

Form 603

Corporations Act 2001 Section 671B

Notice of substantial holderTo Company Name/Scheme **Rubicon Water Limited**ACN/ARSN **651 852 470****1. Details of substantial holder (1)**Name **David John Aughton**

ACN/ARSN (if applicable)

The holder became a
substantial holder on**2/09/2021****2. Previous and present 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 when last required, and when now required, to give a substantial holding notice to the company or scheme, are as follows:

Class of securities (4)	Person's votes	Voting power (5)	Person's votes	Voting power (5)
Ordinary Shares	19,826,759		19,826,759	11.53%

3. Details of relevant interests

Particulars of each relevant interest of the substantial holder in voting securities after the change are as follows:

Holder of relevant interest	Nature of relevant interest (6)	Class and number of securities
David John Aughton	Shareholder	Employee Gift Shares 1000 Employee gift shares (Ordinary Shares) which are escrowed for 36 months from 2 September 2021 as provided for in section 6.5.5 of the Prospectus lodged on 12 August 2021
David John Aughton	Shareholder	119,976 Long-Term Performance Rights convertible into a maximum of 134,976 Ordinary Shares on the terms and conditions set out in section 6.5.1 of the Prospectus lodged on 12 August 2021 (Note: not yet vested)
D & A Aughton Pty Ltd (ACN 064 823 516) ATF the D & A Aughton Family Trust - the Director is a trustee	Registered Holder	19,792,978 Ordinary shares escrowed for 12 months from 2 September 2021

and beneficiary of the Fund		
Cosmos Super Company Pty Ltd (ACN 146 913 555) as trustee for the Cosmos Superannuation Fund - the Director is a trustee and beneficiary of the Fund	Registered Holder	32,781 Ordinary shares escrowed for 12 months from 2 September 2021

4. Consideration

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

Holder of Interest	Date of acquisition	Consideration	Class and number interest of securities
David John Aughton	2/09/2021	N/A - gift shares	1000 Ordinary Shares
David John Aughton	2/09/2021	Issued under the Company's Long Term Incentive Plan on the terms and conditions set out in section 6.5.1 of the Prospectus lodged on 12 August 2021 (Note: not yet vested)	119,976 Long-Term Performance Rights convertible into a maximum of 119,976 Ordinary Shares (Note: not yet vested)
D & A Aughton Pty Ltd (ACN 064 823 516) ATF the D & A Aughton Family Trust - the Director is a trustee and beneficiary of the Fund	2/09/2021	19,792,978 Shares in Rubicon Systems (Holdings) Pty Ltd (ACN 106 485 474)	19,792,978 Ordinary Shares escrowed for 12 months from 2 September 2021
Cosmos Super Company Pty Ltd (ACN 146 913 555) as trustee for the Cosmos Superannuation Fund - the Director is a trustee and beneficiary of the Fund	2/09/2021	32,781 Shares in Rubicon Systems (Holdings) Pty Ltd (ACN 106 485 474)	32,781 Ordinary Shares escrowed for 12 months from 2 September 2021

5. 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
D & A Aughton Pty Ltd (ACN 064 823 516) ATF the D & A Aughton Family	The Director David John Aughton is a director and beneficiary under the Fund
Cosmos Super Company Pty Ltd (ACN 146 913 555) as trustee for the Cosmos Superannuation Fund	The Director David John Aughton is a director and beneficiary under the Fund

6. Addresses

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

Name	Address
D & A Aughton Pty Ltd (ACN 064 823 516) ATF the D & A Aughton Family	27 Norwood Cres, Moonee Ponds VIC 3039
Cosmos Super Company Pty Ltd (ACN 146 913 555) as trustee for the Cosmos Superannuation Fund)	27 Norwood Cres, Moonee Ponds VIC 3039

Signature

print name: David John Aughton

capacity: Registered holder and authorised signatory of holder

sign here

date 07 / 08 / 2023

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Notice of substantial holderTo Company Name/Scheme **Rubicon Water Limited**ACN/ARSN **651852470****1. Details of substantial holder (1)**Name **Bruce Rodgerson**

ACN/ARSN (if applicable)

The holder became a
substantial holder on**2/09/2021****2. Previous and present 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 when last required, and when now required, to give a substantial holding notice to the company or scheme, are as follows:

Class of securities (4)	Person's votes	Voting power (5)	Person's votes	Voting power (5)
Ordinary Shares	16,387,187		16,387,187	9.53%

3. Details of relevant interests

Particulars of each relevant interest of the substantial holder in voting securities after the change are as follows:

Holder of relevant interest	Nature of relevant interest (6)	Class and number of securities
Bruce Rodgerson	Shareholder	Employee Gift Shares 1000 Employee gift shares (Ordinary Shares) which are escrowed for 36 months from 2 September 2021 as provided for in section 6.5.5 of the Prospectus lodged on 12 August 2021
Bruce Rodgerson	Shareholder	134,976 Long-Term Performance Rights convertible into a maximum of 134,976 Ordinary Shares on the terms and conditions set out in section 6.5.1 of the Prospectus lodged on 12 August 2021 (Note: not yet vested)

Perrysands Pty Ltd (ACN 068 980 834) as trustee for the Rodgeron Family Trust	The Director Bruce Campbell Rodgeron n is a director and beneficiary under the Fund	16,329,770 Ordinary shares escrowed for 12 months from 2 September 2021
Perrysands Pty Ltd (ACN 068 980 834) as trustee for the Rodgeron Super Fund	The Director Bruce Campbell Rodgeron n is a director and beneficiary under the Fund	56,417 Ordinary shares escrowed for 12 months from 2 September 2021

4. Consideration

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

Holder of Interest	Date of acquisition	Consideration	Class and number interest of securities
Bruce Campbell Rodgeron	2/09/2021	N/A - gift shares	1000 Ordinary Shares
Bruce Campbell Rodgeron	2/09/2021	134,976 Long-Term Performance Rights convertible into a maximum of 134,976 Ordinary Shares on the terms and conditions set out in section 6.5.1 of the Prospectus lodged on 12 August 2021 (Note: not yet vested)	134,976 Long-Term Performance Rights convertible into a maximum of 134,976 Ordinary Shares
Perrysands Pty Ltd (ACN 068 980 834) as trustee for the Rodgeron Family Trust	2/09/2021	16,329,770 Shares in Rubicon Systems (Holdings) Pty Ltd (ACN 106 485 474)	16,329,770 Ordinary Shares escrowed for 12 months from 2 September 2021
Perrysands Pty Ltd (ACN 068 980 834) as trustee for the Rodgeron Super Fund	2/09/2021	56,417 Shares in Rubicon Systems (Holdings) Pty Ltd (ACN 106 485 474)	56,417 Ordinary Shares escrowed for 12 months from 2 September 2021

5. 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
Perrysands Pty Ltd (ACN 068 980 834) as trustee for the Rodgeron Family Trust	The Director Bruce Campbell Rodgeron is a director and beneficiary under the Fund
Perrysands Pty Ltd (ACN 068 980 834) as trustee for the Rodgeron Super Fund	The Director Bruce Campbell Rodgeron is a director and beneficiary under the Fund

6. Addresses

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

Name	Address
Perrysands Pty Ltd (ACN 068 980 834) as trustee for the Rodgerson Family Trust	SUITE 4 109 UNION ROAD SURREY HILLS VIC 3127
Perrysands Pty Ltd (ACN 068 980 834) as trustee for the Rodgerson Super Fund	SUITE 4 109 UNION ROAD SURREY HILLS VIC 3127

Signature

print name: Bruce Campbell Rodgerson

Registered holder and authorised signatory
capacity: of holder

sign here



date 07 / 08 / 2023

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Notice of substantial holderTo Company Name/Scheme **Rubicon Water Limited**ACN/ARSN **651852470****1. Details of substantial holder (1)**Name **Bromyard Investments Pty Ltd ATF the Wallis Super Fund**

ACN/ARSN (if applicable)

The holder became a
substantial holder on**2/09/2021****2. Previous and present 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 when last required, and when now required, to give a substantial holding notice to the company or scheme, are as follows:

Class of securities (4)	Person's votes	Voting power (5)	Person's votes	Voting power (5)
Ordinary Shares	18,162,498		18,162,498	10.57%

3. Details of relevant interests

Particulars of each relevant interest of the substantial holder in voting securities after the change are as follows:

Holder of relevant interest	Nature of relevant interest (6)	Class and number of securities
Bromyard Investments Pty Ltd ATF the Wallis Superannuation Fund	Shareholder	Ordinary Shares

4. Consideration

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

Holder of Interest	Date of acquisition	Non-cash Consideration	Class and number interest of securities
Bromyard Investments Pty Ltd ATF the Wallis Superannuation Fund	2/09/2021	18,162,498 Shares in Rubicon Systems (Holdings) Pty	18,162,498 Ordinary Shares (escrowed for 12 months from 2/9/2021)

		Ltd (ACN 106 485 474)	
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5. 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
Stanley Wallis	Shareholder in the Substantial Shareholder
Judith Wallis	Shareholder in the Substantial Shareholder

6. Addresses

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



Name	Address
Bromyard Investments Pty Ltd ATF the Wallis Super Fund	3 KINGSTON STREET MALVERN EAST VIC 3145

Signature

print name: For Bromyard Investments Pty Ltd

capacity: Registered holder and authorised signatory of holder

sign here

date 02 /08 / 2023

Director

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Notice of substantial holderTo Company Name/Scheme **Rubicon Water Limited**ACN/ARSN **651852470****1. Details of substantial holder (1)**Name **Northern Connection Holdings Pty Ltd (A.C.N. 145 534 541)**

ACN/ARSN (if applicable)

The holder became a
substantial holder on**2/09/2021****2. Previous and present 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 when last required, and when now required, to give a substantial holding notice to the company or scheme, are as follows:

Class of securities (4)	Person's votes	Voting power (5)	Person's votes	Voting power (5)
Ordinary Shares	19,137,363		19,137,363	11.1%

3. Details of relevant interests

Particulars of each relevant interest of the substantial holder in voting securities after the change are as follows:

Holder of relevant interest	Nature of relevant interest (6)	Class and number of securities
Northern Connection Holdings Pty Ltd	Shareholder	Ordinary Shares

4. Consideration

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

Holder of Interest	Date of acquisition	Non-cash Consideration	Class and number interest of securities
Northern Connection Holdings Pty Ltd	2/09/2021	19,137,363 Shares in Rubicon Systems (Holdings) Pty Ltd (ACN 106 485 474)	19,137,363 Ordinary Shares (escrowed for 12 months from 2/9/2021)

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5. 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
Kaye Manners	Sole Shareholder in the Substantial Shareholder

6. Addresses

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


Name	Address
Northern Connection Holdings Pty Ltd	27 Norwood Cres, Moonee Ponds VIC 3039

Signature

print name: For Northern Connection Holdings Pty Ltd

Registered holder and authorised signatory of holder

capacity:

sign here 

date 07 / 08 / 2023

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Notice of substantial holderTo Company Name/Scheme **Rubicon Water Limited**ACN/ARSN **651852470****1. Details of substantial holder (1)**Name **G D Ciavarella Pty Ltd (A.C.N. 066 616 046)**

ACN/ARSN (if applicable)

The holder became a
substantial holder on**2/09/2021****2. Previous and present 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 when last required, and when now required, to give a substantial holding notice to the company or scheme, are as follows:

Class of securities (4)	Person's votes	Voting power (5)	Person's votes	Voting power (5)
Ordinary Shares	17,144,292		17,144,292	9.97%

3. Details of relevant interests

Particulars of each relevant interest of the substantial holder in voting securities after the change are as follows:

Holder of relevant interest	Nature of relevant interest (6)	Class and number of securities
G D Ciavarella Pty Ltd	Shareholder	Ordinary Shares

4. Consideration

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

Holder of Interest	Date of acquisition	Non-cash Consideration	Class and number interest of securities
G D Ciavarella Pty Ltd	2/09/2021	17,144,292 Shares in Rubicon Systems (Holdings) Pty Ltd (ACN 106 485 474)	17,144,292 Ordinary Shares (escrowed for 12 months from 2/9/2021)

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5. 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
Gino Ciavarella	Sole Shareholder in the Substantial Shareholder

6. Addresses

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

Name	Address
G D Ciavarella Pty Ltd	Suite 4 109 Union Road, Surrey Hills VIC 3127

Signature

print name: For G D Ciavarella Pty Ltd	capacity:	Registered holder and authorised signatory of holder
sign here		date 07 / 08 / 2023

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Notice of substantial holderTo Company Name/Scheme **Rubicon Water Limited**ACN/ARSN **651852470****1. Details of substantial holder (1)**Name **Philip Leslie Latham Harkness**

ACN/ARSN (if applicable)

The holder became a
substantial holder on**2/09/2021****2. Previous and present 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 when last required, and when now required, to give a substantial holding notice to the company or scheme, are as follows:

Class of securities (4)	Person's votes	Voting power (5)	Person's votes	Voting power (5)
Ordinary Shares	10,789,094		10,789,094	6.28%

3. Details of relevant interests

Particulars of each relevant interest of the substantial holder in voting securities after the change are as follows:

Holder of relevant interest	Nature of relevant interest (6)	Class and number of securities
Philip Leslie Latham Harkness	Shareholder	Ordinary Shares
Harkness Management Pty Ltd (A.C.N. 069 908 649)	Shareholder	Ordinary Shares

4. Consideration

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

Holder of Interest	Date of acquisition	Non-cash Consideration	Class and number interest of securities
Philip Leslie Latham Harkness	2/09/2021	10,587,541 Shares in Rubicon Systems (Holdings) Pty Ltd (ACN 106 485 474)	10,587,541 Ordinary Shares (escrowed for 12 months from 2/9/2021)

Harkness Management Pty Ltd (A.C.N. 069 908 649)	2/09/2021	201,553 Shares in Rubicon Systems (Holdings) Pty Ltd (ACN 106 485 474)	201,553 Ordinary Shares (escrowed for 12 months from 2/9/2021)

5. 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
Philip Leslie Latham Harkness	Shareholder in Harkness Management Pty Ltd

6. Addresses

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

Name	Address
Philip Leslie Latham Harkness	30 KOORYONGKOOT ROAD HAWTHORN VIC 3122
Harkness Management Pty Ltd (A.C.N. 069 908 649)	30 KOORYONGKOOT ROAD HAWTHORN VIC 3122

Signature

print name: Philip Leslie Latham Harkness

capacity: Registered holder and authorised signatory of holder

sign here



date 07 / 08 / 2023