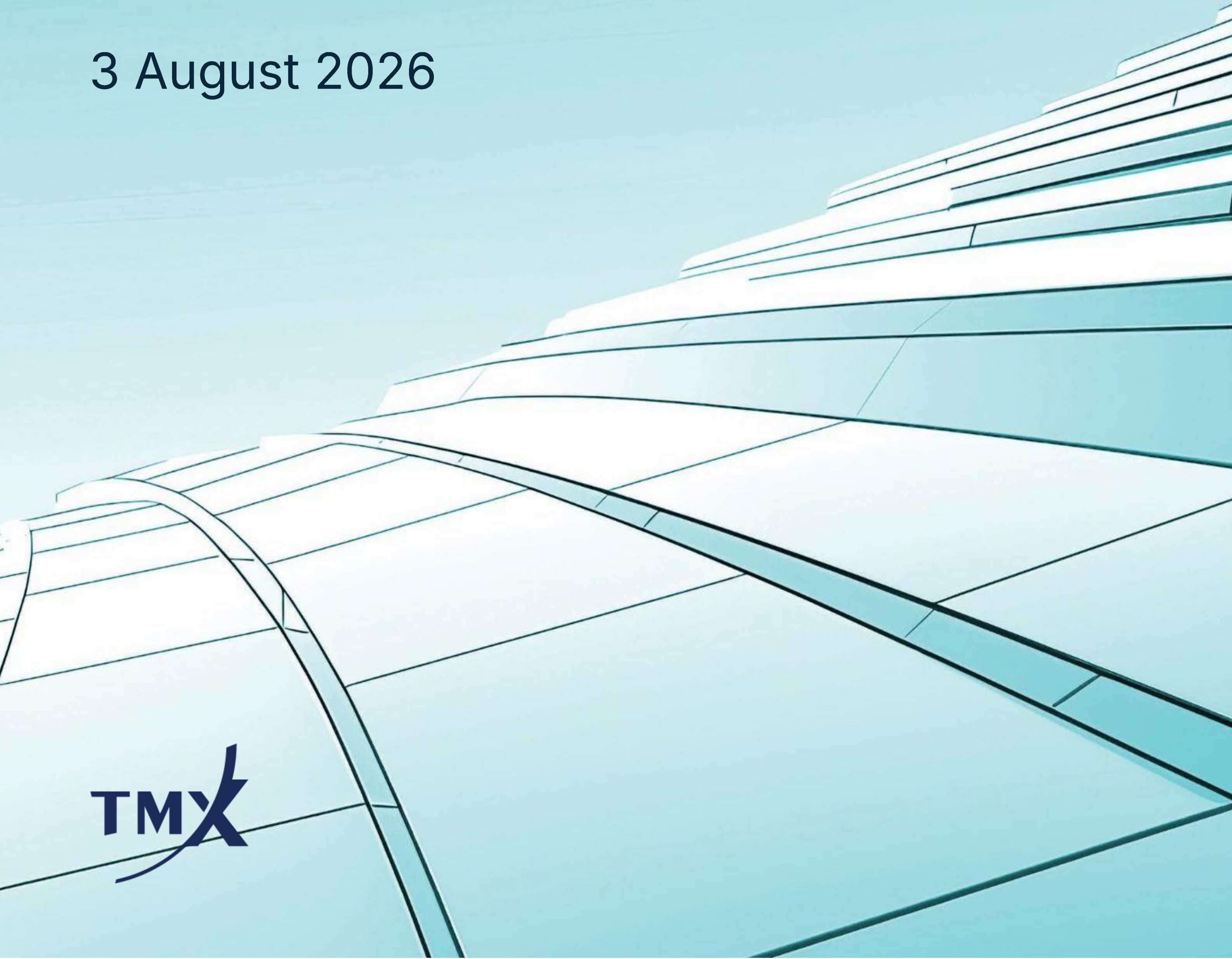
TMX AUSTRALIA EXCHANGE

Trade Reporting Guide

3 August 2026



Trade Reporting Guide

Trade Report Type	CXA Code	Iress Code	Comparable ASX Code	Minimum Requirements Summary	Reporting/Validation Times	Applicable Products
NBBO X Trades within the spread (meaningful price improvement)	**S**	NX	NX	Trade price is validated against the NBBO at time of receipt, with an ASIC approved tolerance.	Continuous Trading **10:00 to 16:13** Where a valid two-sided spread exists - for further details refer to the *NBBO Compilation and Validation Policy*	Equities Hybrids
Block Trade	**B**	SP	S1	For Equity Market Products[1] Not Less than $1m for Tier 1 Not Less than $500k for Tier 2 Not Less than $200k for Tier 3	**06:35 to 18:55**	Equities ETFs Hybrids
ETF Special Trade - Unit Creation and Redemption	**F**	ET	ET	For the Creation or Redemption of ETF units on behalf of issuer by Market Marker.	**06:35 to 18:55**	Equities ETFs Hybrids
Large Portfolio Trade	**P**	SX	SX	Client to Client. Total Not Less than $5m AUD and ≥ 10 products with ≥ $200k value each. Any additional stocks do not have a minimum value requirement.	**06:35 to 18:55**	Equities ETFs Hybrids
Large Portfolio Trade - Facilitated (Delayed reporting accepted)	**P**[2]	SXDE[3]	SX	Principal to Client. Total Not Less than $5m AUD and ≥ 10 products with ≥ 200k value each. Any additional stocks do not have a minimum value requirement.	**06:35 to 18:55** - If done before 13:00, reportable until 09:45 next trading day. - If received after 13:00, reportable until 13:00 next trading day.	Equities ETFs Hybrids
Large Principal Transaction	**T**	PX	S1	FSSBSC Categories A - Not less than $15m B - Not less than $10m C - Not less than $5m D - Not less than $2m	**06:35 to 18:55**	Equities ETFs Hybrids

[1] Tiers published quarterly by ASIC at https://www.asic.gov.au/block-trade-tiers
[2] Displayed as 'P' on market data
[3] Requires negotiated time to be entered

Large Principal Transaction (Delayed reporting accepted)	**t**[4]	PXDE[5]	S1	FSSBSC Categories A - Not less than $15m B - Not less than $10m C - Not less than $5m D - Not less than $2m	**06:35 to 18:55** If done before 13:00, reportable until 09:45 next trading day. If received after 13:00, reportable until 13:00 next trading day.	Equities ETFs Hybrids
Booking Purposes Trade	**X**	BP	BP	Booking purposes only (not publicly disseminated)	**06:35 to 18:55**	Equities ETFs Hybrids Warrants
Post Trading Hours (Late Trades)	**L**	PC	L1-L5	1 - Genuine Book Squaring 2 - Hedging 3 - Narrowly missed execution in CSPA 4 - Error Rectification 5 - Put Through	**16:13 to 16:43**	Equities ETFs Hybrids Warrants
(Evening Trades)	**E**	LT[6]	OS, OR, LT	Order received during Out of hours period	**16:43 to 07:00** (next trading day). Can report until 09:45 (next trading day)	Equities ETFs Hybrids Warrants
Pre-Trading Hours (Morning Trades)	**M**	PO	OS, OR, LT	Principal or agency trades Overseas resident clients Recognised stock exchange	**07:00 to 09:45**	Equities ETFs Hybrids Warrants

[4] Displayed as 'T' on market data
[5] Requires negotiated time to be entered
[6] Requires negotiated time to be entered

Trade Reporting Windows

<table>
<tr><th colspan="8">Trading Day One (T)</th><th colspan="3">Trading Day One (T+1)</th></tr>
<tr><th>6:35</th><th>7:00</th><th>9:46</th><th>10:00</th><th>13:00</th><th>16:13</th><th>16:43</th><th>18:55</th><th>7:00</th><th>9:45</th><th>13:00</th></tr>
<tr><td colspan="7">B – Block Trades</td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="7">F – ETF Trade Report</td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="7">P – Large Portfolio Trades</td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="7">P – Large Portfolio Trades – Delayed Reporting</td><td></td><td>Delayed, before 13:00</td><td>Delayed, after 13:00</td><td></td></tr>
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<tr><td colspan="7">X - Booking Purposes</td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td><td colspan="2">S – NBBO X</td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
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<tr><td></td><td>M – Pre Hours</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
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Contact us for more information

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