

Whistleblower Policy Summary

Lazard Asset Management Pacific Co ('LAMP' or 'Company') is committed to providing a safe and supportive environment for individuals to speak up if they have reasonable grounds to suspect wrongdoing. LAMP's Whistleblower Protection Policy ('Policy') supports this purpose by setting out LAMP's framework for receiving, handling and investigating disclosures of wrongdoing and protecting individuals who speak up. The laws relating to whistleblowers covered by this Policy are included in the *Taxation Administration Act 1953* (Cth) and the *Corporations Act 2001* (Cth) ('Whistleblower Laws').

Whistleblowers are encouraged to seek independent legal advice regarding the Whistleblower Laws prior to making a disclosure.

Who the Policy applies to

This Policy only provides protection people referred to as 'eligible whistleblowers' in the Whistleblower Laws. Eligible whistleblowers generally include:

- an officer or employee of LAMP (both current and former employees who are permanent, part-time, fixed-term or temporary, interns, secondees, managers, and directors);
- a supplier of services or goods to LAMP (whether paid or unpaid), including their employees (current and former contractors, consultants, service providers and business partners);
- an associate of LAMP; and
- a relative, dependant or spouse of any of the parties listed above.

Types of Disclosure covered by the Policy

Certain types of disclosure are covered by the Policy and they are referred to as 'disclosable matters' in the Whistleblower Laws. Disclosable matters generally involve information that concerns misconduct or an improper state of affairs, or circumstances in relation to the Company or one of its related bodies corporate. Disclosable matters can also include contraventions of certain laws or conduct that represents a danger to the public or the financial system.

How to make a disclosure

An eligible whistleblower can choose to make a disclosure anonymously and to remain anonymous over the course of the investigation and after the investigation is finalised. They may also decide not to answer questions that they feel could reveal their identity at any time, including during follow-up conversations.

Disclosures must only be made to certain persons referred to as an 'eligible recipient' in the Whistleblower Laws and can be made in person, by post, by telephone or by email. Relevant contact details for the Company are set out below.

Attention: Whistleblower Protection Officer; and/or
Chief Executive Officer; and/or
Risk Officer

Lazard Asset Management Pacific Co
Level 12, 1 Macquarie Place
Sydney, NSW, 2000
Phone: (02) 8274 1422
Email: whistleblowerprotection@lazard.com

Disclosures can also be made to legal practitioners and external regulatory bodies such as ASIC and APRA, or to LAMP's internal or external auditor. Certain public interest disclosures and emergency disclosures can also be made to a journalist or parliamentarian in certain circumstances.

Legal protections for Whistleblowers

Under the Whistleblower Laws, certain protections are available to whistleblowers including:

- identity protection (confidentiality);
- protection from detrimental acts or omissions;
- compensation and other remedies; and
- civil, criminal and administrative liability protection.

Handling and investigating a disclosure

Upon receipt of a disclosable matter from an eligible whistleblower, LAMP will investigate the matter and will, where practicable, keep the whistleblower updated as to the progress and finalisation of the investigation.

Accessibility and Further Information

This summary forms part of LAMP's Whistleblower Protection Policy. Further information on the policy can be obtained from the Whistleblower Protection Officer at whistleblowerprotection@lazard.com.