

## **Announcement Summary**

## **Entity name**

ADVANCED BRAKING TECHNOLOGY LTD

#### Date of this announcement

Monday November 08, 2021

## The +securities the subject of this notification are:

♥ +Other securities issued under an +employee incentive scheme that are not intended to be quoted on ASX

## Total number of +securities to be issued/transferred

| ASX +security code               | Security description                  | Total number of<br>+securities to be<br>issued/transferred | Issue date |
|----------------------------------|---------------------------------------|--|------------|
| ABVAN                            | OPTION EXPIRING 30-JUN-2024 EX \$0.04 | 2,979,054  | 08/11/2021 |
| New class - code to be confirmed | Unquoted Options                      | 2,979,055  | 08/11/2021 |

Refer to next page for full details of the announcement



## Part 1 - Entity and announcement details

## 1.1 Name of entity

ADVANCED BRAKING TECHNOLOGY LTD

We (the entity named above) give notice of the issue, conversion or payment up of the following unquoted +securities.

## 1.2 Registered number type

Registration number

ABN

66099107623

## 1.3 ASX issuer code

ABV

## 1.4 The announcement is

☑ New announcement

#### 1.5 Date of this announcement

8/11/2021



#### Part 2 - Issue details

- 2.1 The +securities the subject of this notification are:
- € +Other securities issued under an +employee incentive scheme that are not intended to be quoted on ASX
- 2.2a This notification is given in relation to an issue of +securities in a class which is not quoted on ASX and which:
- ☑ has an existing ASX security code ("existing class")
- ☑ does not have an existing ASX security code ("new class")



Part 3B - number and type of +securities the subject of this notification (existing class) where issue has not previously been notified to ASX in an Appendix 3B

## ASX +security code and description

ABVAN: OPTION EXPIRING 30-JUN-2024 EX \$0.04

Date the +securities the subject of this notification were issued

8/11/2021

Will these +securities rank equally in all respects from their issue date with the existing issued +securities in that class

Yes

Were any of the +securities issued to +key management personnel (KMP) or an +associate? 
⊗ Yes

Provide details of the KMP or +associates being issued +securities.

| Name of KMP  | Name of registered holder    | Number of +securities |
|--------------|------------------------------|-----------------------|
| Andrew Booth | Equity Plan Services Pty Ltd | 2,979,054             |

Please provide a URL link for a document lodged with ASX detailing the terms of the +employee incentive scheme or a summary of the terms

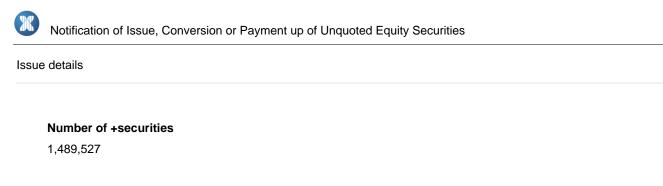
https://www.asx.com.au/asxpdf/20191025/pdf/449x2w0y2z045f.pdf

Any other information the entity wishes to provide about the +securities the subject of this notification

Issued in two tranches.

1 Year Vesting - 1,489,527

2 Year Vesting - 1,489,527



## Number of +securities

1,489,527



Part 3C - number and type of +securities the subject of this notification (new class) where issue has not previously been notified to ASX in an Appendix 3B

ASX +security code

+Security description

New class - code to be confirmed

**Unquoted Options** 

+Security type

ISIN code

**Options** 

Date the +securities the subject of this notification were issued

8/11/2021

Will all the +securities issued in this class rank equally in all respects from their issue date?

Were any of the +securities issued to +key management personnel (KMP) or an +associate? 

✓ Yes

Provide details of the KMP or +associates being issued +securities.

| Name of KMP  | Name of registered holder    | Number of +securities |
|--------------|------------------------------|-----------------------|
| Andrew Booth | Equity Plan Services Pty Ltd | 2,979,055             |

Have you received confirmation from ASX that the terms of the +securities are appropriate and equitable under listing rule 6.1?

☑ No

Please provide a URL link for a document lodged with ASX setting out the material terms of the +securities being issued.

https://www.asxonline.com/companies/e/status/viewPdf/2296800

#### **Options Details**

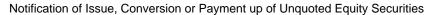
**+Security currency Exercise price Expiry date**AUD - Australian Dollar AUD 0.04000000 30/6/2025

Details of the existing class of +security that will be issued upon exercise or conversion of this new class of company option

Other

# **Description**

Each option will become one fully paid ordinary share upon payment of the exercise price prior to the expiry date.





Please provide a URL link for a document lodged with ASX detailing the terms of the +employee incentive scheme or a summary of the terms

https://www.asx.com.au/asxpdf/20191025/pdf/449x2w0y2z045f.pdf

Any other information the entity wishes to provide about the +securities the subject of this notification

Vesting condition - 3 years

Issue details

Number of +securities

2,979,055



#### Part 4 - +Securities on issue

Following the issue, conversion or payment up of the +securities the subject of this application, the +securities of the entity will comprise:

(A discrepancy in these figures compared to your own may be due to a matter of timing if there is more than one application for quotation/issuance currently with ASX for processing.)

## 4.1 Quoted +Securities (Total number of each +class of +securities quoted)

ASX +security code and description

Total number of +securities on issue

ABV: ORDINARY FULLY PAID 379,148,766

#### 4.2 Unquoted +Securities (Total number of each +class of +securities issued but not quoted on ASX)

| ASX +security code and description                   | Total number of<br>+securities on issue |
|--|---|
| ABVAB : OPTION EXPIRING VARIOUS DATES VARIOUS PRICES | 5,000,000                               |
| ABVAC : OPTION EXPIRING 30-JUN-2023 EX 4C            | 20,853,380                              |
| ABVAN : OPTION EXPIRING 30-JUN-2024 EX \$0.04        | 5,958,109                               |
| New class - code to be confirmed : Unquoted Options  | 2,979,055                               |



## Part 5 - Other Listing Rule requirements

- 5.1 Were the +securities issued under an exception in Listing Rule 7.2 and therefore the issue did not need any security holder approval under Listing Rule 7.1? 
  ☑ Yes
- 5.1a Select the number of the applicable exception in Listing Rule 7.2

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