

2. Monitors' checklist 2023

1. Send letter introducing monitor to Chair (see Template documents under Monitor Resources) to the company – ideally this should be done early in the year, so the company has plenty of notice
2. Notify the company that you wish to receive alerts about its ASX announcements and monitor the ASX website for these
3. When the final results announcement is made (Appendix 4E), commence financial analysis and raise any obvious issues with your CMC Chair – Do not wait for the full hard copy Annual Report before commencing your review – and note companies are required to send annual report to shareholders by their preferred method - hard or soft copy
4. If the 2023 AGM date is not yet on website, advise the National Office of the details of the AGM (location, date and time) – companies often announce the AGM date in advance and/or publish details on its website. You could contact the Company Secretary, who will likely know the date much earlier
5. Receive the Notice of Meeting/Annual Report and review them in conjunction with relevant announcements or analyst briefings. Check if meeting is physical only or hybrid
6. Arrange a meeting with the Chair of the company – aim for around 3 weeks before AGM. It is useful to find another monitor to attend with you
7. Prepare voting intentions report in accordance with the ASA voting guidelines (see Template documents under Monitor Resources) – voting intentions explain how the ASA plans to vote on resolutions, so it is important for these to be finalised and posted on the ASA website at least 2 weeks prior to the AGM to provide investors with time to consider whether to appoint ASA as proxy and to post the proxy form where that is possible
8. Meet with the Chair before the AGM (virtually to discuss any key issues and if appropriate, send a brief outline to the Chair beforehand. Based on the responses make any further changes if required to the voting intentions.
9. Send voting intentions report to your CMC Chair, or team leader if you have one, for review
10. Once the CMC Chair has approved the voting intentions, email a copy to National Office as set out below
11. Prepare questions for the AGM (see pre-AGM meeting questions for 2023)
12. Note all resolutions should be decided on poll
13. On the day prior to the AGM the lead monitor will be forwarded the proxy and login details for a hybrid meetings only. If attending online, email the completed Corporate Proxy Representative Form to the contact at the share registry on that email. Physical attendance is preferred
14. Attend the AGM and cast proxy votes in accordance with the ASA voting guidelines and the voting intentions (present the Corporate Proxy Representative Form to the share registration desk). For virtual meetings, login 10 to 15 minutes prior to the meeting.
15. Following the AGM, prepare an AGM report (available in the Monitor Resources section of the ASA website) – these should be completed within 1 week after the date of the AGM

Uploading reports to the ASA website

PREPARATION

Open ASA website (www.australianshareholders.com.au)

Login (top right-hand corner: orange button). Your username is your email address. Click “Request new password” if you do not know your password.

Once you are logged in, click on “My Account” (top right-hand corner: orange button)

Click on “Monitor Resources” and then on Templates eg Voting Intentions or AGM

Report to download the required template in word or equivalent. The document will appear at the bottom left hand side of your screen. Save the template to a location on your computer which is familiar to you e.g. My Documents

Compose report in template.

Send draft to and agree with CMC Chair.

Once the report has been agreed with the CMC Chair, email a copy to fiona.balzer@asa.asn.au and your CMC Chair. The email subject line should read “Company Name (ASX code) 2020 Voting Intentions (or AGM Report) final for website” indicating the CMC Chair has agreed to the content.

National Office will upload report to the website. You will receive a confirmation email when this has been completed.

IF SIGNIFICANT ADDITIONS OR AMENDMENTS ARE SOUGHT, YOU WILL BE CONTACTED.

Contact National Office if you need to make changes once document has been uploaded.