# Register of ASX Listing Rule Waivers

**1 to 15 July 2026**

**The purpose of this register is to record when ASX has exercised its discretion and granted a waiver from the ASX Listing rules. Waivers are published bi-monthly and include information such as:**

- **-Organisation**
- **-Rule Number**
- **-Decision Details**
- **-Basis for Decision**

**For all product enquiries, please contact:**
**- Customer Service Centre on 131 279**

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| **Rule Number** | 7.1 |
| **Date** | 03/07/2026 |
| **ASX Code** | NVX |
| **Listed Company** | NOVONIX LIMITED |
| **Waiver Number** | WRR-0000414 |
| **Decision** | 1. Based solely on the information provided, ASX Limited (‘ASX’) grants Novonix Limited (the ‘Entity’) a waiver from Listing Rule 7.1 to the extent necessary to permit the Entity to issue shares under a share purchase plan (‘SPP’) which complies with Australian Securities and Investments Commission Corporations (Share and Interest Purchase Plans) Instrument 2019/547 (‘ASIC Instrument 19/547’), without shareholder approval, on the following conditions:<br>1.1 the issue price of the shares offered under the SPP will be no less than $0.16 per share, being the same issue price of shares issued under the placement (‘Placement’) announced by the Entity on 17 June 2026; and<br>1.2 the number of shares to be issued under the SPP must not exceed 30% of the number of fully paid ordinary shares of the Entity already on issue.<br>2. This waiver is granted on the condition that the Entity releases an announcement to the market that discloses the nature and effect of the waiver and the Entity’s reasons for seeking the waiver. The announcement must be released no later than the next business day after ASX communicates to the Entity that the waiver has been granted, except when the waiver relates to a confidential and incomplete proposal or negotiation. If the waiver relates to a confidential and incomplete proposal or negotiation, disclosure must be made when the matter ceases to be confidential or incomplete. ASX may direct the announcement to be made at another time. |

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| **Basis For Decision** | Underlying Policy<br>Listing Rule 7.1 requires an entity to adhere to an aggregate limit on the number of equity securities it can issue, or agree to issue, over any 12 month period without obtaining prior security holder approval. Subject to a number of exceptions in Listing Rule 7.2, the limit is approximately 15% of its fully paid ordinary issued capital. This seeks to balance the interests of an entity in being able to raise capital flexibly and the interests of its security holders in not being unfairly diluted.<br>Present Application<br>ASIC Instrument 19/547 contemplates the issue of not more than A$30,000 worth of securities to each ordinary security holder under a security purchase plan without a prospectus. Listing Rule 7.2, Exception 5 exempts these plans from the requirement for prior ordinary security holder approval because it is a type of issue that offers participation to existing security holders in a way that, while not pro rata, is made on equal terms and is considered to be fair to them. The exception requires that the issue price be no lower than 80% of the 5-day volume weighted average market price prior to the date of issue of the securities or the announcement of the plan, and that the total number of securities issued be no greater than 30% of the number of ordinary fully paid shares already on issue.<br><br>On 17 June 2026, NVX announced that it would be conducting an SPP at the issue price of $0.16. The terms of the SPP in this case are such that the price of securities under the SPP will be the same price as securities issued under the Placement, which is at a discount of approximately 31.2% of the 5-day volume weighted average market price on which trades were recorded before the day on which the SPP (and the Placement) were announced (as opposed to the maximum discount of 20% allowable under Listing Rule 7.2, Exception 5). In the interests of fairness, security holders are to be offered securities under the SPP at the same price as the Placement. An SPP on these terms is consistent with the policy basis of the exception. The overall cap of 30% of issued capital must still be observed to limit the overall degree of dilution that may be caused by the issue. |

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| **Rule Number** | 10.11 |
| **Date** | 03/07/2026 |
| **ASX Code** | NVX |
| **Listed Company** | NOVONIX LIMITED |
| **Waiver Number** | WRR-0000415 |
| **Decision** | 1. Based solely on the information provided, ASX Limited ('ASX') grants Novonix Limited (the 'Entity') a waiver from Listing Rule 10.11 to the extent necessary to permit the Entity to issue shares under a share purchase plan ('SPP') which complies with Australian Securities and Investments Commission Corporations (Share and Interest Purchase Plans) Instrument 2019/547 ('ASIC Instrument 19/547'), to its directors without shareholder approval, on the following conditions:<br>1.1 the issue price of the shares offered under the SPP will be no less than $0.16 per share, being the same issue price of shares issued under the placement ('Placement') announced by the Entity on 17 June 2026;<br>1.2 the number of shares to be issued under the SPP must not exceed 30% of the number of fully paid ordinary shares of the Entity already on issue; and<br>1.3 that the SPP shares for the directors and their associates will not be scaled back more favourably than any other holder of a marketable parcel.<br>2. This waiver is granted on the condition that the Entity releases an announcement to the market that discloses the nature and effect of the waiver and the Entity's reasons for seeking the waiver. The announcement must be released no later than the next business day after ASX communicates to the Entity that the waiver has been granted, except when the waiver relates to a confidential and incomplete proposal or negotiation. If the waiver relates to a confidential and incomplete proposal or negotiation, disclosure must be made when the matter ceases to be confidential or incomplete. ASX may direct the announcement to be made at another time. |

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| **Basis For Decision** | Underlying Policy<br>Listing Rule 10.11 requires an entity to obtain the prior approval of security holders for an issue of equity securities to persons in a position of influence, subject to exceptions outlined in Listing Rule 10.12. This is directed at mitigating potential conflicts of interest and preventing persons in a position of influence from obtaining securities on advantageous terms and increasing their holding proportionate to the holdings of other security holders, without the prior and informed consent of ordinary security holders. This protects ordinary security holders' interests by supplementing the related party provisions of the Corporations Act (or, in the case of a foreign entity, the related party provisions of the law of their home jurisdiction).<br>Present Application<br>ASIC Instrument 19/547 contemplates the issue of not more than A$30,000 worth of securities to each ordinary security holder under a security purchase plan without a prospectus. Listing Rule 10.12, Exception 4 exempts these plans from the requirement for prior ordinary security holder approval because it is a type of issue that offers participation to existing security holders in a way that, while not pro rata, is made on equal terms and is considered to be fair to them. The exception requires that the issue price be no lower than 80% of the 5-day volume weighted average market price prior to the date of issue of the securities or the announcement of the plan, and that the total number of securities issued be no greater than 30% of the number of ordinary fully paid shares already on issue.<br><br>On 17 June 2026, NVX announced that it would be conducting an SPP at the issue price of $0.16. The terms of the SPP in this case are such that the price of securities under the SPP will be the same price as securities issued under the Placement, which is at a discount of approximately 31.2% of the 5-day volume weighted average market price on which trades were recorded before the day on which the SPP (and the Placement) were announced (as opposed to the maximum discount of 20% allowable under Listing Rule 10.12, Exception 4). In the interests of fairness, security holders are to be offered securities under the SPP at the same price as the Placement. An SPP on these terms is |

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| | consistent with the policy basis of the exception. The overall cap of 30% of issued capital must still be observed to limit the overall degree of dilution that may be caused by the issue. |

# Register of ASX Listing Rule Waivers

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| **Rule Number** | 1.1 Condition 12 |
| **Date** | 07/07/2026 |
| **ASX Code** | TET |
| **Listed Company** | TETRAGON ENERGY LIMITED |
| **Waiver Number** | WRR-0000409 |
| **Decision** | 1. Based solely on the information provided, ASX Limited ('ASX') grants Tetragon Energy Limited ('the Entity') a waiver from Listing Rule 1.1 Condition 12 to permit the Entity to have on issue up to 3,350,000 performance rights ('Performance Rights') with a nil exercise price on condition that the full terms and conditions of the Performance Rights are clearly disclosed in the Entity's initial public offering prospectus.<br>2. The waiver is granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity's reasons for seeking the waiver as pre-quotation disclosure. |
| **Basis For Decision** | Underlying Policy<br>Listing Rule 1.1 condition 12 requires that if an entity seeking admission has options on issue (including options in the form of performance rights), the exercise price must be at least 20 cents in cash. The options the entity has on issue at admission should not undermine Listing Rule 2.1 condition 2, which requires the issue price or sale price of all the securities for which a listing applicant is seeking quotation (except options) to be at least 20 cents in cash. These requirements together help ensure that the entity's ordinary securities have a minimum value suitable for an entity seeking admission.<br>Present Application<br>ASX has provided the Entity with in-principle advice that ASX would be likely to confirm that the full terms of the proposed Performance Rights are appropriate and |

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| | equitable for the purposes of Listing Rule 6.1. This in-principle waiver is a companion to that in-principle confirmation. |

# Register of ASX Listing Rule Waivers

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| **Rule Number** | 1.8 Condition 11 |
| **Date** | 08/07/2026 |
| **ASX Code** | CX1 |
| **Listed Company** | CAIXABANK, S.A. |
| **Waiver Number** | WRR-0000404 |
| **Decision** | 1. Based solely on the information provided, ASX Limited (‘ASX’) grants CaixaBank, S.A (‘Entity’) a waiver from Listing Rule 1.8 condition 11 on condition that ASX is satisfied with the settlement arrangements that exist in relation to the debt securities to be quoted on ASX.<br>2. This waiver is granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity’s reasons for seeking the waiver as pre-quotation disclosure. |
| **Basis For Decision** | Underlying Policy<br>Listing Rule 1.8 condition 11 requires that an entity seeking admission as an ASX Debt Listing must be approved as an issuer of quoted securities or as a foreign issuer of CHESS Depositary Interests under the operating rules of an approved clearing and settlement facility. This supports orderly settlement of securities quoted on the ASX market.<br>Present Application<br>The securities being quoted are wholesale debt securities. Trading in the securities is to be settled outside of CHESS via Austraclear. It is considered appropriate to grant a waiver on the condition that ASX is satisfied with the settlement arrangements that exist in relation to the debt securities to be quoted on ASX. |

# Register of ASX Listing Rule Waivers

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| **Rule Number** | 2.1 Condition 3 |
| **Date** | 08/07/2026 |
| **ASX Code** | CX1 |
| **Listed Company** | CAIXABANK, S.A. |
| **Waiver Number** | WRR-0000405 |
| **Decision** | 1. Based solely on the information provided, ASX Limited ('ASX') grants CaixaBank, S.A ('Entity') a waiver from Listing Rule 2.1 condition 3 on condition that ASX is satisfied with the settlement arrangements that exist in relation to the notes quoted on ASX.<br>2. This waiver is granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity's reasons for seeking the waiver as pre-quotation disclosure. |
| **Basis For Decision** | Underlying Policy<br>Listing Rule 2.1 condition 3 requires the securities or the CHESS Depositary Interests of an entity seeking admission to be approved under the operating rules of an approved clearing and settlement facility. This supports orderly settlement of securities quoted on the ASX market.<br>Present Application<br>The securities being quoted are wholesale debt securities. Trading in the securities is to be settled outside of CHESS via Austraclear. It is considered appropriate to grant a waiver on the condition that ASX is satisfied with the settlement arrangements that exist in relation to the debt securities to be quoted on ASX. |

# Register of ASX Listing Rule Waivers

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| **Rule Number** | 8.2 |
| **Date** | 08/07/2026 |
| **ASX Code** | CX1 |
| **Listed Company** | CAIXABANK, S.A. |
| **Waiver Number** | WRR-0000406 |
| **Decision** | 1. Based solely on the information provided, ASX Limited (‘ASX’) grants CaixaBank, S.A (‘Entity’) a waiver from Listing Rule 8.2 to the extent necessary for the Entity not to provide an issuer sponsored subregister for as long as the Entity has the benefit of a Listing Rule 2.1 condition 3 waiver.<br>2. This waiver is granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity’s reasons for seeking the waiver as pre-quotation disclosure. |
| **Basis For Decision** | Underlying Policy<br>Listing Rule 8.2 requires an entity to provide an issuer sponsored subregister for securities except where Listing Rule 8.2.1 allows for a certificated subregister. These arrangements support orderly settlement of securities quoted on the ASX market.<br>Present Application<br>This is a companion waiver to a waiver from Listing Rule 2.1 condition 3 granted to the Entity. |

# Register of ASX Listing Rule Waivers

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| **Rule Number** | 8.21 |
| **Date** | 08/07/2026 |
| **ASX Code** | CX1 |
| **Listed Company** | CAIXABANK, S.A. |
| **Waiver Number** | WRR-0000408 |
| **Decision** | 1. Based solely on the information provided, ASX Limited (‘ASX’) grants CaixaBank, S.A (‘Entity’) a waiver from Listing Rule 8.21 to the extent necessary to permit the Entity to not do the following:<br>1.1 in respect of transactions that are settled outside of CHESS, mark transfer forms as required by Appendix 8A of the Listing Rules;<br>1.2 in respect of transactions that are settled in the Austraclear System, send confirmation of a change of address to a security holder at the holder's old address.<br>2. This waiver is granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity’s reasons for seeking the waiver as pre-quotation disclosure. |
| **Basis For Decision** | Underlying Policy<br>Listing Rule 8.21 requires an entity to comply with the time limits set out in Appendix 8A. This supports the ASX Settlement Operating Rules and maintains an orderly market.<br>Present Application<br>The securities being quoted are wholesale debt securities. The likely holders of the debt securities are institutional investors. The waiver is granted to the extent that transactions are settled outside CHESS. |

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| **Rule Number** | 10.14 |
| **Date** | 08/07/2026 |
| **ASX Code** | AXQ |
| **Listed Company** | AURA CONSOLIDATED GROUP, INC. |
| **Waiver Number** | WRR-0000411 |
| **Decision** | 1. Based solely on the information provided, ASX Limited ('ASX') grants Aura Consolidated Group, Inc (the 'Entity') a waiver from Listing Rule 10.14 to the extent necessary to permit the Entity to issue options to the managing director of Qoria Limited ('Qoria'), Mr Timothy Levy, or his nominees(s) under the Replacement Incentive Plan and RSUs and PSUs to certain directors of the Merged Group, being Mr Timothy Levy and Mr James Cash (or their respective nominee(s)), on or after completion under a new equity incentive plan to be established by Aura (Merged Group Incentive Plan), in each case, without shareholder approval, subject to compliance with the following conditions.<br>1.1 the scheme booklet to be issued for the scheme of arrangement pursuant to the Corporations Act 2001 [Cth] and the initial public offering prospectus contains comprehensive disclosure in respect of the proposed issue of the options, RSUs and PSUs equivalent to the disclosure required by Listing Rule 10.15, to the satisfaction of ASX;<br>1.2 the scheme of arrangement is approved by securityholders of Qoria, and by a court of competent jurisdiction under the Corporations Act 2001 (Cth);<br>1.3 the date by which the Entity will issue the options, PSUs and RSUs will occur no later than 12 months from the implementation date of the scheme of arrangement.<br>2. This waiver is granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity's reasons for seeking the waiver as pre-quotation disclosure. |

| Basis For Decision | Underlying Policy<br>Listing Rule 10.14 requires an entity to obtain the prior approval of security holders for a director or their associate to acquire equity securities under an employee incentive scheme. This is directed at mitigating potential conflicts of interest and preventing persons in a position of influence from obtaining securities on advantageous terms under an employee incentive scheme and increasing their holding proportionate to the holdings of other security holders, without the prior and informed consent of the ordinary security holders. This protects ordinary security holders' interests by supplementing the related party provisions of the Corporations Act (or, in the case of a foreign entity, the related party provisions of the law of their home jurisdiction).<br>Present Application<br>The Entity and Qoria are proposing to undertake a transaction which will result in a merged entity. The transaction involves the acquisition of Qoria by the Entity via a scheme of arrangement which requires approval by the securityholders of Qoria and by a court of competent jurisdiction under the Corporations Act, and the admission of the merged entity to the official list. It is proposed that the options will be issued to Mr Timothy Levy, a proposed director of Aura, following Aura’s admission to the official list, and subject to the implementation of the scheme occurring and the proposed transaction completing. The options are replacing options that have already been approved by shareholders of Qoria. Accordingly, a waiver from Listing Rule 10.14 is granted, subject to the Entity including adequate disclosure in its prospectus about the proposed issue, and the relevant securities are issued within 12 months of implementation of the scheme. |
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| **Rule Number** | 6.10.3 |
| **Date** | 08/07/2026 |
| **ASX Code** | AXQ |
| **Listed Company** | AURA CONSOLIDATED GROUP, INC. |
| **Waiver Number** | WRR-0000412 |
| **Decision** | 1. Based solely on the information provided, ASX Limited ('ASX') grants Aura Consolidated Group, Inc (the 'Entity') a waiver from Listing Rule 6.10.3 to the extent necessary to permit the Entity to set the "specified time" to determine whether a security holder is entitled to vote at a security holders' meeting in accordance with the requirements the Entity's charter and bylaws and requirements of the laws of Delaware.<br>2. This waiver is to be granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity's reasons for seeking the waiver as pre-quotation disclosure. |
| **Basis For Decision** | Underlying Policy<br>Listing Rule 6.10.3 is an exemption from Listing Rule 6.10 and applies where a person becomes the holder of the securities after the time determined under the Corporations Regulations as the 'specified time' for deciding who holds securities for the purposes of the meeting. This recognises the primacy of the Corporations Act.<br>Present Application<br>The Entity is incorporated in Delaware and is regulated by Delaware law. Those laws (specifically the Delaware General Corporation Law), rather than the Corporations Act 2001 (Cth), provides the method of determining whether a security holder is entitled to vote at a security holders' meeting. A waiver from Listing Rule 6.10.3 is granted to permit the Entity to comply with the law of its |

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| | home jurisdiction on this subject. |

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| **Rule Number** | 14.2.1 |
| **Date** | 08/07/2026 |
| **ASX Code** | AXQ |
| **Listed Company** | AURA CONSOLIDATED GROUP, INC. |
| **Waiver Number** | WRR-0000413 |
| **Decision** | 1. Based solely on the information provided, ASX Limited (‘ASX’) grants Aura Consolidated Group, Inc (the ‘Entity’) a waiver from Listing Rule 14.2.1 to the extent necessary to permit the Entity not to provide in its proxy form for security holders to vote against a resolution to elect a director, on the following conditions.<br>1.1 The Entity complies with the relevant laws of Delaware as to the content of proxy forms applicable to resolutions for the election of directors.<br>1.2 The notice given by the Entity to CHESS depositary interest holders under ASX Settlement Operating Rule 13.8.9 makes it clear that holders are only able to vote for the resolutions or abstain from voting, and the reasons why this is the case.<br>1.3 The terms of the waiver are set out in the proxy statement provided to all security holders.<br>1.4 Without limiting ASX's right to vary or revoke its decision under Listing Rule 18.3, the waiver from Listing Rule 14.2.1 only applies for so long as the relevant laws of Delaware prevent the Entity from permitting shareholders to vote against a resolution to elect a director.<br>2. This waiver is to be granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity’s reasons for seeking the waiver as pre-quotation disclosure. |

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| **Basis For Decision** | Underlying Policy<br>Listing Rule 14.2.1 requires notices of meeting to include a proxy form which must provide for the security holder to vote for or against each resolution. This ensures that all security holders can express their views on every resolution put to a security holders' meeting.<br>Present Application<br>The Entity is incorporated in Delaware and is regulated by Delaware law. The Entity will be an issuer of CDIs. The law of the Entity's home jurisdiction does not provide for the casting of votes against certain types of resolution (election of directors). Delaware has an alternative legislative scheme for security holders to contest the reappointment of directors. It is proposed to grant a waiver on the usual conditions to permit the Entity to comply with laws of its place of incorporation on these matters for so long as the relevant laws of Delaware prevent the Entity from permitting shareholders to vote against a resolution to elect a director. |

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| **Rule Number** | 1.1 Condition 12 |
| **Date** | 08/07/2026 |
| **ASX Code** | AXQ |
| **Listed Company** | AURA CONSOLIDATED GROUP, INC. |
| **Waiver Number** | WRR-0000423 |
| **Decision** | 1. Based solely on the information provided, ASX Limited ('ASX') grants Aura Consolidated Group, Inc (the 'Entity') a waiver from Listing Rule 1.1 Condition 12 to permit the Entity to have on issue up to 972,762 warrants (the 'AT&T Warrants') with a nil or nominal exercise price on the condition that the full terms and conditions of the AT&T Warrants are clearly disclosed in the Entity's initial public offering prospectus.<br>2. The waiver is granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity's reasons for seeking the waiver as pre-quotation disclosure. |
| **Basis For Decision** | Underlying Policy<br>If an entity seeking admission to the official list has options on issue, the exercise price for each underlying security must be at least 20 cents in cash. This rule supports listing rule 2.1 condition 2 which requires the issue price or sale price of all securities for which an entity is seeking quotation upon admission to the official list to be at least 20 cents in cash. These requirements together support the integrity of the ASX market, as they demonstrate that the entity's ordinary securities have a minimum value suitable for a listed entity.<br>Present Application<br>ASX has provided the Entity with advice that ASX confirms that the full terms of the proposed AT&T Warrants are appropriate and equitable for the purposes of Listing Rule 6.1. This waiver is a companion to that |

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# Register of ASX Listing Rule Waivers

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| **Rule Number** | 1.1 Condition 12 |
| **Date** | 08/07/2026 |
| **ASX Code** | AXQ |
| **Listed Company** | AURA CONSOLIDATED GROUP, INC. |
| **Waiver Number** | WRR-0000424 |
| **Decision** | 1. Based solely on the information provided, ASX Limited ('ASX') grants Aura Consolidated Group, Inc (the 'Entity') a waiver from Listing Rule 1.1 Condition 12 to permit the Entity to have on issue:<br>1.1 up to 999,500 options with an exercise price of US$0.07 and various expiry dates (the 'Options');<br>1.2 up to 77,552 warrants with an exercise price of US$0.01 and expiring on 31 May 2034 and up to 2,592,410 warrants with an exercise price of US$0.01 and expiring on 23 January 2035 (collectively, the 'Warrants'), on the condition that the full terms and conditions of the Options and Warrants are clearly disclosed in the prospectus document.<br>2. The waiver is granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity's reasons for seeking the waiver as pre-quotation disclosure. |
| **Basis For Decision** | Underlying Policy<br>If an entity seeking admission to the official list has options on issue, the exercise price for each underlying security must be at least 20 cents in cash. This rule supports Listing Rule 2.1 Condition 2 which requires the issue price or sale price of all the securities for which an entity is seeking quotation (except options) upon admission to the official list of ASX to be at least 20 cents in cash. These requirements together support the integrity of the ASX market, as they demonstrate that the entity's ordinary securities have a minimum value suitable for a listed entity.<br>Present Application<br>In the present case, the Options and Warrants are expected to represent approximately 1.62% of the Entity's issued capital at the time of admission on an |

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| | undiluted basis. The Options and Warrants were issued to existing employees and directors of the Entity for the purpose of incentivising them. Therefore, the Options and Warrants are unlikely to have any impact on the trading price of the Entity's shares.<br><br>It is considered that the existence of the Options and Warrants do not undermine the integrity of the 20 cent rule in the circumstances and having regard to the number on issue and the exercise price of the securities as well as the capitalisation and history of revenue of the Entity. |

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| **Rule Number** | 8.10 |
| **Date** | 08/07/2026 |
| **ASX Code** | WS3 |
| **Listed Company** | SERIES 2026-1 WST TRUST |
| **Waiver Number** | WRR-0000429 |
| **Decision** | 1. Based solely on the information provided, ASX Limited ('ASX') grants Series 2026-1 WST Trust ('Entity') a waiver from Listing Rule 8.10 to allow the Entity to refuse to register transfers of debt securities from the date which is 2 business days before an interest payment date or the maturity date of the debt securities, on condition that ASX is satisfied with the settlement arrangements that exist in relation to the notes to be quoted on ASX.<br>2. This waiver is granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity's reasons for seeking the waiver as pre-quotation disclosure. |
| **Basis For Decision** | Underlying Policy<br>Listing Rule 8.10 requires an entity not to interfere with registration of a transfer document relating to quoted securities, subject to a number of exceptions set out in that rule. This supports the principle that quoted securities should be freely transferable. The rule also inhibits the ability of an issuer to cause disruption to the settlement cycle.<br>Present Application<br>The securities being quoted are wholesale debt securities. Trading in the securities is to be settled outside of CHESS via Austraclear. The Entity is required to close the register of a series of debt securities from the close of 2 business days prior to an interest payment date or the maturity date. This enables the register to be up to date on an interest payment date or maturity |

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| | date for that series of debt securities. This is a common arrangement for these types of securities and it is appropriate to grant a waiver in the circumstances. |

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| **Rule Number** | 8.10 |
| **Date** | 08/07/2026 |
| **ASX Code** | CX1 |
| **Listed Company** | CAIXABANK, S.A. |
| **Waiver Number** | WRR-0000407 |
| **Decision** | 1. Based solely on the information provided, ASX Limited ('ASX') grants CaixaBank, S.A ('Entity') a waiver from Listing Rule 8.10 to allow the Entity to refuse to register transfers of debt securities from the date which is 8 calendar days before an interest payment date or the maturity date of the debt securities, on condition that ASX is satisfied with the settlement arrangements that exist in relation to the notes to be quoted on ASX.<br>2. This waiver is granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity's reasons for seeking the waiver as pre-quotation disclosure. |
| **Basis For Decision** | Underlying Policy<br>Listing Rule 8.10 requires an entity not to interfere with registration of a transfer document relating to quoted securities, subject to a number of exceptions set out in that rule. This supports the principle that quoted securities should be freely transferable. The rule also inhibits the ability of an issuer to cause disruption to the settlement cycle.<br>Present Application<br>The securities being quoted are wholesale debt securities. Trading in the securities is to be settled outside of CHESS via Austraclear. The Entity is required to close the register of a series of debt securities from the close of 8 calendar days prior to an interest payment date or the maturity date. This enables the register to be up to date on an interest payment date or maturity |

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| | date for that series of debt securities. This is a common arrangement for these types of securities, and it is appropriate to grant a waiver in the circumstances. |

# Register of ASX Listing Rule Waivers

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| **Rule Number** | 1.8 Condition 7 |
| **Date** | 08/07/2026 |
| **ASX Code** | CX1 |
| **Listed Company** | CAIXABANK, S.A. |
| **Waiver Number** | WRR-0000403 |
| **Decision** | 1. Based solely on the information provided, ASX Limited ('ASX') grants CaixaBank, S.A ('Entity') a waiver from condition 7 of Listing Rule 1.8 to the extent necessary to permit the Entity not to be registered as a foreign company carrying on business in Australia under the Corporations Act.<br>2. This waiver is granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity's reasons for seeking the waiver as pre-quotation disclosure. |
| **Basis For Decision** | Underlying Policy<br>Listing Rule 1.8 condition 7 requires that an entity seeking admission as an ASX Debt Listing which is a foreign entity must be registered as a foreign company under the Corporations Act. ASX Debt Listings should be subject to appropriate regulation.<br>Present Application<br>The securities being quoted are wholesale debt securities. The Entity has confirmed, based on legal advice, that the issue of the wholesale debt securities does not constitute carrying on business in Australia. Accordingly, the Entity is not required to be registered as a foreign company under the Corporations Act. The waiver is considered appropriate given the Entity's only quoted securities are wholesale debt securities. |

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| **Rule Number** | 1.8 Condition 8 (b) |
| **Date** | 08/07/2026 |
| **ASX Code** | WS3 |
| **Listed Company** | SERIES 2026-1 WST TRUST |
| **Waiver Number** | WRR-0000425 |
| **Decision** | 1. Based solely on the information provided, ASX Limited (‘ASX’) grants Series 2026-1 WST Trust (‘Entity’) a waiver from Listing Rule 1.8 condition 8(b) to the extent necessary to permit the Entity to be a special purpose trust constituted solely for the purpose of conducting a securitisation transaction in relation to wholesale debt securities, one or more classes of which will be quoted on ASX.<br>2. This waiver is granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity’s reasons for seeking the waiver as pre-quotation disclosure. |
| **Basis For Decision** | Underlying Policy<br>Listing Rule 1.8 condition 8(b) requires a trust to be a special purpose trust constituted solely for the purpose of issuing the class or classes of debt securities to be quoted on ASX. This is an investor protection mechanism which reduces the number of potential claimants on the assets of the trust, primarily preserving them for the benefit of holders of the quoted debt securities.<br>Present Application<br>The Entity is a special purpose trust constituted for the purpose of conducting a securitisation transaction under which the Entity acquired the securitised assets using funds raised by the Entity by issuing multiple classes of debt securities. The business of the trust is limited by the trust deed and related documentation for the |

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| | securitisation transaction. The securities being quoted are wholesale debt securities and their terms of issue and ranking relative to other classes of securities (including classes not being quoted) were disclosed in an Information Memorandum. ASX considers that there are sufficient safeguards in place for the holders of the wholesale debt securities. |

# Register of ASX Listing Rule Waivers

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| **Rule Number** | 8.21 |
| **Date** | 08/07/2026 |
| **ASX Code** | WS3 |
| **Listed Company** | SERIES 2026-1 WST TRUST |
| **Waiver Number** | WRR-0000430 |
| **Decision** | 1. Based solely on the information provided, ASX Limited ('ASX') grants Series 2026-1 WST Trust ('Entity') a waiver from Listing Rule 8.21 to the extent necessary to permit the Entity to not do the following:<br>1.1 in respect of transactions that are settled outside CHESS, mark transfer forms as required by Appendix 8A; and<br>1.2 in respect of transactions that are settled in Austraclear system, send confirmation of a change of address to a security holder at the holder's old address;<br>2. This waiver is granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity's reasons for seeking the waiver as pre-quotation disclosure. |
| **Basis For Decision** | Underlying Policy<br>Listing Rule 8.21 requires an entity to comply with the time limits set out in Appendix 8A. This supports the ASX Settlement Operating Rules and maintains an orderly market.<br>Present Application<br>The securities being quoted are wholesale debt securities. The likely holders of the debt securities are institutional investors. The waiver is granted to the extent that transactions are settled outside CHESS. |

| Rule Number | 1.8 Condition 11 |
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| Date | 08/07/2026 |
| ASX Code | WS3 |
| Listed Company | SERIES 2026-1 WST TRUST |
| Waiver Number | WRR-0000426 |
| Decision | 1. Based solely on the information provided, ASX Limited (‘ASX’) grants Series 2026-1 WST Trust (‘Entity’) a waiver from Listing Rule 1.8 condition 11 on condition that ASX is satisfied with the settlement arrangements that exist in relation to the debt securities to be quoted on ASX.<br>2. This waiver is granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity’s reasons for seeking the waiver as pre-quotation disclosure. |
| Basis For Decision | Underlying Policy<br>An entity must ensure that the requirements of a clearing and settlement (CS) facility relating to the entity’s quoted securities are satisfied, except if the entity is incorporated in a jurisdiction where the entity’s securities cannot be approved under the operating rules of a CS facility. This supports orderly settlement of securities quoted on the ASX market.<br>Present Application<br>The securities being quoted are wholesale debt securities. Trading in the securities is to be settled outside of CHESS via Austraclear. It is considered appropriate to grant a waiver on the condition that ASX is satisfied with the settlement arrangements that exist in relation to the debt securities to be quoted on ASX. |

# Register of ASX Listing Rule Waivers

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| **Rule Number** | 2.1 Condition 3 |
| **Date** | 08/07/2026 |
| **ASX Code** | WS3 |
| **Listed Company** | SERIES 2026-1 WST TRUST |
| **Waiver Number** | WRR-0000427 |
| **Decision** | 1. Based solely on the information provided, ASX Limited (‘ASX’) grants Series 2026-1 WST Trust (‘Entity’) a waiver from Listing Rule 2.1 condition 3 on condition that ASX is satisfied with the settlement arrangements that exist in relation to the notes quoted on ASX.<br>2. This waiver is granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity’s reasons for seeking the waiver as pre-quotation disclosure. |
| **Basis For Decision** | Underlying Policy<br>An entity must ensure that the requirements of a clearing and settlement (CS) facility relating to the entity’s quoted securities are satisfied, except if the entity is incorporated in a jurisdiction where the entity’s securities cannot be approved under the operating rules of a CS facility. This supports orderly settlement of securities quoted on the ASX market.<br>Present Application<br>The securities being quoted are wholesale debt securities. Trading in the securities is to be settled outside of CHESS via Austraclear. It is considered appropriate to grant a waiver on the condition that ASX is satisfied with the settlement arrangements that exist in relation to the debt securities to be quoted on ASX. |

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| **Rule Number** | 8.2 |
| **Date** | 08/07/2026 |
| **ASX Code** | WS3 |
| **Listed Company** | SERIES 2026-1 WST TRUST |
| **Waiver Number** | WRR-0000428 |
| **Decision** | 1. Based solely on the information provided, ASX Limited (‘ASX’) grants Series 2026-1 WST Trust (‘Entity’) a waiver from Listing Rule 8.2 to the extent necessary for the Entity not to provide an issuer sponsored subregister for as long as the Entity has the benefit of a Listing Rule 2.1 condition 3 waiver.<br>2. This waiver is granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity’s reasons for seeking the waiver as pre-quotation disclosure. |
| **Basis For Decision** | Underlying Policy<br>Listing Rule 8.2 requires an entity to provide an issuer sponsored subregister for securities except where Listing Rule 8.2.1 allows for a certificated subregister. These arrangements support orderly settlement of securities quoted on the ASX market.<br>Present Application<br>This is a companion waiver to a waiver from Listing Rule 2.1 condition 3 granted to the Entity. |

# Register of ASX Listing Rule Waivers

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| **Rule Number** | 7.11.3 |
| **Date** | 10/07/2026 |
| **ASX Code** | BPP |
| **Listed Company** | BABYLON PUMP & POWER LIMITED |
| **Waiver Number** | WRR-0000416 |
| **Decision** | 1. Based solely on the information provided, ASX Limited ('ASX') grants Babylon Pump & Power Limited (the 'Entity') a waiver from listing rule 7.11.3 to the extent necessary to permit the Company to proceed with the Entity's proposed non-renounceable pro-rata entitlement offer on a 2 for 1 basis to raise up to $12.7 million (before costs) ('Entitlement Issue'), subject to the following conditions:<br>1.1 Shareholders of the Entity approve the Entitlement Issue; and<br>1.2 The notice of meeting seeking shareholder approval for the Entitlement Issue contains a voting exclusion statement that excludes the votes of any substantial shareholders, any proposed underwriter or sub-underwriter of the Entitlement Issue, any brokers or managers of the Entitlement Issue, and any of their respective associates.<br>2. This waiver is granted on the condition that the Entity releases an announcement to the market that discloses the nature and effect of the waiver and the Entity's reasons for seeking the waiver. The announcement must be released no later than the next business day after ASX communicates to the Entity that the waiver has been granted, except when the waiver relates to a confidential and incomplete proposal or negotiation. If the waiver relates to a confidential and incomplete proposal or negotiation, disclosure must be made when the matter ceases to be confidential or incomplete. ASX may direct the announcement to be made at another time. |

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| **Basis For Decision** | Underlying Policy<br>Listing Rule 7.11.3 requires that an entity must not make a pro-rata offer at a ratio greater than 1 for 1 except where the pro-rata offer is renounceable and the issue price is not more than the volume weighted average market price for securities in that class (calculated over the last five days on which sales in the securities were recorded before the day on which the issue was announced). This enables smaller holders to either maintain their proportionate holding in the entity without requiring an excessive outlay of funds or being significantly diluted, or to realise value by selling renounceable rights.<br>Present Application<br>The Entity is proposing to undertake a non-renounceable Entitlement Issue with a ratio of 2 for 1. The Entity's shares are currently suspended from official quotation and will remain suspended from quotation pending completion of the Entitlement Issue and satisfaction of reinstatement conditions. As the Entity's securities remain suspended it is unable to undertake the Entitlement Issue on a renounceable basis. The waiver is granted to permit a non-renounceable entitlement issue with a ratio greater than 1 for 1 conditional on prior shareholder approval being obtained. The notice of meeting is also required to include a voting exclusion statement to exclude any substantial shareholders, any proposed underwriters or sub underwriters and/or any brokers or managers of the Entitlement Issue and their respective associates from voting on the resolution. The conditions attached to the waiver are consistent with the underlying policy of listing rule 7.11.3 and also complement the principle of listing rule 7.1, which protects a listed entity's security holders against dilution of their voting and economic interests in the listed entity by imposing a limit on the number of equity securities that may be issued by the entity without prior security holder approval. |

# Register of ASX Listing Rule Waivers

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| **Rule Number** | 7.15 |
| **Date** | 10/07/2026 |
| **ASX Code** | BPP |
| **Listed Company** | BABYLON PUMP & POWER LIMITED |
| **Waiver Number** | WRR-0000417 |
| **Decision** | 1. Based solely on the information provided, ASX Limited (‘ASX’) grants Babylon Pump & Power Limited (the ‘Entity’) a waiver from listing rule 7.15 to the extent necessary to permit the Company to undertake a 2 for 1 non-renounceable entitlement issue (‘Entitlement Issue’) with a record date which is prior to the date of the shareholders' meeting to approve the Entitlement Issue, subject to the Entity's securities not being reinstated to official quotation at any time prior to the shareholders' meeting to approve the Entitlement Issue.<br>2. This waiver is granted on the condition that the Entity releases an announcement to the market that discloses the nature and effect of the waiver and the Entity’s reasons for seeking the waiver. The announcement must be released no later than the next business day after ASX communicates to the Entity that the waiver has been granted, except when the waiver relates to a confidential and incomplete proposal or negotiation. If the waiver relates to a confidential and incomplete proposal or negotiation, disclosure must be made when the matter ceases to be confidential or incomplete. ASX may direct the announcement to be made at another time. |

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| **Basis For Decision** | Underlying Policy<br>Listing Rule 7.15 requires an entity to set a record date to determine entitlements at least 4 business days after a meeting at which approval is sought for an offer or issue of securities. This provides security holders with an opportunity to adjust their holding to participate in an offer or issue of securities.<br>Present Application<br>The Entity is proposing to undertake a non-renounceable Entitlement Issue with a ratio of 2 new shares for every 1 share held on the record date. The Entity's shares are currently suspended from official quotation and will remain suspended pending the outcome of a shareholders meeting to approve the Entitlement Issue. The Entitlement Issue is conditional on prior shareholder approval being obtained. The Entity proposes to set the record date prior to the meeting. The Entity's securities are expected to remain suspended at least until the issue of shares under the Entitlement Issue. There is no possibility of trading in securities on cum or ex rights bases where securities are suspended. In the circumstances, it is considered there is no possibility of market confusion arising from having a record date for a pro-rata issue precede the meeting to authorise the making of the issue. |

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| **Rule Number** | 7.25 |
| **Date** | 13/07/2026 |
| **ASX Code** | ECL |
| **Listed Company** | EXCELSIOR CAPITAL LTD |
| **Waiver Number** | WRR-0000418 |
| **Decision** | 1. Based solely on the information provided, ASX Limited ('ASX') grants Excelsior Capital Ltd (the 'Entity') a waiver from Listing Rule 7.25 to the extent necessary to permit the Entity to undertake a capital return which may have the effect of reducing the trading price of the Entity's main class of securities below (or further below) 20 cents each pursuant to an equal reduction of capital to be approved by the Entity's security holders and completed in accordance with the provisions of the Corporations Act.<br>2. This waiver is granted on the condition that the Entity releases an announcement to the market that discloses the nature and effect of the waiver and the Entity's reasons for seeking the waiver. The announcement must be released no later than the next business day after ASX communicates to the Entity that the waiver has been granted, except when the waiver relates to a confidential and incomplete proposal or negotiation. If the waiver relates to a confidential and incomplete proposal or negotiation, disclosure must be made when the matter ceases to be confidential or incomplete. ASX may direct the announcement to be made at another time. |

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| **Basis For Decision** | Underlying Policy<br>Standard waiver in accordance with Guidance Note 17.<br>Present Application |

# Register of ASX Listing Rule Waivers

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| **Rule Number** | 7.3.9 |
| **Date** | 13/07/2026 |
| **ASX Code** | ENL |
| **Listed Company** | ENLITIC INC. |
| **Waiver Number** | WRR-0000419 |
| **Decision** | 1. Enlitic Inc. (the 'Entity') is undertaking an issue of securities under a security purchase plan ('SPP') to which Exception 5 of Listing Rule 7.2 would otherwise have applied but for the fact that the number of securities to be issued under the SPP is greater than 30% of the number of fully paid ordinary securities already on issue or because the issue price of the securities is less than 80% of the average market price for securities in that class. Based solely on the information provided, ASX Limited ('ASX') grants the Entity a waiver from Listing Rule 7.3.9 on the terms set out in paragraph 6 of the Annexure to Guidance Note 17 in force at the date of this waiver.<br>2. This waiver is granted on the condition that the Entity releases an announcement to the market that discloses the nature and effect of the waiver and the Entity's reasons for seeking the waiver. The announcement must be released no later than the next business day after ASX communicates to the Entity that the waiver has been granted, except when the waiver relates to a confidential and incomplete proposal or negotiation. If the waiver relates to a confidential and incomplete proposal or negotiation, disclosure must be made when the matter ceases to be confidential or incomplete. ASX may direct the announcement to be made at another time. |

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| **Basis For Decision** | Underlying Policy<br>Standard waiver in accordance with Guidance Note 17.<br>Present Application |

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| **Rule Number** | 10.11 |
| **Date** | 13/07/2026 |
| **ASX Code** | ENL |
| **Listed Company** | ENLITIC INC. |
| **Waiver Number** | WRR-0000420 |
| **Decision** | 1. Enlitic Inc. (the ‘Entity’) is undertaking an issue of securities under a security purchase plan (‘SPP’) to which Exception 5 of Listing Rule 7.2 would otherwise have applied but for the fact that the number of securities to be issued under the SPP is greater than 30% of the number of fully paid ordinary securities already on issue or because the issue price of the securities is less than 80% of the average market price for securities in that class. Based solely on the information provided, ASX Limited (‘ASX’) grants the Entity a waiver from Listing Rule 10.11 on the terms set out in paragraph 6 of the Annexure to Guidance Note 17 in force at the date of this waiver, on condition that directors and their associates will not be scaled back more favourably than any other holder of a marketable parcel.<br>2. This waiver is granted on the condition that the Entity releases an announcement to the market that discloses the nature and effect of the waiver and the Entity’s reasons for seeking the waiver. The announcement must be released no later than the next business day after ASX communicates to the Entity that the waiver has been granted, except when the waiver relates to a confidential and incomplete proposal or negotiation. If the waiver relates to a confidential and incomplete proposal or negotiation, disclosure must be made when the matter ceases to be confidential or incomplete. ASX may direct the announcement to be made at another time. |

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| **Basis For Decision** | Underlying Policy<br>Standard waiver in accordance with Guidance Note 17.<br>Present Application |

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| **Rule Number** | 1.1 Condition 12 |
| **Date** | 15/07/2026 |
| **ASX Code** | LUX |
| **Listed Company** | LUX COPPER CORP. LTD |
| **Waiver Number** | WRR-0000410 |
| **Decision** | 1. Based solely on the information provided, ASX Limited ('ASX') grants Lux Copper Corp. Ltd (the 'Entity') a waiver from Listing Rule 1.1 Condition 12 to permit the Entity to have on issue up to 10,000,000 performance rights ('Performance Rights') with a nil exercise price on condition that the full terms and conditions of the Performance Rights are clearly disclosed in the Entity's initial public offering prospectus.<br>2. The waiver is granted on the condition that the Entity discloses the nature and effect of the waiver and the Entity's reasons for seeking the waiver as pre-quotation disclosure. |
| **Basis For Decision** | Underlying Policy<br>Listing Rule 1.1 condition 12 requires that if an entity seeking admission has options on issue (including options in the form of performance rights), the exercise price must be at least 20 cents in cash. The options the entity has on issue at admission should not undermine Listing Rule 2.1 condition 2, which requires the issue price or sale price of all the securities for which a listing applicant is seeking quotation (except options) to be at least 20 cents in cash. These requirements together help ensure that the entity's ordinary securities have a minimum value suitable for an entity seeking admission.<br>Present Application<br>ASX has provided the Entity with advice that the terms of the proposed Performance Rights are appropriate and equitable for the purposes of Listing Rule 6.1. This |

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| | waiver is a companion to that confirmation. |