

### **ASX Announcement**

### 22 January 2019

#### **COMPANY DETAILS**

ABN: 62 147 346 334

### PRINCIPAL AND REGISTERED OFFICE

Parkway Minerals NL Level 1, 675 Murray St. West Perth WA 6005

#### POSTAL ADDRESS

PO Box 1088 West Perth WA 6872

www.parkwayminerals.com.au

info@parkwayminerals.com.au

P +61 8 9479 5386

**F** +61 8 9475 0847

#### ASX CODE

PWN

FRANKFURT CODE

A1JH27

### CORPORATE INFORMATION

22 January 2018

608M Ordinary shares 123M Partly paid shares 68M Unlisted options

#### **BOARD OF DIRECTORS**

Adrian Griffin
(Non-Executive Chairman)
Patrick McManus
(Managing Director)
Natalia Streltsova
(Non-Executive Director

#### **NOTICE UNDER SECTION 708A**

The Company has today issued 13,512,266 fully paid ordinary shares.

The ordinary fully paid shares are part of a class of securities quoted on the Australian Securities Exchange Limited (ASX). The Company gives this notice pursuant to Section 708A(5)(e) of the Corporations Act 2001.

The shares were issued without disclosure to the investors under Part 6D.2, in reliance on Section 708A(5) of the Corporations Act 2001.

The Company, as at the date of this notice, has complied with:

- a) the provisions of Chapter 2M of the Corporations Act 2001; and
- b) Section 674 of the Corporations Act 2001.

There is no excluded information as at the date of this notice, for the purposes of Sections 708A(7) and (8) of the Corporations Act 2001.

For further information contact:

Parkway Minerals NL:

Patrick McManus

Managing Director

Tel: +61 (0) 408 956 798

Email: info@parkwayminerals.com.au

#### **About Parkway Minerals**

Parkway Minerals (ASX: PWN) is a company focused on developing fertiliser feedstock projects.

The Company has a major land holding over one of the world's largest known glauconite deposits, with exploration licenses and applications covering an area of over 1,050km² in the greensand deposits of the Dandaragan Trough, in Western Australia's Perth Basin. The area is prospective for both phosphate and potash. Previous exploration indicates glauconite sediments are widespread for more than 150km along strike and 30km in width. The project is well situated in relation to infrastructure, with close access to rail, power and gas. A successful commercial outcome will allow the Company to become a major contributor to the potash and phosphate markets at a time of heightened regional demand.

The Company owns 44M shares (31%) of Davenport Resources, which owns a potash exploration project in the South Harz region of Thuringia, in Central Germany. The region has been a potash producing area for over 100 years.

Rule 2.7, 3.10.3, 3.10.4, 3.10.5

### **Appendix 3B**

# New issue announcement, application for quotation of additional securities and agreement

Information or documents not available now must be given to ASX as soon as available. Information and documents given to ASX become ASX's property and may be made public.

Introduced 01/07/96 Origin: Appendix 5 Amended 01/07/98, 01/09/99, 01/07/00, 30/09/01, 11/03/02, 01/01/03, 24/10/05, 01/08/12, 04/03/13

Name	οf	entity	,
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Parkway Minerals NL

ABN

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62 147 346 334

We (the entity) give ASX the following information.

### Part 1 - All issues

You must complete the relevant sections (attach sheets if there is not enough space).

- 1 +Class of +securities issued or to be issued
- (1)-(4) Fully paid ordinary shares
- Number of \*securities issued or to be issued (if known) or maximum number which may be issued
- (1) 11,002,270 Fully paid ordinary shares
- (2) 766,111 Fully paid ordinary shares
- (3) 436,276 Fully paid ordinary shares
- (4) 1,307,609 Fully paid ordinary shares
- Principal terms of the \*securities (e.g. if options, exercise price and expiry date; if partly paid \*securities, the amount outstanding and due dates for payment; if \*convertible securities, the conversion price and dates for conversion)
- (1)-(4) Fully paid ordinary shares

<sup>+</sup> See chapter 19 for defined terms.

4	Do the *securities rank equally in all respects from the *issue date with an existing *class of quoted *securities?	(1)-(4) Yes
	If the additional *securities do not rank equally, please state:  • the date from which they do  • the extent to which they participate for the next dividend, (in the case of a trust, distribution) or interest payment  • the extent to which they do not rank equally, other than in relation to the next dividend, distribution or interest payment	
5	Issue price or consideration	(1) \$0.0067 per share
		(2) \$0.0078 per share
		(3) \$0.0074 per share (4) \$0.0050 per share
		(1) 70.0000 pc. 0
6	Purpose of the issue (If issued as consideration for the acquisition of assets, clearly identify those assets)	(1)-(4) Issue of shares under Director & Senior Management Fee & Remuneration Sacrifice Share Plan
6a	Is the entity an <sup>+</sup> eligible entity that	Yes
ou	has obtained security holder approval under rule 7.1A?	
	If Yes, complete sections 6b – 6h in relation to the *securities the subject of this Appendix 3B, and comply with section 6i	
-		[a
6b	The date the security holder resolution under rule 7.1A was passed	26 November 2018
6c	Number of *securities issued	Nil
	without security holder approval under rule 7.1	
C-1		- Inches
6d	Number of *securities issued with security holder approval under rule 7.1A	Nil

<sup>+</sup> See chapter 19 for defined terms.

6f Number of *securities issued under an exception in rule 7.2 (1)-(4) 31,512,266 Fully paid ordinary sunder Director & Senior Management F. Remuneration Sacrifice Share Plan	ee &
6g If *securities issued under rule 7.1A, was issue price at least 75% of 15 day VWAP as calculated under rule 7.1A.3? Include the *issue date and both values. Include the source of the VWAP calculation.	
6h If *securities were issued under rule 7.1A for non-cash consideration, state date on which valuation of consideration was released to ASX Market Announcements	
6i Calculate the entity's remaining issue capacity under rule 7.1 and rule 7.1A – complete Annexure 1 and release to ASX Market Announcements	
7 +Issue dates 22 January 2019	
Note: The issue date may be prescribed by ASX (refer to the definition of issue date in rule 19.12). For example, the issue date for a pro rata entitlement issue must comply with the applicable timetable in Appendix 7A.	
Cross reference: item 33 of Appendix 3B.	
Number +Class	
Number and *class of all *securities quoted on ASX (including the *securities in section 2 if applicable)  Number and *class of all *securities 608,326,920 Ordinary Fully paid shares 123,300,321 Ordinary Partly paid shares (paid to \$0.001, unpaid \$0.001)	

<sup>+</sup> See chapter 19 for defined terms.

9	Number and	Number and +class of all +securities			
	not quoted	on A	ASX (includ	ing 1	the
	*securities	in	section	2	if
	applicable)				

Number	†Class
3,054,503	\$0.0375 unlisted options
	expiring 30 June 2019
5,000,000	\$0.02 unlisted options expiring 20 September 2019
5,000,000	\$0.04 unlisted options expiring 20 September 2019
55,126,000	\$0.02 unlisted options expiring 17 August 2020

Dividend policy (in the case of a trust, distribution policy) on the increased capital (interests)

N/A			

### Part 2 - Pro rata issue

11 Is security holder approval required?

N/A

12 Is the issue renounceable or non-renounceable?

N/A

13 Ratio in which the \*securities will be offered

N/A

14 \*Class of \*securities to which the offer relates

N/A

15 \*Record date to determine entitlements

N/A

Will holdings on different registers (or subregisters) be aggregated for calculating entitlements?

N/A

17 Policy for deciding entitlements in relation to fractions

N/A

18 Names of countries in which the entity has security holders who will not be sent new offer documents

N/A

Note: Security holders must be told how their entitlements are to be dealt with.

Cross reference: rule 7.7.

Gross reference. rate 7.7

<sup>+</sup> See chapter 19 for defined terms.

19	Closing date for receipt of acceptances or renunciations	N/A
20	Names of any underwriters	N/A
21	Amount of any underwriting fee or commission	N/A
22	Names of any brokers to the issue	N/A
23	Fee or commission payable to the broker to the issue	N/A
24	Amount of any handling fee payable to brokers who lodge acceptances or renunciations on behalf of security holders	N/A
25	If the issue is contingent on security holders' approval, the date of the meeting	N/A
26	Date entitlement and acceptance form and offer documents will be sent to persons entitled	N/A
27	If the entity has issued options, and the terms entitle option holders to participate on exercise, the date on which notices will be sent to option holders	N/A
28	Date rights trading will begin (if applicable)	N/A
29	Date rights trading will end (if applicable)	N/A
30	How do security holders sell their entitlements <i>in full</i> through a broker?	N/A
31	How do security holders sell <i>part</i> of their entitlements through a broker and accept for the balance?	N/A
32	How do security holders dispose of their entitlements (except by sale through a broker)?	N/A

<sup>+</sup> See chapter 19 for defined terms.

33	†Issue date	N/A
	3 - Quotation of securit	
34	Type of *securities (tick one)	
(a)	*Securities described in Part 2	L
(b)		of the escrowed period, partly paid securities that become fully paid, employee a ends, securities issued on expiry or conversion of convertible securities
Entiti	es that have ticked box 34(a)	
Additio	onal securities forming a new class	of securities
Tick to docum	o indicate you are providing the informa ents	tion or
35	1 1	securities, the names of the 20 largest holders of the number and percentage of additional *securities held by
36	·	ry securities, a distribution schedule of the additional mber of holders in the categories
37	A copy of any trust deed for t	he additional *securities
Entiti	es that have ticked box 34(b)	
38	Number of *securities for which *quotation is sought	
39	<sup>+</sup> Class of <sup>+</sup> securities for which quotation is sought	

<sup>+</sup> See chapter 19 for defined terms.

40	Do the *securities rank equally in all respects from the *issue date with an existing *class of quoted *securities?		
	If the additional *securities do not rank equally, please state:  • the date from which they do  • the extent to which they participate for the next dividend, (in the case of a trust, distribution) or interest payment  • the extent to which they do not rank equally, other than in relation to the next dividend, distribution or interest payment		
41	Reason for request for quotation now		
	Example: In the case of restricted securities, end of restriction period		
	(if issued upon conversion of another *security, clearly identify that other *security)		
42	Number and *class of all *securities quoted on ASX (including the *securities in clause 38)	Number	†Class
Quota	tion agreement		
1	<sup>+</sup> Quotation of our additional <sup>+</sup> secu quote the <sup>+</sup> securities on any condit		e discretion. ASX may
2	We warrant the following to ASX.		
	<ul> <li>The issue of the *securities for an illegal purpose.</li> </ul>	s to be quoted complies	with the law and is not
	There is no reason why tho	ose †securities should not	be granted †quotation.
	<ul> <li>An offer of the *securities f require disclosure under</li> </ul>		

Corporations Act.

04/03/2013 Appendix 3B Page 7

Note: An entity may need to obtain appropriate warranties from subscribers for the securities in order to be able to give

<sup>+</sup> See chapter 19 for defined terms.

- Section 724 or section 1016E of the Corporations Act does not apply to any applications received by us in relation to any \*securities to be quoted and that no-one has any right to return any \*securities to be quoted under sections 737, 738 or 1016F of the Corporations Act at the time that we request that the \*securities be quoted.
- If we are a trust, we warrant that no person has the right to return the 

  †securities to be quoted under section 1019B of the Corporations Act at the 
  time that we request that the †securities be quoted.
- We will indemnify ASX to the fullest extent permitted by law in respect of any claim, action or expense arising from or connected with any breach of the warranties in this agreement.
- We give ASX the information and documents required by this form. If any information or document is not available now, we will give it to ASX before 'quotation of the 'securities begins. We acknowledge that ASX is relying on the information and documents. We warrant that they are (will be) true and complete.

Sign here: Patrick McManus Date: 22 January 2019

(Director)

Print name: Patrick McManus

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<sup>+</sup> See chapter 19 for defined terms.

### Appendix 3B - Annexure 1

## Calculation of placement capacity under rule 7.1 and rule 7.1A for eligible entities

Introduced 01/08/12 Amended 04/03/13

### Part 1

Rule 7.1 – Issues exceeding 15% of capital				
Step 1: Calculate "A", the base figure from which the placement capacity is calculated				
Insert number of fully paid *ordinary securities on issue 12 months before the *issue date or date of agreement to issue	533,592,200			
<ul> <li>Add the following:</li> <li>Number of fully paid *ordinary securities issued in that 12 month period under an exception in rule 7.2</li> </ul>	24,608,720			
<ul> <li>Number of fully paid <sup>+</sup>ordinary securities issued in that 12 month period with shareholder approval</li> </ul>	50,126,000			
<ul> <li>Number of partly paid +ordinary securities that became fully paid in that 12 month period</li> </ul>	-			
<ul> <li>Note:         <ul> <li>Include only ordinary securities here – other classes of equity securities cannot be added</li> </ul> </li> <li>Include here (if applicable) the securities the subject of the Appendix 3B to which this form is annexed</li> <li>It may be useful to set out issues of securities on different dates as separate line items</li> </ul>				
<b>Subtract</b> the number of fully paid *ordinary securities cancelled during that 12 month period	-			
"A"	608,326,920			

<sup>+</sup> See chapter 19 for defined terms.

Step 2: Calculate 15% of "A"	
"B"	0.15
	[Note: this value cannot be changed]
Multiply "A" by 0.15	91,249,038
Step 3: Calculate "C", the amount of p has already been used	lacement capacity under rule 7.1 that
<b>Insert</b> number of *equity securities issued or agreed to be issued in that 12 month period not counting those issued:	
• Under an exception in rule 7.2	-
• Under rule 7.1A	
• With security holder approval under rule 7.1 or rule 7.4	
<ul> <li>Note:         <ul> <li>This applies to equity securities, unless specifically excluded – not just ordinary securities</li> <li>Include here (if applicable) the securities the subject of the Appendix 3B to which this form is annexed</li> <li>It may be useful to set out issues of securities on different dates as separate line items</li> </ul> </li> </ul>	
"C"	-
Step 4: Subtract "C" from ["A" x "B"] t capacity under rule 7.1	o calculate remaining placement
"A" x 0.15	91,249,038
Note: number must be same as shown in Step 2	
Subtract "C"	-
Note: number must be same as shown in Step 3	
<i>Total</i> ["A" x 0.15] – "C"	91,249,038  [Note: this is the remaining placement capacity under rule 7.1]

<sup>+</sup> See chapter 19 for defined terms.

### Part 2

Rule 7.1A – Additional placem	ent capacity for eligible entities	
Step 1: Calculate "A", the base figure from which the placement capacity i calculated		
"A"	608,326,920	
Note: number must be same as shown in Step 1 of Part 1		
Step 2: Calculate 10% of "A"	,	
"D"	0.10	
	Note: this value cannot be changed	
Multiply "A" by 0.10	60,832,692	
<b>Insert</b> number of *equity securities issued or agreed to be issued in that 12 month period under rule 7.1A	-	
<ul> <li>Notes:</li> <li>This applies to equity securities – not just ordinary securities</li> <li>Include here – if applicable – the securities the subject of the Appendix 3B to which this form is annexed</li> <li>Do not include equity securities issued under rule 7.1 (they must be dealt with in Part 1), or for which specific security holder approval has been obtained</li> <li>It may be useful to set out issues of securities on different dates as separate line items</li> </ul>		
"E"	-	
"E"	-	

<sup>+</sup> See chapter 19 for defined terms.

Step 4: Subtract "E" from ["A" x "D"] to calculate remaining placement capacity under rule 7.1A	
"A" x 0.10 Note: number must be same as shown in Step 2	60,832,692
Subtract "E"  Note: number must be same as shown in Step 3	-
<i>Total</i> ["A" x 0.10] – "E"	60,832,692  Note: this is the remaining placement capacity under rule 7.1A

<sup>+</sup> See chapter 19 for defined terms.

Rule 3.19A.2

### **Appendix 3Y**

### **Change of Director's Interest Notice**

Information or documents not available now must be given to ASX as soon as available. Information and documents given to ASX become ASX's property and may be made public.

Introduced 30/09/01 Amended 01/01/11

Name of entity Parkway Minerals NL	
<b>ABN</b> 62 147 346 334	

We (the entity) give ASX the following information under listing rule 3.19A.2 and as agent for the director for the purposes of section 205G of the Corporations Act.

Name of Director	Adrian Griffin
Date of last notice	29 June 2018

#### Part 1 - Change of director's relevant interests in securities

In the case of a trust, this includes interests in the trust made available by the responsible entity of the trust

Note: In the case of a company, interests which come within paragraph (i) of the definition of "notifiable interest of a director" should be disclosed in this part.

Direct or indirect interest	Direct
Nature of indirect interest (including registered holder) Note: Provide details of the circumstances giving rise to the relevant interest.	Adrian Griffin & Josephine Norman <the a="" c="" fund="" global="" super=""> of which Adrian Griffin is a beneficiary.</the>
Date of change	22 January 2019
No. of securities held prior to change	Direct 11,061,021 Fully paid ordinary shares 4,778,098 Partly paid ordinary shares to \$0.001, unpaid to \$0.019  Indirect 496,158 Fully paid ordinary shares 172,119 Partly paid ordinary shares to \$0.001, unpaid to \$0.019
Class	Fully paid ordinary shares

<sup>+</sup> See chapter 19 for defined terms.

Number acquired	<u>Direct</u> 1,833,131 Fully paid ordinary shares
Number disposed	Nil
Value/Consideration  Note: If consideration is non-cash, provide details and estimated valuation	Direct Deemed consideration of \$0.0067 per share
No. of securities held after change	Direct 12,894,152 Fully paid ordinary shares 4,778,098 Partly paid ordinary shares to \$0.001, unpaid to \$0.019
	Indirect 496,158 Fully paid ordinary shares 172,119 Partly paid ordinary shares to \$0.001, unpaid to \$0.019
Nature of change Example: on-market trade, off-market trade, exercise of options, issue of securities under dividend reinvestment plan, participation in buy-back	Shares issued under Director & Senior Management Fee & Remuneration Sacrifice Share Plan

### Part 2 – Change of director's interests in contracts

Note: In the case of a company, interests which come within paragraph (ii) of the definition of "notifiable interest of a director" should be disclosed in this part.

Detail of contract	N/A
Nature of interest	N/A
Name of registered holder (if issued securities)	N/A
Date of change	N/A
No. and class of securities to which interest related prior to change  Note: Details are only required for a contract in relation to which the interest has changed	N/A
Interest acquired	N/A
Interest disposed	N/A

<sup>+</sup> See chapter 19 for defined terms.

Appendix 3Y Page 2 01/01/2011

Value/Consideration  Note: If consideration is non-cash, provide details and an estimated valuation	N/A
Interest after change	N/A

### Part 3 - +Closed period

Were the interests in the securities or contracts detailed	N/A
above traded during a *closed period where prior written clearance was required?	
If so, was prior written clearance provided to allow the trade to proceed during this period?	N/A
If prior written clearance was provided, on what date was this provided?	N/A

<sup>+</sup> See chapter 19 for defined terms.

Rule 3.19A.2

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Introduced 30/09/01 Amended 01/01/11

Name of entity Parkway Minerals NL	
<b>ABN</b> 62 147 346 334	

We (the entity) give ASX the following information under listing rule 3.19A.2 and as agent for the director for the purposes of section 205G of the Corporations Act.

Name of Director	Patrick McManus
Date of last notice	29 June 2018

#### Part 1 - Change of director's relevant interests in securities

In the case of a trust, this includes interests in the trust made available by the responsible entity of the trust

Note: In the case of a company, interests which come within paragraph (i) of the definition of "notifiable interest of a director" should be disclosed in this part.

Direct or indirect interest	Indirect 3
Nature of indirect interest (including registered holder) Note: Provide details of the circumstances giving rise to the relevant interest.	Indirect 1 Vivienne McManus, spouse of Patrick McManus
	Indirect 2 Roberin Pty Ltd <mcmanus family="" trust=""> of which Patrick McManus is a beneficiary</mcmanus>
	Indirect 3 Mr Patrick Bernard McManus & Mrs Vivienne McManus <mcmanus fund="" super=""> of which Patrick McManus is a beneficiary</mcmanus>
Date of change	22 January 2019

<sup>+</sup> See chapter 19 for defined terms.

No. of securities held prior to change	Indirect 1 94,083 Fully paid ordinary shares 37,229 Partly paid ordinary shares to \$0.001, unpaid to \$0.019  Indirect 2 1,774,389 Fully paid ordinary shares 1,997,213 Partly paid ordinary shares to \$0.001, unpaid to \$0.019  Indirect 3 17,341,507 Fully paid ordinary shares 1,410,831 Partly paid ordinary shares to \$0.001, unpaid to \$0.019
Class	Fully paid ordinary shares
Number acquired	Indirect 3 5,601,221 Fully paid ordinary shares
Number disposed	Nil
Value/Consideration  Note: If consideration is non-cash, provide details and estimated valuation	Indirect 3 Deemed consideration of \$0.0067 per share
No. of securities held after change	Indirect 1 94,083 Fully paid ordinary shares 37,229 Partly paid ordinary shares to \$0.001, unpaid to \$0.019  Indirect 2 1,774,389 Fully paid ordinary shares 1,997,213 Partly paid ordinary shares to \$0.001, unpaid to \$0.019  Indirect 3 22,942,728 Fully paid ordinary shares 1,410,831 Partly paid ordinary shares 50.001, unpaid to \$0.019
Nature of change Example: on-market trade, off-market trade, exercise of options, issue of securities under dividend reinvestment plan, participation in buy-back	Shares issued under Director & Senior Management Fee & Remuneration Sacrifice Share Plan

Appendix 3Y Page 2 01/01/2011

<sup>+</sup> See chapter 19 for defined terms.

### Part 2 – Change of director's interests in contracts

Note: In the case of a company, interests which come within paragraph (ii) of the definition of "notifiable interest of a director" should be disclosed in this part.

Detail of contract	N/A
Nature of interest	N/A
Name of registered holder (if issued securities)	N/A
Date of change	N/A
No. and class of securities to which interest related prior to change  Note: Details are only required for a contract in relation to which the interest has changed	N/A
Interest acquired	N/A
Interest disposed	N/A
Value/Consideration  Note: If consideration is non-cash, provide details and an estimated valuation	N/A
Interest after change	N/A

### Part 3 - +Closed period

Were the interests in the securities or contracts detailed	N/A
above traded during a <sup>+</sup> closed period where prior written clearance was required?	
If so, was prior written clearance provided to allow the trade to proceed during this period?	N/A
If prior written clearance was provided, on what date was this provided?	N/A

<sup>+</sup> See chapter 19 for defined terms.

Rule 3.19A.2

### **Appendix 3Y**

### **Change of Director's Interest Notice**

Information or documents not available now must be given to ASX as soon as available. Information and documents given to ASX become ASX's property and may be made public.

Introduced 30/09/01 Amended 01/01/11

Name of entity Parkway Minerals NL	
<b>ABN</b> 62 147 346 334	

We (the entity) give ASX the following information under listing rule 3.19A.2 and as agent for the director for the purposes of section 205G of the Corporations Act.

Name of Director	Natalia Streltsova
Date of last notice	29 June 2018

#### Part 1 - Change of director's relevant interests in securities

In the case of a trust, this includes interests in the trust made available by the responsible entity of the trust

Note: In the case of a company, interests which come within paragraph (i) of the definition of "notifiable interest of a director" should be disclosed in this part.

Direct or indirect interest	Direct
Nature of indirect interest (including registered holder)  Note: Provide details of the circumstances giving rise to the relevant interest.	N/A
Date of change	22 January 2019
No. of securities held prior to change	2,914,102 Fully paid ordinary shares 139,973 Partly paid ordinary shares to \$0.001, unpaid to \$0.019
Class	Fully paid ordinary shares
Number acquired	1,018,401 Fully paid ordinary shares
Number disposed	Nil

<sup>+</sup> See chapter 19 for defined terms.

Value/Consideration  Note: If consideration is non-cash, provide details and estimated valuation	Deemed consideration of \$0.0067 per share
No. of securities held after change	3,932,503 Fully paid ordinary shares 139,973 Partly paid ordinary shares to \$0.001, unpaid to \$0.019
Nature of change Example: on-market trade, off-market trade, exercise of options, issue of securities under dividend reinvestment plan, participation in buy-back	Shares issued under Director & Senior Management Fee & Remuneration Sacrifice Share Plan

### Part 2 – Change of director's interests in contracts

Note: In the case of a company, interests which come within paragraph (ii) of the definition of "notifiable interest of a director" should be disclosed in this part.

Detail of contract	N/A
Nature of interest	N/A
Name of registered holder (if issued securities)	N/A
Date of change	N/A
No. and class of securities to which interest related prior to change  Note: Details are only required for a contract in relation to which the interest has changed	N/A
Interest acquired	N/A
Interest disposed	N/A
Value/Consideration  Note: If consideration is non-cash, provide details and an estimated valuation	N/A
Interest after change	N/A

Appendix 3Y Page 2 01/01/2011

<sup>+</sup> See chapter 19 for defined terms.

### Part 3 – +Closed period

Were the interests in the securities or contracts detailed	N/A
above traded during a <sup>+</sup> closed period where prior written	
clearance was required?	
If so, was prior written clearance provided to allow the	N/A
trade to proceed during this period?	
If prior written clearance was provided, on what date was	N/A
this provided?	

<sup>+</sup> See chapter 19 for defined terms.