

15 October 2024

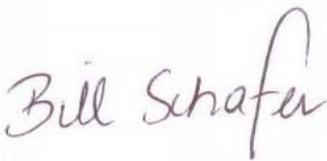
## Appendix 3Y – Change of Director’s Interest Notice Query

In response to your letter dated 10 October 2024 in relation to the late lodgement of an Appendix 3Y - Change of Directors Interest Notice for Cameron Mitchell which was submitted to the ASX on 25 September 2024.

The board and management of Auswide Bank Ltd (ASX: ABA) regret the late lodgement and apologise for the oversight which led to this non-compliance. We take our Continuous Disclosure responsibilities seriously and wish to advise the following;

1. The Appendix 3Y was lodged late due to an administrative oversight, as soon as the oversight was identified, the documents were prepared and lodged with ASX immediately.
2. The Company and the directors are aware of their obligations under ASX listing rules 3.19A and 3.19B. Auswide Bank maintains a publicly available Trading Policy which contains the relevant information to ensure directors and company executives deal appropriately when trading in company shares. The Trading Policy is circulated quarterly to directors and key management personnel to ensure an ongoing awareness of the governance surrounding trading in company shares.
3. While the Company considers the late lodgement an isolated incident and believes that its current procedures are adequate a review of procedures will be undertaken with a view to enhance, where possible, to ensure future compliance with Listing Rule 3.19B.

This announcement has been authorised for release.



Bill Schafer BCom CA  
Chief Financial Officer and Company Secretary  
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*Small things. Big difference.*

## About Auswide Bank Ltd

Auswide Bank became Australia's tenth and Queensland's third Australian owned bank, listed and trading on the ASX, on April 1, 2015. The company had operated as a building society since 1966.

Auswide Bank has an Australian Credit Licence and an Australian Financial Services Licence issued by ASIC and is an Authorised Deposit-taking Institution prudentially supervised by the Australian Prudential Regulation Authority.

Auswide Bank offers Australians an extensive range of personal and business banking products and services issued directly or in partnership with leading service providers via an omni-channel distribution strategy which includes branches, strategic relationships and online and digital channels.

*Small things. Big difference.*



10 October 2024

Reference: 101256

Mr Bill Schafer  
Chief Financial Officer & Company Secretary  
Auswide Bank Ltd  
Floor 3, 16-20 Barolin Street  
Bundaberg QLD 4670  
Australia

By email only.

Dear Mr Schafer

### **Auswide Bank Ltd ('ABA'): Appendix 3Y – Change of Director's Interest Notice Query**

ASX refers to the following:

1. ABA's Appendix 3Y lodged on the ASX Market Announcements Platform ('MAP') on 25 September 2024 for Mr Cameron Mitchell (the 'Notice');
2. Listing Rule 3.19A which requires an entity to tell ASX the following:

3.19A.2 *A change to a notifiable interest of a director of the entity (or in the case of a trust, a director of the responsible entity of the trust) including whether the change occurred during a closed period where prior written clearance was required and, if so, whether prior written clearance was provided. The entity must complete Appendix 3Y and give it to ASX no more than 5 business days after the change occurs.*

3. Listing rule 3.19B which states that:

*'An entity must make such arrangements as are necessary with a director of the entity (or in the case of a trust, a director of the responsible entity of the trust) to ensure that the director discloses to the entity all the information required by the entity to give ASX completed Appendices 3X, 3Y and 3Z within the time period allowed by listing rule 3.19.A. The entity must enforce the arrangements with the director.'*

The Notice indicates that a change in Mr Mitchell's notifiable interest occurred on 29 August 2024. It appears that the Notice should have been lodged with ASX by 5 September 2024. Consequently, ABA may have breached Listing Rules 3.19A and/or 3.19B. It also appears that Mr Mitchell may have breached section 205G of the *Corporations Act 2001* (Cth).

### **Request for Information**

Under Listing Rule 18.7, we ask that you answer each of the following questions having regard to Listing Rules 3.19A and 3.19B and *Guidance Note 22: Director Disclosure of Interests and Transactions in Securities - Obligations of Listed Entities*.

1. Please explain why the Appendix 3Y was lodged late.
2. What arrangements does ABA have in place under Listing Rule 3.19B with its directors to ensure that it is able to meet its disclosure obligations under Listing Rule 3.19A?
3. If the current arrangements are inadequate or not being enforced, what additional steps does ABA intend to take to ensure compliance with Listing Rule 3.19B?

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### **When and where to send your response**

This request is made under Listing Rule 18.7. Your response is required as soon as reasonably possible and, in any event, by no later than **4.30 PM AEDT Tuesday, 15 October 2024**. You should note that if the information requested by this letter is information required to be given to ASX under Listing Rule 3.1 and it does not fall within the exceptions mentioned in Listing Rule 3.1A, ABA's obligation is to disclose the information 'immediately'. This may require the information to be disclosed before the deadline set out in the previous paragraph and may require ABA to request a trading halt immediately.

Your response should be sent to me by e-mail at [ListingsComplianceSydney@asx.com.au](mailto:ListingsComplianceSydney@asx.com.au). It should not be sent directly to the ASX Market Announcements Office. This is to allow me to review your response to confirm that it is in a form appropriate for release to the market, before it is published on the ASX Market Announcements Platform.

### **Trading halt**

If you are unable to respond to this letter by the time specified above, you should discuss with us whether it is appropriate to request a trading halt in ABA's securities under Listing Rule 17.1. If you wish a trading halt, you must tell us:

- the reasons for the trading halt;
- how long you want the trading halt to last;
- the event you expect to happen that will end the trading halt;
- that you are not aware of any reason why the trading halt should not be granted; and
- any other information necessary to inform the market about the trading halt, or that we ask for.

We require the request for a trading halt to be in writing. The trading halt cannot extend past the commencement of normal trading on the second day after the day on which it is granted. You can find further information about trading halts in Guidance Note 16 *Trading Halts & Voluntary Suspensions*.

### **Suspension**

If you are unable to respond to this letter by the time specified above, ASX will likely suspend trading in ABA's securities under Listing Rule 17.3.

### **Listing Rules 3.1 and 3.1A**

In responding to this letter, you should have regard to ABA's obligations under Listing Rules 3.1 and 3.1A and also to Guidance Note 8 *Continuous Disclosure*: Listing Rules 3.1 – 3.1B. It should be noted that ABA's obligation to disclose information under Listing Rule 3.1 is not confined to, nor is it necessarily satisfied by, answering the questions set out in this letter.

### **Release of correspondence between ASX and entity**

ASX reserves the right to release all or any part of this letter, your reply and any other related correspondence between us to the market under Listing Rule 18.7A.

### **Kind regards**

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ASX Compliance