



Code of Conduct

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| Owner | Chief Legal and Investment Officer / Company Secretary & Human Resources |
| Application | Region |
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1. Background

Region comprises Region Management Trust, Region Retail Trust (together, Trusts), Region RE Limited (“**Region RE**”) and any entities owned and / or managed, either beneficially or legally, by the Trusts or the Responsible Entity (“**Region**”).

2. Purpose

- (a) All employees, and where applicable on a “by-policy” basis, Non-executive Directors, consultants and contractors (for the purposes of this policy only collectively defined as “**Employees**”) are expected to comply with Region’s policies and procedures and to act in the best interest of Region.
- (b) The purpose of the Code of Conduct (“**Code**”) is to provide guidance around these standards and expectations and support Region’s stated values by ensuring that appropriate standards of ethical and legal behaviour are observed and maintained by all Employees.
- (c) This Code is not all-encompassing. It is a reference point for important information and additional, specific HR, operations and compliance-related policies and procedures. Where applicable, reference is made to the more specific policy.
- (d) All policies, procedures and handbooks referred to in this document are available to Employees on the “Our Region” intranet site. Where a policy or procedure is available on Region’s website this is also disclosed.

3. What behaviours are expected of Region Employees?

Region has four core Values that underpin expected behaviours of all employees: Collaboration, Innovation, Leadership and Trust.

Region’s Employees are expected to:

- (a) comply with all laws and regulations that apply to Region;
- (b) conduct themselves ethically and responsibly;
- (c) conduct themselves honestly, with high standards of integrity;
- (d) treat colleagues with respect and not engage in bullying, harassment or discrimination;
- (e) role model behaviours in line with Region’s purpose and values; and
- (f) Speak up and seek advice from an appropriate manager where a colleague’s behaviour is perceived to be in breach of this Code, and report any suspected corrupt, criminal or unethical conduct in accordance with the process set out in Appendix A.

4. Asking Questions, Breach Reporting and Whistleblower Disclosures & Protection

- (a) As a collaborative workplace, we have some understanding of each other's work-related duties and responsibilities. If we become aware of behaviour that does not accord with the standards of conduct set out in this Code, we may need to provide help or guidance to a colleague. If we require assistance ourselves in understanding what help or guidance may be appropriate in the circumstances, we should never be afraid to ask for assistance.
- (b) All Employees have a duty to promptly report any incidents or potential breaches of this Code, Region's policies and procedures, or the law as soon as the breach is observed¹. Employees should also report concerns about potentially inappropriate or excessive risk taking. It may seem easier to look the other way, but this is not the standard of behaviour expected of Region Employees as taking no action can have very serious consequences.
- (c) Employees are eligible to make anonymous or confidential disclosures if there are reasonable grounds to suspect improper conduct. For further details refer to the *Whistleblower Policy & Procedure*.
- (d) An Employee, who, in good faith, seeks advice, raises concerns or reports improper conduct, or a breach or a potential breach is

doing the right thing. Region will not accept conduct that results in an Employee fearing or experiencing negative consequences as a result of raising a genuine concern. All issues, concerns, investigations and resolutions will be kept confidential (where appropriate in the circumstances). Anyone who takes detrimental action in reprisal against individuals who report improper conduct or a breach or potential breach may be acting unlawfully and will be subject to disciplinary action up to and including dismissal.

- (e) All Employees have a duty to comply and cooperate fully with any investigation, both internal and external.
- (f) Refer to the *Whistleblower Policy & Procedure* and the *Incident and Breach Reporting Policy and Procedure* for detailed information on raising concerns and reporting improper conduct, incidents or breaches.

¹ Employees should refer to Appendix A – Workplace Complaint and Incident Reporting Matrix

5. Environment, Workplace Health & Safety, Travel, Business Continuity Management

- (a) Employees are expected to be conscious of the impact of Region’s business and operations on society and the environment. Without limiting in any way the nature of the issues with which Employees must be concerned in the running of the business, consideration should be given to how Region may operate sustainably. Whilst the primary duty remains the duty owed to unitholders as a whole, as a Responsible Entity, Region RE must evaluate the Group’s actions in a broader social context. It is sometimes not enough to simply do what is required legally but also to do “the right thing”.
- (b) For further details on safety and sustainability matters refer to the *Work Health and Safety Policy contained in the Employee Handbook and Human Resources Policies and Procedures (“HR Handbook”)* (“**WHS Policy**”) and the *Sustainability Policy*. The *Sustainability Policy* is available on Region’s website.
- (c) Employees have a responsibility to promote and maintain a healthy workplace, showing respect, fairness and inclusivity in line with our Values. Refer to the *Health and Wellbeing Policy* in the *HR Handbook* for details.
- (d) Employees must always report any security issue, crisis, disaster or any other event that could affect business continuity or endanger lives. Refer to *Business Continuity Management Policy and Framework and Business Continuity Plans* for details on reporting procedures.

- (e) If travelling for business, Employees should review the *Travel and Expense Policy and Procedure* and the *WHS Policy* which sets out requirements relating to business and business-related travel, including booking and expenses, travel insurance and restrictions, security and medical emergencies and what to do in the case of emergency.

6. Employees

Region has adopted a suite of policies and procedures to establish the standards that guide how Employees are expected to work, interact with others and manage Region’s business. The HR-related policies and procedures are included as standalone policies or in Region’s *HR Handbook*. Some of the key HR policies are detailed below.

6.1 Discrimination and Harassment Policy

Region has a *Discrimination and Harassment Policy* to provide awareness to Employees around ‘unlawful workplace discrimination’ and ‘harassment’ and how matters around discrimination and harassment are managed by Region. Refer to the *Discrimination and Harassment Policy* in the *HR Handbook* for details.

6.2 Diversity and Inclusion Policy

Region rewards and promotes team members based on assessment of individual performance, capability and potential and is committed to providing opportunities that allow individuals to reach their full potential irrespective of individual background or difference. Refer to the *Diversity and Inclusion Policy*, which is on Region’s website for further details.

6.3 Workplace Bullying Policy

Region's *Workplace Bullying Policy* provides a definition of "bullying", sets out the procedures in place to manage workplace complaints relating to bullying and the appropriate contact details for making a complaint in relation to bullying. The *Workplace Bullying Policy* is contained in the *HR Handbook*.

6.4 Drugs and Alcohol Policy

Region is committed to ensuring a safe and healthy workplace for all Employees. The use of drugs and alcohol may impair a person's ability to perform their job safely and efficiently and the use of such substances may result in the risk of injury or a threat to the well-being of the impaired Employee and other Employees. The expectations of Region in respect of drugs and alcohol are set out in Region's *Drugs and Alcohol Policy* which is included in Region's *HR Handbook*.

6.5 Data Protection & IT Use

Region has adopted a *Data Protection & IT Use Policy* to govern the use of Region's telephone, computer, email and network systems. It is intended that Region's systems be used primarily for business purposes. Users should be aware that their use of IT systems, including email and internet, is not private or confidential to them. As part of its ongoing and continuous monitoring of IT systems, Region may monitor and view any messages, including personal messages sent or received by a user on its IT systems. Region's *Data Protection & IT Use Policy* is in the *HR Handbook*.

7. Business Conduct

Region is committed to maintaining high ethical standards, integrity and respect in all of its business relationships. Employees are expected to conduct themselves ethically and responsibly, in accordance

with Region's stated purpose and values and in full compliance with the law. Region believes that all work should be done voluntarily and without slavery, servitude, forced or compulsory labour or the involvement of human trafficking ("Modern Slavery") and takes the risk of Modern Slavery occurring within our business and in our supply chain seriously.

7.1 Dealing with External Parties

- (a) Region has strong relationships with suppliers, tenants, contractors and other partners. The *Outsourcing Policy*, *Outsourcing Procedure* and *Procurement Policy* sets out Region's expectations and processes when engaging third-party service providers. Region takes the risk of Modern Slavery occurring within its business and supply chains seriously and views relationships with suppliers as an opportunity to encourage behaviour and practices that are consistent with our own ethical practices. Region requires its contracted suppliers to acknowledge and adhere to its *Supplier Code of Conduct*. The key to dealing with external parties is due diligence, engagement and on-going monitoring processes. Employees are expected to treat external parties in a professional manner and should never engage in unfair, deceptive or misleading practices, nor should a business partner's confidential information be disclosed or used for personal gain.
- (b) For further details, refer to the *Outsourcing Policy*, *Outsourcing Procedure*, *Procurement Policy* & *Supplier Code of Conduct*.

7.2 Conflicts of Interest

An Employee must disclose any personal or business activity or interest which is, or may become, a conflict of interest, and must also disclose any

conflict of interest relating to any business dealing in accordance with the processes and procedures set out in Region's *Related Party Transactions and Conflicts of Interest Protocol*. In particular, Employees:

- (a) must act in the best interests of unitholders and, if there is a conflict between the unitholders' interests and the interests of Region RE for those unitholders, give priority to the relevant unitholders' interests;
- (b) must not make improper use of their position to gain, directly or indirectly an advantage for themselves or for any person or to cause detriment to unitholders;
- (c) must avoid any conflicts between personal interests (including the interests of any family member) and the interests of Region RE, Region and where relevant, unitholders. This includes avoiding any perceived conflicts of interests; and
- (d) must not take advantage of property, confidential information or position, or opportunity arising from any of these, for personal gain or to compete with Region.

7.3 Privacy

Region and its third-party service providers may collect personal information in order to carry on their respective businesses. For example, property managers may collect information of prospective tenants, registry service providers may collect the personal information of unitholders and recruiters may collect information from prospective employees. Region does not generally collect individuals' sensitive information. In limited circumstances, however, sensitive information may be collected if it is necessary to facilitate the dealing with an individual or the individual's concerns. Region will obtain the individual's consent prior to collecting their sensitive

information. Refer to the *Privacy Policy* for details on how Region complies with the *Privacy Act 1988 (Cth)*, specifically in relation to the collection, maintenance, storage and use of personal information.

7.4 Compliance

- (a) Entities owned by Region are subject to specific regulation by regulators such as ASIC, and the ASX by virtue of Region:
 - (i) being the holder of financial services licences;
 - (ii) being listed; and
 - (iii) having two subsidiary companies that are responsible entities.
- (b) Accordingly, Employees have the following specific obligations:
 - (i) to take all reasonable steps to ensure that Region complies with all laws and regulations that apply it and its operations including:
 - (A) the *Corporations Act 2001 (Cth)*;
 - (B) any condition imposed on an entity with an Australian Financial Services Licence ("AFSL");
 - (C) the constitutions of any trust for which a Region entity is the responsible entity; and
 - (D) the Compliance Plans of any trust for which a Region entity is the responsible entity.
 - (ii) to disclose to Region's Compliance Officer or Company Secretary interactions with Region's regulators, including material notices to or

inquiries received from government regulators or agencies;

- (iii) to report to Region’s Compliance Officer or a Director of the relevant responsible entity any breach of law, the Constitution of any responsible entity or Trust, or the Compliance Plans of any Trust.
 - (iv) in addition to any of the duties set out above, to generally uphold the fiduciary responsibilities Employees owe to unitholders.
- (c) For further details on obligations arising from Region’s compliance commitments refer to the: *Compliance Management Framework; AFSL-specific policies; Incident and Breach Reporting Policy; (Unitholder) Complaints Handling Policy and Procedure; Continuous Disclosure Policy; Custody, Document Execution and Retention Policy and Procedure; Outsourcing Policy, Outsourcing Procedure; Related Party Transactions and Conflicts of Interest Protocol; and Securities Trading Policy.*

7.5 General financial product advice and personal financial product advice

- (a) Employees who are not authorised by Region to do so must not provide any financial product advice to any unitholder or potential unitholder including customers, tenants or potential customers or tenants of Region under the AFSL (whether it’s general financial product advice or personal financial product advice. Refer to **Appendix B** for details on

differentiating between personal advice and general advice).

- (b) For further details on the processes and procedures in place in relation to the provision of financial advice refer to the *AFSL: Providing Advice Policy and Procedure.*

7.6 Gifts and benefits

- (a) Employees must not accept, directly or indirectly, payments, loan services, travel offers, gifts, entertainment or any other gratuities from any Provider² with which a Region conducts or may conduct business if they are likely to influence (or be perceived to influence) their judgement on choice of goods or services.
- (b) To ensure transparency if an Employee is to receive a gift benefit where the aggregate economic value to the recipient from the provider of the gift/benefit in the last 3 months (including the current gift benefit) is:
 - (i) \leq \$200, nothing is required but the Employee is required to record these gifts in Region’s Gift, Benefit and Entertainment register (“**Gifts Register**”) to counter a perception of undue influence;
 - (ii) $>$ \$200 but \leq \$500, the gift/benefit must be approved by the Compliance Officer or the CEO and the approval and the gift/benefit recorded in Region’s Gifts Register; and
 - (iii) $>$ \$500, the Audit, Risk Management & Compliance Committee (“**ARMCC**”)

² A “Provider” includes any supplier or company. Gifts/benefits from Providers that are controlled by a single ultimate parent or Providers that use the same brand should be aggregated for the purposes of applying this Policy. If you are unsure whether a Provider is controlled by a single ultimate parent refer the matter to your manager prior to accepting the gift/benefit.

Chair's prior approval (which will only be given in exceptional circumstances) must be obtained before the gift/benefit is accepted and that approval and the gift/benefit is recorded in Region's Gifts Register.

- (c) If you are in doubt as to whether a gift or benefit is appropriate you should discuss it with your manager. For further details please refer to the *Related Party Transactions and Conflicts of Interest Protocol*. And the *Fraud, Anti-Bribery & Corruption Policy*.

7.7 Fraud, Anti-Bribery & Corruption

- (a) Region strictly prohibits and does not condone any form of fraud, bribery or corruption. Accordingly, neither Region nor its Employees will provide or receive anything of value specifically with the expectation of receiving a favourable decision or special treatment. This applies to Region's dealings with other businesses and governments (whether local, state, federal or international). Consequently, Employees must not offer, give, authorise, request or receive "bribes", "secret commissions" or "kickbacks" in the form of money, gifts, preference, privilege or anything of value that alters or is intended to alter the behaviour of the recipient.
- (b) Region will not offer facilitation payments. If an Employee receives a request from a third party for a facilitation payment, that Employee must immediately report this to

the Compliance Officer, Chief Legal Officer or General Manager of Risk and Compliance. A facilitation payment is any payment (regardless of the amount) made for the purpose of securing or expediting the performance of a government action.

- (c) Prior to making a donation, Employees must consider any implications for Region in making a donation to a cause, charity or political party that could conflict with their duties and obligations to Region.
- (d) In NSW, it is unlawful for Directors and Officers of a Property Developer³ to make or solicit donations to any political party or to any non-profit or other organisation which predominately acts as a conduit for funds to a political party.⁴
- (e) For further details please refer to the *Anit-Fraud, Anti-Bribery & Anti-Corruption Policy*.

7.8 Competition

- (a) Competition laws can be complex and there can be severe penalties for breaking the laws. There are, though, some basic rules to follow:
 - (i) do not disclose, seek from or exchange with competitors any commercially sensitive information such as price, contract negotiations, commercial strategies or plans;
 - (ii) be mindful of social and trade events and don't engage in discussions or meetings that are commercial in nature;

³ As defined at s 53 of the NSW Electoral Funding Act 2018

⁴ In accordance with s 52 of the NSW Electoral Funding Act 2018

- (iii) consult with the Chief Legal and Investment Officer prior to entering into joint venture, merger or acquisition arrangements; and
 - (iv) do not gather information on competitors from any source other than a legal source ie information cannot not be obtained from any illegal activity such as: theft, hacking; misrepresentation, bribery, coercion.
- (b) As a general approach, if you are unsure if a corporate action may have implications under the *Competition & Consumer Act*, refer the matter to the Chief Legal Officer as early as possible for clarification.

7.9 Securities Trading

- (a) Insider Trading is illegal and against Region's *Securities Trading Policy*. If you have information about Region (or any other company) which is:
- (i) not generally available to the market/public; and
 - (ii) is material ie information that a person who commonly trades in securities, would be likely to consider important in deciding whether or not to purchase a security,
- you must not deal in that entity's securities (eg shares, units, derivatives), pass information onto another person or encourage another person to deal in that entity's securities.
- (b) Inside information may include: results or forecasts; proposed major acquisition or disposal of assets; a significant new contract; a change in distribution policy; a change in senior management. Refer to the *Securities Trading Policy* for further details.

8. Community, Investor Relations & Media

Region aims to positively contribute to the communities in which it operates by adopting a sustainable approach to investment and through engaging with local communities. Region also seeks to build productive relationships with unitholders, analysts, the media and other external stakeholders by communicating with them in an accurate and timely manner. A transparent approach is taken in engaging with regulators and Region will not participate in party political activity or make political donations.

8.1 Community Engagement

Region's *Sustainability Policy* confirms the principles of recognising and supporting the well-being of the communities in which its shopping centres are located, applying a sustainable approach to our development projects, providing leadership in the communities in which shopping centres are located and engaging its key stakeholders to understand relevant environmental, social and governance issues. Refer to the *Sustainability Policy* for additional details on Region's activities to achieve these principles. The *Sustainability Policy* is available on Region's website.

8.2 Donations & Political Activity

- (a) Prior to making a donation, Employees must consider any implications for Region in making a donation to a cause, charity or political party that could conflict with their duties and obligations to Region.

- (b) In NSW, Directors and Officers of a Property Developer⁵ must not make or solicit donations to any political party or to any non-profit or other organisation which predominately acts as a conduit for funds to a political party.⁶
- (c) Region does not restrict Employees from making personal political donations or having political views or associations. However, it must be made clear that any political involvement is purely in your personal capacity and does not represent the views of Region. Employees may represent Region on an industry or government advisory group or trade association provided the CEO has approved the appointment.
- (d) For further details please refer to the *Fraud, Anti-Bribery & Corruption Policy*.

8.3 Continuous Disclosure & Unitholder Communications

Region provides unitholders, its financiers and the market generally with timely, direct, and equal access to relevant information. Refer to the *Continuous Disclosure Policy* and the *Unitholder Communications Policy* for processes and procedures governing the dissemination of information to unitholders and the market. The *Continuous Disclosure Policy* and the *Unitholder Communications Policies* are available on Region's website.

8.4 Unitholder Complaints Handling

As an AFSL licensee, Region has in place procedures to ensure that all complaints are handled in a timely and thorough manner to maximise relationships with unitholders and minimise adverse consequences for Region. Refer to Region's *(Unitholder) Complaints Handling Policy and Procedure* for further details.

8.5 Social Media

- (a) Region's *Social Media Policy*, contained in the HR Handbook, applies to all Employees and extends to use of websites and internet-based applications used for social networking/interaction, sharing of information/content and creation of communities through online networks of people. Region recognises social media as an important tool for stakeholder engagement and encourages Employees representing Region in a voluntary capacity to use social media in a personal capacity as a way to reach out and develop their personal and professional networks.
- (b) Employees must take care to clarify who they are representing when using social media and must take responsibility for the accuracy and appropriateness of what is said in any social media communications which reference Region or Region related activities, or from which communications from Region could reasonably be identified. Refer to the *Social Media Policy* for further information.

⁵ As defined at s 53 of the NSW Electoral Funding Act 2018

⁶ In accordance with s 52 of the NSW Electoral Funding Act 2018

9. Assets

Region aims to report transparently about its operations and performance and to be true and accurate in the recording and reporting of data and results. Additionally, Employees have a responsibility to protect Region’s physical and financial assets and to comply with all applicable laws and regulations. For further details please refer to the *Fraud, Anti-Bribery & Corruption Policy*.

9.1 Delegation of Authority

Region’s *Delegations of Authority and Limits of Approval Policy* sets out the limits of approval with regard to activities undertaken on behalf of Region. An Employee may only approve expenditure up to their limit of authority. All Employees should be aware of the limits of authority and should never exceed them nor commit Region outside their delegated authority verbally, in writing or by email. Breaches of Region’s Board-approved delegations will result in disciplinary action which may include termination of employment. Refer to the *Delegations of Authority and Limits of Approval Policy* for detail of the operation of Region’s delegated authority.

9.2 Financial Integrity

Region will exercise diligence and good faith in the preparation of financial information, with the intention that this information is accurate, timely and represents a true and fair view of the financial performance and condition of the organisation and complies with all applicable legislative requirements. Additionally, to achieve a high level of transparency, Region aims to accurately inform its unitholders, its bankers and the financial community in general by preparing and delivering its financial information in a clear, precise and transparent manner. Refer to Region’s *Financial Management, Capital & Liquidity Risk Management, Tax Risk Management, Valuation,*

Distribution and Auditor Independence Policies for further detail on how Region applies integrity to its financial reporting.

9.3 Custody, Document Execution and Retention

Region RE provides custody services to the Region Retail Trust and the Region Management Trust. Region’s *Custody, Document Execution and Retention Policy and Procedure* details the Custodian Standards required of Region by the *Corporations Act*. The Policy also details the procedures relating to the execution and retention of documents by Region. This supports effective commercial outcomes and ensures that all documents that may bind Region to an arrangement are checked and appropriately authorised.

9.4 Use of Region Assets

All Employees must respect and comply with Region’s system of internal controls to safeguard Region’s assets. All managers are responsible for the personnel, assets and systems under their control. Equipment provided for the use of Employees is primarily for business use, though personal use of Region’s computers or communication resources is permitted subject to the terms of the *Data Protection & IT Use Policy* in the *HR Handbook*.

- (a) Employees with credit cards are responsible for misuse, loss, fraud or theft of the card and also for ensuring that payments are accurate and that tax invoices are provided for each expense. Refer to the *Delegations of Authority and Limits of Approval Policy* for further details on credit card usage.

9.5 Information Systems and Security

It is critical that all IT systems are set up and operated to ensure that the information of Region

and its clients are protected from unauthorised use, access and disclosure. Employees must not make use of information acquired through their role to gain an improper advantage for themselves or another person or to cause detriment to unitholders. Each Employee must respect the confidentiality of all information acquired in the course of their duties and not use or disclose to third parties confidential information. Refer to Region's *Social Media Policy*, *Privacy Policy*, *Outsourcing Policy*, *Outsourcing Procedure* and *Data Protection & IT Use Policy* for further details on expectations in relation to information systems and security.

10. Review

This Policy will be reviewed at least annually and will be updated to comply with any relevant regulatory or other change.

Appendix A Workplace Complaint and Incident Reporting Matrix

| Type of complaint, breach or incident | Relevant policy governing complaint | Who should you contact in the first instance | Who at Region has the ultimate oversight of these types of complaints? |
|---|---|---|--|
| A personal, work-related grievance | HR Handbook | Your line manager or HR | CEO |
| Bullying, harassment or discrimination-related complaint or incident | HR Handbook | Your line manager or HR | CEO |
| Complaint or incident regarding Improper Conduct (as defined in Section 6 of Region’s <i>Whistleblower Policy</i>) examples of which may include fraudulent, dishonest, illegal or criminal conduct, corrupt conduct, or unethical conduct | <i>Whistleblower Policy</i> | Protected Disclosure Committee (refer Section 8 of Region’s <i>Whistleblower Policy</i>); OR 24-Hour “Your Call” Hotline, an external and independent whistleblowing service provider, by: <ul style="list-style-type: none"> Telephone: 1300 790 228 This is a free call telephone service within Australia and is available between 9am and 12 midnight, recognised business days, AEST; or Website https://www.yourcall.com.au/report | Protected Disclosure Committee |
| An incident being any act or omission which does not accord with Region’s legal rights and/or obligations or is indicative of an underlying control weakness | <i>Incident and Breach Reporting Policy and Procedure</i> | Compliance Officer | Compliance Officer |
| Workplace health and safety complaint including safety issues and environmental issues | <i>WHS Policy and Procedures</i> | Your line manager, HR, relevant investment manager or Chief Corporate Officer | Chief Corporate Officer |

Flowchart: How to differentiate personal advice and general advice

