

**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 June 2021

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. James Hardie Industries plc (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 the effect and consequences of the COVID-19 public health crisis;
- 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 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 or housing market conditions in the regions in which we operate, including but not limited to, 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 18 May 2021, 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 funding and the effect of currency exchange rate movements on the amount recorded in the Company's financial statements as an asbestos liability; 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; 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; dependence on residential and commercial construction markets; the effect of adverse changes in climate or weather patterns; use of accounting estimates; risk and uncertainties arising out of the COVID-19 public health crisis, including the impact of COVID-19 on our business, sales, results of operations and financial condition 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

Exhibit No.	Description
<a href="#">99.1</a>	Appendix 2A
<a href="#">99.2</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: 21 June 2021

**James Hardie Industries plc**  
By: /s/ Joseph C. Blasko

Joseph C. Blasko  
General Counsel, Chief Compliance Officer  
and Company Secretary

## EXHIBIT INDEX

Exhibit No.	Description
<a href="#">99.1</a>	Appendix 2A
<a href="#">99.2</a>	Appendix 3G

This appendix is not available as an online form  
Please fill in and submit as a PDF announcement

+Rule 2.7

## Appendix 2A

### Application for quotation of +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 seeking quotation of 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) apply for +quotation of the following +securities and agree to the matters set out in Appendix 2A of the ASX Listing Rules. <sup>1</sup>	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

<sup>1</sup> Appendix 2A of the Listing Rules includes a warranty that an offer of the securities for sale within 12 months after their issue will not require disclosure under section 707(3) or 1012C(6) of the Corporations Act. If the securities to be quoted have been issued by way of a pro rata offer, to give this warranty, you will generally need to have lodged a cleansing notice with ASX under section 708AA(2)(b) or 1012DAA(2)(b) of the Corporations Act within 24 hours before the securities are offered (see





1.5	*Date of this announcement	15 June 2021
-----	----------------------------	--------------

## Part 2 – Type of issue

Question No.	Question	Answer
2.1	<p>*The +securities to be quoted are:</p> <p>Select whichever item is applicable.</p> <p>If you wish to apply for quotation of different types of issues of securities, please complete a separate Appendix 2A for each type of issue.</p>	<p><input type="checkbox"/> Being issued as part of a transaction or transactions previously announced to the market in an Appendix 3B</p> <p><input type="checkbox"/> Being issued under a +dividend or distribution plan</p> <p><input type="checkbox"/> Being issued as a result of options being exercised or other +convertible securities being converted</p> <p><input type="checkbox"/> Unquoted partly paid +securities that have been paid up and are now quoted fully paid +securities</p> <p><input type="checkbox"/> +Restricted securities where the escrow period has expired or is about to expire</p> <p><input type="checkbox"/> +Securities previously issued under an +employee incentive scheme where the restrictions on transfer have ceased or are about to cease</p> <p><input checked="" type="checkbox"/> +Securities issued under an +employee incentive scheme that are not subject to a restriction on transfer or that are to be quoted notwithstanding there is a restriction on transfer</p> <p><input type="checkbox"/> Other</p>
2.2a.1	<p>*Date of Appendix 3B notifying the market of the proposed issue of +securities for which quotation is now being sought</p> <p>Answer this question if your response to Q2.1 is "Being issued as part of a transaction or transactions previously announced to the market in an Appendix 3B"</p>	N/A
2.2a.2	<p>*Are there any further issues of +securities yet to take place to complete the transaction(s) referred to in the Appendix 3B?</p> <p>Answer this question if your response to Q2.1 is "Being issued as part of a transaction or transactions previously announced to the market in an Appendix 3B".</p>	N/A



**This appendix is not available as an online form  
Please fill in and submit as a PDF announcement**

**Appendix 2A  
Application for quotation of +securities**

2.2a.2.1	<p><b>*Please provide details of the further issues of +securities yet to take place to complete the transaction(s) referred to in the Appendix 3B</b></p> <p>Answer this question if your response to Q2.1 is "Being issued as part of a transaction or transactions previously announced to the market in an Appendix 3B" and your response to Q2.2a.2 is "Yes".</p> <p>Please provide details of the proposed dates and number of securities for the further issues. This may be the case, for example, if the Appendix 3B related to an accelerated pro rata offer with an institutional component being quoted on one date and a retail component being quoted on a later date.</p>	N/A
2.2b.1	<p><b>*Date of Appendix 3A.1 lodged with ASX in relation to the underlying +dividend or distribution</b></p> <p>Answer this question if your response to Q2.1 is "Being issued under a dividend or distribution plan".</p>	N/A
2.2b.2	<p><b>*Does the +dividend or distribution plan meet the requirement of listing rule 7.2 exception 4 that it does not impose a limit on participation?</b></p> <p>Answer this question if your response to Q2.1 is "Being issued under a dividend or distribution plan".</p> <p>Note: Exception 4 only applies where security holders are able to elect to receive all of their dividend or distribution as securities. For example, Exception 4 would not apply in the following circumstances: 1) The entity has specified a dollar limit on the level of participation e.g. security holders can only participate to a maximum value of \$x in respect of their entitlement, or 2) The entity has specified a maximum number of securities that can participate in the plan e.g. security holders can only receive securities in lieu of dividend payable for x number of securities.</p>	N/A
2.2c.1	<p><b>Please state the number and type of options that were exercised or other +convertible securities that were converted (including their ASX security code)</b></p> <p>Answer this question if your response to Q2.1 is "Being issued as a result of options being exercised or other convertible securities being converted".</p>	N/A
2.2c.2	<p><b>And the date the options were exercised or other +convertible securities were converted</b></p> <p>Answer this question if your response to Q2.1 is "Being issued as a result of options being exercised or other convertible securities being converted".</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
2.2d.1	<p><b>Please state the number and type of partly paid +securities (including their ASX security code) that were fully paid up</b></p> <p>Answer this question if your response to Q2.1 is "Unquoted partly paid securities that have been paid up and are now quoted fully paid securities".</p>	N/A



**This appendix is not available as an online form  
Please fill in and submit as a PDF announcement**

**Appendix 2A  
Application for quotation of +securities**

2.2d.2	<p>And the date the +securities were fully paid up</p> <p>Answer this question if your response to Q2.1 is "Unquoted partly paid securities that have been paid up and are now quoted fully paid securities".</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
2.2e.1	<p>Please state the number and type of +restricted securities (including their ASX security code) where the escrow period has expired or is about to expire</p> <p>Answer this question if your response to Q2.1 is "Restricted securities where the escrow period has expired or is about to expire".</p>	N/A
2.2e.2	<p>And the date the escrow restrictions have ceased or will cease</p> <p>Answer this question if your response to Q2.1 is "Restricted securities where the escrow period has expired or is about to expire".</p> <p>Note: If this occurred over a range of dates, enter the date the last of the escrow restrictions has ceased or will cease.</p>	N/A
2.2f.1	<p>Please state the number and type of +securities (including their ASX security code) previously issued under the +employee incentive scheme where the restrictions on transfer have ceased or are about to cease</p> <p>Answer this question if your response to Q2.1 is "Securities previously issued under an employee incentive scheme where the restrictions on transfer have ceased or are about to cease".</p>	N/A
2.2f.2	<p>And the date the restrictions on transfer have ceased or will cease:</p> <p>Answer this question if your response to Q2.1 is "Securities previously issued under an employee incentive scheme where the restrictions on transfer have ceased or are about to cease".</p> <p>Note: If this occurred over a range of dates, enter the date the last of the restrictions on transfer has ceased or will cease.</p>	N/A
2.2g.1	<p>Please state the number and type of +securities (including their ASX security code) issued under an +employee incentive scheme that are not subject to a restriction on transfer or that are to be quoted notwithstanding there is a restriction on transfer</p> <p>Answer this question if your response to Q2.1 is "Securities issued under an employee incentive scheme that are not subject to a restriction on transfer or that are to be quoted notwithstanding there is a restriction on transfer".</p>	<p>Issue of 77,617 Ordinary Shares/CDIs. As a result:</p> <p>77,617 RSUs vesting pursuant to the James Hardie Industries 2001 Equity Incentive Plan (2001 Plan).</p>



2.2g.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 subject to a restriction on transfer or that are to be quoted notwithstanding there is a restriction on transfer".</p>	<p>Refer to 2001 Plan <a href="https://ir.jameshardie.com.au/public/download.jsp?id=5562">https://ir.jameshardie.com.au/public/download.jsp?id=5562</a></p>						
2.2g.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 subject to a restriction on transfer or that are to be quoted notwithstanding there is a restriction on transfer".</p>	No						
2.2g.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 subject to a restriction on transfer or that are to be quoted notwithstanding there is a restriction on transfer" and your response to Q2.2g.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 1073 1256 1224"> <thead> <tr> <th data-bbox="423 1073 821 1150">Name of KMP</th><th data-bbox="821 1073 1068 1150">Name of registered holder</th><th data-bbox="1068 1073 1256 1150">Number of +securities</th></tr> </thead> <tbody> <tr> <td data-bbox="423 1150 821 1224"></td><td data-bbox="821 1150 1068 1224"></td><td data-bbox="1068 1150 1256 1224"></td></tr> </tbody> </table>		Name of KMP	Name of registered holder	Number of +securities			
Name of KMP	Name of registered holder	Number of +securities						
2.2h.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>						
2.2h.2	<p>*Please provide any further information needed to understand the circumstances in which you are applying to have these +securities quoted on 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>	N/A						





**This appendix is not available as an online form  
Please fill in and submit as a PDF announcement**

**Appendix 2A  
Application for quotation of +securities**

2.2i	<p><b>*Are these +securities being offered under a +disclosure document or +PDS?</b></p> <p>Answer this question if your response to Q2.1 is any option other than "Being issued as part of a transaction or transactions previously announced to the market in an Appendix 3B".</p>	N/A
2.2i.1	<p><b>*Date of +disclosure document or +PDS?</b></p> <p>Answer this question if your response to Q2.1 is any option other than "Being issued as part of a transaction or transactions previously announced to the market in an Appendix 3B" and your response to Q2.2i is "Yes".</p> <p>Under the Corporations Act, the entity must apply for quotation of the securities within 7 days of the date of the disclosure document or PDS.</p>	N/A
2.3	<p><b>*The +securities to be quoted are:</b></p> <p>Tick whichever is applicable</p>	<p><input checked="" type="checkbox"/> Additional +securities in a class that is already quoted on ASX ("existing class")</p> <p><input type="checkbox"/> New +securities in a class that is not yet quoted on ASX ("new class")</p>

### Part 3A – number and type of +securities to be quoted (existing class or new class) where issue has previously been notified to ASX in an Appendix 3B

Answer the questions in this Part if your response to Q2.1 is "Being issued as part of a transaction or transactions previously announced to the market in an Appendix 3B" and your response to Q2.3 is "existing class" or "new class".

Question No.	Question	Answer
3A.1	*ASX security code & description	N/A
3A.2	*Number of +securities to be quoted	N/A

### Part 3B – number and type of +securities to be quoted (existing class) where issue has not previously been notified to ASX in an Appendix 3B

Answer the questions in this Part if your response to Q2.1 is anything other than "Being issued as part of a transaction or transactions previously announced to the market in an Appendix 3B" and your response to Q2.3 is "existing class".

Question No.	Question	Answer
3B.1	*ASX security code & description	Ordinary Shares/CDIs
3B.2	*Number of +securities to be quoted	77,617
3B.3a	*Will the +securities to be quoted rank equally in all respects from their issue date with the existing issued +securities in that class?	Yes
3B.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 Q3B.3a is "No".</p>	N/A
3B.3c	*Provide the actual non-ranking end date	N/A

	Answer this question if your response to Q3B.3a is "No" and your response to Q3B.3b is "Yes".	
--	--	--

---

+ See chapter 19 for defined terms  
31 January 2020

Page 6

---

**This appendix is not available as an online form  
Please fill in and submit as a PDF announcement**

**Appendix 2A  
Application for quotation of +securities**

3B.3d	<p><b>*Provide the estimated non-ranking end period</b></p> <p>Answer this question if your response to Q3B.3a is "No" and your response to Q3B.3b is "No".</p>	N/A
3B.3e	<p><b>*Please state the extent to which the +securities do not rank equally:</b></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.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

### Part 3C – number and type of +securities to be quoted (new class) where issue has not previously been notified to ASX in an Appendix 3B

Answer the questions in this Part if your response to Q2.1 is anything other than "Being issued as part of a transaction or transactions previously announced to the market in an Appendix 3B" and your response to Q2.3 is "new class".

Question No.	Question	Answer
3C.1	<b>*Security description</b>	
3C.2	<p><b>*Security type</b></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
3C.3	<p><b>ISIN code</b></p> <p>Answer this question if you are an entity incorporated outside Australia and you are seeking quotation of a new class of securities other than CDIs. See also the note at the top of this form.</p>	N/A
3C.4	<b>*Number of +securities to be quoted</b>	N/A
3C.5a	<b>*Will all the +securities issued in this class rank equally in all respects from the issue date?</b>	N/A
3C.5b	N/A	N/A
3C.5c	<p><b>*Provide the actual non-ranking end date</b></p> <p>Answer this question if your response to Q3C.5a is "No" and your response to Q3C.5b is "Yes".</p>	N/A
3C.5d	<p><b>*Provide the estimated non-ranking end period</b></p> <p>Answer this question if your response to Q3C.5a is "No" and your response to Q3C.5b is "No".</p>	N/A

	no and your response to question is no.	
--	---	--

---

+ See chapter 19 for defined terms  
31 January 2020

Page 7

---

**Appendix 2A**

**Application for quotation of +securities**

3C.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 Q3C.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																		
3C.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 to be quoted</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																		
3C.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																		
3C.8	<p>*Provide a distribution schedule for the new +securities according to the categories set out in the left hand column – including the number of recipients and the total percentage of the new +securities held by the recipients in each category.</p> <table><tr><th>Number of +securities held</th><th>Number of holders</th><th>Total percentage of +securities held</th></tr><tr><td>1 – 1,000</td><td></td><td></td></tr><tr><td>1,001 – 5,000</td><td></td><td></td></tr><tr><td>5,001 – 10,000</td><td></td><td></td></tr><tr><td>10,001 – 100,000</td><td></td><td></td></tr><tr><td>100,001 and over</td><td></td><td></td></tr></table> <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) and the securities to be quoted have already been issued.</p> <p>Note: if the securities to be quoted have not yet been issued, under listing rule 3.10.5, you will need to provide to ASX a list of the 20 largest recipients of the new +securities, and the number and percentage of the new +securities received by each of those recipients, and a distribution schedule for the securities when they are issued.</p>		Number of +securities held	Number of holders	Total percentage of +securities held	1 – 1,000			1,001 – 5,000			5,001 – 10,000			10,001 – 100,000			100,001 and over		
Number of +securities held	Number of holders	Total percentage of +securities held																		
1 – 1,000																				
1,001 – 5,000																				
5,001 – 10,000																				
10,001 – 100,000																				
100,001 and over																				



This appendix is not available as an online form  
Please fill in and submit as a PDF announcement

Appendix 2A  
Application for quotation of +securities

3C.9a	<b>Ordinary fully or partly paid shares/units details</b> Answer the questions in this section if you selected this security type in your response to Question 3C.2.	
	<b>*+Security currency</b> 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.	N/A
	<b>*Will there be CDIs issued over the +securities?</b>	N/A
	<b>*CDI ratio</b> 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).	N/A
	<b>*Is it a partly paid class of +security?</b>	N/A
	<b>*Paid up amount: unpaid amount</b> Answer this question if answered "Yes" to the previous question. The paid up amount represents the amount of application money and/or calls which have been paid on any security considered 'partly paid' The unpaid amount represents the unpaid or yet to be called amount on any security considered 'partly paid'. 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).	N/A
	<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.	N/A
3C.9b	<b>Option details</b> Answer the questions in this section if you selected this security type in your response to Question 3C.2.	
	<b>*+Security currency</b> This is the currency in which the exercise price is payable.	N/A
	<b>*Exercise price</b> The price at which each option can be exercised and convert into the underlying security. 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).	N/A
	<b>*Expiry date</b> The date on which the options expire or terminate.	N/A
	<b>*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 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)".	N/A





3C.9c	<p><b>Details of non-convertible +debt securities, +convertible debt securities, or redeemable preference shares/units</b></p> <p>Answer the questions in this section if you selected one of these security types in your response to Question 3C.2.</p> <p>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> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p><input type="checkbox"/> Simple corporate bond</p> <p><input type="checkbox"/> Non-convertible note or bond</p> <p><input type="checkbox"/> Convertible note or bond</p> <p><input type="checkbox"/> Preference share/unit</p> <p><input type="checkbox"/> Capital note</p> <p><input type="checkbox"/> Hybrid security</p> <p><input type="checkbox"/> Other</p> </div> </div>
	<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> <p>N/A</p>
	<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> <p>N/A</p>
	<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> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p><input type="checkbox"/> Fixed rate</p> <p><input type="checkbox"/> Floating rate</p> <p><input type="checkbox"/> Indexed rate</p> <p><input type="checkbox"/> Variable rate</p> <p><input type="checkbox"/> Zero coupon/no interest</p> <p><input type="checkbox"/> Other</p> </div> </div>
	<p><b>Frequency of coupon/interest payments per year</b> Select one item from the list.</p> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p><input type="checkbox"/> Monthly</p> <p><input type="checkbox"/> Quarterly</p> <p><input type="checkbox"/> Semi-annual</p> <p><input type="checkbox"/> Annual</p> <p><input type="checkbox"/> No coupon/interest payments</p> <p><input type="checkbox"/> Other</p> </div> </div>
	<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>
	<p><b>Interest rate per annum</b> Answer this question if the interest rate type is fixed.</p> <p>N/A</p>
	<p><b>*Is the interest rate per annum estimated at this time?</b> Answer this question if the interest rate type is fixed.</p> <p>N/A</p>
	<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".</p> <p>N/A</p>



**This appendix is not available as an online form  
Please fill in and submit as a PDF announcement**

**Appendix 2A  
Application for quotation of +securities**

	<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
	<p><b>*What is the margin above the reference rate, base rate or market rate (expressed as a percent per annum)</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>*S128F of the Income Tax Assessment Act status applicable to the +security</b> Select one item from the list 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>	<input type="checkbox"/> s128F exempt <input type="checkbox"/> Not s128F exempt <input type="checkbox"/> s128F exemption status unknown <input type="checkbox"/> Not applicable
	<p><b>*Is the +security perpetual (i.e. no maturity date)?</b></p>	N/A
	<p><b>*Maturity date</b> Answer this question if the security is not perpetual</p>	N/A



**This appendix is not available as an online form  
Please fill in and submit as a PDF announcement**

**Appendix 2A  
Application for quotation of +securities**

	<p><b>*Select other features applicable to the +security</b> 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>	<input type="checkbox"/> Simple <input type="checkbox"/> Subordinated <input type="checkbox"/> Secured <input type="checkbox"/> Converting <input type="checkbox"/> Convertible <input type="checkbox"/> Transformable <input type="checkbox"/> Exchangeable <input type="checkbox"/> Cumulative <input type="checkbox"/> Non-Cumulative <input type="checkbox"/> Redeemable <input type="checkbox"/> Extendable <input type="checkbox"/> Reset <input type="checkbox"/> Step-Down <input type="checkbox"/> Step-Up <input type="checkbox"/> Stapled <input type="checkbox"/> None of the above
	<p><b>*Is there a first trigger date on which a right of conversion, redemption, call or put can be exercised (whichever is first)?</b></p>	N/A
	<p><b>*If yes, what is the first trigger date</b> Answer this question if your response to the previous question is "Yes".</p>	N/A
	<p><b>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</b> Answer this question if the security features include "converting", "convertible", "transformable" or "exchangeable". For example, if the security can be converted into 1,000 fully paid ordinary shares with ASX security code ABC, please insert "1,000 fully paid ordinary shares (ASX:ABC)".</p>	N/A

## Part 4 – Issue details

Question No.	Question	Answer
4.1	<b>*Have the +securities to be quoted been issued yet?</b>	Yes
4.1a	<b>*What was their date of issue?</b> Answer this question if your response to Q4.1 is "Yes".	9 June 2021 (US Time)/10 June 2021 (AU Time)
4.1b	<b>*What is their proposed date of issue?</b> Answer this question if your response to Q4.1 is "No".	N/A
4.2	<b>*Are the +securities to be quoted being issued for a cash consideration?</b> If the securities are being issued for nil cash consideration, answer this question "No".	No

---

This appendix is not available as an online form  
Please fill in and submit as a PDF announcement

Appendix 2A  
Application for quotation of +securities

4.2a	<p>*In what currency is the cash consideration being paid</p> <p>For example, if the consideration is being paid in Australian Dollars, state AUD.</p> <p>Answer this question if your response to Q4.2 is "Yes".</p>	N/A
4.2b	<p>*What is the issue price per +security</p> <p>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.</p> <p>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 and Q4.2d.</p>	N/A
4.2c	<p>Please describe the consideration being provided for the +securities to be quoted</p> <p>Answer this question if your response to Q4.2 is "No".</p>	<p>Vesting of RSUs:</p> <p>77,617 RSUs vesting pursuant to the James Hardie Industries 2001 Equity Incentive Plan (2001 Plan).</p>
4.2d	<p>Please provide an estimate (in AUD) of the value of the consideration being provided per +security for the +securities to be quoted</p> <p>Answer this question if your response to Q4.2 is "No".</p>	An amount equal to the average trading price of securities on 9 June 2021 (AU time)
4.3	Any other information the entity wishes to provide about the issue	N/A

## Part 5 – Issued capital following quotation

<p>Following the quotation of the +securities the subject of this application, the issued capital of the entity will comprise:</p> <p>Note: the figures provided in the tables in sections 5.1 and 5.2 below are used to calculate the total market capitalisation of the entity published by ASX from time to time. Please make sure you include in the relevant table each class of securities issued by the entity.</p> <p>If you have quoted CHESS Depository Interests (CDIs) issued over your securities, include them in the table in section 5.1 and include in the table in section 5.2 any securities that do not have CDIs issued over them (and therefore are not quoted on ASX).</p> <p>Restricted securities should only be included in the table in section 5.1 if you are applying to have them quoted because the escrow period for the securities has expired or is about to expire. Otherwise include them in the table in section 5.2.</p>									
5.1	<p><b>*Quoted +securities</b> (total number of each +class of +securities quoted on ASX following the +quotation of the +securities the subject of this application)</p> <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>Ordinary shares/CDIs</td><td>444,366,491</td></tr> <tr> <td> </td><td> </td></tr> <tr> <td> </td><td> </td></tr> </tbody> </table>	ASX security code and description	Total number of +securities on issue	Ordinary shares/CDIs	444,366,491				
ASX security code and description	Total number of +securities on issue								
Ordinary shares/CDIs	444,366,491								





5.2	<b>*Unquoted +securities</b> (total number of each +class of +securities issued but not quoted on ASX):	
	ASX security code and description	Total number of +securities on issue
	2001 Plan RSUs	497,952 (equivalent to 497,952 CDIs) 18,381 2001 Plan RSUs have been cancelled
	2006 Plan RSUs	2,013,210 (equivalent to 2,013,210 CDIs) No 2006 Plan RSUs have been cancelled

## 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 "Being issued under a dividend/distribution plan" and the response to Q2.2b.2 is "No"; or
- your response to Q2.1 is "Other".

Note that if your response to Q2.1 is "Being issued as part of a transaction or transactions previously announced to the market in an Appendix 3B", it is assumed that you will have provided the information referred to in this Part in the Appendix 3B.

Question No.	Question	Answer
6.1	*Has the entity obtained, or is it obtaining, +security holder approval for the issue under listing rule 7.1?	N/A
6.1a	*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 "Yes".	N/A
6.1b	*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".	N/A
6.1b.1	*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" and the response to Q6.1b 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.	N/A
6.1c	*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".	N/A



**This appendix is not available as an online form  
Please fill in and submit as a PDF announcement**

**Appendix 2A  
Application for quotation of +securities**

6.1c.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?</p> <p>Answer this question if the response to Q6.1 is "No" and the response to Q6.1c is "Yes".</p> <p>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





This appendix is not available as an online form  
Please fill in and submit as a PDF announcement

+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	<b>*Name of entity</b> 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	<b>*Registration type and number</b> 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	<b>*ASX issuer code</b>	JHX
1.4	<b>*This announcement is</b> 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	<b>*Reason for update</b> Mandatory only if "Update" ticked in Q1.4 above. A reason must be provided for an update.	N/A
1.4b	<b>*Date of previous announcement to this update</b> Mandatory only if "Update" ticked in Q1.4 above.	N/A
1.4c	<b>*Reason for cancellation</b> Mandatory only if "Cancellation" ticked in Q1.4 above.	N/A
1.4d	<b>*Date of previous announcement to this cancellation</b> Mandatory only if "Cancellation" ticked in Q1.4 above.	N/A
1.5	<b>*Date of this announcement</b>	9 June 2021





This appendix is not available as an online form  
Please fill in and submit as a PDF announcement

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

**Part 2 – Type of issue**

Question No.	Question	Answer
2.1	<p>*The +securities the subject of this notification are:</p> <p>Select whichever item is applicable.</p> <p>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]</p> <p>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



This appendix is not available as an online form  
Please fill in and submit as a PDF announcement

**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>216,220 Restricted Stock Units (<b>RSUs</b>) being contractual entitlements granted to employees under the James Hardie Industries 2001 Equity Incentive Plan (2001 Plan) to be issued ordinary shares/CDIs upon satisfaction of certain conditions.</p>						
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 2001 Plan <a href="https://ir.jameshardie.com.au/public/download.jsp?id=5562">https://ir.jameshardie.com.au/public/download.jsp?id=5562</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>	No						
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"> <thead> <tr> <th>Name of KMP</th><th>Name of registered holder</th><th>Number of +securities</th></tr> </thead> <tbody> <tr> <td>N/A</td><td></td><td></td></tr> </tbody> </table>		Name of KMP	Name of registered holder	Number of +securities	N/A		
Name of KMP	Name of registered holder	Number of +securities						
N/A								
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>	N/A						



This appendix is not available as an online form  
Please fill in and submit as a PDF announcement

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

2.3	<p>*The +securities being issued are: 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	216,220 RSUs under the 2001 Plan
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
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

**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



**This appendix is not available as an online form  
Please fill in and submit as a PDF announcement**

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

3B.2	<p><b>*Security type</b></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><b>ISIN code</b></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	<p><b>*Number of +securities being issued</b></p>	N/A
3B.5a	<p><b>*Will all the +securities issued in this class rank equally in all respects from the issue date?</b></p>	N/A
3B.5b	<p><b>*Is the actual date from which the +securities will rank equally (non-ranking end date) known?</b></p> <p>Answer this question if your response to Q3B.5a is "No".</p>	N/A
3B.5c	<p><b>*Provide the actual non-ranking end date</b></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><b>*Provide the estimated non-ranking end period</b></p> <p>Answer this question if your response to Q3B.5a is "No" and your response to Q3B.5b is "No".</p>	N/A
3B.5e	<p><b>*Please state the extent to which the +securities do not rank equally:</b></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><b>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</b></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





This appendix is not available as an online form  
Please fill in and submit as a PDF announcement

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

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 currency (e.g. if the security currency is AUD, then the paid up and unpaid amount per security in AUD).</p>	N/A
	<p>*Is it a stapled +security?</p> <p>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
3B.8b	<p><b>Option 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 exercise price is payable.</p>	N/A
	<p>*Exercise price</p> <p>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.</p> <p>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>*Expiry date</p> <p>The date on which the options expire or terminate.</p>	N/A



This appendix is not available as an online form  
Please fill in and submit as a PDF announcement

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

	<p>*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</p> <p>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
3B.8c	<p><b>Details of non-convertible +debt securities, +convertible debt securities, or redeemable preference shares/units</b></p> <p>Answer the questions in this section if you selected one of these security types in your response to Question 3B.2.</p> <p>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></p> <p>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></p> <p>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></p> <p>This is the principal amount of each security.</p> <p>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
	<p><b>*Interest rate type</b></p> <p>Select one item from the list</p> <p>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></p> <p>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></p> <p>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



**This appendix is not available as an online form  
Please fill in and submit as a PDF announcement**

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

	<p>*Is the interest rate per annum estimated at this time?</p> <p>Answer this question if the interest rate type is fixed.</p>	N/A
	<p>If the interest rate per annum is estimated, then what is the date for this information to be announced to the market (if known)</p> <p>Answer this question if the interest rate type is fixed and your response to the previous question is "Yes".</p> <p>Answer "Unknown" if the date is not known at this time.</p>	N/A
	<p>*Does the interest rate include a reference rate, base rate or market rate (e.g. BBSW or CPI)?</p> <p>Answer this question if the interest rate type is floating or indexed</p>	N/A
	<p>*What is the reference rate, base rate or market rate?</p> <p>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>*Does the interest rate include a margin above the reference rate, base rate or market rate?</p> <p>Answer this question if the interest rate type is floating or indexed.</p>	N/A
	N/A	N/A
	<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>	<input type="checkbox"/> s128F exempt <input type="checkbox"/> Not s128F exempt <input type="checkbox"/> s128F exemption status unknown <input type="checkbox"/> Not applicable
	<p>*Is the +security perpetual (i.e. no maturity date)?</p>	N/A
	<p>*Maturity date</p> <p>Answer this question if the security is not perpetual</p>	N/A



This appendix is not available as an online form  
Please fill in and submit as a PDF announcement

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

	<p><b>*Select other features applicable to the +security</b></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>	<input type="checkbox"/> Simple <input type="checkbox"/> Subordinated <input type="checkbox"/> Secured <input type="checkbox"/> Converting <input type="checkbox"/> Convertible <input type="checkbox"/> Transformable <input type="checkbox"/> Exchangeable <input type="checkbox"/> Cumulative <input type="checkbox"/> Non-Cumulative <input type="checkbox"/> Redeemable <input type="checkbox"/> Extendable <input type="checkbox"/> Reset <input type="checkbox"/> Step-Down <input type="checkbox"/> Step-Up <input type="checkbox"/> Stapled <input type="checkbox"/> None of the above
	<p><b>*Is there a first trigger date on which a right of conversion, redemption, call or put can be exercised (whichever is first)?</b></p>	N/A
	<p><b>*If yes, what is the first trigger date</b></p> <p>Answer this question if your response to the previous question is "Yes".</p>	N/A
	<p><b>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</b></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 ABC, please insert "1,000 fully paid ordinary shares (ASX:ABC)".</p>	N/A

**Part 4 – Issue details**

Question No.	Question	Answer
4.1	<b>*Have the +securities been issued yet?</b>	Yes
4.1a	<b>*What was their date of issue?</b> Answer this question if your response to Q4.1 is "Yes".	216,220 RSUs on 9 June 2021 (US time)
4.1b	<b>*What is their proposed date of issue?</b> Answer this question if your response to Q4.1 is "No".	N/A
4.2	<b>*Are the +securities being issued for a cash consideration?</b> If the securities are being issued for nil cash consideration, answer this question "No".	No





**This appendix is not available as an online form  
Please fill in and submit as a PDF announcement**

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

4.2a	<p>*In what currency is the cash consideration being paid</p> <p>For example, if the consideration is being paid in Australian Dollars, state AUD.</p> <p>Answer this question if your response to Q4.2 is "Yes".</p>	N/A
4.2b	<p>*What is the issue price per +security</p> <p>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.</p> <p>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.</p>	N/A
4.2c	<p>Please describe the consideration being provided for the +securities</p> <p>Answer this question if your response to Q4.2 is "No".</p>	Total of 216,220 RSUs granted as awards under the 2001 Plan and intended to promote the Company's long term financial interests by encouraging management to acquire an ownership position in the Company, aligning their interests with those of the Company's security holders.
4.3	Any other information the entity wishes to provide about the issue	N/A

**Part 5 – Unquoted +securities on issue**

Following the issue of the +securities the subject of this application, the unquoted issued +securities of the entity will comprise:

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.

Restricted securities should be included in table 5.1.

5.1	<table><tr><th>*ASX security code and description</th><th>*Total number of +securities on issue</th></tr><tr><td>2001 Plan RSUs</td><td>714,172 (equivalent to 714,172 CDIs)  No 2001 Plan RSUs have been cancelled.</td></tr><tr><td>2006 Plan RSUs</td><td>2,013,210 (equivalent to 2,013,210 CDIs)  No 2006 Plan RSUs have been cancelled.</td></tr></table>	*ASX security code and description	*Total number of +securities on issue	2001 Plan RSUs	714,172 (equivalent to 714,172 CDIs)  No 2001 Plan RSUs have been cancelled.	2006 Plan RSUs	2,013,210 (equivalent to 2,013,210 CDIs)  No 2006 Plan RSUs have been cancelled.
*ASX security code and description	*Total number of +securities on issue						
2001 Plan RSUs	714,172 (equivalent to 714,172 CDIs)  No 2001 Plan RSUs have been cancelled.						
2006 Plan RSUs	2,013,210 (equivalent to 2,013,210 CDIs)  No 2006 Plan RSUs have been cancelled.						



## 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><b>*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?</b></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>	No
6.2	<p><b>*Has the entity obtained, or is it obtaining, +security holder approval for the issue under listing rule 7.1?</b></p> <p>Answer this question if the response to Q6.1 is "No".</p>	No
6.2a	<p><b>*Date of meeting or proposed meeting to approve the issue under listing rule 7.1</b></p> <p>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><b>*Are any of the +securities being issued without +security holder approval using the entity's 15% placement capacity under listing rule 7.1?</b></p> <p>Answer this question if the response to Q6.1 is "No" and the response to Q6.2 is "No".</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.

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).

---

+ See chapter 19 for defined terms  
31 January 2020

Page 11

---

**This appendix is not available as an online form  
Please fill in and submit as a PDF announcement**

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

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?</p> <p>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".</p> <p>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>	216,220 RSUs
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)?</p> <p>Answer this question if the response to Q6.1 is "No" and the response to Q6.2 is "No".</p>	No
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?</p> <p>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".</p> <p>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



