

## **MECHANISMS TO PROTECT ETHICAL BEHAVIOUR**

*Vertex Minerals Limited (VTX)* is committed to conducting all of its business activities fairly, honestly, with integrity, and in compliance with all applicable laws, rules and regulations. Its Board, management and employees are dedicated to high ethical standards and recognise and support VTX's commitment to compliance with these standards.

VTX is committed to preventing any form of Corruption and Bribery and to upholding all laws relevant to these issues, including Anti-Corruption Legislation. In order to support this commitment, VTX has adopted our Anti-Bribery and Anti-Corruption Policy (ABC Policy) to ensure that it has effective procedures in place to prevent Corruption and Bribery.

In addition to these policies and our Corporate Code of Conduct, VTX has adopted a Whistleblower Protection Policy (Schedule 12 in our Corporate Governance Plan) along with Annexure 1 – Summary of Protections under the Corporations Act and Annexure 2 Summary of Protections under the Taxation Administration Act. All of which are available on our website.

The Company has adopted this Whistleblower Policy to provide instruction on mechanisms for people to seek advice on ethical and lawful behaviour, to report unethical behaviour and:

- (a) encourage and support people to feel confident to speak up safely and securely if they become aware of wrong-doing or illegal or improper conduct within the Company;
- (b) provide information and guidance on how to report such conduct, how reports will be handled and investigated in a timely manner and the support and protections available if a report is made;
- (c) set out the responsibilities of the Company and its management in upholding the Company's commitment to reporting any illegal, unethical or improper conduct; and
- (d) promote ethical behaviour and a culture of speaking up to deter wrong doing.

Our Whistleblower Policy is in compliance with the ASX Corporate Governance Principles and Recommendations – 4th Edition as well as industry standards and the Company's legal and regulatory obligations. Our whistleblowing procedures are in place so that ethics topics, reports of potential issues and the ways in which these mechanisms are protected encourage robust advice and reporting.

There are clear and formalised internal and external mechanisms for reporting concerns about unlawful or unethical behaviour and/or lack of organisational integrity and for seeking advice about ethical and lawful behaviour and organisational integrity. All of which are outlined in our policies and we address and define the following:

- Who the Whistleblower Policy applies to
- Responsibility for compliance and training
- Consequences of breaching this Whistleblower Policy
- Reportable Matters
- Making a Report
- Investigating a Report
- Support and Protections
- Monitoring and Review

### Related VTX policies:

- Corporate Governance Plan, Schedule 01, Board Charter, 2021
- Corporate Governance Plan, Schedule 02, Corporate Code of Conduct, 2021
- Corporate Governance Plan, Schedule 12, Whistleblower Protection Policy, Annexure 1 & Annexure 2, 2021
- Corporate Governance Plan, Schedule 13 Anti-Bribery and Anti Corruption Policy, 2021
- Corporate Governance Statement, 2021

### Sources:

Accessed 14 April 2023

Vertex Minerals Limited  
Corporate Governance Plan

<https://vertexminerals.com/wp-content/uploads/2021/10/Corporate-Governance-Plan-VTX2806539.2.pdf>

Corporate Governance Statement

<https://vertexminerals.com/wp-content/uploads/2021/10/Corporate-Governance-Statement-VTX2806535.2.pdf>