

**ERA****Energy Resources of Australia Ltd**

ABN 71 008 550 865  
A member of the Rio Tinto Group

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11 December 2020

Ms Lin Kang  
Adviser, Listings Compliance (Sydney)  
ASX Compliance Pty Ltd  
Level 6, Stock Exchange Centre  
20 Bridge Street  
Sydney NSW 2000

### **BY ELECTRONIC LODGEMENT**

Dear Sir/Madam,

#### **Energy Resources of Australia Ltd (ERA) – Corrections to recent Appendix 3Ys lodged for Mr Justin Carey, Ms Marcia Hanrahan & Mr Jacques van Tonder**

**Attached** are Appendix 3Ys relating to the notifiable interests of Mr Justin Carey, Ms Marcia Hanrahan and Mr Jacques van Tonder.

As you may know, under the ASX Listing Rules, in addition to notifying changes in notifiable interests of its directors in ERA shares, ERA is required to notify ASX of a change of a director's notifiable interests in Rio Tinto Limited shares. This is because the definition of 'notifiable interests' extends to relevant interests in securities of ERA's related bodies corporate which includes Rio Tinto Limited.

As part of an internal review of ERA directors' interests in Rio Tinto Limited shares and transactions in them, ERA became aware that the Appendix 3Ys lodged for:

- Mr Justin Carey on 23 October 2020;
- Ms Marcia Hanrahan on 30 September 2020; and
- Mr Jacques van Tonder on 30 September 2020

inadvertently misstated the number of Rio Tinto Limited shares in which these respective directors have interests, as follows:

- In the case of Mr Carey's last Appendix 3Y, the number of Rio Tinto Limited shares in which Mr Carey has an interest by one Rio Tinto Limited share. This was due to a rounding error.
- In the case of Ms Hanrahan's last Appendix 3Y:
  - a Special Share Award made by Rio Tinto to Ms Hanrahan in October 2020 had been inadvertently overlooked and, therefore, not included in an Appendix 3Y. The Special Award Shares are now included in the attached Appendix 3Y; and
  - due to an inadvertent share registry error, the last Appendix 3Y incorrectly stated that Ms Hanrahan had acquired interests in certain Rio Tinto Limited shares under dividend reinvestment provisions of the Vested Share Account referred to therein. No such shares were acquired.



- In the case of Mr van Tonder's last Appendix 3Y:
  - a disposal of Rio Tinto Limited shares by Mr van Tonder that occurred in July 2020 had been inadvertently overlooked in Mr van Tonder's Appendix 3Y lodged on 30 September; and
  - due to an inadvertent share registry error, the last Appendix 3Y overstated the number of Rio Tinto Limited shares acquired under dividend reinvestment provisions of the Vested Share Account referred to therein. No such shares were acquired.

These errors were inadvertent. In none of the cases does the error relate to interests in ERA shares. The errors have now been corrected in the **attached** Appendix 3Ys.

ERA has reviewed its arrangements with its directors and Rio Tinto for the reporting of directors' notifiable interests in Rio Tinto Limited shares, with a view to ensuring that disclosures of notifiable interests of ERA directors in Rio Tinto shares (as well as in ERA shares) are complete and accurate, and that disclosures are made to ASX within the time required by the ASX Listing Rules. All directors have been reminded of their disclosure obligations in respect of trading in Rio Tinto Limited shares (as well as in ERA shares).

Yours sincerely

Shanelle English  
**General Counsel & Company Secretary**

# Appendix 3Y

## 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>	Energy Resources of Australia Ltd
<b>ABN</b>	71 008 550 865

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>	Justin CAREY
<b>Date of last notice</b>	23 October 2020

### 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
<b>Nature of indirect interest (including registered holder)</b> Note: Provide details of the circumstances giving rise to the relevant interest.	Indirect interest in Rio Tinto Limited ordinary shares ("RT Shares") acquired under myShare, the Rio Tinto Limited Global Employee Share Plan ("myShare"), held by Computershare Trustees (Jersey) Limited on behalf of Mr Carey, and a conditional right to additional matching RT Shares ("Matching RT Share Rights")
<b>Date of change</b>	N/A
<b>No. of securities held prior to change</b>	N/A
<b>Class</b>	RT Shares and Matching RT Share Rights
<b>Number acquired</b>	N/A
<b>Number disposed</b>	N/A
<b>Value/Consideration</b> Note: If consideration is non-cash, provide details and estimated valuation	N/A
<b>No. of securities held after change</b>	81 RT Shares <sup>1</sup> 77 Matching RT Share Rights
<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

<sup>1</sup> The number of Rio Tinto Limited shares in which Mr Carey has an interest was understated by one Rio Tinto Limited share in the last Appendix 3Y lodged for Mr Carey due to a rounding error. Please refer to ERA's letter dated 11 December 2020.

+ See chapter 19 for defined terms.

**Appendix 3Y**  
**Change of Director's Interest Notice**

\* In accordance with the rules of myShare, upon vesting Mr Carey may receive additional RT Shares in lieu of dividends that would have been paid to him in the period from grant on the base number of RT Shares, the subject of the Rights that vest.

<b>Direct or indirect interest</b>	Indirect
<b>Nature of indirect interest (including registered holder)</b> Note: Provide details of the circumstances giving rise to the relevant interest.	Rio Tinto Limited ordinary shares (“ <b>RT Shares</b> ”) held by Computershare Company Nominees Limited (as nominee for the Vested Share Account on behalf of Justin Carey)
<b>Date of change</b>	N/A
<b>No. of securities held prior to change</b>	N/A
<b>Class</b>	RT Shares
<b>Number acquired</b>	N/A
<b>Number disposed</b>	N/A
<b>Value/Consideration</b> Note: If consideration is non-cash, provide details and estimated valuation	N/A
<b>No. of securities held after change</b>	3,190 RT Shares
<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

<b>Direct or indirect interest</b>	Direct
<b>Nature of indirect interest (including registered holder)</b> Note: Provide details of the circumstances giving rise to the relevant interest.	N/A
<b>Date of change</b>	N/A
<b>No. of securities held prior to change</b>	3,642 rights (“ <b>Rights</b> ”)* to be granted Rio Tinto Limited ordinary shares (“ <b>RT Shares</b> ”) under the Rio Tinto Equity Incentive Program (“ <b>EIP</b> ”), being 3,642 Rights as Management Share Awards (“ <b>MSAs</b> ”)
<b>Class</b>	MSAs under the EIP
<b>Number acquired</b>	N/A
<b>Number disposed</b>	N/A
<b>Value/Consideration</b> Note: If consideration is non-cash, provide details and estimated valuation	N/A
<b>No. of securities held after change</b>	3,642 Rights, being 3,642 MSAs
<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

\* In accordance with the rules of the EIP, upon vesting Mr Carey may receive additional RT Shares in lieu of dividends that would have been paid to him in the period from grant on the base number of RT Shares, the subject of the Rights that vest.

+ See chapter 19 for defined terms.

<b>Direct or indirect interest</b>	Direct
<b>Nature of indirect interest (including registered holder)</b> <small>Note: Provide details of the circumstances giving rise to the relevant interest.</small>	N/A
<b>Date of change</b>	N/A
<b>No. of securities held prior to change</b>	3,232 RT Shares
<b>Class</b>	RT Shares
<b>Number acquired</b>	N/A
<b>Number disposed</b>	N/A
<b>Value/Consideration</b> <small>Note: If consideration is non-cash, provide details and estimated valuation</small>	N/A
<b>No. of securities held after change</b>	3,232 RT Shares
<b>Nature of change</b> <small>Example: on-market trade, off-market trade, exercise of options, issue of securities under dividend reinvestment plan, participation in buy-back</small>	N/A

## 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> <small>Note: Details are only required for a contract in relation to which the interest has changed</small>	N/A
<b>Interest acquired</b>	N/A
<b>Interest disposed</b>	N/A
<b>Value/Consideration</b> <small>Note: If consideration is non-cash, provide details and an estimated valuation</small>	N/A
<b>Interest after change</b>	N/A

+ See chapter 19 for defined terms.

**Part 3 – +Closed period**

<b>Were the interests in the securities or contracts detailed above traded during a +closed period where prior written clearance was required?</b>	N/A
<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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+ See chapter 19 for defined terms.

# Appendix 3Y

## 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>	Energy Resources of Australia Ltd
<b>ABN</b>	71 008 550 865

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>	Marcia HANRAHAN
<b>Date of last notice</b>	30 September 2020

### 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
<b>Nature of indirect interest (including registered holder)</b> <small>Note: Provide details of the circumstances giving rise to the relevant interest.</small>	Rio Tinto Limited ordinary shares ("RT Shares") held by Computershare Company Nominees Limited (as nominee for the Vested Share Account on behalf of Marcia Hanrahan)
<b>Date of change</b>	N/A
<b>No. of securities held prior to change</b>	Nil
<b>Class</b>	RT Shares
<b>Number acquired</b>	N/A
<b>Number disposed</b>	N/A
<b>Value/Consideration</b> <small>Note: If consideration is non-cash, provide details and estimated valuation</small>	N/A
<b>No. of securities held after change</b>	0 RT Shares <sup>1</sup>
<b>Nature of change</b> <small>Example: on-market trade, off-market trade, exercise of options, issue of securities under dividend reinvestment plan, participation in buy-back</small>	N/A

<sup>1</sup> This represents Ms Hanrahan's balance of RT Shares as at 11 December 2020. Due to an inadvertent error, the last Appendix 3Y lodged for Ms Hanrahan incorrectly stated that Ms Hanrahan had acquired interests in Rio Tinto Limited shares under dividend reinvestment provisions of the Vested Share Account referred to above. In fact, no such shares had been acquired. Please refer to ERA's letter dated 11 December 2020.

+ See chapter 19 for defined terms.

<b>Direct or indirect interest</b>	Direct
<b>Nature of indirect interest (including registered holder)</b> Note: Provide details of the circumstances giving rise to the relevant interest.	N/A
<b>Date of change</b>	29 October 2020
<b>No. of securities held prior to change</b>	10,248 rights (“Rights”)* to be granted RT Shares under the Rio Tinto Equity Incentive Program (“EIP”), being: <ul style="list-style-type: none"> <li>• 5,982 Rights as Performance Share Awards (“PSAs”);</li> <li>• 3,684 Rights as Management Share Awards (“MSAs”); and</li> <li>• 582 Rights as Bonus Deferral Awards (“BDAs”).</li> </ul>
<b>Class</b>	PSAs, MSAs and BDAs under the EIP.
<b>Number acquired</b>	1,581 MSAs
<b>Number disposed</b>	N/A
<b>Value/Consideration</b> Note: If consideration is non-cash, provide details and estimated valuation	1,581 MSAs which have been acquired as a result of a Special Share Award as part the overall EIP. <sup>2</sup>
<b>No. of securities held after change</b>	10,248 Rights, being: <ul style="list-style-type: none"> <li>• 5,982 PSAs;</li> <li>• 5,265 MSAs; and</li> <li>• 582 BDAs.</li> </ul>
<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	Issue of securities under the EIP.

\* In accordance with the rules of the EIP, upon vesting Ms Hanrahan may receive additional RT Shares in lieu of dividends that would have been paid to her in the period from grant on the base number of RT Shares, the subject of the Rights that vest.

## 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



**Appendix 3Y**  
**Change of Director's Interest Notice**

<b>Interest acquired</b>	N/A
<b>Interest disposed</b>	N/A
<b>Value/Consideration</b> <small>Note: If consideration is non-cash, provide details and an estimated valuation</small>	N/A
<b>Interest after change</b>	N/A

**Part 3 – +Closed period**

<b>Were the interests in the securities or contracts detailed above traded during a +closed period where prior written clearance was required?</b>	N/A
<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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+ See chapter 19 for defined terms.

# Appendix 3Y

## Change of Director's Interest Notice

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

<b>Name of entity</b>	Energy Resources of Australia Ltd
<b>ABN</b>	71 008 550 865

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>	Jacques van Tonder
<b>Date of last notice</b>	30 September 2020

### 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
<b>Nature of indirect interest (including registered holder)</b> <small>Note: Provide details of the circumstances giving rise to the relevant interest.</small>	Rio Tinto Limited ordinary shares ("RT Shares") held by Computershare Company Nominees Limited (as nominee for the Vested Share Account on behalf of Jacques van Tonder)
<b>Date of change</b>	22 July 2020
<b>No. of securities held prior to change</b>	1,564 RT Shares <sup>1</sup>
<b>Class</b>	RT Shares
<b>Number acquired</b>	N/A
<b>Number disposed</b>	1,564 RT Shares <sup>1</sup>
<b>Value/Consideration</b> <small>Note: If consideration is non-cash, provide details and estimated valuation</small>	Disposal of 1,564 RT Shares on market.
<b>No. of securities held after change</b>	0 RT Shares <sup>1</sup>

<sup>1</sup> On 22 July 2020, Mr. van Tonder disposed the 1,564 RT Shares, reducing the balance in the Vested Share Account to zero. Due to an oversight this transaction was not notified to ASX via an Appendix 3Y.

Due to an inadvertent share registry error, the last Appendix 3Y lodged on 30 September 2020 notified that Mr. van Tonder received 57 RT Shares pursuant to the dividend reinvestment provisions under the terms of the Vested Share Account referred to above. In fact, no such shares had been acquired.

**Appendix 3Y**  
**Change of Director's Interest Notice**

<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 trade at \$104.20 per RT share
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<b>Direct or indirect interest</b>	Direct
<b>Nature of indirect interest (including registered holder)</b> Note: Provide details of the circumstances giving rise to the relevant interest.	N/A
<b>Date of change</b>	N/A
<b>No. of securities held prior to change</b>	3,909 rights (“Rights”)* to be granted RT Shares under the Rio Tinto Equity Incentive Program (“EIP”), being 3,909 Rights as Management Share Awards (“MSAs”).
<b>Class</b>	MSAs under the EIP.
<b>Number acquired</b>	N/A
<b>Number disposed</b>	N/A
<b>Value/Consideration</b> Note: If consideration is non-cash, provide details and estimated valuation	N/A
<b>No. of securities held after change</b>	3,909 Rights, being 3,909 MSAs.
<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

\* In accordance with the rules of the EIP, upon vesting Mr van Tonder may receive additional RT Shares in lieu of dividends that would have been paid to him in the period from grant on the base number of RT Shares, the subject of the Rights that vest.

## 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

Therefore, the Appendix 3Y lodged on 30 September 2020 should have reported that Mr. van Tonder did not hold an interest in RT Shares via the Vested Share Account (as set out herein). Please refer to ERA's letter dated 11 December 2020.

+ See chapter 19 for defined terms.

Interest after change	N/A
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**Part 3 – +Closed period**

Were the interests in the securities or contracts detailed above traded during a +closed period where prior written clearance was required?	N/A
If so, was prior written clearance provided to allow the trade to proceed during this period?	N/A
If prior written clearance was provided, on what date was this provided?	N/A

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+ See chapter 19 for defined terms.