



22 December 2023

## Supplementary Appendix 3Y Disclosures

### ASX Announcement

E&P Financial Group Limited (ASX:EP1) (the **Company**) makes the following supplementary disclosures to previous announcements regarding changes in director interests for Mr David Evans, and former Director Mr Peter Anderson.

On 18 October 2022 and 20 October 2023, in accordance with Listing Rule 3.10.3A, the Company lodged Appendix 3G documents disclosing the grant of unquoted share rights issued to Mr Anderson. It has come to the Company's attention that the lodgement of associated Appendix 3Y documents required by Listing Rule 3.19A.2 were omitted in error. Upon becoming aware of this oversight, the attached supplementary Appendix 3Y documents were prepared for lodgement.

In connection with the above, the Company reviewed its historical Appendix 3Y lodgements and identified an administrative error in the Appendix 3Y lodged for Mr Evans on 8 March 2022. The error involved the opening total number of fully paid ordinary shares held by Mr Evans prior to the change being incorrectly stated as 15,716,543 rather than 15,812,393, and the closing total number of shares as 16,035,306 rather than 16,131,156. These discrepancies were limited to the Appendix 3Y, with Mr Evans' interests correctly disclosed in the Company's 2022 and 2023 Annual Reports.

In relation to the above, the Company attaches the following supplementary disclosures:

1. Appendix 3Y (Change in Director's Interest Notice) for Mr Peter Anderson as at 15 October 2022;
2. Appendix 3Y (Change in Director's Interest Notice) for Mr Peter Anderson as at 15 October 2023; and
3. Corrected Appendix 3Y (Change in Director's Interest Notice) for Mr David Evans in replacement of the notice lodged 8 March 2022.

The Company and its Directors are aware of their obligations under Listing Rule 3.19B to ensure the Company meets its continuous disclosure requirements under Listing Rule 3.19A. In accordance with the ASX Corporate Governance Principles and Recommendations (4<sup>th</sup> Edition), the Company has, and maintains, a corporate governance framework that includes (among others) a Securities Trading Policy and Market Disclosure Policy which relate to the obligations regarding changes in director's interests. The Company is satisfied that the matters described above are isolated incidents and considers that its current arrangements and processes are adequate and appropriate.

This announcement has been authorised for release by the Company Secretary of E&P Financial Group Limited.

#### Investors:

Stephen Hill  
+ 61 2 8622 9127  
stephen.hill@eandp.com.au

#### Media Enquiries:

James Strong, Citadel Magnus  
+ 61 448 881 174  
jstrong@citadelmagnus.com

## **About E&P Financial Group Limited**

E&P Financial Group is an Australian Securities Exchange listed financial services group. In E&P Wealth we service over 7,400 clients, representing \$23.4 billion in funds under advice. In E&P Capital we are an advisor to many leading Australian institutions through the provision of research, institutional sales and trading, corporate advisory, equity capital market and debt capital market services. In E&P Funds, we manage \$4.3 billion of assets across a diverse range of asset classes.

## Appendix 3Y - Supplementary

### Change of Director's Interest Notice

*Information or documents not available now must be given to ASX as soon as available. Information and documents given to ASX become ASX's property and may be made public.*

Introduced 30/09/01 Amended 01/01/11

<b>Name of entity</b>	E&P Financial Group Limited
<b>ABN</b>	54 609 913 457

We (the entity) give ASX the following information under listing rule 3.19A.2 and as agent for the director for the purposes of section 205G of the Corporations Act.

<b>Name of Director</b>	Peter McKenzie Anderson
<b>Date of last notice</b>	8 March 2022

#### **Part 1 - Change of director's relevant interests in securities**

*In the case of a trust, this includes interests in the trust made available by the responsible entity of the trust*

Note: In the case of a company, interests which come within paragraph (i) of the definition of "notifiable interest of a director" should be disclosed in this part.

<b>Direct or indirect interest</b>	Indirect	Direct
<b>Nature of indirect interest (including registered holder)</b> Note: Provide details of the circumstances giving rise to the relevant interest.	PMCKA Pty Ltd <Strategic Vision Super A/C> (an entity controlled by Mr Anderson)	Peter McKenzie Anderson
<b>Date of change</b>	N/A	15 October 2022
<b>No. of securities held prior to change</b>	796,909	2,323,877
<b>Class</b>	Fully paid ordinary shares	Unquoted share rights
<b>Number acquired</b>	N/A	1,216,545
<b>Number disposed</b>	N/A	N/A
<b>Value/Consideration</b> Note: If consideration is non-cash, provide details and estimated valuation	N/A	Non-cash – value estimated to be \$650,000 reflecting the 10-day VWAP of EP1 shares up to 14 October 2022 of \$0.5343 per share.

+ See chapter 19 for defined terms.

## Appendix 3Y

### Change of Director's Interest Notice

<b>No. of securities held after change</b>	796,909	3,540,422
<b>Nature of change</b> Example: on-market trade, off-market trade, exercise of options, issue of securities under dividend reinvestment plan, participation in buy-back	N/A	Issue of unquoted options pursuant to the E&P Financial Group Option & Rights Plan

#### Part 2 – Change of director's interests in contracts

Note: In the case of a company, interests which come within paragraph (ii) of the definition of "notifiable interest of a director" should be disclosed in this part.

<b>Detail of contract</b>	N/A
<b>Nature of interest</b>	N/A
<b>Name of registered holder (if issued securities)</b>	N/A
<b>Date of change</b>	N/A
<b>No. and class of securities to which interest related prior to change</b> Note: Details are only required for a contract in relation to which the interest has changed	N/A
<b>Interest acquired</b>	N/A
<b>Interest disposed</b>	N/A
<b>Value/Consideration</b> Note: If consideration is non-cash, provide details and an estimated valuation	N/A
<b>Interest after change</b>	N/A

#### Part 3 – <sup>+</sup>Closed period

<b>Were the interests in the securities or contracts detailed above traded during a <sup>+</sup>closed period where prior written clearance was required?</b>	No
<b>If so, was prior written clearance provided to allow the trade to proceed during this period?</b>	N/A
<b>If prior written clearance was provided, on what date was this provided?</b>	N/A

<sup>+</sup> See chapter 19 for defined terms.

## Appendix 3Y - Supplementary

### Change of Director's Interest Notice

*Information or documents not available now must be given to ASX as soon as available. Information and documents given to ASX become ASX's property and may be made public.*

Introduced 30/09/01 Amended 01/01/11

<b>Name of entity</b>	E&P Financial Group Limited
<b>ABN</b>	54 609 913 457

We (the entity) give ASX the following information under listing rule 3.19A.2 and as agent for the director for the purposes of section 205G of the Corporations Act.

<b>Name of Director</b>	Peter McKenzie Anderson
<b>Date of last notice</b>	15 October 2022

#### **Part 1 - Change of director's relevant interests in securities**

*In the case of a trust, this includes interests in the trust made available by the responsible entity of the trust*

Note: In the case of a company, interests which come within paragraph (i) of the definition of "notifiable interest of a director" should be disclosed in this part.

<b>Direct or indirect interest</b>	Indirect	Direct
<b>Nature of indirect interest (including registered holder)</b> <small>Note: Provide details of the circumstances giving rise to the relevant interest.</small>	PMCKA Pty Ltd <Strategic Vision Super A/C> (an entity controlled by Mr Anderson)	Peter McKenzie Anderson
<b>Date of change</b>	N/A	15 October 2023
<b>No. of securities held prior to change</b>	796,909	3,540,422
<b>Class</b>	Fully paid ordinary shares	Unquoted share rights
<b>Number acquired</b>	N/A	889,404
<b>Number disposed</b>	N/A	N/A
<b>Value/Consideration</b> <small>Note: If consideration is non-cash, provide details and estimated valuation</small>	N/A	Non-cash – value estimated to be \$377,997 reflecting the 10-day VWAP of EP1 shares up to 13 October 2023 of \$0.4250 per share.

+ See chapter 19 for defined terms.

## Appendix 3Y

### Change of Director's Interest Notice

<b>No. of securities held after change</b>	796,909	4,429,826
<b>Nature of change</b> Example: on-market trade, off-market trade, exercise of options, issue of securities under dividend reinvestment plan, participation in buy-back	N/A	Issue of unquoted options pursuant to the E&P Financial Group Option & Rights Plan

### Part 2 – Change of director's interests in contracts

Note: In the case of a company, interests which come within paragraph (ii) of the definition of "notifiable interest of a director" should be disclosed in this part.

<b>Detail of contract</b>	N/A
<b>Nature of interest</b>	N/A
<b>Name of registered holder (if issued securities)</b>	N/A
<b>Date of change</b>	N/A
<b>No. and class of securities to which interest related prior to change</b> Note: Details are only required for a contract in relation to which the interest has changed	N/A
<b>Interest acquired</b>	N/A
<b>Interest disposed</b>	N/A
<b>Value/Consideration</b> Note: If consideration is non-cash, provide details and an estimated valuation	N/A
<b>Interest after change</b>	N/A

### Part 3 – <sup>+</sup>Closed period

<b>Were the interests in the securities or contracts detailed above traded during a <sup>+</sup>closed period where prior written clearance was required?</b>	No
<b>If so, was prior written clearance provided to allow the trade to proceed during this period?</b>	N/A
<b>If prior written clearance was provided, on what date was this provided?</b>	N/A

<sup>+</sup> See chapter 19 for defined terms.

## Appendix 3Y - Correction

### Change of Director's Interest Notice

*Information or documents not available now must be given to ASX as soon as available. Information and documents given to ASX become ASX's property and may be made public.*

Introduced 30/09/01 Amended 01/01/11

<b>Name of entity</b>	E&P Financial Group Limited
<b>ABN</b>	54 609 913 457

We (the entity) give ASX the following information under listing rule 3.19A.2 and as agent for the director for the purposes of section 205G of the Corporations Act.

<b>Name of Director</b>	David Evans
<b>Date of last notice</b>	19 September 2019

#### **Part 1 - Change of director's relevant interests in securities**

*In the case of a trust, this includes interests in the trust made available by the responsible entity of the trust*

Note: In the case of a company, interests which come within paragraph (i) of the definition of "notifiable interest of a director" should be disclosed in this part.

<b>Direct or indirect interest</b>	Indirect	Indirect
<b>Nature of indirect interest (including registered holder)</b> <small>Note: Provide details of the circumstances giving rise to the relevant interest.</small>	Attunga Super Pty Ltd <Attunga Super Fund A/C> (an entity controlled by Mr Evans)	Jolimont Terrace Investments Pty Limited (an entity controlled by Mr Evans)
<b>Date of change</b>	1. 1 March 2022 2. 2 March 2022 3. 3 March 2022	N/A
<b>No. of securities held prior to change</b>	230,438	15,581,955
<b>Class</b>	Fully Paid Ordinary Shares (FPO)	FPO
<b>Number acquired</b>	1. 1,714 2. 87,543 3. 229,506	N/A
<b>Number disposed</b>	N/A	N/A
<b>Value/Consideration</b> <small>Note: If consideration is non-cash, provide details and estimated valuation</small>	1. \$959.84 2. \$51,886.74 3. \$146,493.68	N/A
<b>No. of securities held after change</b>	549,201	15,581,955

+ See chapter 19 for defined terms.

## Appendix 3Y

### Change of Director's Interest Notice

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<b>Nature of change</b> Example: on-market trade, off-market trade, exercise of options, issue of securities under dividend reinvestment plan, participation in buy-back	On-market purchase	N/A
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### Part 2 – Change of director's interests in contracts

Note: In the case of a company, interests which come within paragraph (ii) of the definition of "notifiable interest of a director" should be disclosed in this part.

<b>Detail of contract</b>	N/A
<b>Nature of interest</b>	N/A
<b>Name of registered holder (if issued securities)</b>	N/A
<b>Date of change</b>	N/A
<b>No. and class of securities to which interest related prior to change</b> Note: Details are only required for a contract in relation to which the interest has changed	N/A
<b>Interest acquired</b>	N/A
<b>Interest disposed</b>	N/A
<b>Value/Consideration</b> Note: If consideration is non-cash, provide details and an estimated valuation	N/A
<b>Interest after change</b>	N/A

### Part 3 – <sup>+</sup>Closed period

<b>Were the interests in the securities or contracts detailed above traded during a <sup>+</sup>closed period where prior written clearance was required?</b>	No
<b>If so, was prior written clearance provided to allow the trade to proceed during this period?</b>	N/A
<b>If prior written clearance was provided, on what date was this provided?</b>	N/A

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<sup>+</sup> See chapter 19 for defined terms.