

Australian Mines Limited ABN 68 073 914 191

Whistleblower Protection Policy

1 Purpose

The purpose of this Policy is to:

- 1.1 encourage reporting of actual or suspected unethical, corrupt and illegal conduct, and any breach of the Code of Conduct of Australian Mines Limited (**Company**) (**Improper Conduct**);
- 1.2 assist in obtaining information on suspected Improper Conduct so the Company may address it;
- 1.3 identify how to report suspected Improper Conduct, including access to a helpline for reporting suspected improper conduct which can be anonymous; and
- 1.4 help protect people who report suspected Improper Conduct.

2 Policy Statement

- 2.1 The Company is committed to conducting our business in a lawful and ethical manner. The company expects and requires all of its staff (including directors and executives) to perform their duties in a lawful and ethical manner. The Company views having this policy as an important benefit to it as one mechanism to ensure that any Improper Conduct is appropriately identified and dealt with.
- 2.2 The Company may take prompt action against those who engage in Improper Conduct, including termination of employment.
- 2.2 Any individual who is, or has been, in a relationship with the Company (including officers, employees, suppliers and their employees, and relatives of those individuals) (**Complainant**) and suspects Improper Conduct may report a complaint (**Complaint**) so that the Company may respond to it under this Policy.
- 2.3 Improper Conduct includes without limitation concerns about misconduct, or an improper state of affairs or circumstances in relation to the Company or a related body corporate that indicates, among other matters:
 - (1) that the Company or a related body corporate or its officer or employee has engaged in conduct that constitutes an offence against, or a contravention of, the Corporations Act 2001 (Cth) (**Corporations Act**), the ASIC Act 2001 (Cth), and other laws;
 - (2) that an offence against any other law of the Commonwealth that is punishable by imprisonment for a period of 12 months or more; or
 - (3) that represents a danger to the public or the financial system.
- 2.4 At this time, if a Complainant lodges a Complaint in good faith, that person may be a whistleblower and certain legislative protections may be available to the whistleblower under the Corporations Act and other laws. It is currently proposed that the Corporations Act and other legislation will be amended so that a Complainant needs only to have reasonable grounds to suspect Improper Conduct to be afforded legislative protections.
- 2.5 The Company is committed to affording Complainants the benefits and protections identified in this Policy and current and proposed legislation, so as to foster an open environment in

which whistleblowers may come forward without fear of retribution or retaliation. The protections include helping whistleblowers to remain anonymous.

3 Whistleblower Protection

3.1 The Company encourages all individuals who are, or have been, in a relationship with the Company (including officers, employees, suppliers and their employees, and relatives of those individuals) to feel free to provide information about suspected Improper Conduct by:

- (1) Reporting the matter to the Managing Director who is the Company's designated Whistleblower Investigations Officer; or
- (2) Emailing or calling the helpline which is operated for the Company by Oliver Carton, Company Secretary, the Company's designated Whistleblower Protection Officer as follows:

Email: ireport@bigpond.com

Tel: 0412149118

3.2 A Complainant may also qualify for immunity from any action the Company may take, and from prosecution by relevant authorities, concerning Improper Conduct he or she have been involved in. The Whistleblower Protection Officer can advise you further on this.

3.3 Complainants may choose to remain anonymous when making a Complaint. If a Complainant supplies his or her details, the Company will not disclose them outside the Company without consent, unless required by law or if necessary to investigate serious suspected improper conduct, such as an actual or potential criminal offence. In those instances, the Complainant may also need to assist the authorities with enquiries.

3.4 The Company is committed to fostering an environment in which Complainants feel free to bring forward concerns about suspected improper conduct, understanding that the Company will treat them seriously and take appropriate action.

3.5 The Company will not tolerate personnel taking adverse action against Complainants, such as reprisals, retaliation or victimisation and will take all reasonable measures to guard Complainants from such behaviour. Complainants are encouraged to report any such behaviours if they experience them. However, false reporting through these channels will be regarded as a serious matter and may result in disciplinary action up to an including termination of employment.

3.6 Where reprisals are taken or are claimed to have been taken against a Complainant, the Complainant will have an automatic right of appeal to the Whistleblower Protection Officer.

4 Reporting

4.1 The first line of reporting is to the Whistleblower Investigations Officer. Alternatively the Company's confidential telephone helpline number is 0412149118. Helpline calls are answered by the Whistleblower Protection Officer.

4.2 You can also email the Whistleblower Protection Officer at ireport@bigpond.com

4.3 You may identify yourself or remain anonymous (except where anonymous reporting is prohibited by local law).

4.4 When reporting a concern or making an allegation, you will be asked to provide as much information about the suspected violation, such as the name of your organization, the name of the people involved, and other details so that the Company can investigate.

- 4.5 To further protect your anonymity:
- (1) call summary reports do not identify your gender;
 - (2) calls are not recorded; and
 - (3) no attempts are made to identify your telephone number through the use of "Caller ID."
- 4.6 Every concern or allegation will be handled promptly, discretely, and professionally. The Company will investigate all reports of Improper Conduct and take appropriate action to resolve each reported matter.

5 Lodging a Complaint

- 5.1 Complaints may be oral or in writing. In each case a Complainant needs to identify the following matters:
- (1) their name, organization and contact details (phone and address) (if they are prepared to give this information);
 - (2) nature of the Complaint;
 - (3) all relevant facts giving rise to the Complaint;
 - (4) name of the Company or business which is the subject of the Complaint;
 - (5) the name(s) of all of the Company's personnel involved;
 - (6) an acknowledgement that the information you have provided: (i) is a true and accurate representation of the events which have occurred and that have led to the Complaint; and (ii) does not contain any misleading statements or omissions; and
 - (7) whether you consent to the disclosure of your name (if provided).
- 5.2 Complaints can be made using the same contact details referred to above.

6 Investigations

6.1 The Investigation Process

All investigations of Improper Conduct will be conducted through a process designed to promote consistency and fairness in the conduct of investigations across the company. The investigations cycle covers a number of steps, including gathering and reviewing relevant information and interviewing those who may be able to provide information.

6.2 The Investigation Principles

To ensure fair treatment of employees who are mentioned in a Complaint, the investigation process embraces a number of key elements of fairness and natural justice, including the following principles:

- (1) Independence
- (2) Objectivity
- (3) Thoroughness

- (4) Professionalism
- (5) Confidentiality
- (6) Timeliness
- (7) Cost Effectiveness

6.3 Informed

When the Complainant is not anonymous, the Company will keep the Complainant informed of the outcome of the investigation subject to privacy considerations of those against whom the allegations are made and provided the Complainant agrees in writing to maintain confidentiality of all related information provided to the Complainant.

6.4 Complete

Once the investigation is completed, the Company will advise the Complainant of the outcome of it (as applicable) and that the matter is closed. If you have concerns about the way in which an investigation was conducted, you may raise this concern to the Managing Director.

7 Education and Training of Employees

Information about this Policy will be provided to the Company's personnel as part of their induction process and any ongoing training in compliance areas.

8 Availability

This Policy will be made available on the Company's website in a clearly marked corporate governance section.

9 Review

- 9.1 This Policy will be reviewed annually by the Company's Audit and Risk Committee to ensure relevance and effectiveness.
- 9.2 The Company reserves the right, at its absolute discretion, to change this Policy from time to time as it considers necessary.
- 9.3 Any changes to this Policy will be communicated via the Company's website.

Adopted by the Board on 25 July 2018