

APPENDIX 1
GENERAL RULEBOOK (GEN)

The following provisions to be added to the General Rulebook:

GEN 3.4 Whistleblowing

Interpretation

3.4.1 In this section a Protected Disclosure has the meaning set forth in section 4(1) of the Whistleblowing Protection Regulations [202●].

Policies and Procedures

3.4.2 An Authorised Person must implement and maintain appropriate and effective arrangements to:

- (a) facilitate persons making Protected Disclosures;
- (b) assess and, where appropriate, escalate concerns arising from information received in a Protected Disclosure; and
- (c) protect the identity of a person who makes a Protected Disclosure,

that are proportionate to the size and complexity of its business and operations.

3.4.3 The arrangements required under Rule 3.4.2 must be set out in written policies and procedures.

3.4.4 An Authorised Person must periodically review the appropriateness and effectiveness of its policies and procedures to ensure they are appropriate, proportionate, effective and up to date.

Records of Protected Disclosures

3.4.5 An Authorised Person must maintain the following records in writing:

- (a) each Protected Disclosure received and any relevant supporting documents; and
- (a) information, including internal findings and analysis, relating to the Authorised Person's investigation, assessment and determination of matters relevant to the Protected Disclosure.

3.4.6 The records referred to in Rule 3.4.6 must be maintained for a period of at least six years from the date that determination of all matters relevant to the Protected Disclosure have been completed and closed.