

**UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION**  
Washington, D.C. 20549

**FORM 6-K**

**Report of Foreign Private Issuer Pursuant to Rule 13a-16 or 15d-16  
under the Securities Exchange Act of 1934**

For the Month of March 2020

1-15240  
(Commission File Number)

**JAMES HARDIE INDUSTRIES plc**  
(Translation of registrant's name into English)

Europa House, Second Floor  
Harcourt Centre  
Harcourt Street, Dublin 2, D02 WR20, Ireland  
(Address of principal executive offices)

Indicate by check mark whether the registrant files or will file annual reports under cover Form 20-F or Form 40-F.

Form 20-F..X.... Form 40-F.....

Indicate by check mark if the registrant is submitting the Form 6-K in paper as permitted by Regulation S-T Rule 101(b)(1): Not Applicable

Indicate by check mark if the registrant is submitting the Form 6-K in paper as permitted by Regulation S-T Rule 101(b)(7): Not Applicable

## **TABLE OF CONTENTS**

<a href="#">Forward Looking Statements</a>	3
<a href="#">Exhibit Index</a>	5
<a href="#">Signatures</a>	6

## Forward-Looking Statements

This Form 6-K contains forward-looking statements. The Company may from time to time make forward-looking statements in its periodic reports filed with or furnished to the Securities and Exchange Commission, on Forms 20-F and 6-K, in its annual reports to shareholders, in offering circulars, invitation memoranda and prospectuses, in media releases and other written materials and in oral statements made by the Company's officers, directors or employees to analysts, institutional investors, existing and potential lenders, representatives of the media and others. Statements that are not historical facts are forward-looking statements and such forward-looking statements are statements made pursuant to the Safe Harbor Provisions of the Private Securities Litigation Reform Act of 1995.

Examples of forward-looking statements include:

- statements about the Company's future performance;
- projections of the Company's results of operations or financial condition;
- statements regarding the Company's plans, objectives or goals, including those relating to strategies, initiatives, competition, acquisitions, dispositions and/or its products;
- expectations concerning the costs associated with the suspension or closure of operations at any of the Company's plants and future plans with respect to any such plants;
- expectations concerning the costs associated with the significant capital expenditure projects at any of the Company's plants and future plans with respect to any such projects;
- expectations regarding the extension or renewal of the Company's credit facilities including changes to terms, covenants or ratios;
- expectations concerning dividend payments and share buy-backs;
- statements concerning the Company's corporate and tax domiciles and structures and potential changes to them, including potential tax charges;
- uncertainty from the expected discontinuance of LIBOR and transition to any other interest rate benchmark;
- statements regarding tax liabilities and related audits, reviews and proceedings;
- statements regarding the possible consequences and/or potential outcome of legal proceedings brought against us and the potential liabilities, if any, associated with such proceedings;
- expectations about the timing and amount of contributions to Asbestos Injuries Compensation Fund (AICF), a special purpose fund for the compensation of proven Australian asbestos-related personal injury and death claims;
- expectations concerning the adequacy of the Company's warranty provisions and estimates for future warranty-related costs;
- statements regarding the Company's ability to manage legal and regulatory matters (including but not limited to product liability, environmental, intellectual property and competition law matters) and to resolve any such pending legal and regulatory matters within current estimates and in anticipation of certain third-party recoveries; and
- statements about economic conditions, such as changes in the US economic or housing recovery or changes in the market conditions in the Asia Pacific region, the levels of new home construction and home renovations, unemployment levels, changes in consumer income, changes or stability in housing values, the availability of mortgages and other financing, mortgage and other interest rates, housing affordability and supply, the levels of foreclosures and home resales, currency exchange rates, and builder and consumer confidence.

Words such as "believe," "anticipate," "plan," "expect," "intend," "target," "estimate," "project," "predict," "forecast," "guideline," "aim," "will," "should," "likely," "continue," "may," "objective," "outlook" and similar expressions are intended to identify forward-looking statements but are not the exclusive means of identifying such statements. Readers are cautioned not to place undue reliance on these forward-looking statements and all such forward-looking statements are qualified in their entirety by reference to the following cautionary statements.

Forward-looking statements are based on the Company's current expectations, estimates and assumptions and because forward-looking statements address future results, events and conditions, they, by their very nature, involve inherent risks and uncertainties, many of which are unforeseeable and beyond the Company's control. Such known and unknown risks, uncertainties and other factors may cause actual results, performance or other achievements to differ materially from the anticipated results, performance or achievements expressed, projected or implied by these forward-looking statements. These factors, some of which are discussed under "Risk Factors" in Section 3 of the Form 20-F filed with the Securities and Exchange Commission on 21 May 2019 and subsequently amended on 8 August 2019, include, but are not limited to: all matters relating to or arising out of the prior manufacture of products that contained asbestos by current and former Company subsidiaries; required contributions to AICF, any shortfall in AICF and the effect of currency exchange rate movements on the amount recorded in the Company's financial statements as an asbestos liability; the continuation or termination of the governmental loan facility to AICF; compliance with and changes in tax laws and treatments; competition and product pricing in the markets in which the Company operates; the consequences of product failures or defects; exposure to environmental, asbestos, putative consumer class action or other legal proceedings; general economic and market conditions; the supply and cost of raw materials; possible increases in competition and the potential that competitors could copy the Company's products; reliance on a small number of customers; a customer's inability to pay; compliance with and changes in environmental and health and safety laws; risks of conducting business internationally; compliance with and changes in laws and regulations; currency exchange risks; dependence on customer preference and the concentration of the Company's customer base on large format retail customers, distributors and dealers; dependence on residential and commercial

construction markets; the effect of adverse changes in climate or weather patterns; possible inability to renew credit facilities on terms favorable to the Company, or at all; acquisition or sale of businesses and business segments; changes in the Company's key management personnel; inherent limitations on internal controls; use of accounting estimates; integration of Fermacell into our business; and all other risks identified in the Company's reports filed with Australian, Irish and US securities regulatory agencies and exchanges (as appropriate). The Company cautions you that the foregoing list of factors is not exhaustive and that other risks and uncertainties may cause actual results to differ materially from those referenced in the Company's forward-looking statements. Forward-looking statements speak only as of the date they are made and are statements of the Company's current expectations concerning future results, events and conditions. The Company assumes no obligation to update any forward looking statements or information except as required by law.

## EXHIBIT INDEX

<b><u>Exhibit No.</u></b>	<b><u>Description</u></b>
<a href="#"><u>99.1</u></a>	Change in Substantial Holding
<a href="#"><u>99.2</u></a>	Appendix 3G

## **SIGNATURES**

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned, thereunto duly authorized.

Date: 6 March 2020

**James Hardie Industries plc**

By: /s/ Natasha Mercer

Natasha Mercer

Company Secretary

## EXHIBIT INDEX

<b><u>Exhibit No.</u></b>	<b><u>Description</u></b>
<a href="#"><u>99.1</u></a>	Change in Substantial Holding
<a href="#"><u>99.2</u></a>	Appendix 3G



**James Hardie Industries plc**  
Europa House 2nd Floor,  
Harcourt Centre  
Harcourt Street, Dublin 2,  
D02 WR20, Ireland

T: +353 (0) 1 411 6924  
F: +353 (0) 1 479 1128

26 February 2020

The Manager  
Company Announcements Office  
Australian Securities Exchange Limited  
20 Bridge Street  
SYDNEY NSW 2000

Dear Sir/Madam

### **Substantial Holding Notice**

As required under ASX Listing Rule 3.17.3 please see attached a copy of the substantial holding notice received by James Hardie on 25 February 2020.

Yours faithfully

Natasha Mercer  
**Company Secretary**

This announcement has been authorised for release by the Company Secretary, Ms Natasha Mercer.



Anne Lloyd (USA), Moe Nozari (USA), Rada Rodriguez (Sweden).

**Chief Executive Officer and Director: Jack Truong (USA)**

**Company number: 485719**

**ARBN: 097 829 895**

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The Secretary  
James Hardie Industries Plc (the Company)  
Second Floor, Europe House  
Harcourt Centre  
Harcourt Street  
Dublin 2, Ireland

25 February 2020

**Re: Notification of Disposition of Shares**

T. Rowe Price Associates, Inc. of 100 East Pratt Street, Baltimore, MD 21202 hereby give you notice of the disposition by us of a notifiable interest of ordinary shares of US\$0.01 par value each in the capital of the Company (ordinary shares).

The obligation to make this notification arose on 19 February 2020 upon the sale of ordinary shares in the open market.

The number of ordinary shares comprised in the share capital of the Company in which we were interested immediately after the time when the notification arose was 13,262,632 ordinary shares, representing 2.99% of the issued share capital of the Company as of 19 February 2020.

The identity of each registered holder of ordinary shares in the Company in respect of which this notification relates and the number of those ordinary shares held by each such registered holder are set out below.

Name	Number of Ordinary Shares
Bank of New York Mellon	609,699
BNP Paribas Sec	464,750
Brown Brothers Harriman & Co	34,690
Citigroup Hong Kong	75,204
HSBC Hong Kong	23,078
JP Morgan Chase	6,598,954
National Australia Bank	519,904
Northern Trust Company	3,615,707
State Street Bank & Trust Co	1,309,332
Zurcher Kantonalbank	11,314

Sincerely,

Gary Greb  
Vice President  
T. Rowe Price Associates, Inc.  
100 E. Pratt Street  
Baltimore, MD 21202  
Gary\_Greb@troweprice.com  
410-345-2527

**T. Rowe Price Associates, Inc.**

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**T:** 410-345-4140

**T:** 800-638-7890

4515 Painters Mill Road  
Owings Mills, MD 21117-4903

P.O. Box 89000  
Baltimore, MD 21289-3103

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+Rule 3.10.3A, 3.10.3B, 3.10.3C

## Appendix 3G

### Notification of issue, conversion or payment up of equity +securities

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.

If you are an entity incorporated outside Australia and you are issuing a new class of +securities other than CDIs, you will need to obtain and provide an International Securities Identification Number (ISIN) for that class. Further information on the requirement for the notification of an ISIN is available from the Create Online Forms page. ASX is unable to create the new ISIN for non-Australian issuers.

\*Denotes minimum information required for first lodgement of this form, with exceptions provided in specific notes for certain questions. The balance of the information, where applicable, must be provided as soon as reasonably practicable by the entity.

#### Part 1 – Entity and announcement details

Question no	Question	Answer
1.1	*Name of entity We (the entity here named) give notice of the issue, conversion or payment up of the following unquoted +securities.	James Hardie Industries plc
1.2	*Registration type and number Please supply your ABN, ARSN, ARBN, ACN or another registration type and number (if you supply another registration type, please specify both the type of registration and the registration number).	097 829 895
1.3	*ASX issuer code	JHX
1.4	*This announcement is Tick whichever is applicable.	<input checked="" type="checkbox"/> A new announcement <input type="checkbox"/> An update/amendment to a previous announcement <input type="checkbox"/> A cancellation of a previous announcement
1.4a	*Reason for update Mandatory only if "Update" ticked in Q1.4 above. A reason must be provided for an update.	N/A
1.4b	*Date of previous announcement to this update Mandatory only if "Update" ticked in Q1.4 above.	N/A
1.4c	*Reason for cancellation Mandatory only if "Cancellation" ticked in Q1.4 above.	N/A
1.4d	*Date of previous announcement to this cancellation Mandatory only if "Cancellation" ticked in Q1.4 above.	N/A
1.5	*Date of this announcement	03 March 2020



Part 2 – Type of issue

Question No.	Question	Answer
2.1	<p>*The +securities the subject of this notification are: Select whichever item is applicable. If you wish to notify ASX of different types of issues of securities, please complete a separate Appendix 3G for each type of issue.</p>	<p><input type="checkbox"/> +Securities issued as a result of options being exercised or other +convertible +securities being converted and that are not to be quoted on ASX</p> <p><input type="checkbox"/> Partly paid +securities that have been fully paid up and that are not to be quoted on ASX</p> <p><input checked="" type="checkbox"/> +Securities issued under an +employee incentive scheme that are not being immediately quoted on ASX</p> <p><input type="checkbox"/> Other [please specify] If you have selected 'other' please provide the circumstances of the issue here:</p>
2.2a.1	<p>Please state the number and type of options that were exercised or other +convertible securities that were converted (including their ASX security code if available)?</p> <p>Answer this question if your response to Q2.1 is "securities issued as a result of options being exercised or other convertible securities being converted and that are not to be quoted on ASX".</p>	N/A
2.2a.2	<p>And the date the options were exercised or other +convertible securities were converted:</p> <p>Answer this question if your response to Q2.1 is "securities issued as a result of options being exercised or other convertible securities being converted and that are not to be quoted on ASX".</p> <p>Note: If this occurred over a range of dates, enter the date the last of the options was exercised or convertible securities was converted.</p>	N/A
2.2b.1	<p>Please state the number and type of partly paid +securities that were fully paid up (including their ASX security code if available)?</p> <p>Answer this question if your response to Q2.1 is "partly paid securities that have been paid up and that are not to be quoted on ASX".</p>	N/A
2.2b.2	<p>And the date the +securities were fully paid up:</p> <p>Answer this question if your response to Q2.1 is "partly paid securities that have been paid up and that are not to be quoted on ASX".</p> <p>Note: If this occurred over a range of dates, enter the date the last of the securities was fully paid up.</p>	N/A





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**Appendix 3G**  
**Notification of issue, conversion or**  
**payment up of equity +securities**

2.2c.1	<p>Please state the number and type of +securities (including their ASX security code) issued under an +employee incentive scheme that are not being immediately quoted on ASX</p> <p>Answer this question if your response to Q2.1 is "securities issued under an employee incentive scheme that are not being immediately quoted on ASX".</p>	<p>11,443 Restricted Stock Units (<b>RSUs</b>) granted under the James Hardie Industries Long Term Incentive Plan 2006 (<b>2006 Plan</b>), which comprise of the following</p> <ul style="list-style-type: none"> <li>• Grant of 4,767 Returned on Capital Employed (<b>ROCE</b>) RSUs, under the 2006 LTI Plan as part of the LTI received by a senior executive for FY20. ROCE RSUs are contractual entitlements to be issued ordinary shares/CDIs upon satisfaction of certain conditions; and</li> <li>• Grant of 6,676 Relative Total Shareholder Return (<b>TSR</b>) RSUs, under the 2006 LTI Plan as part of the LTI received by a senior executive for FY20. Relative TSR RSUs are contractual entitlements to be issued ordinary shares/CDIs upon satisfaction of certain conditions.</li> </ul>									
2.2c.2	<p>*Please attach a document or provide details of a URL link for a document lodged with ASX detailing the terms of the +employee incentive scheme or a summary of the terms.</p> <p>Answer this question if your response to Q2.1 is "securities issued under an employee incentive scheme that are not being immediately quoted on ASX".</p>	<p>Refer to 2006 Plan <a href="https://ir.jameshardie.com.au/public/download.jsp?id=5390">https://ir.jameshardie.com.au/public/download.jsp?id=5390</a></p>									
2.2c.3	<p>*Are any of these +securities being issued to +key management personnel (KMP) or an +associate</p> <p>Answer this question if your response to Q2.1 is "securities issued under an employee incentive scheme that are not being immediately quoted on ASX".</p>	Yes									
2.2c.3.a	<p>*Provide details of the recipients and the number of +securities issued to each of them.</p> <p>Answer this question if your response to Q2.1 is "securities issued under an employee incentive scheme that are not being immediately quoted on ASX" and your response to Q2.2c.3 is "Yes". Repeat the detail in the table below for each KMP involved in the issue. If the securities are being issued to the KMP, repeat the name of the KMP or insert "Same" in "Name of registered holder". If the securities are being issued to an associate of a KMP, insert the name of the associate in "Name of registered holder".</p> <table border="1" data-bbox="423 1661 1256 1793"> <thead> <tr> <th>Name of KMP</th> <th>Name of registered holder</th> <th>Number of +securities</th> </tr> </thead> <tbody> <tr> <td>Jason Miele</td> <td>Same</td> <td>4,767 ROCE RSUs</td> </tr> <tr> <td>Jason Miele</td> <td>Same</td> <td>6,676 TSR RSUs</td> </tr> </tbody> </table>	Name of KMP	Name of registered holder	Number of +securities	Jason Miele	Same	4,767 ROCE RSUs	Jason Miele	Same	6,676 TSR RSUs	
Name of KMP	Name of registered holder	Number of +securities									
Jason Miele	Same	4,767 ROCE RSUs									
Jason Miele	Same	6,676 TSR RSUs									



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**Appendix 3G  
Notification of issue, conversion or  
payment up of equity +securities**

2.2d.1	<p>*The purpose(s) for which the entity is issuing the +securities is:</p> <p>Answer this question if your response to Q2.1 is "Other".</p> <p>You may select one or more of the items in the list.</p>	<p><input type="checkbox"/> To raise additional working capital</p> <p><input type="checkbox"/> To fund the retirement of debt</p> <p><input type="checkbox"/> To pay for the acquisition of an asset [provide details below]</p> <p><input type="checkbox"/> To pay for services rendered [provide details below]</p> <p><input type="checkbox"/> Other [provide details below]</p> <p>Additional details:</p>
2.2d.2	<p>Please provide any further information needed to understand the circumstances in which you are notifying the issue of these +securities to ASX, including (if applicable) why the issue of the +securities has not been previously announced to the market in an Appendix 3B</p> <p>You must answer this question if your response to Q2.1 is "Other". If there is no other information to provide, please answer "Not applicable" or "N/A".</p>	
2.3	<p>*The +securities being issued are:</p> <p>Tick whichever is applicable</p>	<p><input checked="" type="checkbox"/> Additional +securities in an existing unquoted class that is already recorded by ASX ("existing class")</p> <p><input type="checkbox"/> New +securities in an unquoted class that is not yet recorded by ASX ("new class")</p>

**Part 3A – number and type of +securities being issued (existing class)**

Answer the questions in this part if your response to Q2.3 is "existing class".

Question No.	Question	Answer
3A.1	*ASX security code & description	RSU
3A.2	*Number of +securities being issued	11,443
3A.3a	*Will the +securities being issued rank equally in all respects from their issue date with the existing issued +securities in that class?	Yes
3A.3b	<p>*Is the actual date from which the +securities will rank equally (non-ranking end date) known?</p> <p>Answer this question if your response to Q3A.3a is "No".</p>	N/A
3A.3c	<p>*Provide the actual non-ranking end date</p> <p>Answer this question if your response to Q3A.3a is "No" and your response to Q3A.3b is "Yes".</p>	N/A
3A.3d	<p>*Provide the estimated non-ranking end period</p> <p>Answer this question if your response to Q3A.3a is "No" and your response to Q3A.3b is "No".</p>	N/A



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Appendix 3G  
Notification of issue, conversion or  
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3A.3e	<p>*Please state the extent to which the +securities do not rank equally:</p> <ul style="list-style-type: none"> <li>• in relation to the next dividend, distribution or interest payment; or</li> <li>• for any other reason</li> </ul> <p>Answer this question if your response to Q3A.3a is "No".</p> <p>For example, the securities may not rank at all, or may rank proportionately based on the percentage of the period in question they have been on issue, for the next dividend, distribution or interest payment; or they may not be entitled to participate in some other event, such as an entitlement issue.</p>	N/A
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Part 3B – number and type of +securities being issued (new class)

Answer the questions in this part if your response to Q2.3 is "new class".

Question No.	Question	Answer
3B.1	*Security description	N/A
3B.2	<p>*Security type</p> <p>Select one item from the list that best describes the securities the subject of this form. This will determine more detailed questions to be asked about the security later in this section. Select "ordinary fully or partly paid shares/units" for stapled securities or CDIs. For interest rate securities, please select the appropriate choice from either "Convertible debt securities" or "Non-convertible debt securities". Select "Other" for performance shares/units and performance options/rights or if the selections available in the list do not appropriately describe the security being issued.</p>	<input type="checkbox"/> Ordinary fully or partly paid shares/units <input type="checkbox"/> Options <input type="checkbox"/> +Convertible debt securities <input type="checkbox"/> Non-convertible +debt securities <input type="checkbox"/> Redeemable preference shares/units <input type="checkbox"/> Other
3B.3	<p>ISIN code</p> <p>Answer this question if you are an entity incorporated outside Australia and you are issuing a new class of securities other than CDIs. See also the note at the top of this form.</p>	N/A
3B.4	*Number of +securities being issued	N/A
3B.5a	*Will all the +securities issued in this class rank equally in all respects from the issue date?	N/A
3B.5b	<p>*Is the actual date from which the +securities will rank equally (non-ranking end date) known?</p> <p>Answer this question if your response to Q3B.5a is "No".</p>	N/A
3B.5c	<p>*Provide the actual non-ranking end date</p> <p>Answer this question if your response to Q3B.5a is "No" and your response to Q3B.5b is "Yes".</p>	N/A
3B.5d	<p>*Provide the estimated non-ranking end period</p> <p>Answer this question if your response to Q3B.5a is "No" and your response to Q3B.5b is "No".</p>	N/A



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**Appendix 3G  
Notification of issue, conversion or  
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3B.5e	<p>*Please state the extent to which the +securities do not rank equally:</p> <ul style="list-style-type: none"> <li>• in relation to the next dividend, distribution or interest payment; or</li> <li>• for any other reason</li> </ul> <p>Answer this question if your response to Q3B.5a is "No".</p> <p>For example, the securities may not rank at all, or may rank proportionately based on the percentage of the period in question they have been on issue, for the next dividend, distribution or interest payment; or they may not be entitled to participate in some other event, such as an entitlement issue.</p>	N/A
3B.6	<p>Please attach a document or provide a URL link for a document lodged with ASX setting out the material terms of the +securities being issued</p> <p>You may cross reference a disclosure document, PDS, information memorandum, investor presentation or other announcement with this information provided it has been released to the ASX Market Announcements Platform.</p>	N/A
3B.7	<p>*Have you received confirmation from ASX that the terms of the +securities are appropriate and equitable under listing rule 6.1?</p> <p>Answer this question only if you are an ASX Listing. (ASX Foreign Exempt Listings and ASX Debt Listings do not have to answer this question).</p> <p>If your response is "No" and the securities have any unusual terms, you should approach ASX as soon as possible for confirmation under listing rule 6.1 that the terms are appropriate and equitable.</p>	N/A
3B.8a	<p><b>Ordinary fully or partly paid shares/units details</b></p> <p>Answer the questions in this section if you selected this security type in your response to Question 3B.2.</p>	
	<p>*+Security currency</p> <p>This is the currency in which the face amount of an issue is denominated. It will also typically be the currency in which distributions are declared.</p>	N/A
	<p>*Will there be CDIs issued over the +securities?</p>	N/A
	<p>*CDI ratio</p> <p>Answer this question if you answered "Yes" to the previous question. This is the ratio at which CDIs can be transmuted into the underlying security (e.g. 4:1 means 4 CDIs represent 1 underlying security whereas 1:4 means 1 CDI represents 4 underlying securities).</p>	N/A
	<p>*Is it a partly paid class of +security?</p>	N/A
	<p>*Paid up amount: unpaid amount</p> <p>Answer this question if answered "Yes" to the previous question.</p> <p>The paid up amount represents the amount of application money and/or calls which have been paid on any security considered 'partly paid'</p> <p>The unpaid amount represents the unpaid or yet to be called amount on any security considered 'partly paid'.</p> <p>The amounts should be provided per the security</p>	N/A

	The amounts should be provided per the security currency (e.g. if the security currency is AUD, then the paid up and unpaid amount per security in AUD).	
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+ See chapter 19 for defined terms  
31 January 2020



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**Appendix 3G  
Notification of issue, conversion or  
payment up of equity +securities**

	<p><b>*Is it a stapled +security?</b> This is a security class that comprises a number of ordinary shares and/or ordinary units issued by separate entities that are stapled together for the purposes of trading.</p>	N/A
<b>3B.8b</b>	<p><b>Option details</b> Answer the questions in this section if you selected this security type in your response to Question 3B.2.</p>	
	<p><b>*+Security currency</b> This is the currency in which the exercise price is payable.</p>	N/A
	<p><b>*Exercise price</b> The price at which each option can be exercised and convert into the underlying security. If there is no exercise price please answer as \$0.00. The exercise price should be provided per the security currency (i.e. if the security currency is AUD, the exercise price should be expressed in AUD).</p>	N/A
	<p><b>*Expiry date</b> The date on which the options expire or terminate.</p>	N/A
	<p><b>*Details of the number and type of +security (including its ASX security code if the +security is quoted on or recorded by ASX) that will be issued if an option is exercised</b> For example, if the option can be exercised to receive one fully paid ordinary share with ASX security code ABC, please insert "One fully paid ordinary share (ASX:ABC)".</p>	N/A
<b>3B.8c</b>	<p><b>Details of non-convertible +debt securities, +convertible debt securities, or redeemable preference shares/units</b> Answer the questions in this section if you selected one of these security types in your response to Question 3B.2. Refer to Guidance Note 34 and the "<a href="#">Guide to the Naming Conventions and Security Descriptions for ASX Quoted Debt and Hybrid Securities</a>" for further information on certain terms used in this section</p>	
	<p><b>*Type of +security</b> Select one item from the list</p>	<input type="checkbox"/> Simple corporate bond <input type="checkbox"/> Non-convertible note or bond <input type="checkbox"/> Convertible note or bond <input type="checkbox"/> Preference share/unit <input type="checkbox"/> Capital note <input type="checkbox"/> Hybrid security <input type="checkbox"/> Other
	<p><b>*+Security currency</b> This is the currency in which the face value of the security is denominated. It will also typically be the currency in which interest or distributions are paid.</p>	N/A
	<p><b>Face value</b> This is the principal amount of each security. The face value should be provided per the security currency (i.e. if security currency is AUD, then the face value per security in AUD).</p>	N/A



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Notification of issue, conversion or  
payment up of equity +securities**

	<p><b>*Interest rate type</b> Select one item from the list Select the appropriate interest rate type per the terms of the security. Definitions for each type are provided in the Guide to the Naming Conventions and Security Descriptions for ASX Quoted Debt and Hybrid Securities</p>	<input type="checkbox"/> Fixed rate <input type="checkbox"/> Floating rate <input type="checkbox"/> Indexed rate <input type="checkbox"/> Variable rate <input type="checkbox"/> Zero coupon/no interest <input type="checkbox"/> Other
	<p><b>Frequency of coupon/interest payments per year</b> Select one item from the list.</p>	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-annual <input type="checkbox"/> Annual <input type="checkbox"/> No coupon/interest payments <input type="checkbox"/> Other
	<p><b>First interest payment date</b> A response is not required if you have selected "No coupon/interest payments" in response to the question above on the frequency of coupon/interest payments</p>	N/A
	N/A	N/A
	<p><b>*Is the interest rate per annum estimated at this time?</b> Answer this question if the interest rate type is fixed.</p>	N/A
	<p><b>If the interest rate per annum is estimated, then what is the date for this information to be announced to the market (if known)</b> Answer this question if the interest rate type is fixed and your response to the previous question is "Yes". Answer "Unknown" if the date is not known at this time.</p>	N/A
	<p><b>*Does the interest rate include a reference rate, base rate or market rate (e.g. BBSW or CPI)?</b> Answer this question if the interest rate type is floating or indexed</p>	N/A
	<p><b>*What is the reference rate, base rate or market rate?</b> Answer this question if the interest rate type is floating or indexed and your response to the previous question is "Yes".</p>	N/A
	<p><b>*Does the interest rate include a margin above the reference rate, base rate or market rate?</b> Answer this question if the interest rate type is floating or indexed.</p>	N/A
	N/A	N/A



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**Appendix 3G  
Notification of issue, conversion or  
payment up of equity +securities**

	<p>*S128F of the Income Tax Assessment Act status applicable to the +security</p> <p>Select one item from the list</p> <p>For financial products which are likely to give rise to a payment to which s128F of the Income Tax Assessment Act applies, ASX requests issuers to confirm the s128F status of the security:</p> <ul style="list-style-type: none"> <li>• "s128F exempt" means interest payments are not taxable to non-residents;</li> <li>• "Not s128F exempt" means interest payments are taxable to non-residents;</li> <li>• "s128F exemption status unknown" means the issuer is unable to advise the status;</li> <li>• "Not applicable" means s128F is not applicable to this security</li> </ul>	<p><input type="checkbox"/> s128F exempt</p> <p><input type="checkbox"/> Not s128F exempt</p> <p><input type="checkbox"/> s128F exemption status unknown</p> <p><input type="checkbox"/> Not applicable</p>
	<p>*Is the +security perpetual (i.e. no maturity date)?</p>	<p>N/A</p>
	<p>*Maturity date</p> <p>Answer this question if the security is not perpetual</p>	<p>N/A</p>
	<p>*Select other features applicable to the +security</p> <p>Up to 4 features can be selected. Further information is available in the Guide to the Naming Conventions and Security Descriptions for ASX Quoted Debt and Hybrid Securities.</p>	<p><input type="checkbox"/> Simple</p> <p><input type="checkbox"/> Subordinated</p> <p><input type="checkbox"/> Secured</p> <p><input type="checkbox"/> Converting</p> <p><input type="checkbox"/> Convertible</p> <p><input type="checkbox"/> Transformable</p> <p><input type="checkbox"/> Exchangeable</p> <p><input type="checkbox"/> Cumulative</p> <p><input type="checkbox"/> Non-Cumulative</p> <p><input type="checkbox"/> Redeemable</p> <p><input type="checkbox"/> Extendable</p> <p><input type="checkbox"/> Reset</p> <p><input type="checkbox"/> Step-Down</p> <p><input type="checkbox"/> Step-Up</p> <p><input type="checkbox"/> Stapled</p> <p><input type="checkbox"/> None of the above</p>
	<p>*Is there a first trigger date on which a right of conversion, redemption, call or put can be exercised (whichever is first)?</p>	<p>N/A</p>
	<p>*If yes, what is the first trigger date</p> <p>Answer this question if your response to the previous question is "Yes".</p>	<p>N/A</p>
	<p>Details of the number and type of +security (including its ASX security code if the +security is quoted on ASX) that will be issued if the securities to be quoted are converted, transformed or exchanged</p> <p>Answer this question if the security features include "converting", "convertible", "transformable" or "exchangeable".</p> <p>For example, if the security can be converted into 1,000 fully paid ordinary shares with ASX security code ASX:FOO, then the answer would be 1,000 of ASX:FOO.</p>	<p>N/A</p>

	code ABC, please insert "1,000 fully paid ordinary shares (ASX:ABC)".	
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+ See chapter 19 for defined terms  
31 January 2020

Page 9

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Appendix 3G  
Notification of issue, conversion or  
payment up of equity +securities

Part 4 – Issue details

Question No.	Question	Answer
4.1	*Have the +securities been issued yet?	Yes
4.1a	*What was their date of issue? Answer this question if your response to Q4.1 is "Yes".	25 February 2020 (US time)
4.1b	*What is their proposed date of issue? Answer this question if your response to Q4.1 is "No".	N/A
4.2	*Are the +securities being issued for a cash consideration? If the securities are being issued for nil cash consideration, answer this question "No".	No
4.2a	*In what currency is the cash consideration being paid For example, if the consideration is being paid in Australian Dollars, state AUD. Answer this question if your response to Q4.2 is "Yes".	N/A
4.2b	*What is the issue price per +security Answer this question if your response to Q4.2 is "Yes" and by reference to the issue currency provided in your response to Q4.2a. Note: you cannot enter a nil amount here. If the securities are being issued for nil cash consideration, answer Q4.2 as "No" and complete Q4.2c.	N/A
4.2c	Please describe the consideration being provided for the +securities Answer this question if your response to Q4.2 is "No".	Total of 11,443 RSUs granted as follows: <ul style="list-style-type: none"> <li>• grant of 4,767 ROCE RSUs, under the 2006 LTI Plan as part of the LTI received by a senior executive for FY20; and</li> <li>• grant of 6,676 Relative TSR RSUs, under the 2006 LTI Plan as part of the LTI received by a senior executive for FY20.</li> </ul>
4.3	Any other information the entity wishes to provide about the issue	N/A





## Part 5 – Unquoted +securities on issue

<p>Following the issue of the +securities the subject of this application, the unquoted issued +securities of the entity will comprise:</p> <p>Note: the figures provided in the table in section 5.1 below are used to calculate part of the total market capitalisation of the entity published by ASX from time to time. Please make sure you include in the table each class of unquoted securities issued by the entity.</p> <p>Restricted securities should be included in table 5.1.</p>							
5.1	<table border="1"> <thead> <tr> <th>*ASX security code and description</th> <th>*Total number of +securities on issue</th> </tr> </thead> <tbody> <tr> <td>2001 Plan RSUs</td> <td> <p>524,157 (equivalent to 524,157 CDIs)</p> <p>16,349 2001 Plan RSUs have been cancelled.</p> </td> </tr> <tr> <td>2006 Plan RSUs</td> <td> <p>2,866,361 (equivalent to 2,866,361 CDIs)</p> <p>No 2006 Plan RSUs have been cancelled.</p> </td> </tr> </tbody> </table>	*ASX security code and description	*Total number of +securities on issue	2001 Plan RSUs	<p>524,157 (equivalent to 524,157 CDIs)</p> <p>16,349 2001 Plan RSUs have been cancelled.</p>	2006 Plan RSUs	<p>2,866,361 (equivalent to 2,866,361 CDIs)</p> <p>No 2006 Plan RSUs have been cancelled.</p>
*ASX security code and description	*Total number of +securities on issue						
2001 Plan RSUs	<p>524,157 (equivalent to 524,157 CDIs)</p> <p>16,349 2001 Plan RSUs have been cancelled.</p>						
2006 Plan RSUs	<p>2,866,361 (equivalent to 2,866,361 CDIs)</p> <p>No 2006 Plan RSUs have been cancelled.</p>						

## Part 6 – Other Listing Rule requirements

The questions in this Part should only be answered if you are an ASX Listing (ASX Foreign Exempt Listings and ASX Debt Listings do not need to complete this Part) and:

- your response to Q2.1 is "+securities issued under an +employee incentive scheme that are not being immediately quoted on ASX"; or
- your response to Q2.1 is "Other"

Question No.	Question	Answer
6.1	<p>*Are the securities being issued under Listing Rule 7.2 exception 13<sup>1</sup> and therefore the issue does not need any security holder approval under Listing Rule 7.1?</p> <p>Answer this question if your response to Q2.1 is "securities issued under an employee incentive scheme that are not being immediately quoted on ASX".</p>	Yes

<sup>1</sup> Exception 13 An issue of securities under an employee incentive scheme if within 3 years before the issue date:

- (a) in the case of a scheme established before the entity was listed – a summary of the terms of the scheme and the maximum number of equity securities proposed to be issued under the scheme were set out in the prospectus, PDS or information memorandum lodged with ASX under rule 1.1 condition 3; or
- (b) the holders of the entity's ordinary securities have approved the issue of equity securities under the scheme as an exception to this rule. The notice of meeting must have included:
  - a summary of the terms of the scheme.
  - the number of securities issued under the scheme since the entity was listed or the date of the last approval under this rule;
  - the maximum number of +equity securities proposed to be issued under the scheme following the

approval; and

- a voting exclusion statement.

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+ See chapter 19 for defined terms  
31 January 2020

Page 11

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**Appendix 3G  
Notification of issue, conversion or  
payment up of equity +securities**

6.2	<p>*Has the entity obtained, or is it obtaining, +security holder approval for the issue under listing rule 7.1? Answer this question if the response to Q6.1 is "No".</p>	N/A
6.2a	<p>*Date of meeting or proposed meeting to approve the issue under listing rule 7.1 Answer this question if the response to Q6.1 is "No" and the response to Q6.2 is "Yes".</p>	N/A
6.2b	<p>*Are any of the +securities being issued without +security holder approval using the entity's 15% placement capacity under listing rule 7.1? Answer this question if the response to Q6.1 is "No" and the response to Q6.2 is "No".</p>	N/A
6.2b.1	<p>*How many +securities are being issued without +security holder approval using the entity's 15% placement capacity under listing rule 7.1? Answer this question if the response to Q6.1 is "No", the response to Q6.2 is "No" and the response to Q6.2b is "Yes". Please complete and separately send by email to your ASX listings adviser a work sheet in the form of Annexure B to Guidance Note 21 confirming the entity has the available capacity under listing rule 7.1 to issue that number of securities.</p>	N/A
6.2c	<p>*Are any of the +securities being issued without +security holder approval using the entity's additional 10% placement capacity under listing rule 7.1A (if applicable)? Answer this question if the response to Q6.1 is "No" and the response to Q6.2 is "No".</p>	N/A
6.2c.1	<p>*How many +securities are being issued without +security holder approval using the entity's additional 10% placement capacity under listing rule 7.1A? Answer this question if the response to Q6.1 is "No", the response to Q6.2 is "No" and the response to Q6.2c is "Yes". Please complete and separately send by email to your ASX listings adviser a work sheet in the form of Annexure C to Guidance Note 21 confirming the entity has the available capacity under listing rule 7.1A to issue that number of securities.</p>	N/A

Introduced 01/12/19; amended 31/01/20

Exception 13 is only available if and to the extent that the number of +equity securities issued under the scheme does not exceed the maximum number set out in the entity's prospectus, PDS or information memorandum (in the case of (a) above) or in the notice of meeting (in the case of (b) above).

Exception 13 ceases to be available if there is a material change to the terms of the scheme from those set out in the

entity's prospectus, PDS or information memorandum (in the case of (a) above) or in the notice of meeting (in the case of (b) above).

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+ See chapter 19 for defined terms  
31 January 2020

Page 12

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