

# Appendix 4G

## Key to Disclosures

### Corporate Governance Council Principles and Recommendations

Name of entity

Centrepoint Alliance Limited

ABN/ARBN

72 052 507 507

Financial year ended:

30 June 2022

Our corporate governance statement<sup>1</sup> for the period above can be found at:<sup>2</sup>

- ☐ These pages of our annual report:
- ☒ This URL on our website: <https://www.centrepointalliance.com.au/investor-centre/corporate-governance/>

The Corporate Governance Statement is accurate and up to date as at 23 August 2022 and has been approved by the board.

The annexure includes a key to where our corporate governance disclosures can be located.<sup>3</sup>

Date: 24 August 2022

Kim Clark

Company Secretary

<sup>1</sup> "Corporate governance statement" is defined in Listing Rule 19.12 to mean the statement referred to in Listing Rule 4.10.3 which discloses the extent to which an entity has followed the recommendations set by the ASX Corporate Governance Council during a particular reporting period.

Listing Rule 4.10.3 requires an entity that is included in the official list as an ASX Listing to include in its annual report either a corporate governance statement that meets the requirements of that rule or the URL of the page on its website where such a statement is located. The corporate governance statement must disclose the extent to which the entity has followed the recommendations set by the ASX Corporate Governance Council during the reporting period. If the entity has not followed a recommendation for any part of the reporting period, its corporate governance statement must separately identify that recommendation and the period during which it was not followed and state its reasons for not following the recommendation and what (if any) alternative governance practices it adopted in lieu of the recommendation during that period.

Under Listing Rule 4.7.4, if an entity chooses to include its corporate governance statement on its website rather than in its annual report, it must lodge a copy of the corporate governance statement with ASX at the same time as it lodges its annual report with ASX. The corporate governance statement must be current as at the effective date specified in that statement for the purposes of Listing Rule 4.10.3.

Under Listing Rule 4.7.3, an entity must also lodge with ASX a completed Appendix 4G at the same time as it lodges its annual report with ASX. The Appendix 4G serves a dual purpose. It acts as a key designed to assist readers to locate the governance disclosures made by a listed entity under Listing Rule 4.10.3 and under the ASX Corporate Governance Council's recommendations. It also acts as a verification tool for listed entities to confirm that they have met the disclosure requirements of Listing Rule 4.10.3.

The Appendix 4G is not a substitute for, and is not to be confused with, the entity's corporate governance statement. They serve different purposes and an entity must produce each of them separately.

<sup>2</sup> Tick whichever option is correct and then complete the page number(s) of the annual report, or the URL of the web page, where your corporate governance statement can be found. You can, if you wish, delete the option which is not applicable.

<sup>3</sup> Throughout this form, where you are given two or more options to select, you can, if you wish, delete any option which is not applicable and just retain the option that is applicable. If you select an option that includes "OR" at the end of the selection and you delete the other options, you can also, if you wish, delete the "OR" at the end of the selection.

See notes 4 and 5 below for further instructions on how to complete this form.

**ANNEXURE – KEY TO CORPORATE GOVERNANCE DISCLOSURES**

| Corporate Governance Council recommendation                             |                                                                                                                                                                                                                                                                                                                                   | Where a box below is ticked, <sup>4</sup> we have followed the recommendation <b>in full</b> for the <b>whole</b> of the period above. We have disclosed this in our Corporate Governance Statement:                                                                  | Where a box below is ticked, we have <b>NOT</b> followed the recommendation in full for the whole of the period above. Our reasons for not doing so are: <sup>5</sup>                                |
|-------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>PRINCIPLE 1 – LAY SOLID FOUNDATIONS FOR MANAGEMENT AND OVERSIGHT</b> |                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                      |
| 1.1                                                                     | A listed entity should have and disclose a board charter setting out:<br>(a) the respective roles and responsibilities of its board and management; and<br>(b) those matters expressly reserved to the board and those delegated to management.                                                                                   | <input checked="" type="checkbox"/><br>and we have disclosed a copy of our board charter at:<br><a href="https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/">https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/</a> | <input type="checkbox"/> set out in our Corporate Governance Statement <b>OR</b><br><input type="checkbox"/> we are an externally managed entity and this recommendation is therefore not applicable |
| 1.2                                                                     | A listed entity should:<br>(a) undertake appropriate checks before appointing a director or senior executive or putting someone forward for election as a director; and<br>(b) provide security holders with all material information in its possession relevant to a decision on whether or not to elect or re-elect a director. | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                   | <input type="checkbox"/> set out in our Corporate Governance Statement <b>OR</b><br><input type="checkbox"/> we are an externally managed entity and this recommendation is therefore not applicable |
| 1.3                                                                     | A listed entity should have a written agreement with each director and senior executive setting out the terms of their appointment.                                                                                                                                                                                               | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                   | <input type="checkbox"/> set out in our Corporate Governance Statement <b>OR</b><br><input type="checkbox"/> we are an externally managed entity and this recommendation is therefore not applicable |
| 1.4                                                                     | The company secretary of a listed entity should be accountable directly to the board, through the chair, on all matters to do with the proper functioning of the board.                                                                                                                                                           | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                   | <input type="checkbox"/> set out in our Corporate Governance Statement <b>OR</b><br><input type="checkbox"/> we are an externally managed entity and this recommendation is therefore not applicable |

<sup>4</sup> Tick the box in this column only if you have followed the relevant recommendation **in full** for the **whole** of the period above. Where the recommendation has a disclosure obligation attached, you must insert the location where that disclosure has been made, where indicated by the line with “*insert location*” underneath. If the disclosure in question has been made in your corporate governance statement, you need only insert “our corporate governance statement”. If the disclosure has been made in your annual report, you should insert the page number(s) of your annual report (eg “pages 10-12 of our annual report”). If the disclosure has been made on your website, you should insert the URL of the web page where the disclosure has been made or can be accessed (eg “www.entityname.com.au/corporate-governance/charters/”).

<sup>5</sup> If you have followed all of the Council's recommendations **in full** for the **whole** of the period above, you can, if you wish, delete this column from the form and re-format it.

## Key to Disclosures Corporate Governance Council Principles and Recommendations

| Corporate Governance Council recommendation |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Where a box below is ticked, <sup>4</sup> we have followed the recommendation <u>in full</u> for the <u>whole</u> of the period above. We have disclosed this in our Corporate Governance Statement:                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Where a box below is ticked, we have NOT followed the recommendation in full for the whole of the period above. Our reasons for not doing so are: <sup>5</sup>                                                  |
|---------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1.5                                         | <p>A listed entity should:</p> <ul style="list-style-type: none"> <li>(a) have and disclose a diversity policy;</li> <li>(b) through its board or a committee of the board set measurable objectives for achieving gender diversity in the composition of its board, senior executives and workforce generally; and</li> <li>(c) disclose in relation to each reporting period: <ul style="list-style-type: none"> <li>(1) the measurable objectives set for that period to achieve gender diversity;</li> <li>(2) the entity's progress towards achieving those objectives; and</li> <li>(3) either: <ul style="list-style-type: none"> <li>(A) the respective proportions of men and women on the board, in senior executive positions and across the whole workforce (including how the entity has defined "senior executive" for these purposes); or</li> <li>(B) if the entity is a "relevant employer" under the Workplace Gender Equality Act, the entity's most recent "Gender Equality Indicators", as defined in and published under that Act.</li> </ul> </li> </ul> </li> </ul> <p>If the entity was in the S&amp;P / ASX 300 Index at the commencement of the reporting period, the measurable objective for achieving gender diversity in the composition of its board should be to have not less than 30% of its directors of each gender within a specified period.</p> | <p><input checked="" type="checkbox"/> and we have disclosed a copy of our diversity policy at: <a href="https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/">https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/</a> and we have disclosed the information referred to in paragraph (c) in our Corporate Governance Statement;</p> <p>and if we were included in the S&amp;P / ASX 300 Index at the commencement of the reporting period our measurable objective for achieving gender diversity in the composition of its board of not less than 30% of its directors of each gender within a specified period.</p> | <p><input type="checkbox"/> set out in our Corporate Governance Statement <b>OR</b></p> <p><input type="checkbox"/> we are an externally managed entity and this recommendation is therefore not applicable</p> |
| 1.6                                         | <p>A listed entity should:</p> <ul style="list-style-type: none"> <li>(a) have and disclose a process for periodically evaluating the performance of the board, its committees and individual directors; and</li> <li>(b) disclose for each reporting period whether a performance evaluation has been undertaken in accordance with that process during or in respect of that period.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <p><input checked="" type="checkbox"/> and we have disclosed the evaluation process referred to in paragraph (a) in our Corporate Governance Statement; and whether a performance evaluation was undertaken for the reporting period in accordance with that process in our Corporate Governance Statement.</p>                                                                                                                                                                                                                                                                                                                                                       | <p><input type="checkbox"/> set out in our Corporate Governance Statement <b>OR</b></p> <p><input type="checkbox"/> we are an externally managed entity and this recommendation is therefore not applicable</p> |

## Key to Disclosures Corporate Governance Council Principles and Recommendations

| Corporate Governance Council recommendation |                                                                                                                                                                                                                                                                                                                                                 | Where a box below is ticked, <sup>4</sup> we have followed the recommendation <u>in full</u> for the <u>whole</u> of the period above. We have disclosed this in our Corporate Governance Statement:                                                                                                            | Where a box below is ticked, we have NOT followed the recommendation in full for the whole of the period above. Our reasons for not doing so are: <sup>5</sup>                                                  |
|---------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1.7                                         | <p>A listed entity should:</p> <p>(a) have and disclose a process for evaluating the performance of its senior executives at least once every reporting period; and</p> <p>(b) disclose for each reporting period whether a performance evaluation has been undertaken in accordance with that process during or in respect of that period.</p> | <p><input checked="" type="checkbox"/> and we have disclosed the evaluation process referred to in paragraph (a) in our Corporate Governance Statement, and whether a performance evaluation was undertaken for the reporting period in accordance with that process in our Corporate Governance Statement.</p> | <p><input type="checkbox"/> set out in our Corporate Governance Statement <b>OR</b></p> <p><input type="checkbox"/> we are an externally managed entity and this recommendation is therefore not applicable</p> |

## Key to Disclosures Corporate Governance Council Principles and Recommendations

| Corporate Governance Council recommendation                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Where a box below is ticked, <sup>4</sup> we have followed the recommendation <b>in full</b> for the <b>whole</b> of the period above. We have disclosed this in our Corporate Governance Statement:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Where a box below is ticked, we have NOT followed the recommendation in full for the whole of the period above. Our reasons for not doing so are: <sup>5</sup>                                                             |
|------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>PRINCIPLE 2 - STRUCTURE THE BOARD TO BE EFFECTIVE AND ADD VALUE</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                            |
| 2.1                                                                    | <p>The board of a listed entity should:</p> <p>(a) have a nomination committee which:</p> <p>(1) has at least three members, a majority of whom are independent directors; and</p> <p>(2) is chaired by an independent director, and disclose:</p> <p>(3) the charter of the committee;</p> <p>(4) the members of the committee; and</p> <p>(5) as at the end of each reporting period, the number of times the committee met throughout the period and the individual attendances of the members at those meetings; or</p> <p>(b) if it does not have a nomination committee, disclose that fact and the processes it employs to address board succession issues and to ensure that the board has the appropriate balance of skills, knowledge, experience, independence and diversity to enable it to discharge its duties and responsibilities effectively.</p> | <p><input type="checkbox"/></p> <p><i>[If the entity complies with paragraph (a):]</i></p> <p>and we have disclosed a copy of the charter of the committee at: <a href="https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/">https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/</a></p> <p>and the information referred to in paragraphs (4) and (5) in our Annual Report.</p> <p><i>[If the entity complies with paragraph (b):]</i></p> <p>and we have disclosed the fact that we do not have a nomination committee and the processes we employ to address board succession issues and to ensure that the board has the appropriate balance of skills, knowledge, experience, independence and diversity to enable it to discharge its duties and responsibilities in our Corporate Governance Statement.</p> | <p><input checked="" type="checkbox"/> set out in our Corporate Governance Statement <b>OR</b></p> <p><input type="checkbox"/> we are an externally managed entity and this recommendation is therefore not applicable</p> |
| 2.2                                                                    | A listed entity should have and disclose a board skills matrix setting out the mix of skills that the board currently has or is looking to achieve in its membership.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | <p><input checked="" type="checkbox"/></p> <p>and we have disclosed our board skills matrix in our Corporate Governance Statement.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <p><input type="checkbox"/> set out in our Corporate Governance Statement <b>OR</b></p> <p><input type="checkbox"/> we are an externally managed entity and this recommendation is therefore not applicable</p>            |
| 2.3                                                                    | <p>A listed entity should disclose:</p> <p>(a) the names of the directors considered by the board to be independent directors;</p> <p>(b) if a director has an interest, position, affiliation or relationship of the type described in Box 2.3 but the board is of the opinion that it does not compromise the independence of the director, the nature of the interest, position or relationship in question and an explanation of why the board is of that opinion; and</p> <p>(c) the length of service of each director.</p>                                                                                                                                                                                                                                                                                                                                  | <p><input checked="" type="checkbox"/></p> <p>and we have disclosed the names of the directors considered by the board to be independent directors in our Corporate Governance Statement,</p> <p>and, where applicable, the information referred to in paragraph (b) in our Corporate Governance Statement,</p> <p>and the length of service of each director in our Corporate Governance Statement.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <p><input type="checkbox"/> set out in our Corporate Governance Statement</p>                                                                                                                                              |

## Key to Disclosures Corporate Governance Council Principles and Recommendations

| Corporate Governance Council recommendation                                         |                                                                                                                                                                                                                                                                                   | Where a box below is ticked, <sup>4</sup> we have followed the recommendation <b>in full</b> for the <b>whole</b> of the period above. We have disclosed this in our Corporate Governance Statement:                                                               | Where a box below is ticked, we have NOT followed the recommendation in full for the whole of the period above. Our reasons for not doing so are: <sup>5</sup>                                       |
|-------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2.4                                                                                 | A majority of the board of a listed entity should be independent directors.                                                                                                                                                                                                       | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                | <input type="checkbox"/> set out in our Corporate Governance Statement <b>OR</b><br><input type="checkbox"/> we are an externally managed entity and this recommendation is therefore not applicable |
| 2.5                                                                                 | The chair of the board of a listed entity should be an independent director and, in particular, should not be the same person as the CEO of the entity.                                                                                                                           | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                | <input type="checkbox"/> set out in our Corporate Governance Statement <b>OR</b><br><input type="checkbox"/> we are an externally managed entity and this recommendation is therefore not applicable |
| 2.6                                                                                 | A listed entity should have a program for inducting new directors and for periodically reviewing whether there is a need for existing directors to undertake professional development to maintain the skills and knowledge needed to perform their role as directors effectively. | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                | <input type="checkbox"/> set out in our Corporate Governance Statement <b>OR</b><br><input type="checkbox"/> we are an externally managed entity and this recommendation is therefore not applicable |
| <b>PRINCIPLE 3 – INSTIL A CULTURE OF ACTING LAWFULLY, ETHICALLY AND RESPONSIBLY</b> |                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                      |
| 3.1                                                                                 | A listed entity should articulate and disclose its values.                                                                                                                                                                                                                        | <input checked="" type="checkbox"/><br>and we have disclosed our values at:<br><a href="https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/">https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/</a>               | <input type="checkbox"/> set out in our Corporate Governance Statement                                                                                                                               |
| 3.2                                                                                 | A listed entity should:<br>(a) have and disclose a code of conduct for its directors, senior executives and employees; and<br>(b) ensure that the board or a committee of the board is informed of any material breaches of that code.                                            | <input checked="" type="checkbox"/><br>and we have disclosed our code of conduct at:<br><a href="https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/">https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/</a>      | <input type="checkbox"/> set out in our Corporate Governance Statement                                                                                                                               |
| 3.3                                                                                 | A listed entity should:<br>(a) have and disclose a whistleblower policy; and<br>(b) ensure that the board or a committee of the board is informed of any material incidents reported under that policy.                                                                           | <input checked="" type="checkbox"/><br>and we have disclosed our whistleblower policy at:<br><a href="https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/">https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/</a> | <input type="checkbox"/> set out in our Corporate Governance Statement                                                                                                                               |

## Key to Disclosures Corporate Governance Council Principles and Recommendations

| Corporate Governance Council recommendation |                                                                                                                                                                                                                        | Where a box below is ticked, <sup>4</sup> we have followed the recommendation <u>in full</u> for the <u>whole</u> of the period above. We have disclosed this in our Corporate Governance Statement:                                                                              | Where a box below is ticked, we have NOT followed the recommendation in full for the whole of the period above. Our reasons for not doing so are: <sup>5</sup> |
|---------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 3.4                                         | <p>A listed entity should:</p> <p>(a) have and disclose an anti-bribery and corruption policy; and</p> <p>(b) ensure that the board or committee of the board is informed of any material breaches of that policy.</p> | <p><input checked="" type="checkbox"/> and we have disclosed our anti-bribery and corruption policy at: <a href="https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/">https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/</a></p> | <p><input type="checkbox"/> set out in our Corporate Governance Statement</p>                                                                                  |

## Key to Disclosures Corporate Governance Council Principles and Recommendations

| Corporate Governance Council recommendation                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Where a box below is ticked, <sup>4</sup> we have followed the recommendation <b>in full</b> for the <b>whole</b> of the period above. We have disclosed this in our Corporate Governance Statement:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Where a box below is ticked, we have NOT followed the recommendation in full for the whole of the period above. Our reasons for not doing so are: <sup>5</sup> |
|-------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>PRINCIPLE 4 – SAFEGUARD THE INTEGRITY OF CORPORATE REPORTS</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                |
| 4.1                                                               | <p>The board of a listed entity should:</p> <p>(a) have an audit committee which:</p> <p>(1) has at least three members, all of whom are non-executive directors and a majority of whom are independent directors; and</p> <p>(2) is chaired by an independent director, who is not the chair of the board,</p> <p>and disclose:</p> <p>(3) the charter of the committee;</p> <p>(4) the relevant qualifications and experience of the members of the committee; and</p> <p>(5) in relation to each reporting period, the number of times the committee met throughout the period and the individual attendances of the members at those meetings; or</p> <p>(b) if it does not have an audit committee, disclose that fact and the processes it employs that independently verify and safeguard the integrity of its corporate reporting, including the processes for the appointment and removal of the external auditor and the rotation of the audit engagement partner.</p> | <p><input type="checkbox"/></p> <p><i>[If the entity complies with paragraph (a):]</i></p> <p>and we have disclosed a copy of the charter of the committee at: <a href="https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/">https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/</a> and the information referred to in paragraphs (4) and (5) in our Annual Report.</p> <p><i>[If the entity complies with paragraph (b):]</i></p> <p>and we have disclosed the fact that we do not have an audit committee and the processes we employ that independently verify and safeguard the integrity of our corporate reporting, including the processes for the appointment and removal of the external auditor and the rotation of the audit engagement partner in our Corporate Governance Statement.</p> | <p><input checked="" type="checkbox"/> set out in our Corporate Governance Statement</p>                                                                       |
| 4.2                                                               | The board of a listed entity should, before it approves the entity's financial statements for a financial period, receive from its CEO and CFO a declaration that, in their opinion, the financial records of the entity have been properly maintained and that the financial statements comply with the appropriate accounting standards and give a true and fair view of the financial position and performance of the entity and that the opinion has been formed on the basis of a sound system of risk management and internal control which is operating effectively.                                                                                                                                                                                                                                                                                                                                                                                                      | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <input type="checkbox"/> set out in our Corporate Governance Statement                                                                                         |
| 4.3                                                               | A listed entity should disclose its process to verify the integrity of any periodic corporate report it releases to the market that is not audited or reviewed by an external auditor.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <input type="checkbox"/> set out in our Corporate Governance Statement                                                                                         |

## Key to Disclosures Corporate Governance Council Principles and Recommendations

| Corporate Governance Council recommendation                 |                                                                                                                                                                                                           | Where a box below is ticked, <sup>4</sup> we have followed the recommendation <b>in full</b> for the <b>whole</b> of the period above. We have disclosed this in our Corporate Governance Statement:                                                                                             | Where a box below is ticked, we have NOT followed the recommendation in full for the whole of the period above. Our reasons for not doing so are: <sup>5</sup> |
|-------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>PRINCIPLE 5 – MAKE TIMELY AND BALANCED DISCLOSURE</b>    |                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                |
| 5.1                                                         | A listed entity should have and disclose a written policy for complying with its continuous disclosure obligations under listing rule 3.1.                                                                | <input checked="" type="checkbox"/><br>and we have disclosed our continuous disclosure compliance policy at:<br><a href="https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/">https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/</a>            | <input type="checkbox"/> set out in our Corporate Governance Statement                                                                                         |
| 5.2                                                         | A listed entity should ensure that its board receives copies of all material market announcements promptly after they have been made.                                                                     | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                              | <input type="checkbox"/> set out in our Corporate Governance Statement                                                                                         |
| 5.3                                                         | A listed entity that gives a new and substantive investor or analyst presentation should release a copy of the presentation materials on the ASX Market Announcements Platform ahead of the presentation. | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                              | <input type="checkbox"/> set out in our Corporate Governance Statement                                                                                         |
| <b>PRINCIPLE 6 – RESPECT THE RIGHTS OF SECURITY HOLDERS</b> |                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                |
| 6.1                                                         | A listed entity should provide information about itself and its governance to investors via its website.                                                                                                  | <input checked="" type="checkbox"/><br>and we have disclosed information about us and our governance on our website at:<br><a href="https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/">https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/</a> | <input type="checkbox"/> set out in our Corporate Governance Statement                                                                                         |
| 6.2                                                         | A listed entity should have an investor relations program that facilitates effective two-way communication with investors.                                                                                | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                              | <input type="checkbox"/> set out in our Corporate Governance Statement                                                                                         |
| 6.3                                                         | A listed entity should disclose how it facilitates and encourages participation at meetings of security holders.                                                                                          | <input checked="" type="checkbox"/><br>and we have disclosed how we facilitate and encourage participation at meetings of security holders in our Corporate Governance Statement.                                                                                                                | <input type="checkbox"/> set out in our Corporate Governance Statement                                                                                         |
| 6.4                                                         | A listed entity should ensure that all substantive resolutions at a meeting of security holders are decided by a poll rather than by a show of hands.                                                     | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                              | <input type="checkbox"/> set out in our Corporate Governance Statement                                                                                         |

## Key to Disclosures Corporate Governance Council Principles and Recommendations

| Corporate Governance Council recommendation    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Where a box below is ticked, <sup>4</sup> we have followed the recommendation <b>in full</b> for the <b>whole</b> of the period above. We have disclosed this in our Corporate Governance Statement:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Where a box below is ticked, we have NOT followed the recommendation in full for the whole of the period above. Our reasons for not doing so are: <sup>5</sup> |
|------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 6.5                                            | A listed entity should give security holders the option to receive communications from, and send communications to, the entity and its security registry electronically.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | <input type="checkbox"/> set out in our Corporate Governance Statement                                                                                         |
| <b>PRINCIPLE 7 – RECOGNISE AND MANAGE RISK</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                |
| 7.1                                            | <p>The board of a listed entity should:</p> <p>(a) have a committee or committees to oversee risk, each of which:</p> <p>(1) has at least three members, a majority of whom are independent directors; and</p> <p>(2) is chaired by an independent director, and disclose:</p> <p>(3) the charter of the committee;</p> <p>(4) the members of the committee; and</p> <p>(5) as at the end of each reporting period, the number of times the committee met throughout the period and the individual attendances of the members at those meetings; or</p> <p>(b) if it does not have a risk committee or committees that satisfy (a) above, disclose that fact and the processes it employs for overseeing the entity's risk management framework.</p> | <p><input type="checkbox"/></p> <p><i>[If the entity complies with paragraph (a):]</i></p> <p>and we have disclosed a copy of the charter of the committee at: <a href="https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/">https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/</a> and the information referred to in paragraphs (4) and (5) in our Annual Report.</p> <p><i>[If the entity complies with paragraph (b):]</i></p> <p>and we have disclosed the fact that we do not have a risk committee or committees that satisfy (a) and the processes we employ for overseeing our risk management framework in our Corporate Governance Statement.</p> | <input checked="" type="checkbox"/> set out in our Corporate Governance Statement                                                                              |
| 7.2                                            | <p>The board or a committee of the board should:</p> <p>(a) review the entity's risk management framework at least annually to satisfy itself that it continues to be sound and that the entity is operating with due regard to the risk appetite set by the board; and</p> <p>(b) disclose, in relation to each reporting period, whether such a review has taken place.</p>                                                                                                                                                                                                                                                                                                                                                                        | <p><input checked="" type="checkbox"/></p> <p>and we have disclosed whether a review of the entity's risk management framework was undertaken during the reporting period in our Corporate Governance Statement.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <input type="checkbox"/> set out in our Corporate Governance Statement                                                                                         |

## Key to Disclosures Corporate Governance Council Principles and Recommendations

| Corporate Governance Council recommendation |                                                                                                                                                                                                                                                                                                                                                                        | Where a box below is ticked, <sup>4</sup> we have followed the recommendation <u>in full</u> for the <u>whole</u> of the period above. We have disclosed this in our Corporate Governance Statement:                                                                                                                                                                                                                                                                                                                                                           | Where a box below is ticked, we have NOT followed the recommendation in full for the whole of the period above. Our reasons for not doing so are: <sup>5</sup> |
|---------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 7.3                                         | A listed entity should disclose:<br>(a) if it has an internal audit function, how the function is structured and what role it performs; or<br>(b) if it does not have an internal audit function, that fact and the processes it employs for evaluating and continually improving the effectiveness of its governance, risk management and internal control processes. | <input checked="" type="checkbox"/><br><i>[If the entity complies with paragraph (a):]</i><br>and we have disclosed how our internal audit function is structured and what role it performs at:<br>.....<br><i>[insert location]</i><br><i>[If the entity complies with paragraph (b):]</i><br>and we have disclosed the fact that we do not have an internal audit function and the processes we employ for evaluating and continually improving the effectiveness of our risk management and internal control process in our Corporate Governance Statement. | <input type="checkbox"/> set out in our Corporate Governance Statement                                                                                         |
| 7.4                                         | A listed entity should disclose whether it has any material exposure to environmental or social risks and, if it does, how it manages or intends to manage those risks.                                                                                                                                                                                                | <input checked="" type="checkbox"/><br>and we have disclosed whether we have any material exposure to environmental and social risks in our Corporate Governance Statement<br>and, if we do, how we manage or intend to manage those risks at:<br>N/A                                                                                                                                                                                                                                                                                                          | <input type="checkbox"/> set out in our Corporate Governance Statement                                                                                         |

## Key to Disclosures Corporate Governance Council Principles and Recommendations

| Corporate Governance Council recommendation            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Where a box below is ticked, <sup>4</sup> we have followed the recommendation <b>in full</b> for the <b>whole</b> of the period above. We have disclosed this in our Corporate Governance Statement:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Where a box below is ticked, we have NOT followed the recommendation in full for the whole of the period above. Our reasons for not doing so are: <sup>5</sup>                                                                                                                                                                                                   |
|--------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>PRINCIPLE 8 – REMUNERATE FAIRLY AND RESPONSIBLY</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                  |
| 8.1                                                    | <p>The board of a listed entity should:</p> <p>(a) have a remuneration committee which:</p> <p>(1) has at least three members, a majority of whom are independent directors; and</p> <p>(2) is chaired by an independent director, and disclose:</p> <p>(3) the charter of the committee;</p> <p>(4) the members of the committee; and</p> <p>(5) as at the end of each reporting period, the number of times the committee met throughout the period and the individual attendances of the members at those meetings; or</p> <p>(b) if it does not have a remuneration committee, disclose that fact and the processes it employs for setting the level and composition of remuneration for directors and senior executives and ensuring that such remuneration is appropriate and not excessive.</p> | <p><input type="checkbox"/></p> <p><i>[If the entity complies with paragraph (a):]</i></p> <p>and we have disclosed a copy of the charter of the committee at: <a href="https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/">https://www.centrepoinalliance.com.au/investor-centre/corporate-governance/</a> and the information referred to in paragraphs (4) and (5) in our Annual Report.</p> <p><i>[If the entity complies with paragraph (b):]</i></p> <p>and we have disclosed the fact that we do not have a remuneration committee and the processes we employ for setting the level and composition of remuneration for directors and senior executives and ensuring that such remuneration is appropriate and not excessive in our Corporate Governance Statement.</p> | <p><input checked="" type="checkbox"/> set out in our Corporate Governance Statement <b>OR</b></p> <p><input type="checkbox"/> we are an externally managed entity and this recommendation is therefore not applicable</p>                                                                                                                                       |
| 8.2                                                    | A listed entity should separately disclose its policies and practices regarding the remuneration of non-executive directors and the remuneration of executive directors and other senior executives.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <p><input checked="" type="checkbox"/></p> <p>and we have disclosed separately our remuneration policies and practices regarding the remuneration of non-executive directors and the remuneration of executive directors and other senior executives in our Corporate Governance Statement.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <p><input type="checkbox"/> set out in our Corporate Governance Statement <b>OR</b></p> <p><input type="checkbox"/> we are an externally managed entity and this recommendation is therefore not applicable</p>                                                                                                                                                  |
| 8.3                                                    | <p>A listed entity which has an equity-based remuneration scheme should:</p> <p>(a) have a policy on whether participants are permitted to enter into transactions (whether through the use of derivatives or otherwise) which limit the economic risk of participating in the scheme; and</p> <p>(b) disclose that policy or a summary of it.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <p><input checked="" type="checkbox"/></p> <p>and we have disclosed our policy on this issue or a summary of it at: in our Corporate Governance Statement.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | <p><input type="checkbox"/> set out in our Corporate Governance Statement <b>OR</b></p> <p><input type="checkbox"/> we do not have an equity-based remuneration scheme and this recommendation is therefore not applicable <b>OR</b></p> <p><input type="checkbox"/> we are an externally managed entity and this recommendation is therefore not applicable</p> |

## Key to Disclosures Corporate Governance Council Principles and Recommendations

| Corporate Governance Council recommendation                                    |                                                                                                                                                                                                                                                                                                                                                                                                                 | Where a box below is ticked, <sup>4</sup> we have followed the recommendation <u>in full</u> for the <u>whole</u> of the period above. We have disclosed this in our Corporate Governance Statement: | Where a box below is ticked, we have NOT followed the recommendation in full for the whole of the period above. Our reasons for not doing so are: <sup>5</sup>                                                                                                                                                                                                                             |
|--------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>ADDITIONAL RECOMMENDATIONS THAT APPLY ONLY IN CERTAIN CASES</b>             |                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                            |
| 9.1                                                                            | A listed entity with a director who does not speak the language in which board or security holder meetings are held or key corporate documents are written should disclose the processes it has in place to ensure the director understands and can contribute to the discussions at those meetings and understands and can discharge their obligations in relation to those documents.                         | <input type="checkbox"/><br>and we have disclosed information about the processes in place at:<br>.....<br>[insert location]                                                                         | <input type="checkbox"/> set out in our Corporate Governance Statement <b>OR</b><br><input type="checkbox"/> we do not have a director in this position and this recommendation is therefore not applicable <b>OR</b><br><input type="checkbox"/> we are an externally managed entity and this recommendation is therefore not applicable                                                  |
| 9.2                                                                            | A listed entity established outside Australia should ensure that meetings of security holders are held at a reasonable place and time.                                                                                                                                                                                                                                                                          | <input type="checkbox"/>                                                                                                                                                                             | <input type="checkbox"/> set out in our Corporate Governance Statement <b>OR</b><br><input type="checkbox"/> we are established in Australia and this recommendation is therefore not applicable <b>OR</b><br><input type="checkbox"/> we are an externally managed entity and this recommendation is therefore not applicable                                                             |
| 9.3                                                                            | A listed entity established outside Australia, and an externally managed listed entity that has an AGM, should ensure that its external auditor attends its AGM and is available to answer questions from security holders relevant to the audit.                                                                                                                                                               | <input type="checkbox"/>                                                                                                                                                                             | <input type="checkbox"/> set out in our Corporate Governance Statement <b>OR</b><br><input type="checkbox"/> we are established in Australia and not an externally managed listed entity and this recommendation is therefore not applicable<br><input type="checkbox"/> we are an externally managed entity that does not hold an AGM and this recommendation is therefore not applicable |
| <b>ADDITIONAL DISCLOSURES APPLICABLE TO EXTERNALLY MANAGED LISTED ENTITIES</b> |                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                            |
| -                                                                              | <i>Alternative to Recommendation 1.1 for externally managed listed entities:</i><br>The responsible entity of an externally managed listed entity should disclose:<br>(a) the arrangements between the responsible entity and the listed entity for managing the affairs of the listed entity; and<br>(b) the role and responsibility of the board of the responsible entity for overseeing those arrangements. | <input type="checkbox"/><br>and we have disclosed the information referred to in paragraphs (a) and (b) at:<br>.....<br>[insert location]                                                            | <input type="checkbox"/> set out in our Corporate Governance Statement                                                                                                                                                                                                                                                                                                                     |

## Key to Disclosures Corporate Governance Council Principles and Recommendations

| Corporate Governance Council recommendation |                                                                                                                                                                                                                               | Where a box below is ticked, <sup>4</sup> we have followed the recommendation <u>in full</u> for the <u>whole</u> of the period above. We have disclosed this in our Corporate Governance Statement: | Where a box below is ticked, we have NOT followed the recommendation in full for the whole of the period above. Our reasons for not doing so are: <sup>5</sup> |
|---------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| -                                           | <p><i>Alternative to Recommendations 8.1, 8.2 and 8.3 for externally managed listed entities:</i></p> <p>An externally managed listed entity should clearly disclose the terms governing the remuneration of the manager.</p> | <p><input type="checkbox"/> and we have disclosed the terms governing our remuneration as manager of the entity at:</p> <p>.....</p> <p><i>[insert location]</i></p>                                 | <p><input type="checkbox"/> set out in our Corporate Governance Statement</p>                                                                                  |

**Centrepont Alliance Limited**

(ABN 72 052 507 507) (the “Company”)

# **CORPORATE GOVERNANCE STATEMENT**

# CENTREPOINT ALLIANCE LIMITED

## CORPORATE GOVERNANCE STATEMENT – 2022

This statement reports on the main corporate governance practices of Centrepont Alliance Limited (**Centrepont** or the **Company**) as at 23 August 2022. References in this statement to “reporting period” are to the financial year ended 30 June 2022.

### Corporate Governance Policies and Practices

The Company’s Board of Directors (**Board**) is responsible for establishing the corporate governance framework of the Company and its subsidiaries (**Group**). The Board guides and monitors the business and affairs of the Company on behalf of shareholders by whom they are elected and to whom they are accountable.

Key aspects of the Company’s corporate governance are set out below and, with the exception of those matters to which specific reference is made, the Company has followed the ASX “Corporate Governance Principles and Recommendations” 4th Edition (**Recommendations**). Many of the detailed provisions of the Recommendations are embedded in the Company’s corporate policies and are not repeated in this statement.

For further information on the Company’s corporate governance policies and charters, please go to <http://www.centrepontalliance.com.au/investor-centre/corporate-governance/>.

Information on directors, meetings and attendance are available in the Directors’ Report on page 7 of the Annual Report.

## PRINCIPLE 1: LAY SOLID FOUNDATIONS FOR MANAGEMENT AND OVERSIGHT

### Roles and responsibilities of the Board and Management

The Board has established structures, policies and systems to clearly define the respective roles of the Board and management, and to clearly reserve certain functions and powers to the Board.

The activities of the Board are governed by a Board Charter that sets out requirements relating to membership, independence, operations and responsibilities. The Board has the following key responsibilities:

- overall guidance – including the determination of strategic and financial objectives;
- risk management oversight – including reviewing and approving the risk appetite statement and risk management plans;

- effective oversight of management – including the oversight and monitoring of policies and resources; and
- ensuring compliance with the Company's Constitution and regulatory obligations,

to achieve the Company's strategies and financial objectives.

The Company's Constitution and the Company's Board Charter are available on the Company's website.

The Board has particular responsibility for the appointment, remuneration and performance review of the Chief Executive Officer (**CEO**) as well as oversight of the engagement of executives, including the Company Secretary.

The Company Secretary is directly accountable to the Board, through the Chairman, on all matters related to the proper functioning of the Board as detailed in the Board Charter.

There are procedures in place, agreed to by the Board to enable Directors, in furtherance of their duties, to seek independent professional advice at the Company's expense.

## Board Committees

To assist in carrying out its responsibilities, the Board has delegated authority to the following Committees:

- Group Audit, Risk and Compliance Committee; and
- Nomination, Remuneration & Governance Committee.

Each Committee has adopted a formal charter that outlines its duties and responsibilities. A copy of each of the Committee charters is available on the Company's website.

## Delegation to management

The Board has delegated to the Chief Executive Officer the authority to manage the day-to-day affairs of the Company, and the authority to control its affairs other than those responsibilities specifically reserved to the Board in the Board Charter.

The Board may impose further specific limits on the Chief Executive Officer's delegations and delegate through the Chief Executive Officer to other executives in the Company. These delegations of authority will be maintained by the Company Secretary and will be reviewed by the Board as appropriate from time to time.

## Director Election and Re-election

The Company undertakes appropriate checks, including checks on character, experience, education and skills, criminal record and bankruptcy history before appointing a Director or Senior Executive. The Company provides shareholders with details of all material information relevant to a decision on whether to elect or re-elect a director.

The Company has written agreements with each Director and Executive setting out their terms of appointment.

## Diversity

The Board is committed to creating an inclusive workplace where everyone is treated equally and fairly and where discrimination, harassment and inequity are not tolerated. The Company has a Diversity Policy and an Anti-Discrimination & Equal Employment Opportunity Policy and these are reviewed regularly.

Diversity objectives have been established to assess progress towards the Board's commitments including:

- Promoting an inclusive culture which treats the workforce with fairness and respect (the Company has set a zero tolerance against discrimination of employees);
- Providing career development opportunities for all employees irrespective of gender, cultural or other differences (the Company encourages training and advancement for all employees through regular reviews and assessments); and
- Monitoring and reporting on the percentage of females in the workforce and in senior executive positions. Currently 50.5% of employees and 43% of executives are female. Executives are defined as the Chief Executive Officer and the Chief Executive Officer's direct reports.

The composition of the Board is reviewed on an annual basis and in the event a vacancy arises, the Board Charter requires that diversity be considered as part of the criteria in assessing candidates. As at the date of this Statement, the Board is composed of five male directors, and one female company secretary.

The Company continues to review and update the measurable objectives to promote diversity for the future.

The Company's Diversity Policy, Anti-Discrimination & Equal Employment Opportunity Policy and Board Charter are available on the Company's website.

The Company's annual report to the Workplace Gender Equality Agency (**WGEA**) for the period ended 31 March 2022 has been submitted and is available on the WGEA website at: <https://www.wgea.gov.au/report/public-reports>.

## Evaluation of the performance of the Board, its committees, individual directors and executives

A performance evaluation of the Board, each of its committees and individual Directors is undertaken on an annual basis.

The Group Audit, Risk and Compliance Committee (**GARCC**) and the Nomination, Remuneration and Governance Committee (**NRGC**) generally conduct their own annual assessments in accordance with their charters.

On an annual basis, the NRGC, and ultimately the Board, review the performance of the Chief Executive Officer and individual Directors. This review typically occurs within 2 months of the end of the financial year. The criteria used to review individual Directors may include assessment of relevant skills and characteristics, tenure, diversity, industry knowledge, experience and expertise. The criteria used to assess the Chief Executive Officer may include underlying profit, customer retention and engagement, as well as development of organizational capability, business sustainability and shareholder value creation. These reviews were undertaken within the reporting period.

The Charters of the Board, the GARCC and the NRGC are available on the Company's website.

On an annual basis the performance of executives is reviewed against Group profit (EBITDA) and agreed key performance indicators and are scheduled to occur within 2 months of the end of each financial year. These reviews were undertaken during the reporting period.

## PRINCIPLE 2: STRUCTURE THE BOARD TO BE EFFECTIVE AND ADD VALUE

### Nomination, Remuneration and Governance Committee (NRGC)

The combination of nomination, remuneration and governance responsibilities in one committee, and the composition of this Committee, is a decision of the Board and reflects the relative size and complexity of the Company, the Board, and the interlocking nature of these responsibilities in the financial services sector.

The Committee is primarily responsible for:

- the Company having appropriate corporate governance measures in place;
- setting policy and strategy for the appointment, compensation and performance review of Directors and Executives;
- approving Executive service agreements and severance arrangements; and

- overseeing use of equity-based compensation and ensuring appropriate communication and disclosure practices are in place.

Specific nomination duties and responsibilities include:

- assisting and advising the Board with regard to appointments, terminations and succession planning of Directors and Executives;
- assessing necessary competencies of Directors and Executives; and
- reviewing the performance of Directors and the Chief Executive Officer in accordance with evaluation criteria.

Specific remuneration duties and responsibilities include:

- assisting and advising the Board with regard to remuneration policies and strategies;
- setting the framework for remuneration of the Directors and Executives; and
- approving and monitoring the Company's incentive schemes and equity-based remuneration arrangements.

Specific governance duties and responsibilities include:

- developing and reviewing corporate governance policies; and
- advising the Board on regulatory and compliance issues, with particular reference to disclosures under the ASX Listing Rules.

Due to the relative size of the Company and the Board, this Committee consists of two Directors. The NRGC is chaired by Martin Pretty who is an independent non-executive Director and he is not the Chairman of the Board. Mr Alan Fisher, also an independent non-executive Director, is the second member of the NRGC.

The NRGC operates under a charter approved by the Board, which is reviewed at least annually. The details of the members of the NRGC are available on the Company's website and in the Company's Annual Report.

A copy of the Charter is available on the Company's website.

The NRGC met three (3) times during the 2022 Financial Year. The individual attendance of members at the meetings of this committee are set out in the Company's Annual Report on page 7.

## Board Skills Matrix

The Board has developed a skills matrix to identify the required skills and experience of Directors and as a guide to the skills and experience required of future Directors.

The skills, experience and expertise of each Director are set out in their biographies which are available on the Company's website and in the Company's Annual Report.

The Board has approved the following board skills matrix which sets out the skills and diversity that the Board currently has or is looking to achieve in its membership. The Directors have been assessed against the skills matrix. The Board skills matrix will continue to develop as strategy develops. All areas of the skills matrix are currently represented on the Board.

### Business skills and knowledge

- Strategy
- Financial literacy / acumen
- Risk management and compliance
- Legal knowledge
- Managing people / achieving change

### Industry skills and knowledge

- Credit services
- Financial markets and services, including AFSL
- Investment services

### Formal Qualifications

- Accounting and/or finance
- Economics, law, commerce and/or business
- Financial services
- Marketing

### Corporate Experience

- Advertising / social media
- Board experience (listed and non-listed)
- Business development
- Customer service
- Director qualifications / training
- Corporate leadership / executive management
- Governance
- Health & safety
- Information management
- Marketing
- Mergers and acquisitions
- Professional membership
- Project management
- Regulatory policy
- Remuneration
- Social responsibility

## Structure of the Board

| Name          | Position                                      | Term in Office* |
|---------------|-----------------------------------------------|-----------------|
| Alan Fisher   | Chairman & Independent Non-Executive Director | 6 years         |
| Martin Pretty | Independent Non-Executive Director            | 8 years         |
| Georg Chmiel  | Independent Non-Executive Director            | 5 years         |

|               |                                    |         |
|---------------|------------------------------------|---------|
| Sandy Beard   | Independent Non-Executive Director | 2 years |
| Simon Swanson | Independent Non-Executive Director | <1 year |

\* Completed years of service as at the date of this Corporate Governance Statement.

## Board Composition

Biographies of the Directors are contained in the Directors' Report on pages 3 - 5 of the Annual Report and on the Company's website <http://www.centrepoinalliance.com.au/about-us/board-of-directors/>.

The entire Board, with the exception of Mr Beard and Mr Swanson, is independent. Mr Beard is a substantial shareholder of the Company and Mr Swanson is the Managing Director of ClearView Wealth Limited which is a substantial shareholder of the Company. However, the Board has considered the guidance provided by Box 2.3 of the Corporate Governance Principles and Recommendations and formed the view their interests do not interfere with their capacity to bring an independent judgment to bear on the issues before the Board and act in the best interests of the Company.

The Company has an induction program for new directors. It encourages professional development and has policies for payment for the ongoing professional development of Directors. The Board, through the NRG, annually reviews and provides appropriate training and development opportunities for Directors.

## PRINCIPLE 3: ACTING ETHICALLY AND RESPONSIBLY

### Statement of Values

The Company's purpose is to ensure our authorised representatives and licensees provide the best financial advice and financial services to the Australian community.

To achieve this, we are guided by our values:

|                |                                 |
|----------------|---------------------------------|
| COMMUNITY      | <i>We are stronger together</i> |
| PASSION        | <i>We believe in what we do</i> |
| ACCOUNTABILITY | <i>We do what's right</i>       |
| LEADERSHIP     | <i>We lead by example</i>       |

Our values and expectations are reinforced across the Company through various communication channels, policies and training. Our employee's (including Executives) conduct is assessed with respect to our values, risk and key performance indicators.

The Company's Statement of Values is available on the Company's website.

## Code of Conduct

The Board is committed to promoting and maintaining appropriate ethical standards to underpin the Company's operations and corporate practices. The Board has adopted a Group Code of Conduct for its Directors, Executives and employees.

Material breaches of the Code are reported to the GARCC.

A copy of the Group Code of Conduct is available on the Company's website.

## Whistleblower Policy

The Company is committed to fostering a culture where our people can feel safe to speak up on matters that are of concern to them. The Whistleblower Policy provides our people with clarity on how the Company will support those who express a concern, as well as the manner in which concerns can be raised and will be managed.

The Company has:

- a Whistleblower Protection Officer whose role includes overseeing the protection of whistleblowers, including their wellbeing; and
- a Whistleblower Investigation Committee that conducts any investigation under the policy.

The GARCC is provided with regular reporting on the operation of the Whistleblower Policy and the Chair of the Committee is also a member of the Whistleblower Investigation Committee.

The Company Whistleblower Policy is available on the Company's website.

## Anti-Bribery and Corruption Policy

The Company is committed to establishing a zero-tolerance appetite for bribery, corruption, fraud and facilitation payments. An Anti-Bribery & Corruption (AB&C) framework, comprising the AB&C Policy has been created to:

- formally acknowledge the seriousness of bribery, corruption and fraud;
- prohibit the committing of fraud, the giving of bribes, facilitating payments or other improper benefits to another person, including corporations and public officials;

- identifying potential AB&C risks relating to key bribery, corruption and fraud risks such as the offering of gifts or benefits as well as charitable contributions;
- require the Company to identify and understand bribery, corruption and fraud risks relevant to the Company's operations; and
- outline the reporting and escalation requirements of AB&C policy breaches.

The AB&C Policy establishes that all AB&C actual or perceived breaches are to be reported to the Executive Risk Committee. The minutes of all Executive Risk Committee meetings are made available to the GARCC.

The Company's AB&C Policy is available on the Company's website.

## **PRINCIPLE 4: SAFEGUARDING INTEGRITY IN CORPORATE REPORTING**

### **Group Audit, Risk and Compliance Committee (GARCC)**

The combination of audit, risk and compliance responsibilities in one committee and the composition of this Committee is a decision of the Board and reflects the relative size and complexity of the Company and the Board as well as the interlocking nature of these responsibilities in the financial services sector.

The Committee is responsible for:

- overseeing the integrity of the financial reporting process and financial statements, the appointment of independent and competent external auditors;
- performance and review of the external audit process;
- review of internal controls;
- overseeing the Company's system of risk management and internal controls;
- overseeing the Company's corporate insurance program and risk management framework; and
- overseeing the Company's systems and procedures for compliance with applicable legal and regulatory requirements.

The GARCC consists of two Directors. The GARCC is chaired by Georg Chmiel who is an independent non-executive Director and he is not the Chairman of the Board. The details of the members of the GARCC are available on the Company's website and in the Company's

Annual Report. The second member of the committee is Sandy Beard who is non-executive Director. The details of the members of the GARCC are available on the Company's website and in the Company's Annual Report.

The Committee operates under a charter approved by the Board of Directors, which is reviewed at least annually. A copy of the Charter is available on the Company's website.

The GARCC met three (3) times during the 2022 Financial Year. The individual attendance of members at the meetings of this committee are set out in the Company's Annual Report on page 7.

### Declaration under s295A of the *Corporations Act 2001*

The Company receives certifications in terms of s295A of the *Corporations Act 2001* (Cth) from the CEO and Chief Financial Officer (**CFO**) with each published financial report.

### External Auditor

The Company's external auditor is BDO Audit Pty Ltd, who was appointed at the Company's 2021 Annual General Meeting. The auditor attends all General Meetings and the Annual General Meeting to respond to questions from shareholders in regard to the conduct of the Company's audit.

### Unaudited Reports

In line with the Company's Continuous Disclosure Policy all company announcements (including unaudited Corporate Reports) are reviewed for factual accuracy, clarity and objectiveness.

The Company adopts a structured process of ensuring the accuracy of unaudited reports which includes:

- The semi-annual and annual Directors' report incorporated in the financial statements which is prepared in accordance with the applicable accounting standards and requirements of the Corporations Act and ASX Listing Rules. On a semi-annual basis, Financial Control with any necessary guidance from the Company's external auditors (BDO) review for any new upcoming accounting standard changes or amendments that would have an impact on the Director's report and require disclosure.
- Specific information in the Directors' report about the finance and operations of the Company, changes in the state of affairs and details of future developments is prepared with reference to:
  - audited financial numbers within the financial statements (Statement of Profit or Loss, Statement of Financial Position and Statement of Cash Flows);

- the Company's board approved business plan and forecasts; and
  - Strategic and business update from the Chief Executive Officer (CEO)
- Prior to release of the semi-annual and annual financial results to the market, the Directors Report goes through a rigorous internal review process with the CFO, CEO and Board of Directors.
  - The Company's monthly unaudited financial results is prepared on the basis of applicable accounting standards and reviewed for any changes (as above). These monthly results are not released to market unless required to communicate a material event. In this circumstance any reference to financial numbers to be quoted and released to the market outside of an audit period are reviewed in detail by the CFO and specifically disclosed as 'unaudited'.
  - The financial control team who have technical accounting expertise are responsible for the preparation of the monthly financial results with senior review and Balance Sheet substantiation conducted by the Group Financial Controller and profit analysis by the Finance Business Partners.
  - The monthly management reports are reviewed by the CFO who challenges/interrogates the financial results for accuracy/completeness.
  - On a quarterly basis, Financial Control submit a deep dive technical paper to the GARCC with analysis of financial results for the quarter, providing an update of any accounting standard or policy changes and review of any items requiring judgement.
  - Any material transaction or event undertaken by the Company is reviewed for applicable accounting impact (i.e company acquisition) and where applicable external auditors and other specialists (taxation/valuation) are engaged to provide guidance on technical treatment and/or disclosure.
  - Prior to any release of other unaudited periodic market sensitive announcements, an internal review is conducted by key Executive team members including the CEO and CFO.
  - Post Executive review, all significant or material announcements to be made by the Company are then circulated to the Board of Directors for review.

## PRINCIPLE 5: MAKING TIMELY AND BALANCED DISCLOSURE

The Board is committed to ensuring the timely and balanced disclosure to the market and to ensure shareholders, investors and all other appropriate parties are fully informed of any material matters that may impact the Company. The Company complies with all relevant disclosure laws and the ASX Listing Rules.

All market sensitive and non-sensitive information is released to the ASX in compliance with the Company's continuous disclosure obligations under the Corporations Act and the ASX Listing Rules.

The Company's Continuous Disclosure and Market Communication Policy provides the framework for dealing with market sensitive information and seeks to ensure that the Company complies with its regulatory obligations.

Subject to any matters reserved for Board approval, the Chairman, CEO and Company Secretary are responsible for managing the Company's compliance with its disclosure obligations and for determining whether an announcement is released to the ASX and approving the form of the announcement.

The Board receives copies of all material market announcements after they have been made.

A copy of all presentations given to new or substantive investors or analysts are released to the ASX Market Announcements Platform prior to the presentation.

The Company's policy on timely and balanced disclosure is set out in the Company's Continuous Disclosure & Market Communication Policy, which is reviewed at least annually and is available on the Company's website.

## **PRINCIPLE 6: RESPECT THE RIGHTS OF SHAREHOLDERS**

### **Communication with shareholders**

The Company is committed to ensuring that shareholders are fully informed as follows:

- The Annual and Half-Year Financial Reports are lodged with the ASX, available on the Company's website, distributed as required by law and are available upon request;
- The financial reports are prepared in accordance with the applicable accounting standards for the relevant period and include information about the operations of the Company, changes in the state of affairs, details of future developments and other disclosures required by the law and the ASX Listing Rules;
- Proposed major changes to the Company that may impact on share ownership rights are submitted to a vote of shareholders;
- Meeting with shareholders on a regular basis and upon request; and
- Notice of general meetings of shareholders are distributed to shareholders in accordance with the law and are available upon request.

The Company maintains a section of its website that provides comprehensive investor information about its governance and disclosures.

The Board encourages full participation of shareholders at the Annual General Meeting to ensure a high level of accountability and identification with the Company’s strategy and goals. Shareholders may vote on the appointment and aggregate remuneration of directors, granting of options and shares to directors and changes to the Constitution. Written questions are encouraged.

The Company and its share registry provide shareholders with the option to send and receive communications electronically.

The Company ensures that all substantive resolutions at a meeting of securities holders are decided by a poll rather than by a show of hands.

The Company’s Continuous Disclosure and Market Communication Policy is available on the Company’s website.

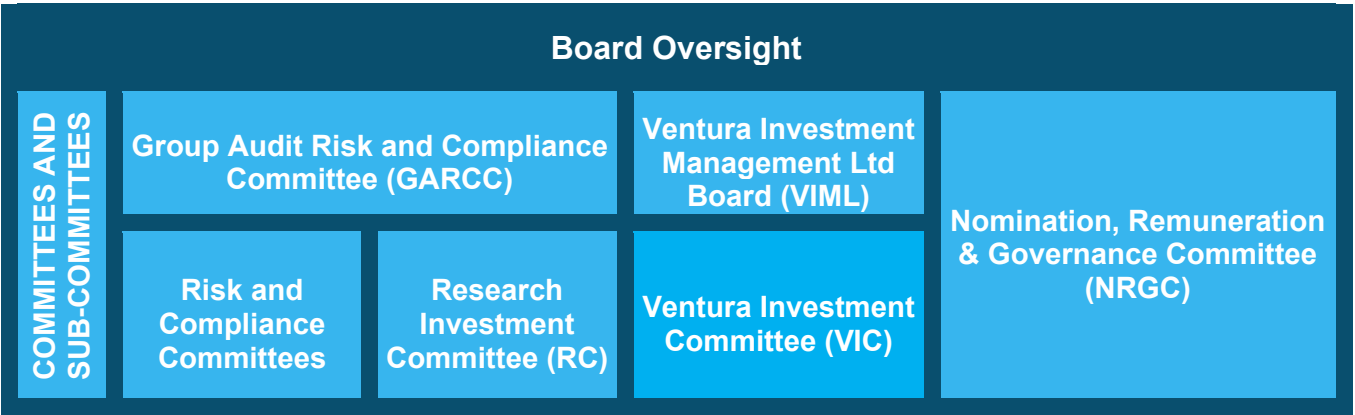
PRINCIPLE 7: RECOGNISE AND MANAGE RISK

Risk Management

The Board is ultimately responsible for oversight of risk and the risk management framework. The Board is responsible for reviewing and approving the Group’s risk appetite and its risk management strategies. The GARCC assists the Board in its role of identifying and managing risk. The composition of the GARCC is as outlined at Principle 4.

The GARCC is advised by the Executive Risk Committee. The Company has a Risk Appetite Statement and a Risk Management Policy and Framework, which are regularly reviewed. Executives and business unit managers regularly report on their risks, action plans and mitigation strategies.

The Group’s risk management framework is shown in the diagram below:



| <b>FIRST LINE OF DEFENCE</b><br>EXECUTIVE TEAM AND BUSINESS<br>UNIT MANAGERS                                                                                                                                                                                                              | <b>SECOND LINE OF DEFENCE,</b><br>RISK AND COMPLIANCE<br>COMMITTEE                                                                                                                                                                                | <b>THIRD LINE OF DEFENCE</b><br>EXTERNAL AUDIT OR THIRD-<br>PARTY REVIEWS                      |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------|
| <ul style="list-style-type: none"> <li>• Business Unit Managers responsible for day-to-day risk management – report to their respective Executive.</li> <li>• This includes risk identification, assessment, mitigation, monitoring and management including Deep Dive Reports</li> </ul> | <ul style="list-style-type: none"> <li>• Risk review and challenge</li> <li>• Functionally independent of First Line</li> <li>• Support the GARCC and First Line</li> <li>• Develop policies, systems, processes, advice and training,</li> </ul> | <ul style="list-style-type: none"> <li>• Provide independent assurance to the Board</li> </ul> |

The GARCC conducts an annual review of the Risk Management Policy and Framework with this review taking place within the reporting period.

## Risk and Compliance Risk and Compliance Committee (RACC)

The RACC advises the GARCC in relation to risk and compliance programs of the Group. Accordingly, the RACC is responsible for establishing and maintaining risk management measures that ensure the Group manages material risk and for monitoring compliance measures having regard to Australian Financial Services and Australian Credit Licence conditions.

To this end, the RACC's key responsibilities are detailed below

### Risk Management:

- understanding the strategy, goals, objectives and operating environment of the Group to assist in establishing a risk management framework, including review of the risk appetite statement;
- establishing a framework and processes for ensuring relevant risks within the Group are identified, assessed and managed within appropriate tolerances and risk appetite;
- assessing the effectiveness of the risk management framework within the Group;
- developing procedures and documents that support the risk management framework;
- monitoring the Group's risk management and compliance practices; and ongoing risk management and reporting.

### Compliance:

- establishing a framework and processes for ensuring compliance with relevant laws, regulations, standards and Company policies;
- assessing the effectiveness of the compliance framework within the Group;

- developing procedures and documents that support the compliance framework;
- monitoring the Group's compliance practices; and
- ongoing compliance management and reporting.

Minutes of the RACC meetings are made available to the GARCC.

### **Research Investment Committee (RIC)**

The Research Investment Committee assists the GARCC to monitor and oversee the management of investment matters relating to the Advice licensees within the Group.

Minutes of the Research Investment Committee meetings are made available to the GARCC.

### **Ventura Investment Committee (VIC)**

The Ventura Investment Committee, a committee of the Ventura Investment Management Limited (VIML) board of directors, assists VIML to monitor and oversee the management of investment matters relating to the VIML Australian Financial Services Licence.

Minutes of the Ventura Investment Committee meetings are made available to the VIML board of directors.

### **Internal Audit**

Due to the relative size of the Company, the Board does not consider it necessary to establish a formal internal audit function. Some of the greatest risks for the Group relate to the Australian Financial Services Licences that Group subsidiaries hold. These are closely monitored through a well-resourced, specialist internal compliance function.

### **Environmental or social risks**

The Company is committed to creating a positive impact and shared value in the community by continuously considering ways in which it can maintain long-term sustainability in an environmentally and socially responsible manner.

The Company is not exposed to any material environmental or social risks.

## **PRINCIPLE 8: REMUNERATE FAIRLY AND RESPONSIBLY**

Remuneration is included in the functions of the NRGC which is detailed under Principle 2 of this Statement.

Part of the role of the NRGC is to advise the Board on the remuneration policies and practices of Executives and Directors.

Details on performance measurement and remuneration of Directors and specified Executives are contained in the Remuneration Report, incorporated in the Directors' Report. There is no scheme to provide retirement benefits (other than statutory superannuation), options or performance related incentives to non-executive Directors. Non-executive Directors receive a fixed fee.

## Securities Trading

The Company has a Securities Trading Policy to govern trading in Company shares by Directors and employees. Breaches of the policy are subject to disciplinary action that may result in termination of appointment or employment. The Securities Trading Policy is reviewed at least annually and is available on the Company's website.

The Trading Policy deals with entering into transactions which limit the economic risk of trading the Company's shares including shares issued under any equity-based remuneration scheme.