(b)
13/03/2020	Settle Sec Loan	428473	ORD	(b)
13/03/2020	Return Security	-428473	ORD	(b)

16/03/2020	Settle Sec Loan	458109	ORD	(b)
16/03/2020	Return Security	-458109	ORD	(b)
17/03/2020	Settle Sec Loan	16000	ORD	(a)
17/03/2020	Settle Sec Loan	105000	ORD	(a)
18/03/2020	Settle Sec Loan	453648	ORD	(b)
18/03/2020	Return Security	-453648	ORD	(b)
19/03/2020	Settle Sec Loan	12670	ORD	(a)
20/03/2020	Return Security	-16000	ORD	(a)
20/03/2020	Return Security	-105000	ORD	(a)
20/03/2020	Return Security	-12670	ORD	(a)
20/03/2020	Settle Sec Loan	469996	ORD	(b)
20/03/2020	Return Security	-469996	ORD	(b)
23/03/2020	Settle Sec Loan	517272	ORD	(b)
23/03/2020	Return Security	-517272	ORD	(b)
24/03/2020	Settle Sec Loan	517272	ORD	(b)
24/03/2020	Return Security	-517272	ORD	(b)
25/03/2020	Settle Sec Loan	298299	ORD	(b)
25/03/2020	Return Security	-298299	ORD	(b)
26/03/2020	Settle Sec Loan	298299	ORD	(b)
26/03/2020	Return Security	-298299	ORD	(b)
27/03/2020	Settle Sec Loan	5000	ORD	(l)
27/03/2020	Settle Sec Loan	297849	ORD	(b)
27/03/2020	Return Security	-297849	ORD	(b)
30/03/2020	Settle Sec Loan	297849	ORD	(b)
30/03/2020	Return Security	-297849	ORD	(b)
31/03/2020	Settle Sec Loan	3000	ORD	(a)
31/03/2020	Settle Sec Loan	297849	ORD	(b)
31/03/2020	Return Security	-297849	ORD	(b)
1/04/2020	Settle Sec Loan	65000	ORD	(a)
1/04/2020	Settle Sec Loan	520000	ORD	(b)
1/04/2020	Settle Sec Loan	11000	ORD	(b)
1/04/2020	Settle Sec Loan	297579	ORD	(b)
1/04/2020	Return Security	-297579	ORD	(b)
2/04/2020	Settle Sec Loan	243939	ORD	(b)
2/04/2020	Return Security	-243939	ORD	(b)
3/04/2020	Settle Sec Loan	17000	ORD	(a)
3/04/2020	Return Security	-520000	ORD	(b)
3/04/2020	Return Security	-11000	ORD	(b)
3/04/2020	Settle Sec Loan	243939	ORD	(b)
3/04/2020	Return Security	-243939	ORD	(b)
6/04/2020	Settle Sec Loan	45000	ORD	(d)
6/04/2020	Settle Sec Loan	11000	ORD	(b)
6/04/2020	Settle Sec Loan	290199	ORD	(b)
6/04/2020	Return Security	-290199	ORD	(b)
7/04/2020	Return Security	-3000	ORD	(a)
7/04/2020	Return Security	-11000	ORD	(b)
7/04/2020	Settle Sec Loan	285159	ORD	(b)
7/04/2020	Return Security	-285159	ORD	(b)
8/04/2020	Return Security	-5000	ORD	(l)
8/04/2020	Settle Sec Loan	286419	ORD	(b)

8/04/2020 Return Security	-286419 ORD	(b)
9/04/2020 Return Security	-65000 ORD	(a)
9/04/2020 Return Security	-15000 ORD	(a)
9/04/2020 Settle Sec Loan	299469 ORD	(b)
9/04/2020 Return Security	-299469 ORD	(b)
14/04/2020 Return Security	-2000 ORD	(a)
14/04/2020 Settle Sec Loan	306669 ORD	(b)
14/04/2020 Return Security	-306669 ORD	(b)
15/04/2020 Settle Sec Loan	85000 ORD	(c)
15/04/2020 Settle Sec Loan	5000 ORD	(b)
15/04/2020 Settle Sec Loan	32000 ORD	(b)
15/04/2020 Settle Sec Loan	306849 ORD	(b)
15/04/2020 Return Security	-306849 ORD	(b)
16/04/2020 Settle Sec Loan	3000 ORD	(a)
16/04/2020 Return Security	-85000 ORD	(c)
16/04/2020 Settle Sec Loan	339000 ORD	(b)
16/04/2020 Settle Sec Loan	295869 ORD	(b)
16/04/2020 Return Security	-295869 ORD	(b)
17/04/2020 Settle Sec Loan	272739 ORD	(b)
17/04/2020 Return Security	-272739 ORD	(b)

Appendix 1- HNC

Date	Nature of Change	Consideration	No. of Securities	Class	SBA Counterparty
17/12/2019	Settle Sec Loan		125180	ORD	(iv)
17/12/2019	Settle Sec Loan		48716	ORD	(iv)
17/12/2019	Return Security		-125180	ORD	(iv)
17/12/2019	Return Security		-48716	ORD	(iv)
18/12/2019	Settle Sec Loan		75180	ORD	(iv)
18/12/2019	Settle Sec Loan		91966	ORD	(v)
18/12/2019	Return Security		-75180	ORD	(iv)
18/12/2019	Return Security		-91966	ORD	(v)
19/12/2019	Settle Sec Loan		25000	ORD	(iv)
19/12/2019	Settle Sec Loan		50000	ORD	(iv)
19/12/2019	Settle Sec Loan		75180	ORD	(iv)
19/12/2019	Settle Sec Loan		91966	ORD	(v)
19/12/2019	Return Security		-75180	ORD	(iv)
19/12/2019	Return Security		-91966	ORD	(v)
20/12/2019	Settle Sec Loan		30000	ORD	(iv)
20/12/2019	Settle Sec Loan		12112	ORD	(v)
20/12/2019	Settle Sec Loan		87863	ORD	(xii)
20/12/2019	Settle Sec Loan		16025	ORD	(iv)
20/12/2019	Return Security		-25000	ORD	(iv)
20/12/2019	Return Security		-50000	ORD	(iv)
20/12/2019	Settle Sec Loan		75180	ORD	(iv)
20/12/2019	Settle Sec Loan		92529	ORD	(v)
20/12/2019	Return Security		-75180	ORD	(iv)
20/12/2019	Return Security		-92529	ORD	(v)
23/12/2019	Settle Sec Loan		7000	ORD	(vii)
23/12/2019	Settle Sec Loan		161319	ORD	(vii)
23/12/2019	Return Security		-161319	ORD	(vii)
24/12/2019	Return Security		-7000	ORD	(vii)
24/12/2019	Settle Sec Loan		160689	ORD	(vii)
27/12/2019	Return Security		-160689	ORD	(vii)
27/12/2019	Settle Sec Loan		161319	ORD	(iv)
27/12/2019	Return Security		-161319	ORD	(iv)
30/12/2019	Settle Sec Loan		161319	ORD	(iv)
30/12/2019	Return Security		-161319	ORD	(iv)
31/12/2019	Settle Sec Loan		161319	ORD	(iv)
31/12/2019	Return Security		-161319	ORD	(iv)
2/01/2020	Settle Sec Loan		157254	ORD	(iv)
2/01/2020	Return Security		-157254	ORD	(iv)
3/01/2020	Settle Sec Loan		161319	ORD	(iv)
3/01/2020	Return Security		-161319	ORD	(iv)
6/01/2020	Settle Sec Loan		125180	ORD	(iv)
6/01/2020	Settle Sec Loan		36139	ORD	(iv)
7/01/2020	Settle Sec Loan		3000	ORD	(iv)
7/01/2020	Return Security		-125180	ORD	(iv)
7/01/2020	Return Security		-36139	ORD	(iv)
7/01/2020	Settle Sec Loan		161319	ORD	(iv)
7/01/2020	Return Security		-161319	ORD	(iv)

8/01/2020	Settle Sec Loan	161049	ORD	(iv)
8/01/2020	Return Security	-161049	ORD	(iv)
9/01/2020	Settle Sec Loan	125180	ORD	(iv)
9/01/2020	Settle Sec Loan	35869	ORD	(iv)
9/01/2020	Return Security	-125180	ORD	(iv)
9/01/2020	Return Security	-35869	ORD	(iv)
10/01/2020	Settle Sec Loan	125180	ORD	(iv)
10/01/2020	Settle Sec Loan	35869	ORD	(iv)
10/01/2020	Return Security	-125180	ORD	(iv)
10/01/2020	Return Security	-35869	ORD	(iv)
13/01/2020	Settle Sec Loan	83000	ORD	(v)
13/01/2020	Settle Sec Loan	125180	ORD	(iv)
13/01/2020	Settle Sec Loan	35869	ORD	(v)
13/01/2020	Return Security	-125180	ORD	(iv)
13/01/2020	Return Security	-35869	ORD	(v)
14/01/2020	Return Security	-3000	ORD	(iv)
14/01/2020	Settle Sec Loan	1000	ORD	(v)
14/01/2020	Settle Sec Loan	125180	ORD	(iv)
14/01/2020	Settle Sec Loan	22999	ORD	(v)
14/01/2020	Return Security	-125180	ORD	(iv)
14/01/2020	Return Security	-22999	ORD	(v)
15/01/2020	Settle Sec Loan	20618	ORD	(v)
15/01/2020	Settle Sec Loan	39382	ORD	(iv)
15/01/2020	Settle Sec Loan	11690	ORD	(v)
15/01/2020	Settle Sec Loan	13310	ORD	(iv)
15/01/2020	Settle Sec Loan	125180	ORD	(iv)
15/01/2020	Settle Sec Loan	23179	ORD	(v)
15/01/2020	Return Security	-125180	ORD	(iv)
15/01/2020	Return Security	-23179	ORD	(v)
16/01/2020	Return Security	-24287	ORD	(v)
16/01/2020	Settle Sec Loan	125180	ORD	(iv)
16/01/2020	Settle Sec Loan	20929	ORD	(v)
16/01/2020	Return Security	-125180	ORD	(iv)
16/01/2020	Return Security	-20929	ORD	(v)
17/01/2020	Settle Sec Loan	125180	ORD	(iv)
17/01/2020	Settle Sec Loan	23115	ORD	(v)
17/01/2020	Return Security	-125180	ORD	(iv)
17/01/2020	Return Security	-23115	ORD	(v)
20/01/2020	Return Security	-30000	ORD	(iv)
20/01/2020	Return Security	-58713	ORD	(v)
20/01/2020	Return Security	-20618	ORD	(v)
20/01/2020	Return Security	-39382	ORD	(iv)
20/01/2020	Return Security	-1000	ORD	(v)
20/01/2020	Return Security	-11690	ORD	(v)
20/01/2020	Return Security	-13310	ORD	(iv)
20/01/2020	Settle Sec Loan	125180	ORD	(iv)
20/01/2020	Settle Sec Loan	23115	ORD	(iv)
20/01/2020	Return Security	-125180	ORD	(iv)
20/01/2020	Return Security	-23115	ORD	(iv)
21/01/2020	Settle Sec Loan	164019	ORD	(iv)

21/01/2020	Return Security	-164019	ORD	(iv)
22/01/2020	Settle Sec Loan	313075	ORD	(iv)
22/01/2020	Settle Sec Loan	125180	ORD	(iv)
22/01/2020	Settle Sec Loan	60563	ORD	(vii)
23/01/2020	Return Security	-313075	ORD	(iv)
23/01/2020	Return Security	-125180	ORD	(iv)
23/01/2020	Return Security	-60563	ORD	(vii)
23/01/2020	Settle Sec Loan	35000	ORD	(iv)
23/01/2020	Settle Sec Loan	115975	ORD	(iv)
23/01/2020	Return Security	-115975	ORD	(iv)
24/01/2020	Return Security	-35000	ORD	(iv)
24/01/2020	Settle Sec Loan	160869	ORD	(iv)
24/01/2020	Return Security	-160869	ORD	(iv)
28/01/2020	Return Security	-30000	ORD	(iv)
28/01/2020	Settle Sec Loan	164019	ORD	(iv)
28/01/2020	Return Security	-164019	ORD	(iv)
29/01/2020	Settle Sec Loan	861	ORD	(vii)
29/01/2020	Settle Sec Loan	235139	ORD	(iv)
29/01/2020	Settle Sec Loan	166719	ORD	(vii)
29/01/2020	Return Security	-166719	ORD	(vii)
30/01/2020	Settle Sec Loan	136727	ORD	(v)
30/01/2020	Settle Sec Loan	125180	ORD	(iv)
30/01/2020	Settle Sec Loan	75093	ORD	(iv)
30/01/2020	Settle Sec Loan	21240	ORD	(vii)
30/01/2020	Settle Sec Loan	2760	ORD	(v)
30/01/2020	Settle Sec Loan	145479	ORD	(vii)
30/01/2020	Return Security	-145479	ORD	(vii)
31/01/2020	Settle Sec Loan	32490	ORD	(vii)
31/01/2020	Settle Sec Loan	65510	ORD	(iv)
31/01/2020	Settle Sec Loan	112989	ORD	(vii)
31/01/2020	Return Security	-112989	ORD	(vii)
3/02/2020	Settle Sec Loan	26400	ORD	(vii)
3/02/2020	Settle Sec Loan	112989	ORD	(vii)
3/02/2020	Return Security	-112989	ORD	(vii)
4/02/2020	Settle Sec Loan	99993	ORD	(vii)
4/02/2020	Return Security	-99993	ORD	(vii)
5/02/2020	Settle Sec Loan	20000	ORD	(vii)
5/02/2020	Settle Sec Loan	99993	ORD	(vii)
5/02/2020	Return Security	-99993	ORD	(vii)
6/02/2020	Settle Sec Loan	108000	ORD	(vii)
6/02/2020	Settle Sec Loan	99993	ORD	(vii)
6/02/2020	Return Security	-99993	ORD	(vii)
7/02/2020	Settle Sec Loan	200000	ORD	(vii)
7/02/2020	Return Security	-20000	ORD	(vii)
10/02/2020	Return Security	-200000	ORD	(vii)
10/02/2020	Settle Sec Loan	74073	ORD	(vii)
10/02/2020	Return Security	-74073	ORD	(vii)
11/02/2020	Settle Sec Loan	92073	ORD	(vii)
11/02/2020	Return Security	-92073	ORD	(vii)
12/02/2020	Settle Sec Loan	2250	ORD	(vii)

12/02/2020	Settle Sec Loan	92073	ORD	(vii)
13/02/2020	Return Security	-92073	ORD	(vii)
13/02/2020	Settle Sec Loan	83584	ORD	(vii)
13/02/2020	Return Security	-83584	ORD	(vii)
14/02/2020	Settle Sec Loan	5000	ORD	(vii)
14/02/2020	Settle Sec Loan	1538	ORD	(vii)
14/02/2020	Settle Sec Loan	32462	ORD	(iv)
14/02/2020	Return Security	-2250	ORD	(vii)
14/02/2020	Settle Sec Loan	104201	ORD	(vii)
14/02/2020	Return Security	-104201	ORD	(vii)
17/02/2020	Return Security	-7535	ORD	(iv)
17/02/2020	Return Security	-775	ORD	(iv)
17/02/2020	Settle Sec Loan	98890	ORD	(iv)
17/02/2020	Settle Sec Loan	2454	ORD	(vii)
17/02/2020	Return Security	-98890	ORD	(iv)
17/02/2020	Return Security	-2454	ORD	(vii)
18/02/2020	Return Security	-861	ORD	(vii)
18/02/2020	Return Security	-235139	ORD	(iv)
18/02/2020	Return Security	-136727	ORD	(v)
18/02/2020	Return Security	-125180	ORD	(iv)
18/02/2020	Return Security	-75093	ORD	(iv)
18/02/2020	Return Security	-26400	ORD	(vii)
18/02/2020	Return Security	-108000	ORD	(vii)
18/02/2020	Return Security	-5000	ORD	(vii)
18/02/2020	Return Security	-55000	ORD	(xiv)
18/02/2020	Return Security	-59000	ORD	(iv)
18/02/2020	Return Security	-29116	ORD	(xii)
18/02/2020	Return Security	-51884	ORD	(iv)
18/02/2020	Return Security	-20690	ORD	(iv)
18/02/2020	Return Security	-8687	ORD	(v)
18/02/2020	Settle Sec Loan	107200	ORD	(iv)
18/02/2020	Settle Sec Loan	22333	ORD	(vii)
18/02/2020	Return Security	-107200	ORD	(iv)
18/02/2020	Return Security	-22333	ORD	(vii)
19/02/2020	Settle Sec Loan	125180	ORD	(iv)
19/02/2020	Settle Sec Loan	318133	ORD	(iv)
19/02/2020	Settle Sec Loan	56928	ORD	(iv)
19/02/2020	Settle Sec Loan	29116	ORD	(xii)
19/02/2020	Settle Sec Loan	145414	ORD	(v)
19/02/2020	Settle Sec Loan	28542	ORD	(vii)
19/02/2020	Return Security	-234	ORD	(vii)
19/02/2020	Return Security	-3425	ORD	(v)
19/02/2020	Return Security	-71575	ORD	(xii)
19/02/2020	Return Security	-16288	ORD	(xii)
19/02/2020	Return Security	-16025	ORD	(iv)
19/02/2020	Settle Sec Loan	173945	ORD	(iv)
19/02/2020	Return Security	-173945	ORD	(iv)
20/02/2020	Settle Sec Loan	83770	ORD	(vii)
20/02/2020	Settle Sec Loan	86230	ORD	(vii)
20/02/2020	Settle Sec Loan	257000	ORD	(vii)

20/02/2020	Return Security	-21006	ORD	(vii)
20/02/2020	Return Security	-2760	ORD	(v)
20/02/2020	Return Security	-32490	ORD	(vii)
20/02/2020	Return Security	-1425	ORD	(iv)
20/02/2020	Settle Sec Loan	24950	ORD	(iv)
20/02/2020	Settle Sec Loan	87863	ORD	(xii)
20/02/2020	Settle Sec Loan	3425	ORD	(v)
20/02/2020	Settle Sec Loan	393762	ORD	(vii)
20/02/2020	Return Security	-25611	ORD	(xii)
20/02/2020	Return Security	-3425	ORD	(v)
20/02/2020	Return Security	-393762	ORD	(vii)
20/02/2020	Settle Sec Loan	144924	ORD	(iv)
20/02/2020	Return Security	-144924	ORD	(iv)
21/02/2020	Settle Sec Loan	1144	ORD	(iv)
21/02/2020	Settle Sec Loan	55478	ORD	(xii)
21/02/2020	Settle Sec Loan	6185	ORD	(v)
21/02/2020	Settle Sec Loan	633319	ORD	(vii)
21/02/2020	Settle Sec Loan	53730	ORD	(vii)
21/02/2020	Settle Sec Loan	250144	ORD	(iv)
21/02/2020	Return Security	-24950	ORD	(iv)
21/02/2020	Return Security	-62252	ORD	(xii)
21/02/2020	Settle Sec Loan	135674	ORD	(iv)
21/02/2020	Return Security	-135674	ORD	(iv)
24/02/2020	Settle Sec Loan	24950	ORD	(iv)
24/02/2020	Settle Sec Loan	50	ORD	(xii)
24/02/2020	Settle Sec Loan	51272	ORD	(iv)
24/02/2020	Return Security	-51272	ORD	(iv)
25/02/2020	Settle Sec Loan	40253	ORD	(iv)
25/02/2020	Return Security	-40253	ORD	(iv)
26/02/2020	Settle Sec Loan	140000	ORD	(iv)
26/02/2020	Return Security	-64085	ORD	(iv)
26/02/2020	Return Security	-1538	ORD	(vii)
26/02/2020	Return Security	-32462	ORD	(iv)
26/02/2020	Settle Sec Loan	44098	ORD	(xii)
26/02/2020	Return Security	-44098	ORD	(xii)
27/02/2020	Settle Sec Loan	52926	ORD	(xii)
27/02/2020	Return Security	-52926	ORD	(xii)
28/02/2020	Return Security	-1144	ORD	(iv)
28/02/2020	Return Security	-55478	ORD	(xii)
28/02/2020	Return Security	-6185	ORD	(v)
28/02/2020	Return Security	-633319	ORD	(vii)
28/02/2020	Return Security	-53730	ORD	(vii)
28/02/2020	Return Security	-250144	ORD	(iv)
28/02/2020	Settle Sec Loan	92690	ORD	(xii)
28/02/2020	Return Security	-92690	ORD	(xii)
2/03/2020	Settle Sec Loan	49738	ORD	(xii)
2/03/2020	Settle Sec Loan	178214	ORD	(vii)
2/03/2020	Return Security	-178214	ORD	(vii)
3/03/2020	Settle Sec Loan	202877	ORD	(iv)
3/03/2020	Return Security	-202877	ORD	(iv)

4/03/2020 Return Security	-125180	ORD	(iv)
4/03/2020 Return Security	-259820	ORD	(iv)
4/03/2020 Settle Sec Loan	202877	ORD	(iv)
4/03/2020 Return Security	-202877	ORD	(iv)
5/03/2020 Return Security	-58313	ORD	(iv)
5/03/2020 Return Security	-56928	ORD	(iv)
5/03/2020 Return Security	-29116	ORD	(xii)
5/03/2020 Return Security	-145414	ORD	(v)
5/03/2020 Return Security	-28542	ORD	(vii)
5/03/2020 Return Security	-83770	ORD	(vii)
5/03/2020 Return Security	-86230	ORD	(vii)
5/03/2020 Return Security	-63000	ORD	(vii)
5/03/2020 Settle Sec Loan	237527	ORD	(iv)
5/03/2020 Return Security	-237527	ORD	(iv)
6/03/2020 Return Security	-194000	ORD	(vii)
6/03/2020 Return Security	-24950	ORD	(iv)
6/03/2020 Return Security	-50	ORD	(xii)
6/03/2020 Return Security	-140000	ORD	(iv)
6/03/2020 Return Security	-49738	ORD	(xii)
6/03/2020 Settle Sec Loan	34000	ORD	(iv)
6/03/2020 Settle Sec Loan	324978	ORD	(iv)
6/03/2020 Return Security	-324978	ORD	(iv)
9/03/2020 Settle Sec Loan	358705	ORD	(xii)
9/03/2020 Return Security	-358705	ORD	(xii)
10/03/2020 Return Security	-34000	ORD	(iv)
10/03/2020 Settle Sec Loan	395122	ORD	(xii)
10/03/2020 Return Security	-395122	ORD	(xii)
11/03/2020 Settle Sec Loan	392039	ORD	(iv)
11/03/2020 Return Security	-392039	ORD	(iv)
12/03/2020 Settle Sec Loan	194318	ORD	(v)
12/03/2020 Settle Sec Loan	167580	ORD	(vii)
12/03/2020 Settle Sec Loan	36284	ORD	(xii)
12/03/2020 Return Security	-194318	ORD	(v)
12/03/2020 Return Security	-167580	ORD	(vii)
12/03/2020 Return Security	-36284	ORD	(xii)
13/03/2020 Settle Sec Loan	194318	ORD	(v)
13/03/2020 Settle Sec Loan	167580	ORD	(vii)
13/03/2020 Settle Sec Loan	66575	ORD	(xii)
13/03/2020 Return Security	-194318	ORD	(v)
13/03/2020 Return Security	-167580	ORD	(vii)
13/03/2020 Return Security	-66575	ORD	(xii)
16/03/2020 Settle Sec Loan	194318	ORD	(v)
16/03/2020 Settle Sec Loan	263791	ORD	(vii)
16/03/2020 Return Security	-194318	ORD	(v)
16/03/2020 Return Security	-263791	ORD	(vii)
17/03/2020 Settle Sec Loan	16000	ORD	(v)
17/03/2020 Re-Alloc Rtn	-16000	ORD	(v)
17/03/2020 Re-Alloc Loan	16000	ORD	(vii)
17/03/2020 Settle Sec Loan	105000	ORD	(v)
17/03/2020 Re-Alloc Rtn	-105000	ORD	(v)

17/03/2020	Re-Alloc Loan	105000	ORD	(vii)
18/03/2020	Settle Sec Loan	125180	ORD	(iv)
18/03/2020	Settle Sec Loan	328468	ORD	(iv)
18/03/2020	Return Security	-125180	ORD	(iv)
18/03/2020	Return Security	-328468	ORD	(iv)
19/03/2020	Settle Sec Loan	12670	ORD	(iv)
19/03/2020	Re-Alloc Rtn	-12670	ORD	(iv)
19/03/2020	Re-Alloc Loan	12670	ORD	(vii)
20/03/2020	Return Security	-16000	ORD	(vii)
20/03/2020	Return Security	-105000	ORD	(vii)
20/03/2020	Return Security	-12670	ORD	(vii)
20/03/2020	Settle Sec Loan	33910	ORD	(vii)
20/03/2020	Settle Sec Loan	436086	ORD	(xii)
20/03/2020	Return Security	-33910	ORD	(vii)
20/03/2020	Return Security	-436086	ORD	(xii)
23/03/2020	Settle Sec Loan	167580	ORD	(vii)
23/03/2020	Settle Sec Loan	349692	ORD	(xii)
23/03/2020	Return Security	-167580	ORD	(vii)
23/03/2020	Return Security	-349692	ORD	(xii)
24/03/2020	Settle Sec Loan	167580	ORD	(vii)
24/03/2020	Settle Sec Loan	349692	ORD	(xii)
24/03/2020	Return Security	-167580	ORD	(vii)
24/03/2020	Return Security	-349692	ORD	(xii)
25/03/2020	Settle Sec Loan	167580	ORD	(vii)
25/03/2020	Settle Sec Loan	130719	ORD	(xii)
25/03/2020	Return Security	-167580	ORD	(vii)
25/03/2020	Return Security	-130719	ORD	(xii)
26/03/2020	Settle Sec Loan	167580	ORD	(vii)
26/03/2020	Settle Sec Loan	130719	ORD	(xii)
26/03/2020	Return Security	-167580	ORD	(vii)
26/03/2020	Return Security	-130719	ORD	(xii)
27/03/2020	Settle Sec Loan	5000	ORD	(xii)
27/03/2020	Settle Sec Loan	167580	ORD	(vii)
27/03/2020	Settle Sec Loan	130269	ORD	(xii)
27/03/2020	Return Security	-167580	ORD	(vii)
27/03/2020	Return Security	-130269	ORD	(xii)
30/03/2020	Settle Sec Loan	297849	ORD	(xii)
30/03/2020	Return Security	-297849	ORD	(xii)
31/03/2020	Settle Sec Loan	3000	ORD	(vii)
31/03/2020	Settle Sec Loan	297849	ORD	(vii)
31/03/2020	Return Security	-297849	ORD	(vii)
1/04/2020	Settle Sec Loan	65000	ORD	(vii)
1/04/2020	Settle Sec Loan	520000	ORD	(vii)
1/04/2020	Settle Sec Loan	11000	ORD	(vii)
1/04/2020	Settle Sec Loan	297579	ORD	(vii)
1/04/2020	Return Security	-297579	ORD	(vii)
2/04/2020	Settle Sec Loan	243939	ORD	(vii)
2/04/2020	Return Security	-243939	ORD	(vii)
3/04/2020	Settle Sec Loan	17000	ORD	(vii)
3/04/2020	Return Security	-520000	ORD	(vii)

3/04/2020 Return Security	-11000 ORD	(vii)
3/04/2020 Settle Sec Loan	243939 ORD	(vii)
3/04/2020 Return Security	-243939 ORD	(vii)
6/04/2020 Settle Sec Loan	45000 ORD	(xii)
6/04/2020 Settle Sec Loan	11000 ORD	(xii)
6/04/2020 Settle Sec Loan	290199 ORD	(xii)
6/04/2020 Return Security	-290199 ORD	(xii)
7/04/2020 Return Security	-3000 ORD	(vii)
7/04/2020 Return Security	-11000 ORD	(xii)
7/04/2020 Settle Sec Loan	285159 ORD	(xii)
7/04/2020 Return Security	-285159 ORD	(xii)
8/04/2020 Return Security	-5000 ORD	(xii)
8/04/2020 Settle Sec Loan	286419 ORD	(xii)
8/04/2020 Return Security	-286419 ORD	(xii)
9/04/2020 Return Security	-65000 ORD	(vii)
9/04/2020 Return Security	-15000 ORD	(vii)
9/04/2020 Settle Sec Loan	299469 ORD	(xii)
9/04/2020 Return Security	-299469 ORD	(xii)
14/04/2020 Return Security	-2000 ORD	(vii)
14/04/2020 Settle Sec Loan	306669 ORD	(xii)
14/04/2020 Return Security	-306669 ORD	(xii)
15/04/2020 Settle Sec Loan	85000 ORD	(xii)
15/04/2020 Settle Sec Loan	5000 ORD	(xii)
15/04/2020 Settle Sec Loan	32000 ORD	(xii)
15/04/2020 Settle Sec Loan	306849 ORD	(xii)
15/04/2020 Return Security	-306849 ORD	(xii)
16/04/2020 Settle Sec Loan	3000 ORD	(xii)
16/04/2020 Return Security	-85000 ORD	(xii)
16/04/2020 Settle Sec Loan	265574 ORD	(xii)
16/04/2020 Settle Sec Loan	73426 ORD	(vii)
16/04/2020 Settle Sec Loan	295869 ORD	(xii)
16/04/2020 Return Security	-295869 ORD	(xii)
17/04/2020 Settle Sec Loan	272739 ORD	(xii)
17/04/2020 Return Security	-272739 ORD	(xii)

APPENDIX 2 – NHC

Type of agreement and parties to agreement	National Australia Bank Limited and Securities Borrowing Agreement clients AMSLA Counterparties Washington H Soul Pattinson (a) Barclays Bank PLC (b) JP Morgan Securities Australia (c)
Transfer date	17 December 2019 to 17 April 2020 – inclusive
Holder of voting rights	Registered owner
Are there any restrictions on voting	No
Scheduled date of return (if any)	N/A
Does the borrower have the right to return early?	Yes – at notice
Does the lender have the right to recall early?	Yes – at notice
Will the securities be returned on settlement?	Yes, or equivalent protection under Securities Borrowing Agreement /AMSLA

National Australia Bank Limited will, if required by the company or responsible entity to whom the prescribed form must be given or ASIC, give a copy of the agreements to the company, responsible entity or ASIC.

This is Annexure A of 3 pages referred to in the Form 603 Notice of initial substantial holder signed by me and dated 17/04/2020

Louise Thomson, Group Company Secretary

ADVANTEDGE FINANCIAL SERVICES HOLDINGS PTY LTD

ADVANTEDGE FINANCIAL SERVICES PTY LTD

ADVANTEDGE FINANCIAL SOLUTIONS PTY LTD

AF&L DRAGON LEASING PTY LTD (IN LIQUIDATION)

AF&L GOLD PTY LTD

AF&L VISTA PTY LTD

AFSH NOMINEES PTY LTD

ANCHORAGE HOME LOANS PTY LTD (IN LIQUIDATION)

ANGARA COMPANY LIMITED

ANTARES CAPITAL PARTNERS LTD

APOGEE FINANCIAL PLANNING LIMITED

ARDB PTY LIMITED

ASIBOND PTY. LIMITED (IN LIQUIDATION)

AUSTRALIAN COMPANY NUMBER 094 484 625 LIMITED (IN LIQUIDATION)

BANK OF NEW ZEALAND

BLSSA PTY LTD

BNZ BRANCH PROPERTIES LTD

BNZ EQUITY INVESTMENTS NO.2 LIMITED

BNZ FACILITIES MANAGEMENT LIMITED

BNZ INSURANCE SERVICES LIMITED

BNZ INTERNATIONAL FUNDING LTD

BNZ INVESTMENT SERVICES LIMITED

BNZ INVESTMENTS LTD

BNZ LIFE INSURANCE LIMITED

BNZ PROPERTY INVESTMENTS LTD

CRUICKSHANK ASSET MANAGEMENT PTY LTD

CUSTOM CREDIT CORPORATION LTD (IN LIQUIDATION)

CUSTOM CREDIT HOLDINGS LTD (IN LIQUIDATION)

DIBA EQUITIES LIMITED

DIBA INVESTMENTS LIMITED

EQUITY MANAGEMENT UNIT HOLDINGS (NO.2) PTY LTD

EQUITY MANAGEMENT UNIT HOLDINGS PTY LTD

FINANCE & SYSTEMS TECHNOLOGY PTY LTD

GODFREY PEMBROKE LIMITED

GWM ADVISER SERVICES LIMITED

HICAPS PTY LTD

INVIA CUSTODIAN PTY LIMITED

JBWERE (NZ) HOLDINGS LIMITED

JBWERE (NZ) NOMINEES LIMITED

JBWERE (NZ) PTY LTD

JBWERE LIMITED

LIMEHOUSE INVESTMENTS PTY LIMITED (IN LIQUIDATION)

MARGIN LENDING (NZ) LIMITED

MEDFIN AUSTRALIA PTY LIMITED

MERITUM FINANCIAL GROUP PTY LTD

MERITUM FINANCIAL PLANNING PTY LTD

MLC ALLIANCE HOLDINGS PTY LIMITED (IN LIQUIDATION)

MLC ASSET MANAGEMENT PTY LIMITED

MLC ASSET MANAGEMENT SERVICES LIMITED

MLC HOLDINGS LIMITED (IN LIQUIDATION)

MLC INVESTMENTS LIMITED

MLC LIFETIME COMPANY LIMITED

MLC NOMINEES PTY LTD

MLC PROPERTIES PTY. LIMITED

MLC WEALTH MANAGEMENT LIMITED (IN LIQUIDATION)

MORTGAGE SUPPORT SERVICES PTY LTD (IN LIQUIDATION)

MUDCHUTE PTY LIMITED (IN LIQUIDATION)

NAB ASSET MANAGEMENT LIMITED

NAB EUROPE LIMITED

NAB INVESTMENTS LIMITED

NAB JAPAN SECURITIES LIMITED

NAB PROPERTIES AUSTRALIA PTY LIMITED

NAB STAFF CLUB LIMITED

NAB TRUST SERVICES LIMITED

NAB VENTURES PTY LIMITED

NABCAPITAL LEASING (NO.2) PTY LIMITED (IN LIQUIDATION)

NABINVEST (UK) LIMITED

NABINVEST UK RE LIMITED

NABSECURITIES, LLC

NATIONAL ASSET MANAGEMENT LIMITED

NATIONAL AUSTRALIA BANK LIMITED

NATIONAL AUSTRALIA CORPORATE SERVICES PTY LIMITED

NATIONAL AUSTRALIA FINANCE (ASIA) LIMITED

NATIONAL AUSTRALIA FINANCE (COMMERCIAL LEASING) LIMITED

NATIONAL AUSTRALIA FINANCE (EUROPE HOLDINGS) LIMITED

NATIONAL AUSTRALIA FINANCE (INFRASTRUCTURE LEASING NO.2) LIMITED

NATIONAL AUSTRALIA FINANCE (VESSEL LEASING NO.1) LIMITED

NATIONAL AUSTRALIA FINANCE (VESSEL LEASING NO.5) LIMITED

NATIONAL AUSTRALIA FINANCE (VESSEL LEASING NO.6) LIMITED

NATIONAL AUSTRALIA FINANCE (VESSEL LEASING) LIMITED

NATIONAL AUSTRALIA FINANCIAL MANAGEMENT LIMITED

NATIONAL AUSTRALIA FUNDING (DELAWARE) INC.

NATIONAL AUSTRALIA GROUP (NZ) LIMITED

NATIONAL AUSTRALIA GROUP SERVICES LTD

NATIONAL AUSTRALIA INVESTMENT CAPITAL PTY LTD

NATIONAL AUSTRALIA MANAGERS LIMITED

NATIONAL AUSTRALIA PKI HOLDINGS LLC

NATIONAL AUSTRALIA UNDERWRITERS LIMITED (IN LIQUIDATION)

NATIONAL EQUITIES LIMITED

NATIONAL FUNDING HOLDINGS PTY LTD (IN LIQUIDATION)

NATIONAL HK INVESTMENTS LIMITED

NATIONAL MARGIN SERVICES PTY LIMITED

NATIONAL MARKETS GROUP LIMITED

NATIONAL MORTGAGE SECURITIES, INC.

NATIONAL NOMINEES LIMITED

NATIONAL OBU PTY LIMITED

NATIONAL WEALTH MANAGEMENT HOLDINGS LIMITED

NATIONAL WEALTH MANAGEMENT INTERNATIONAL HOLDINGS LTD

NATIONAL WEALTH MANAGEMENT NEW ZEALAND HOLDINGS LTD

NATIONAL WEALTH MANAGEMENT SERVICES LTD

NAUTILUS INSURANCE PTE LIMITED

NAUTILUS NAB LIMITED

NAVIGATOR AUSTRALIA LIMITED

NBA PROPERTIES PTY LIMITED

NMS NOMINEES PTY LIMITED

NULIS NOMINEES (AUSTRALIA) LIMITED

NWMH SUB (CANADA) INC

NWMH SUB LIMITED

ORCHARD STREET INVESTMENT ADVISERS LIMITED

ORCHARD STREET INVESTMENT MANAGEMENT LLP

PARTOWN PTY. LIMITED

PENNLEY PTY LTD

PFS NOMINEES PTY LIMITED

PLAN AUSTRALIA OPERATIONS PTY. LTD.

PLAN GROUP NOMINEES PTY LTD

PLUM FINANCIAL SERVICES LIMITED (IN LIQUIDATION)

PRESIMA INC.

PROFESSIONAL LENDERS ASSOCIATION NETWORK OF AUSTRALIA PTY. LTD.

RMBS RCU PTY LIMITED

TASOVAC PTY LIMITED

THE DEEP IN HULL LIMITED

VALEWIN PTY. LIMITED (IN LIQUIDATION)

WEALTHHUB SECURITIES LIMITED

WEALTHHUB SECURITIES NOMINEES PTY LIMITED

WM LIFE AUSTRALIA LIMITED (IN LIQUIDATION)
