# Form 603

**Corporations Act 2001**

**Section 671B**

# Notice of initial substantial holder

To Company Name/Scheme ALTERITY THERAPEUTICS LIMITED

ACN/ARSN ACN 080 699 065

**1. Details of substantial holder (1)**

Name Credit Suisse Holdings (Australia) Limited (on behalf of Credit Suisse Group AG and its affiliates)

ACN/ARSN (if applicable) 008 496 713

The holder became a substantial holder on 11-Nov-2020

**2. Details of voting power**

The total number of votes attached to all the voting shares in the company or voting interests in the scheme that the substantial holder or an associate (2) had a relevant interest (3) in on the date the substantial holder became a substantial holder are as follows:

| Class of securities (4) | Number of securities | Persons' votes (5) | Voting power (6) |
|---|---|---|---|
| Common Stock | 68,047,174 | 68,047,174 | 5.02% |

**3. Details of relevant interests**

The nature of the relevant interest the substantial holder or an associate had in the following voting securities on the date the substantial holder became a substantial holder are as follows:

| Holder of relevant interest | Nature of relevant interest (7) | Class and number of securities |
|---|---|---|
| Credit Suisse AG, Dublin Branch | Holder of securities subject to an obligation to return under a securities lending agreement | 20,896,482 Common Stock |
| Credit Suisse Equities (Australia) Limited (ACN 068 232 708) | Voting rights and right to dispose | 47,150,691 Common Stock |
| Credit Suisse Securities (Europe) Limited (ARBN 099554131) | Voting rights and right to dispose | 1 Common Stock |

**4. Details of present registered holders**

The persons registered as holders of the securities referred to in paragraph 3 above are as follows:

| Holder of relevant interest | Registered holder of securities | Person entitled to be registered as holder (8) | Class and number of securities |
|---|---|---|---|
| Credit Suisse AG, Dublin Branch | CS Third Nominees Pty Limited (ACN 007 053 849) | Credit Suisse AG, Dublin Branch | 20,896,482 Common Stock |
| Credit Suisse Equities (Australia) Limited (ACN 068 232 708) | CS Fourth Nominees Pty Limited (ACN 069 126 432) | Credit Suisse Equities (Australia) Limited | 47,150,691 Common Stock |
| Credit Suisse Securities (Europe) Limited (ARBN 099554131) | CS Third Nominees Pty Limited (ACN 007 053 849) | Credit Suisse Securities (Europe) Limited | 1 Common Stock |

**5. Consideration**

The consideration paid for each relevant interest referred to in paragraph 3 above, and acquired in the 4 months prior to the day that the substantial holder became a substantial holder is as follows:

| Holder of relevant interest | Date of acquisition | Consideration (9) | Class and number of securities |
|---|---|---|---|

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| | | Cash | Non-cash | |
| See Annexure "A" | | | | |

**6. Associates**

The reasons the persons named in paragraph 3 above are associates of the substantial holder are as follows:

| Name and ACN/ARSN (if applicable) | Nature of association |
|---|---|
| Credit Suisse AG, Dublin Branch | Related Body Corporate |
| Credit Suisse Equities (Australia) Limited (ACN 068 232 708) | Related Body Corporate |
| Credit Suisse Securities (Europe) Limited (ARBN 099554131) | Related Body Corporate |

**7. Addresses**

The addresses of persons named in this form are as follows:

| Name | Address |
|---|---|
| Credit Suisse Holdings (Australia) Limited (ACN 008 496 713) | Level 31, Gateway, 1 Macquarie Place, Sydney NSW 2000, Australia |
| CS Third Nominees Pty Limited (ACN 007 053 849) | Level 31, Gateway, 1 Macquarie Place, Sydney NSW 2000, Australia |
| Credit Suisse Equities (Australia) Limited (ACN 068 232 708) | Level 31, Gateway, 1 Macquarie Place, Sydney NSW 2000, Australia |
| Credit Suisse Fourth Nominees Pty Limited (ACN 069 126 432) | Level 31, Gateway, 1 Macquarie Place, Sydney NSW 2000, Australia |
| Credit Suisse AG, Dublin Branch | Kilmore House, Park lane, Spencer Dock, Dublin 1, Ireland |
| Credit Suisse Securities (Europe) Limited (ARBN 099554131) | One Cabot Square,London,E14 4QJ |

## Signature

print name Winston Loke capacity Authorised Signatory

**sign here** date 13-Nov-2020



# Annexure "A"

**5. Consideration**

The consideration paid for each relevant interest referred to in paragraph 3 above, and acquired in the 4 months prior to the day that the substantial holder became a substantial holder is as follows:

| Holder of relevant interest | Date of acquisition | Consideration (9) | | Class and number of securities |
|---|---|---|---|---|
| | | Cash | Non-cash | |
| Credit Suisse Equities (Australia) Limited | 13-Jul-20 | 29,190.0 AUD | | -780,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 13-Jul-20 | 1,000.0 AUD | | 25,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 14-Jul-20 | 11,772.64 AUD | | -330,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 14-Jul-20 | 3,360.0 AUD | | -90,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 15-Jul-20 | 4,900.0 AUD | | -140,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 15-Jul-20 | 1,735.0 AUD | | 45,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 15-Jul-20 | 925.0 AUD | | -25,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 16-Jul-20 | 1,140.0 AUD | | 30,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 16-Jul-20 | 1,520.0 AUD | | 40,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 17-Jul-20 | 1,482.0 AUD | | -39,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 17-Jul-20 | 1,480.0 AUD | | 40,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 20-Jul-20 | 360.0 AUD | | 10,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 21-Jul-20 | 1,520.0 AUD | | -40,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 21-Jul-20 | 41,830.0 AUD | | 1,115,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 21-Jul-20 | 7,410.0 AUD | | 190,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 22-Jul-20 | 1,480.0 AUD | | -40,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 22-Jul-20 | 7,710.0 AUD | | 210,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 23-Jul-20 | 555.0 AUD | | 15,000 Common Stock |

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| Credit Suisse Equities (Australia) Limited | 23-Jul-20 | 2,220.0 AUD | | -60,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 23-Jul-20 | 18,742.0 AUD | | -504,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 24-Jul-20 | 1,620.0 AUD | | 45,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 24-Jul-20 | 4,810.0 AUD | | -130,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 24-Jul-20 | 27,912.35 AUD | | -771,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 27-Jul-20 | 2,220.0 AUD | | -60,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 29-Jul-20 | 900.0 AUD | | 25,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 29-Jul-20 | 1,620.0 AUD | | -45,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 31-Jul-20 | 30,820.97 AUD | | 850,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 3-Aug-20 | 900.0 AUD | | -25,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 4-Aug-20 | 105,134.61 AUD | | 2,059,184 Common Stock |
| Credit Suisse Equities (Australia) Limited | 4-Aug-20 | 292,196.16 AUD | | 5,544,171 Common Stock |
| Credit Suisse Equities (Australia) Limited | 5-Aug-20 | 660.0 AUD | | -20,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 5-Aug-20 | 146,124.78 AUD | | 2,256,825 Common Stock |
| Credit Suisse Equities (Australia) Limited | 5-Aug-20 | 153,201.17 AUD | | 2,287,808 Common Stock |
| Credit Suisse Equities (Australia) Limited | 5-Aug-20 | 28,200.0 AUD | | -850,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 6-Aug-20 | 91,030.52 AUD | | -1,746,184 Common Stock |
| Credit Suisse Equities (Australia) Limited | 6-Aug-20 | 45,016.0 AUD | | 772,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 6-Aug-20 | 15,141.50 AUD | | 255,500 Common Stock |
| Credit Suisse Equities (Australia) Limited | 6-Aug-20 | 273,697.28 AUD | | -5,268,171 Common Stock |
| Credit Suisse Equities (Australia) Limited | 7-Aug-20 | 136,837.28 AUD | | -2,104,825 Common Stock |
| Credit Suisse Equities (Australia) Limited | 7-Aug-20 | 1,830.0 AUD | | 35,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 7-Aug-20 | 12,226.0 AUD | | 233,500 Common Stock |
| Credit Suisse Equities (Australia) Limited | 7-Aug-20 | 173,634.31 AUD | | -2,631,623 Common Stock |

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| Credit Suisse Equities (Australia) Limited | 10-Aug-20 | 17,784.0 AUD | | 311,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 10-Aug-20 | 28,272.16 AUD | | 482,692 Common Stock |
| Credit Suisse Equities (Australia) Limited | 10-Aug-20 | 65,406.91 AUD | | -1,100,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 10-Aug-20 | 2,950.0 AUD | | -50,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 10-Aug-20 | 7,276.50 AUD | | 116,500 Common Stock |
| Credit Suisse Equities (Australia) Limited | 11-Aug-20 | 7,734.0 AUD | | 126,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 11-Aug-20 | 1,413.62 AUD | | -27,185 Common Stock |
| Credit Suisse Equities (Australia) Limited | 11-Aug-20 | 5,566.94 AUD | | 88,999 Common Stock |
| Credit Suisse Equities (Australia) Limited | 11-Aug-20 | 12,430.50 AUD | | -230,500 Common Stock |
| Credit Suisse Equities (Australia) Limited | 12-Aug-20 | 7,848.0 AUD | | 132,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 12-Aug-20 | 18,841.04 AUD | | -292,964 Common Stock |
| Credit Suisse Equities (Australia) Limited | 12-Aug-20 | 26,596.0 AUD | | -463,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 12-Aug-20 | 14,167.0 AUD | | -224,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 12-Aug-20 | 3,603.54 AUD | | 61,077 Common Stock |
| Credit Suisse Equities (Australia) Limited | 12-Aug-20 | 600.0 AUD | | 10,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 13-Aug-20 | 639.94 AUD | | -9,999 Common Stock |
| Credit Suisse Equities (Australia) Limited | 13-Aug-20 | 13,367.0 AUD | | 231,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 13-Aug-20 | 17,937.63 AUD | | -285,874 Common Stock |
| Credit Suisse Equities (Australia) Limited | 13-Aug-20 | 4,700.0 AUD | | -75,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 14-Aug-20 | 8,439.0 AUD | | -141,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 14-Aug-20 | 7,582.0 AUD | | -129,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 14-Aug-20 | 4,680.0 AUD | | 80,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 17-Aug-20 | 8,992.79 AUD | | 148,987 Common Stock |
| Credit Suisse Equities (Australia) Limited | 17-Aug-20 | 9,285.54 AUD | | -154,759 Common Stock |

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|---|---|---|---|---|
| Credit Suisse Equities (Australia) Limited | 17-Aug-20 | 34,100.0 AUD | | 565,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 17-Aug-20 | 8,528.0 AUD | | -142,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 17-Aug-20 | 5,518.0 AUD | | 89,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 18-Aug-20 | 25,490.0 AUD | | 420,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 18-Aug-20 | 12,238.0 AUD | | -211,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 18-Aug-20 | 5,669.07 AUD | | -96,086 Common Stock |
| Credit Suisse Equities (Australia) Limited | 18-Aug-20 | 7,830.0 AUD | | 130,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 18-Aug-20 | 8,079.41 AUD | | 132,090 Common Stock |
| Credit Suisse Equities (Australia) Limited | 19-Aug-20 | 9,050.0 AUD | | 150,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 19-Aug-20 | 540.0 AUD | | -9,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 20-Aug-20 | 16,000.0 AUD | | -265,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 20-Aug-20 | 9,630.0 AUD | | -160,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 20-Aug-20 | 580.0 AUD | | 10,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 20-Aug-20 | 22,837.55 AUD | | -378,211 Common Stock |
| Credit Suisse Equities (Australia) Limited | 20-Aug-20 | 17,695.31 AUD | | 300,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 21-Aug-20 | 28,165.0 AUD | | -465,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 21-Aug-20 | 26,725.0 AUD | | 450,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 21-Aug-20 | 19,673.37 AUD | | -318,976 Common Stock |
| Credit Suisse Equities (Australia) Limited | 24-Aug-20 | 2,960.0 AUD | | -50,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 24-Aug-20 | 15,595.30 AUD | | -263,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 24-Aug-20 | 4,350.0 AUD | | 75,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 25-Aug-20 | 2,950.0 AUD | | -50,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 26-Aug-20 | 2,558.84 AUD | | -45,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 26-Aug-20 | 5,700.0 AUD | | 100,000 Common Stock |

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| Credit Suisse Equities (Australia) Limited | 26-Aug-20 | 21,225.0 AUD | | -375,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 27-Aug-20 | 2,875.0 AUD | | -50,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 27-Aug-20 | 3,085.88 AUD | | 55,105 Common Stock |
| Credit Suisse Equities (Australia) Limited | 28-Aug-20 | 5,190.69 AUD | | 91,942 Common Stock |
| Credit Suisse Equities (Australia) Limited | 28-Aug-20 | 1,093.68 AUD | | 19,885 Common Stock |
| Credit Suisse Equities (Australia) Limited | 28-Aug-20 | 5,800.0 AUD | | -100,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 28-Aug-20 | 2,850.0 AUD | | 50,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 31-Aug-20 | 5,877.0 AUD | | 109,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 31-Aug-20 | 1,242.0 AUD | | 23,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 1-Sep-20 | 2,120.0 AUD | | 40,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 1-Sep-20 | 11,052.17 AUD | | -195,727 Common Stock |
| Credit Suisse Equities (Australia) Limited | 1-Sep-20 | 2,700.0 AUD | | 50,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 2-Sep-20 | 6,640.0 AUD | | 130,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 2-Sep-20 | 2,080.0 AUD | | 40,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 2-Sep-20 | 4,870.0 AUD | | 95,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 2-Sep-20 | 8,200.0 AUD | | -150,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 3-Sep-20 | 7,330.33 AUD | | 141,845 Common Stock |
| Credit Suisse Equities (Australia) Limited | 3-Sep-20 | 4,445.20 AUD | | 88,342 Common Stock |
| Credit Suisse Equities (Australia) Limited | 3-Sep-20 | 3,186.0 AUD | | -59,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 4-Sep-20 | 3,216.82 AUD | | 67,017 Common Stock |
| Credit Suisse Equities (Australia) Limited | 4-Sep-20 | 1,584.0 AUD | | -33,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 4-Sep-20 | 5,307.41 AUD | | -104,263 Common Stock |
| Credit Suisse Equities (Australia) Limited | 7-Sep-20 | 1,012.85 AUD | | 21,550 Common Stock |
| Credit Suisse Equities (Australia) Limited | 7-Sep-20 | 3,039.18 AUD | | 62,024 Common Stock |

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| Credit Suisse Equities (Australia) Limited | 7-Sep-20 | 1,040.0 AUD | | -20,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 7-Sep-20 | 3,126.0 AUD | | -60,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 8-Sep-20 | 4,817.47 AUD | | 99,114 Common Stock |
| Credit Suisse Equities (Australia) Limited | 8-Sep-20 | 7,641.62 AUD | | 154,438 Common Stock |
| Credit Suisse Equities (Australia) Limited | 8-Sep-20 | 539.0 AUD | | 11,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 8-Sep-20 | 3,920.0 AUD | | -80,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 8-Sep-20 | 3,331.70 AUD | | -67,254 Common Stock |
| Credit Suisse Equities (Australia) Limited | 9-Sep-20 | 2,109.26 AUD | | -42,638 Common Stock |
| Credit Suisse Equities (Australia) Limited | 10-Sep-20 | 3,382.51 AUD | | 70,762 Common Stock |
| Credit Suisse Equities (Australia) Limited | 10-Sep-20 | 5,854.26 AUD | | 126,636 Common Stock |
| Credit Suisse Equities (Australia) Limited | 11-Sep-20 | 4,796.59 AUD | | -99,114 Common Stock |
| Credit Suisse Equities (Australia) Limited | 11-Sep-20 | 2,351.38 AUD | | 51,117 Common Stock |
| Credit Suisse Equities (Australia) Limited | 14-Sep-20 | 2,205.0 AUD | | 49,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 15-Sep-20 | 4,953.65 AUD | | -106,076 Common Stock |
| Credit Suisse Equities (Australia) Limited | 15-Sep-20 | 2,590.78 AUD | | -55,123 Common Stock |
| Credit Suisse Equities (Australia) Limited | 16-Sep-20 | 960.0 AUD | | 20,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 16-Sep-20 | 6,115.59 AUD | | 130,347 Common Stock |
| Credit Suisse Equities (Australia) Limited | 16-Sep-20 | 8,657.39 AUD | | 170,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 17-Sep-20 | 4,826.22 AUD | | -105,983 Common Stock |
| Credit Suisse Equities (Australia) Limited | 17-Sep-20 | 11,629.75 AUD | | 254,979 Common Stock |
| Credit Suisse Equities (Australia) Limited | 18-Sep-20 | 3,400.0 AUD | | -70,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 18-Sep-20 | 1,960.0 AUD | | -40,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 18-Sep-20 | 5,339.36 AUD | | 103,422 Common Stock |
| Credit Suisse Equities (Australia) Limited | 18-Sep-20 | 13,077.0 AUD | | 250,500 Common Stock |

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| Credit Suisse Equities (Australia) Limited | 18-Sep-20 | 21,915.79 AUD | | 416,947 Common Stock |
| Credit Suisse Equities (Australia) Limited | 21-Sep-20 | 3,585.41 AUD | | -74,696 Common Stock |
| Credit Suisse Equities (Australia) Limited | 21-Sep-20 | 517.0 AUD | | -11,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 21-Sep-20 | 4,985.82 AUD | | -104,288 Common Stock |
| Credit Suisse Equities (Australia) Limited | 21-Sep-20 | 10,768.83 AUD | | 215,540 Common Stock |
| Credit Suisse Equities (Australia) Limited | 22-Sep-20 | 22,584.83 AUD | | -439,152 Common Stock |
| Credit Suisse Equities (Australia) Limited | 22-Sep-20 | 6,377.94 AUD | | -123,422 Common Stock |
| Credit Suisse Equities (Australia) Limited | 22-Sep-20 | 3,063.26 AUD | | 60,064 Common Stock |
| Credit Suisse Equities (Australia) Limited | 22-Sep-20 | 510.0 AUD | | 10,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 23-Sep-20 | 4,427.0 AUD | | -84,500 Common Stock |
| Credit Suisse Equities (Australia) Limited | 23-Sep-20 | 1,116.70 AUD | | -21,850 Common Stock |
| Credit Suisse Equities (Australia) Limited | 23-Sep-20 | 188.85 AUD | | 3,777 Common Stock |
| Credit Suisse Equities (Australia) Limited | 23-Sep-20 | 2,141.55 AUD | | 42,831 Common Stock |
| Credit Suisse Equities (Australia) Limited | 24-Sep-20 | 2,550.0 AUD | | -50,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 24-Sep-20 | 3,761.51 AUD | | -73,755 Common Stock |
| Credit Suisse Equities (Australia) Limited | 24-Sep-20 | 5,954.20 AUD | | -119,084 Common Stock |
| Credit Suisse Equities (Australia) Limited | 24-Sep-20 | 8,158.85 AUD | | 169,976 Common Stock |
| Credit Suisse Equities (Australia) Limited | 25-Sep-20 | 3,800.0 AUD | | -76,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 25-Sep-20 | 6,749.07 AUD | | 142,927 Common Stock |
| Credit Suisse Equities (Australia) Limited | 28-Sep-20 | 500.0 AUD | | -10,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 28-Sep-20 | 3,021.22 AUD | | -62,942 Common Stock |
| Credit Suisse Equities (Australia) Limited | 29-Sep-20 | 2,281.80 AUD | | -48,549 Common Stock |
| Credit Suisse Equities (Australia) Limited | 29-Sep-20 | 5,912.40 AUD | | -123,175 Common Stock |
| Credit Suisse Equities (Australia) Limited | 30-Sep-20 | 4,054.26 AUD | | -82,740 Common Stock |

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| Credit Suisse Equities (Australia) Limited | 30-Sep-20 | 40,269.17 AUD | | 793,367 Common Stock |
| Credit Suisse Equities (Australia) Limited | 1-Oct-20 | 1,685.70 AUD | | -34,402 Common Stock |
| Credit Suisse Equities (Australia) Limited | 1-Oct-20 | 240.0 AUD | | 5,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 2-Oct-20 | 5,000.0 AUD | | -100,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 2-Oct-20 | 980.72 AUD | | -18,860 Common Stock |
| Credit Suisse Equities (Australia) Limited | 2-Oct-20 | 4,978.76 AUD | | 105,931 Common Stock |
| Credit Suisse Equities (Australia) Limited | 5-Oct-20 | 22,050.0 AUD | | -450,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 5-Oct-20 | 5,275.66 AUD | | 112,248 Common Stock |
| Credit Suisse Equities (Australia) Limited | 6-Oct-20 | 16,481.62 AUD | | -343,367 Common Stock |
| Credit Suisse Equities (Australia) Limited | 6-Oct-20 | 9,108.33 AUD | | -192,071 Common Stock |
| Credit Suisse Equities (Australia) Limited | 6-Oct-20 | 1,044.25 AUD | | 20,885 Common Stock |
| Credit Suisse Equities (Australia) Limited | 6-Oct-20 | 30,362.07 AUD | | 614,532 Common Stock |
| Credit Suisse Equities (Australia) Limited | 7-Oct-20 | 1,599.60 AUD | | -33,325 Common Stock |
| Credit Suisse Equities (Australia) Limited | 7-Oct-20 | 623.87 AUD | | 12,732 Common Stock |
| Credit Suisse Equities (Australia) Limited | 7-Oct-20 | 7,719.43 AUD | | 159,770 Common Stock |
| Credit Suisse Equities (Australia) Limited | 8-Oct-20 | 13,635.76 AUD | | -274,818 Common Stock |
| Credit Suisse Equities (Australia) Limited | 8-Oct-20 | 5,434.23 AUD | | -111,242 Common Stock |
| Credit Suisse Equities (Australia) Limited | 8-Oct-20 | 16,914.22 AUD | | 346,963 Common Stock |
| Credit Suisse Equities (Australia) Limited | 9-Oct-20 | 14,500.0 AUD | | -290,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 9-Oct-20 | 35,130.0 AUD | | 692,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 9-Oct-20 | 1,672.21 AUD | | 33,445 Common Stock |
| Credit Suisse Equities (Australia) Limited | 13-Oct-20 | 7,806.19 AUD | | -154,263 Common Stock |
| Credit Suisse Equities (Australia) Limited | 16-Oct-20 | 5,120.0 AUD | | 100,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 16-Oct-20 | 38,247.27 AUD | | 750,005 Common Stock |

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| Credit Suisse Equities (Australia) Limited | 19-Oct-20 | 11,500.0 AUD | | 250,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 19-Oct-20 | 2,700.23 AUD | | 58,243 Common Stock |
| Credit Suisse Equities (Australia) Limited | 20-Oct-20 | 5,765.39 AUD | | -122,148 Common Stock |
| Credit Suisse Equities (Australia) Limited | 20-Oct-20 | 82,185.96 AUD | | -1,597,005 Common Stock |
| Credit Suisse Equities (Australia) Limited | 20-Oct-20 | 234.68 AUD | | -4,972 Common Stock |
| Credit Suisse Equities (Australia) Limited | 20-Oct-20 | 4,463.23 AUD | | -92,984 Common Stock |
| Credit Suisse Equities (Australia) Limited | 20-Oct-20 | 2,560.0 AUD | | -50,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 20-Oct-20 | 6,483.38 AUD | | 137,619 Common Stock |
| Credit Suisse Equities (Australia) Limited | 20-Oct-20 | 4,688.82 AUD | | 100,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 21-Oct-20 | 3,231.09 AUD | | 71,504 Common Stock |
| Credit Suisse Equities (Australia) Limited | 22-Oct-20 | 10,300.0 AUD | | 250,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 23-Oct-20 | .0 AUD | | 38,027,876 Common Stock |
| Credit Suisse Equities (Australia) Limited | 23-Oct-20 | 370.0 AUD | | 10,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 23-Oct-20 | 68,400.0 AUD | | 1,800,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 27-Oct-20 | 58,500.0 AUD | | -1,550,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 27-Oct-20 | 5,495.0 AUD | | 157,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 28-Oct-20 | 14,886.51 AUD | | -402,338 Common Stock |
| Credit Suisse Equities (Australia) Limited | 28-Oct-20 | 576.0 AUD | | 16,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 28-Oct-20 | 820.23 AUD | | 26,459 Common Stock |
| Credit Suisse Equities (Australia) Limited | 28-Oct-20 | 3,100.0 AUD | | 100,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 29-Oct-20 | 45,950.0 AUD | | -1,350,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 29-Oct-20 | 41,624.28 AUD | | -1,179,206 Common Stock |
| Credit Suisse Equities (Australia) Limited | 29-Oct-20 | 9,824.42 AUD | | 337,049 Common Stock |
| Credit Suisse Equities (Australia) Limited | 29-Oct-20 | 480.0 AUD | | 16,000 Common Stock |

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| Credit Suisse Equities (Australia) Limited | 30-Oct-20 | 33,544.93 AUD | | -1,038,460 Common Stock |
| Credit Suisse Equities (Australia) Limited | 30-Oct-20 | 3,959.0 AUD | | -123,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 30-Oct-20 | 3,625.0 AUD | | 125,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 2-Nov-20 | 1,450.0 AUD | | -50,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 2-Nov-20 | 3,847.50 AUD | | 142,500 Common Stock |
| Credit Suisse Equities (Australia) Limited | 3-Nov-20 | 480.0 AUD | | -16,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 3-Nov-20 | 580.0 AUD | | -20,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 3-Nov-20 | 41,073.84 AUD | | -1,385,305 Common Stock |
| Credit Suisse Equities (Australia) Limited | 3-Nov-20 | 4,064.31 AUD | | 150,530 Common Stock |
| Credit Suisse Equities (Australia) Limited | 3-Nov-20 | 1,350.0 AUD | | 50,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 4-Nov-20 | 191,459.83 AUD | | -7,000,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 4-Nov-20 | 13,426.84 AUD | | -464,438 Common Stock |
| Credit Suisse Equities (Australia) Limited | 4-Nov-20 | 3,625.0 AUD | | -125,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 4-Nov-20 | 44,304.09 AUD | | 1,582,289 Common Stock |
| Credit Suisse Equities (Australia) Limited | 4-Nov-20 | 115,815.0 AUD | | 4,015,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 5-Nov-20 | 15,410.03 AUD | | -570,742 Common Stock |
| Credit Suisse Equities (Australia) Limited | 5-Nov-20 | 7,911.81 AUD | | -293,030 Common Stock |
| Credit Suisse Equities (Australia) Limited | 5-Nov-20 | 1,400.0 AUD | | 50,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 6-Nov-20 | 18,960.77 AUD | | -665,290 Common Stock |
| Credit Suisse Equities (Australia) Limited | 6-Nov-20 | 77,061.85 AUD | | 2,780,147 Common Stock |
| Credit Suisse Equities (Australia) Limited | 6-Nov-20 | 16,851.0 AUD | | 603,607 Common Stock |
| Credit Suisse Equities (Australia) Limited | 9-Nov-20 | 36,490.0 AUD | | -1,302,857 Common Stock |
| Credit Suisse Equities (Australia) Limited | 10-Nov-20 | 15,878.66 AUD | | -570,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 10-Nov-20 | 806.29 AUD | | 30,418 Common Stock |

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|---|---|---|---|---|
| Credit Suisse Equities (Australia) Limited | 10-Nov-20 | 1,646.0 AUD | | 60,963 Common Stock |
| Credit Suisse Equities (Australia) Limited | 11-Nov-20 | 37,800.0 AUD | | -1,400,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 11-Nov-20 | 540.0 AUD | | -20,000 Common Stock |
| Credit Suisse Equities (Australia) Limited | 11-Nov-20 | 375,000.0 AUD | | 15,000,000 Common Stock |
| Credit Suisse AG, Dublin branch | 27-Oct-20 | Refer to Annexure B of Notice | Stock borrowed under Master prime brokerage agreement | 6,713,000 Common Stock |
| Credit Suisse AG, Dublin branch | 30-Oct-20 | Refer to Annexure B of Notice | Stock borrowed under Master prime brokerage agreement | 6,713,000 Common Stock |
| Credit Suisse AG, Dublin branch | 2-Nov-20 | Refer to Annexure B of Notice | Stock borrowed under Master prime brokerage agreement | 6,713,000 Common Stock |
| Credit Suisse AG, Dublin branch | 3-Nov-20 | Refer to Annexure B of Notice | Stock borrowed under Master prime brokerage agreement | 6,713,000 Common Stock |
| Credit Suisse AG, Dublin branch | 10-Nov-20 | Refer to Annexure B of Notice | Stock returned under Master prime brokerage agreement | -2,977,759 Common Stock |
| Credit Suisse AG, Dublin branch | 11-Nov-20 | Refer to Annexure B of Notice | Stock returned under Master prime brokerage agreement | -2,977,759 Common Stock |

This is Annexure "A" referred to in the Form 603 "Notice of initial substantial holder"

## Signature

Credit Suisse Holdings (Australia) Limited (ACN 008 496 713)

print name Winston Loke capacity Authorised Signatory

**sign here** date 13-Nov-2020



# Annexure "B"

This is Annexure "B" referred to in the Form 603 "Notice of initial substantial holder"

**Signature** Credit Suisse Holdings (Australia) Limited (ACN 008 496 713)

| | | | |
|---|---|---|---|
| print name | Winston Loke | capacity | Authorised Signatory |
| **sign here** | | date | 13-Nov-2020 |



**Prescribed information**

| Schedule | |
|---|---|
| Type of agreement | Master Prime Brokerage Securities Lending Agreement |
| Parties to agreement | Credit Suisse AG, Dublin Branch and Atlantic Absolute Return Fund |
| Transfer date | 11-Nov-2020 |
| Holder of voting rights | Borrower |
| Are there any restrictions on voting rights? | No |
| If yes, detail | N/A |
| Scheduled return date (if any) | N/A |
| Does the borrower have the right to return early? | Yes |
| If yes, detail | At Will |
| Does the lender have the right to recall early? | Yes |
| If yes, detail | With 4 business days prior notice or earlier upon agreement. |
| Will the securities be returned on settlement? | Yes |
| If yes, detail any exceptions | If an event of default occurs in respect of either the lender or the borrower, the obligation of the borrower to deliver the securities to the lender will be netted off against the obligation of the lender to return securities or cash held by the lender as collateral. |