

# Thales Australia Whistleblower Policy

# Whistleblower Policy

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## //1 Document overview

### 1.1 PURPOSE

Thales Australia is committed to high standards of corporate conduct. We want everyone in the Thales Australia team to act consistently with our Code of Ethics and core values.

Thales Australia is required to comply with Australian legislation protecting whistleblowers. The protections are outlined in this Policy and detailed in the Corporations Act 2001 and/or Taxation Administration Act 1953.

In keeping with those goals, Thales Australia encourages its staff and others it works with to come forward if they see any misconduct or wrongdoing within Thales Australia, or by representatives of Thales Australia. This Whistleblowing Policy ('Policy') is intended as a practical tool to help Thales identify and address wrongdoing, and provide information about the channels available to speak up about Disclosable Matters.

If you:

- are an Eligible Whistleblower (see 2.1 below); and
- report a Disclosable Matter (see 2.2 below) to an Eligible Recipient (see Section 3 below),

you will be protected by Thales in accordance with this Policy and all applicable laws ('**Protected Disclosure**').

### 1.2 APPLICATION

The Policy applies to Thales Australia Holdings Limited and its Australian subsidiaries ('**Thales Australia**').

# Whistleblower Policy

## //2 Scope

### 2.1 WHO IS ELIGIBLE FOR PROTECTION UNDER THIS POLICY?

When disclosing Disclosable Matters to an Eligible Recipient, each of these is a Whistleblower. The following categories of Whistleblowers are eligible for protection under this Policy:

- current and past officers and employees of Thales Australia;
- people who supply goods or services to Thales Australia (whether paid or unpaid) together with their employees (both current and past);
- associates of Thales Australia, such as its parent company and other companies in the Thales Group, as well as the officers and employees of those companies (both current and past); and
- relatives of anyone who belongs to the categories above, or a dependent of such a person or a dependent of their partner.

('Eligible Whistleblowers').

You may make a disclosure anonymously and still qualify for protection as an Eligible Whistleblower.

### 2.2 WHAT KINDS OF DISCLOSURES ARE COVERED BY THIS POLICY?

Thales Australia expects all employees and officers to report any Disclosable Matter.

You can make a report covered by this Policy where you have reasonable grounds to suspect serious misconduct or an improper state of affairs. For example, your report could be about conduct:

- that is illegal or in breach of the law, such as theft, dealing in, or use of illegal drugs, violence or threatened violence, criminal damage against property, fraud, money laundering or misappropriation of funds, or offering or accepting a bribe;
- failure to comply with, or breach of, legal or regulatory requirements;
- which you reasonably believe is unethical, unsafe or endangers the health and safety of others;
- which might seriously damage Thales Australia's reputation or financial position such as tax evasion, serious, unauthorised misuse, or unlawful use, of company funds, improper accounting or financial reporting practices;
- conduct that represents a danger to the public or to Australia's financial system, even if it is not illegal; or
- engaging in, or threatening to engage in, detrimental conduct against a person who has made a disclosure, or is believed or suspected to have made, or be planning to make, a disclosure.

('Disclosable Matters').

### 2.3 WHAT KIND OF CONDUCT IS NOT COVERED BY THIS POLICY?

The type of conduct not covered by this Policy includes personal work-related grievances (unless they also concern the types of misconduct mentioned in 2.2 above) including:

- a conflict between you and another employee;
- a decision relating to your engagement, transfer or promotion;
- a decision relating to the terms and conditions of your engagement, including your employment contract or applicable enterprise agreement or modern award (as may apply); and/or
- a decision to suspend or terminate your engagement, or otherwise discipline you.

Thales Australia takes personal work-related grievances seriously and these should be reported in accordance with the Employee Complaint Handling Guideline.

### 2.4 FALSE REPORTING

An Eligible Whistleblower who:

- has reasonable grounds to be concerned about a Disclosable Matter; and
- reports those concerns in accordance with the requirements outlined in this Policy (even where the report turns out to be incorrect),

will qualify for the protections set out in this Policy.

Intentionally dishonest or untruthful disclosures may result in disciplinary action against the person purporting to make them.

## //3 How to report a concern

### 3.1 WHO CAN YOU MAKE A DISCLOSURE TO?

To qualify for protection under this Policy, disclosures must be made to an Eligible Recipient. Depending on the nature of the misconduct, Eligible Whistleblowers are encouraged to first discuss their concern with their immediate manager or a senior manager who they trust.

The Thales Australia & New Zealand Vice President Legal & Contracts has been appointed the Chief Compliance Officer. The Chief Compliance Officer is a person authorised by Thales Australia to receive disclosures that may qualify for protection, and is therefore an Eligible Recipient.

Online reporting via Thales Alert Line	<a href="https://thales.integrityline.org">https://thales.integrityline.org</a>
Email	<a href="mailto:cco@thalesgroup.com.au">cco@thalesgroup.com.au</a>
Mail	addressed to the Chief Compliance Officer, Thales Australia Limited, 7 Murray Rose Avenue, Sydney Olympic Park NSW 2127
Telephone	+61 2 8037 6000
In person	meetings must be prearranged. Ask at reception at 7 Murray Rose Avenue, Sydney Olympic Park NSW 2127 for the Chief Compliance Officer

The Chief Compliance Officer can provide you with additional information regarding the process for making a disclosure and protections available to whistleblowers prior to you making a formal disclosure.

Where possible, Thales Australia encourages disclosures to be made on a named basis, and you are encouraged to raise any issues with your line manager in the first instance.

You can make a report anonymously if you wish to do so. However, this may make it harder for Thales Australia to investigate the report effectively. If you do report on an anonymous basis, please give consideration to how you can be contacted to enable Thales to ask follow-up questions and better understand the concerns raised. The use of the Thales Alert Line is encouraged for anonymous disclosures.

#### 3.1.1 WHAT IF THE CHIEF COMPLIANCE OFFICER IS CONFLICTED?

If you consider that the Chief Compliance Officer would be conflicted, you may make your disclosure to the Thales Group VP, Ethics, Integrity and Corporate Responsibility via the Internal Alert Line.

If it is agreed that the Chief Compliance Officer is conflicted, references to actions to be taken by the Chief Compliance Officer will be performed by the Thales Group VP, Ethics, Integrity and Corporate Responsibility.

### 3.2 OTHER ELIGIBLE RECIPIENTS & EXTERNAL CHANNELS

You may also make a disclosure to any of the following:

- Thales Australia company directors and company secretary;
- an officer or senior manager of Thales Australia (for example, all members of the Executive Leadership Team);
- an actuary of Thales Australia; or
- an auditor or a member of an audit team conducting an audit of Thales Australia

(each '**Eligible Recipients**').

Any disclosure to an Eligible Recipient will be passed onto the Chief Compliance Officer for assessment. Your identity will only be shared with the Chief Compliance Officer with your consent.

Regardless of who you make a disclosure to or by what method you make that disclosure, you should make the disclosure as factually thorough as possible, including by referring to the specific details of the conduct you are speaking up about, the dates and times at which it occurred, the names of other people who might be involved and any other relevant matter (including by producing evidence of the conduct if possible).

By law, reports may be made via other external channels which are set out in Appendix 1.

# Whistleblower Policy

## 3.2.1 PUBLIC INTEREST DISCLOSURES

An Eligible Whistleblower may also make a disclosure to a journalist or a member of parliament and qualify for protection, where you have reasonable grounds to believe that making the disclosure is in the public interest ('Public Interest Disclosure').

A Public Interest Disclosure may only be made in the following circumstances:

- a) the Eligible Whistleblower has previously made a disclosure of that information to ASIC or APRA;
- b) at least 90 days have passed since the previous disclosure;
- c) the Eligible Whistleblower has reasonable grounds to believe that action is not being taken in relation to the previous disclosure;
- d) the Eligible Whistleblower has reasonable grounds to believe that making a further disclosure is in the public interest;
- e) following 90 days, the Eligible Whistleblower has notified (in writing) the body to which it made the previous disclosure that:
  - i. includes sufficient information to identify the previous disclosure; and
  - ii. states that the discloser intends to make a public interest disclosure; and
- f) the extent of the information disclosed in the public interest disclosure is no greater than necessary to inform the recipient of the misconduct or the relevant information.

## 3.3.2 EMERGENCY DISCLOSURES

An Eligible Whistleblower may also make a disclosure to a journalist or a member of parliament and qualify for protection, where you have reasonable grounds to believe that making the disclosure is in the public interest ('Emergency Disclosure').

An Emergency Disclosure may only be made in the following circumstances:

- a) the Eligible Whistleblower has previously made a disclosure of that information to ASIC or APRA;
- b) the Eligible Whistleblower has reasonable grounds to believe that the information concerns a substantial and imminent danger to the health and safety of one or more persons or to the natural environment; and
- c) the Eligible Whistleblower has notified (in writing) the body to which it made the disclosure that:
  - iii. includes sufficient information to identify the previous disclosure; and
  - iv. states that the discloser intends to make an emergency disclosure; and
- d) the extent of the information disclosed in the emergency disclosure is no greater than necessary to inform the recipient of the substantial and imminent danger.

Prior to making a Public Interest Disclosure or an Emergency Disclosure it is strongly recommended that you consult with an independent legal practitioner or the Chief Compliance Officer as they will be able to ensure that you understand the relevant criteria that you must satisfy in order to qualify for protection in each case.

## // 4 How Thales will investigate protected disclosures

### 4.1 INITIAL REVIEW

For a disclosure to be investigated, it must contain sufficient information to form a reasonable basis for investigation. The Chief Compliance Officer will conduct a preliminary review of the allegations raised in the disclosure.

The preliminary review of the disclosure will be done as soon as reasonably possible after its receipt and it must determine whether the disclosure is protected under this Policy, the Corporations Act 2001 and/or the Taxation Administration Act 1953.

Outcomes of the initial review may include:

- initiating a formal investigation of the disclosure;
- addressing any Serious Wrongdoing;
- referring the disclosure to an external authority;
- deciding that no action is required.

You will be advised of the outcome unless you have not provided us with a means by which we may contact you.

During this initial review, the Chief Compliance Officer may check with the discloser whether disclosure has been made elsewhere.

### 4.2 INTERNAL REFERRALS

Thales Australia may decide that no action is required or that the disclosure is better dealt with in another internal forum. If so, Thales Australia will, subject to any issues with confidentiality, provide the Whistleblower with an explanation for this decision.

### 4.3 FORMAL INVESTIGATION

If Thales Australia decides to formally investigate the Protected Disclosure, the Chief Compliance Officer will determine:

- the nature and scope of the investigation;
- the person(s) within and/or outside Thales that should lead the investigation;
- the nature of any technical, financial or legal advice that may be required to support the investigation; and
- the timeframe for the investigation.

Any formal investigation will be conducted independently of the persons referred to in the allegations. If you have disclosed your identity or contact details, Thales Australia will let you know approximately how long the investigation is expected to take and, if appropriate and consistent with other confidentiality and privacy considerations, the findings of any investigation (although no copy of any report prepared as part of the investigation will be provided).

Thales Australia aims to finalise investigations within 90 days of the first disclosure.

Following the conclusion of the investigation, appropriate corrective or disciplinary action may be taken. This may include by way of example, termination of employment, notifying the relevant authorities (such as the police). Details of such action will be confidential and will not be disclosed to a Whistleblower.

The Chief Compliance Officer (or the Thales Group VP, Ethics, Integrity and Corporate Responsibility) may report the progress and outcomes of the investigation to the Executive Leadership Team or the Board or their subcommittees as appropriate, while preserving your confidentiality.



# Whistleblower Policy

## // 5 How will Thales Australia protect eligible whistleblowers?

### 5.1 FAIR TREATMENT OF PERSONS WHO ARE THE SUBJECT OF PROTECTED DISCLOSURES

Thales Australia will ensure fair treatment of person who are referred to in Protected Disclosures by:

- ensuring any investigations are free from bias, appropriately resourced and made in a timely fashion;
- putting appropriate information barriers in place as soon as reasonably practicable to protect the confidentiality of the disclosure and any named persons;
- allowing people who are named in disclosures an opportunity to respond to allegations against them at an appropriate time during any investigation; and
- establishing secure record keeping and information sharing procedures, including by ensuring that:
  - all paper and electronic documents and other materials relating to disclosures are stored securely;
  - all information relating to a disclosure can only be accessed by those directly involved in managing and investigating the disclosure;
  - only a restricted number of people who are directly involved in handling and investigating a disclosure are made aware of a discloser's identity or information that is likely to lead to the identification of the discloser; and
  - each person who is involved in handling and investigating a disclosure is reminded that they should keep the identity of the discloser and the disclosure confidential and that an unauthorised disclosure of a discloser's identity may be a criminal offence.

### 5.2 CONFIDENTIALITY AND YOUR IDENTITY

Subject to certain limited exceptions prescribed by law, it is illegal for a person to identify an Eligible Whistleblower protected under this Policy or to disclose information likely to lead to the identification of the Eligible Whistleblower.

The exceptions are that we can disclose your identity to:

- ASIC or a member of the Australian Federal Police; and
- a legal practitioner (for the purpose of obtaining legal advice or legal representation about the protections available to the whistleblower).

We can also disclose information that it likely to lead to the identification of a whistleblower if it is reasonably necessary for the purpose of investigation the disclosure.

Where we are required or permitted by law to disclose that

information, or where we need to make some disclosures of information (but not your identity) in order to investigate what you have told us, we will take reasonable steps to reduce the risk that you will be identified.

If, after making a disclosure, you are concerned that your identity is not being kept confidential, you should inform Thales Australia's Chief Compliance Officer, or engage with a regulator such as ASIC, for investigation.

You should also know that there are offences relating to disclosure of identity and victimisation of those who have made protected disclosures, and that you may have legal rights about those matters in certain circumstances.

### 5.3 OTHER PROTECTIONS

If you make a Protected Disclosure covered by this Policy, you will be protected from:

- civil liability for having made the disclosure (e.g. any legal action against you for breach of an employment contract, duty of confidentiality or another contractual obligation);
- criminal liability for having made the disclosure (e.g. attempted prosecution of you for unlawfully releasing information, or other use of the disclosure against you in a prosecution (other than for making a false disclosure)); and
- administrative liability for having made the disclosure (e.g. disciplinary action for making the disclosure).

These protections do not mean you have immunity for any misconduct you have engaged in that is revealed by your disclosure.

A whistleblower who makes a Protected Disclosure may also be entitled to court ordered remedies. These remedies may include:

- compensation for any loss or damage suffered; and
- injunctive relief restraining a person from engaging in detrimental conduct, or to prevent the effects of the detrimental conduct.



#### 5.4 PROTECTION FROM DETRIMENTAL ACTS OR OMISSIONS

Thales Australia does not tolerate detrimental conduct against an Eligible Whistleblower as a result of making a disclosure. Detrimental conduct includes, but is not limited to, any of the following:

- dismissal of an employee;
- injury of an employee in their employment;
- alteration of an employee's position or duties to their disadvantage;
- discrimination between an employee and other employees of the same employer;
- harassment or intimidation of a person;
- harm or injury to a person, including psychological harm;
- damage to a person's property;
- damage to a person's reputation;
- damage to a person's business or financial position; or
- any other damage to a person.

If Thales Australia becomes aware that an employee has engaged in detrimental conduct, that employee will be subject to disciplinary action including potential termination of their employment.

If you have suffered detrimental conduct or someone has threatened you with detrimental conduct in connection with a Protected Disclosure:

- you may raise that fact with the Chief Compliance Officer; and
- you may have the right to seek compensation or certain other legal remedies (such as injunctions to stop or prevent the detrimental conduct, reinstatement of position and/or a court ordered apology for the detrimental conduct).

#### 5.5 SUPPORT FOR ELIGIBLE WHISTLEBLOWERS WHO MAKE PROTECTED DISCLOSURES

In addition to the protections discussed above, as an Eligible Whistleblower, there are several ways that Thales Australia can support you, including:

- support services such as access to our Employee Assistance Program; and
- flexible working arrangements.

While Thales Australia will endeavour to provide support, the individual circumstances may need to be factored in (for example, Thales Australia may not be able to provide as much practical support to former employees as it may with current employees).

If you require further support as an Eligible Whistleblower, please contact the Chief Compliance Officer.

# Whistleblower Policy

## // 6 How we will make this policy available to officers and employees of Thales Australia

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### 6.1 THALES INTRANET AND CHORUS

This Policy will be made available on the Thales Australia & New Zealand intranet, Thales Australia & New Zealand internet and on Chorus 2.0 at all times; and also, be made available to any person who does not have access to that intranet by hard copy.

### 6.2 AMENDMENTS TO THIS POLICY

From time to time, Thales Australia will review, and where required update, this Policy (for example, if there is a change in law that requires an amendment to this Policy).

## //7 APPENDIX 1: Other external reporting channels

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Outside of Thales Australia, a report may be made to:

- an external auditor or a member of an external audit team conducting an audit of Thales or any of Thales Australia related body corporates;
- ASIC or APRA; or
- an independent legal practitioner (engaged by you and not part of the Thales legal team), if the disclosure is made for the purpose of you obtaining legal advice or legal representation (you may still qualify for protection even if the legal practitioner concludes that the disclosure does not relate to an Disclosable Matter).

A disclosure may be made to ASIC by:

- lodging a report via ASIC's online reporting form at: <http://www.asic.gov.au/report-misconduct>; or
- by writing to ASIC at:  
Australian Securities and Investments Commission  
GPO Box 9827  
Brisbane QLD 4001

In the case of tax-specific disclosures, a disclosure may also be made to registered tax agent or BAS agent or the Commissioner of Taxation.

A disclosure may be made to the Commissioner of Taxation:

- through the tip-off form in the contact section of the ATO app, downloadable from: <https://www.ato.gov.au/General/Online-services/ATO-app/>;
- by telephone on the confidential hotline to report tax avoidance schemes: 1800 060 062;
- by email to [reportataxscheme@ato.gov.au](mailto:reportataxscheme@ato.gov.au); or
- by mail by marking your letter "in confidence" and posting it to:  
Australian Taxation Office  
Tax Evasion  
Locked Bag 6050  
Dandenong VIC 3175

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