

# Form 603

Corporations Act 2001

Section 671B

## Notice of initial substantial holder

To Company Name/Scheme Appen Ltd.

ACN/ARSN \_\_\_\_\_

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

Name The Capital Group Companies, Inc. ("CGC"), and its related bodies corporate \*

ACN/ARSN (if applicable) \_\_\_\_\_

The holder became a substantial holder on 26-May-2021

\* The Capital Group Companies, Inc. ("CGC") is the parent company of Capital Research and Management Company ("CRMC") and Capital Bank & Trust Company ("CB&T"). CRMC is a U.S.-based investment management company that serves as investment manager to the American Funds family of mutual funds, other pooled investment vehicles, as well as individual and institutional clients. CRMC and its investment manager affiliates manage equity assets for various investment companies through three divisions, Capital Research Global Investors, Capital International Investors and Capital World Investors. CRMC is the parent company of Capital Group International, Inc. ("CGII"), which in turn is the parent company of four investment management companies ("CGII management companies"): Capital International, Inc., Capital International Limited, Capital International Sàrl and Capital International K.K. CGII management companies and CB&T primarily serve as investment managers to institutional and high net worth clients. CB&T is a U.S.-based investment management company that is a registered investment adviser and an affiliated federally chartered bank.

Neither CGC nor any of its affiliates own shares of the Issuer for its own account. Rather, the shares reported are owned by accounts under the discretionary investment management of one or more of the investment management companies that make up CGC.

### 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	6,185,822	6,185,822	5.03%

### 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
See Annexure "A"		

### 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
See Annexure "B"			

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	
See Annexure "C"				

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
See Annexure "D"	

7. Addresses

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

Name	Address
See Annexure "E"	

  
**Signature**

print name	Donald H. Rolfe	capacity	Authorized Signer
sign here		date	28-May-2021

Annexure “A”

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
Capital Research and Management Company	Voting rights and right to dispose	5,842,550 Common Stock
Capital International Sarl	Right to dispose	132,816 Common Stock
Capital International Sarl	Voting rights and right to dispose	35,261 Common Stock
Capital International, Inc.	Voting rights and right to dispose	175,195 Common Stock

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

Signature

print name

Donald H. Rolfe

capacity

Authorized Signer

sign here

date

28-May-2021

## Annexure "B"

### 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
Capital Research and Management Company	STATE STREET BANK AND TRUST COMPANY BOSTON	Capital Research and Management Company	5,842,550 Common Stock
Capital International Sarl	KAS - ASSOCIATES N.V.	Capital International Sarl	74,320 Common Stock
Capital International Sarl	LOMBARD ODIER AND CIE GENEVA	Capital International Sarl	58,496 Common Stock
Capital International Sarl	BANQUE DEGROOF LUXEMBOURG S.A.	Capital International Sarl	35,261 Common Stock
Capital International, Inc.	JPMORGAN CHASE BANK	Capital International, Inc.	158,993 Common Stock
Capital International, Inc.	STATE STREET BANK NORTH QUINCY	Capital International, Inc.	12,680 Common Stock
Capital International, Inc.	NORTHERN TRUST COMPANY CHICAGO	Capital International, Inc.	3,522 Common Stock

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

**Signature**

The Capital Group Companies, Inc.

print name

Donald H. Rolfe

capacity

Authorized Signer

**sign here**

date

28-May-2021

## Annexure "C"

### 5. Consideration (from 27-Jan-2021 to 26-May-2021 )

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	
Capital Research and Management Company	05-Feb-2021	310,091.06 AUD		13,562 Common Stock
Capital Research and Management Company	05-Feb-2021	1,027,446.31 AUD		44,992 Common Stock
Capital Research and Management Company	08-Feb-2021	143,255.64 AUD		6,299 Common Stock
Capital Research and Management Company	08-Feb-2021	1,788,507.39 AUD		78,527 Common Stock
Capital Research and Management Company	09-Feb-2021	46,251.06 AUD		2,029 Common Stock
Capital Research and Management Company	10-Feb-2021	77,290.05 AUD		3,391 Common Stock
Capital Research and Management Company	10-Feb-2021	3,529,256.40 AUD		154,116 Common Stock
Capital Research and Management Company	16-Feb-2021	1,486,366.08 AUD		59,847 Common Stock
Capital Research and Management Company	17-Feb-2021	4,716,960.00 AUD		200,000 Common Stock
Capital Research and Management Company	18-Feb-2021	12,014,016.14 AUD		537,237 Common Stock
Capital Research and Management Company	12-Mar-2021	1,243,401.95 AUD		69,922 Common Stock
Capital Research and Management Company	12-Mar-2021	2,335,605.48 AUD		131,306 Common Stock
Capital Research and Management Company	15-Mar-2021	568,569.27 AUD		32,042 Common Stock
Capital Research and Management Company	15-Mar-2021	1,164,571.75 AUD		65,640 Common Stock
Capital Research and Management Company	16-Mar-2021	178,819.96 AUD		9,855 Common Stock
Capital Research and Management Company	16-Mar-2021	1,350,421.34 AUD		73,827 Common Stock
Capital Research and Management Company	17-Mar-2021	2,095,482.26 AUD		113,888 Common Stock
Capital Research and Management Company	18-Mar-2021	977,542.80 AUD		53,520 Common Stock
Capital Research and Management Company	28-Apr-2021	406,967.12 AUD		26,249 Common Stock
Capital Research and Management Company	28-Apr-2021	2,691,163.60 AUD		172,000 Common Stock
Capital Research and Management Company	29-Apr-2021	1,066,240.00 AUD		68,000 Common Stock
Capital Research and Management Company	29-Apr-2021	2,676,526.20 AUD		171,000 Common Stock
Capital Research and Management Company	29-Apr-2021	2,990,310.18 AUD		187,751 Common Stock
Capital Research and Management Company	07-May-2021	42,523.57 AUD		3,406 Common Stock
Capital Research and Management Company	07-May-2021	7,065,301.96 AUD		571,594 Common Stock
Capital Research and Management Company	20-May-2021	2,114,758.80 AUD		154,000 Common Stock
Capital Research and Management Company	21-May-2021	3,770,415.20 AUD		282,837 Common Stock

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Capital Research and Management Company	24-May-2021	460,056.31 AUD		34,964 Common Stock
Capital Research and Management Company	25-May-2021	1,879,822.10 AUD		139,000 Common Stock
Capital Research and Management Company	26-May-2021	1,205,031.38 AUD		90,320 Common Stock
Capital International Sarl	25-Feb-2021	262,831.70 AUD		14,571 Common Stock

This is Annexure “C” referred to in the Form 603 “Notice of initial substantial holder”

**Signature**

print name

Donald H. Rolfe

capacity

Authorized Signer

sign here

date

28-May-2021

Annexure “D”

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
Capital Research and Management Company	Related Body Corporate
Capital International Sarl	Related Body Corporate
Capital International, Inc.	Related Body Corporate

This is Annexure “D” referred to in the Form 603 “Notice of initial substantial holder”

Signature

print name

sign here

Donald H. Rolfe

capacity

date

Authorized Signer

28-May-2021

Annexure “E”

7. Addresses

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

Name	Address
The Capital Group Companies, Inc.	333 South Hope Street, 55th Fl, Los Angeles CA 90071, USA
Capital Research and Management Company	333 South Hope Street, 55th Fl, Los Angeles CA 90071, USA
Capital International Sarl	3, place des Bergues, Geneva 1201, Switzerland
Capital International, Inc.	333 South Hope Street, Los Angeles CA 90071, USA

This is Annexure “E” referred to in the Form 603 “Notice of initial substantial holder”

Signature

print name

sign here

The Capital Group Companies, Inc.

Donald H. Rolfe

Authorized Signer

date

28-May-2021