NSW Resources

May 2026

Form SST28

Applicant statement of corporate compliance, environmental performance history and financial capability for small-scale titles

When to use this form

This form is to be completed by individuals and/or companies applying for the **grant of a mineral claim or opal prospecting licence**, or the **transfer of a mineral claim** within the Lightning Ridge Mineral Claims District or the White Cliffs Mineral Claims District.

This form has been prepared in accordance with the requirements of Part 9 and section 178, section 200 and section 226 of the *Mining Act 1992* and clause 42(3)(e), clause 45(1)(d) and clause 50(1)(e) of the Mining Regulation 2016.

If there is insufficient room in any fields, please provide the information as an attachment.

Any reference to the '**department**' in this form refers to the Department of Primary Industries and Regional Development.

View the department's privacy statement on how information in this application will be used.

How to submit this form

This form can be lodged:

- **by email:** to lightningridge.office@dpird.nsw.gov.au for the Lightning Ridge Mineral Claims District **or** to whitecliffs@dpird.nsw.gov.au for the White Cliffs Mineral Claims District
- **in person:** at the Department's office, 41 Opal Street, Lightning Ridge, NSW, between 9.30am and 1pm, and 2pm and 4pm on Monday to Thursday, or 9:30am to 1pm on Friday.
- **by mail:** NSW Resources, Small Scale Titles, PO Box 314, Lightning Ridge NSW 2834

Agents

If this application is lodged by an agent on behalf of the applicant(s), you must provide evidence that the agent has the authority to act on behalf of the applicant. This can be done by completing the declaration at the end of this form and supplying evidence of their appointment (clause 97 of the Mining Regulation 2016). If this information is not provided, the decision-maker may reject the application of you do not supply this information within one business day of making the application (clause 94AA(2) of the Mining Regulation 2016)

1. Applicant(s) details

1.1. Individual applicant details

Note: If there is more than one applicant, the first applicant will be considered the preferred application contact. ***If the applicant is a company, please go to Question 1.2.***

1st Applicant details (preferred application contact)	
First name of titleholder	
Middle name of titleholder	
Last name of titleholder	

Residential address (as shown on ID provided)						
Street number		Street name				
Suburb			State		Postcode	
Proof of identity	☐ Proof of identity (e.g. valid driver's licence) is attached, and address matches the details above.					

Contact details	
Contact phone	
Contact email	*(This email will be used by the department for all correspondence relating to the administration of the Mining Act 1992)*

Contact postal address (if different from registered / residential address)						
PO Box (if applicable)						
Street number		Street name				
Suburb			State		Postcode	

2nd Applicant details (if applicable)	
First name of second titleholder	
Middle name of second titleholder	
Last name of second titleholder	

Residential address (as shown on ID provided)						
Street number		Street name				
Suburb			State		Postcode	
Proof of identity	☐ Proof of identity (e.g. valid driver's licence) is attached, and address matches the details above.					

Contact details	
Contact phone	
Contact email	(This email will be used by the department for all correspondence relating to the administration of the *Mining Act 1992*)

Contact postal address (if different from registered / residential address)						
PO Box (if applicable)						
Street number		Street name				
Suburb			State		Postcode	

1.2. Company applicant details

Company details (if applicable)	
Company name	
Australian Company Number	
Name(s) of all company director(s)	

Company contact person	☐ Proof of identity document (e.g. valid driver's licence) is attached
Contact phone	
Contact email	(This email will be used by the department for all correspondence relating to the administration of the *Mining Act 1992*)

Company contact details (as registered with ASIC)						
Street number		Street name				
Suburb			State		Postcode	
☐ I have attached proof of company registration and current office holders e.g. Current Company Extract from ASIC						

1.3. Additional applicants

If there are more applicants, please provide their names and details as an attachment. The attachment must include all the names and information requested in the applicant tables above.

☐ I have attached additional applicant details

2. Related persons (if a company is applying)

Is the applicant(s) a natural person?

☐ Yes, – go to Question 3

☐ No, the applicant(s) are a company – go to Question 2.1

2.1. Company officer's name

When completing this section, all company officers must be listed. A company officer is defined to include:

a) Director or Secretary of the corporation

b) A person:

i. who makes, or participate in the making, decisions that affect the whole, or a substantial part of the corporation, or

ii. who has the capacity to affect significantly the corporation's financial standing.

Company officer name	Role	Email	Date appointed

2.2. Ultimate holding company

Is there an ultimate holding company that has ownership or a controlling interest in the company listed in Question 1?

☐ No – go to Question 2.3

☐ Yes – fill in the details of the ultimate holding company in table below

Details of the ultimate holding company (e.g., name, Australian Company Number)	Shares held (%)

2.3. Related body corporate

Is the company listed in Question 1 part of a related body corporate including being a holding company of another corporate, the subsidiary of another body corporate or the subsidiary of a holding company of another body corporate?

☐ No – go to Question 3

☐ Yes – fill in the details of the related body corporate in the table below

Related body corporate name	Australian Company Number

3. Other jurisdictions

The following declarations apply when the applicant or transferee is either an individual or a company. In the case of applicants or transferees who are a company, the following declarations also apply to all current company officers identified by you in Question 2.1.

3.1. Has the applicant or transferee been (either currently or within the past 3 years) associated with an approval authorisation for the exploration or production of coal, mineral or petroleum resources in any other jurisdiction other than NSW?

☐ Yes, select jurisdictions from below and attach details:

- ☐ Australian Capital Territory
- ☐ Northern Territory
- ☐ Queensland
- ☐ South Australia
- ☐ Tasmania
- ☐ Victoria
- ☐ Western Australia
- ☐ Overseas
- ☐ Yes, I have attached details of authorisation from other jurisdictions

☐ No

4. Compliance and environmental history

Has any person (individual or company) identified in the form:	No	Yes[1]
In the past 10 years, had an approval authorising exploration or production of coal, mineral or petroleum resources in any Australian jurisdiction, refused, suspended, cancelled or revoked?	☐	☐
In the past 10 years, been subject to a prosecution under a provision of any work health and safety legislation in any jurisdiction or have the charges currently pending?	☐	☐
In the past 10 years, been convicted of an offence under a provision of the *Mining Act 1992*, *Protection of the Environment Operations Act 1997* or other relevant legislation in any jurisdiction, as set out in Schedule 5 of the Mining Regulation 2016 or have charges pending?	☐	☐
In the past 10 years, had a licence or other authority suspended or revoked under the *Protection of the Environment Operations Act 1997*?	☐	☐
In the past 5 years, been issued a penalty under a penalty notice for an offence under the *Mining Act 1992*, *Protection of the Environment Operations Act 1997*, work health and safety legislation or other relevant legislation (NSW jurisdiction only) as set out in Schedule 5 of the Mining Regulation 2016?	☐	☐
In the past 10 years, been subject to an agreed enforceable undertaking, pursuant to the Mining Act 1992, *Protection of the Environment Operations Act 1997*, *Work Health and*	☐	☐

Has any person (individual or company) identified in the form:	No	Yes[1]
Safety Act 2011 or other relevant legislation (NSW jurisdiction only) as set out in Schedule 5 of the Mining Regulation 2016?		

[1]Note: If answering Yes to any of the compliance and environmental history questions, you must provide details as an attachment.

☐ Yes, I have attached details of any compliance and environmental history issues

5. Financial history

Has any person (individual or company) identified in the form:	No	Yes[1]
Has been convicted under the *Proceeds of Crime Act 2002* (Commonwealth) or under the *Crimes Legislation Amendment (Serious and Organised Crime) Act 2010* (Commonwealth), or for offences of money laundering, terrorism financing or corruption under any Commonwealth or state Act, or have charges currently pending?	☐	☐
Has been convicted in NSW or elsewhere for an offence involving fraud or dishonesty in the past 10 years, or have charges currently pending?	☐	☐
Has been convicted in the past 10 years of an offence committed in NSW that is punishable by imprisonment for life, or for a term of 5 years, or more or by a fine of $500,000 of more, or an offence committed elsewhere than in NSW that if committed in NSW would be offence so punishable?	☐	☐
Has been convicted in the past 10 years of an offence committed under a law of the Commonwealth that is punishable by imprisonment for life of for a term of 5 years or more or by a fine of $500,000 or more?	☐	☐
Has a director or officer of a company that has been wound up, is subject of a winding up order or for which a receiver, receiver and manager, controller or administrator has been appointed under the *Corporations Act 2001* (Commonwealth), during the past 3 years?	☐	☐
Has an undischarged bankrupt or applied to take benefit of any law for the relief of bankrupt or insolvent debtors, compounded with his or her creditors or made an assignment or his or her remuneration for their benefit, during the past 3 years?	☐	☐
Has been disqualified from holding office in a company under any law of NSW or any other state or territory or the Commonwealth, during the past 3 years?	☐	☐

[1]Note: If answering Yes to any of the financial history questions, you must provide details as an attachment.

☐ Yes, I have attached details of any financial history issues

6. Financial capability

As at the date of the application is the applicant(s) is aware of:	No	Yes
Reasonable grounds to believe that the planned expenditure and obligations under the mineral claim cannot be financed for the proposed mineral claim?	☐	☐
Any other financial commitments that may negatively impact on the finance of the proposed operations and obligations under the proposed mineral claim?	☐	☐

7. Checklist of items to be included in this application

Items to be attached to the application if applicable	Yes	N/A	Reference
Additional applicant's details	☐	☐	Question 1.3
Details of authorisations in other jurisdictions	☐	☐	Question 3.1
Details of compliance and environmental history issues	☐	☐	Question 4
Details of financial history issues	☐	☐	Question 5
Additional applicant's declaration	☐	☐	Question 8.2
For agents, written evidence of appointment and proof of identity document (e.g. valid driver's licence)	☐	☐	Question 9

8. Declaration

8.1. Applicant(s) (individual or company)

Each applicant (or authorised representative of a company) must complete the declaration below and sign this form:

- (For companies only) I declare that I am authorised to complete and lodge this form.
- I certify that the information provided is true and correct to the best of my knowledge and belief. I understand, under Part 5A of the *Crimes Act 1900* (NSW), that knowingly or recklessly giving false or misleading information is a serious offence, and under section 378C of the Mining Act, any person who provides information that the person knows to be false or misleading is guilty of an offence, for which they may be subject to prosecution.
- I have made all reasonable enquiries of all other persons to which these questions (compliance and environmental history, and financial history) relate as outlined in the related persons question of this form

1st applicant (individual) details	
Name	
Date	
Signature	

2nd applicant (individual) details (if applicable)	
Name	
Date	
Signature	

Company director / secretary details (if applicable)			
Name of company			
Officer name		Position/title	
Date			
Signature			

8.2. Additional applicants

If there are more applicants, please provide their signed declaration as an attachment. The attachment must be a copy of this page that the additional applicant has filled in their name, date, and signed.

☐ Yes, I have attached a signed declaration for an additional applicants.

9. Agent authorised to act for applicant(s) (if applicable)

As the proposed small-scale title holder, you can appoint an agent if desired. An agent can lodge an application on your behalf. You will need to provide written notice that you have appointed a person as your agent.

The authorised agent must complete the declaration below and sign this form:

- I certify that the information provided is true and correct to the best of my knowledge and belief. I understand under the *Crimes Act 1900 NSW* Part 5A, that knowingly or recklessly giving false or misleading information is a serious offence, and under the *Mining Act 1992* section 378C, any person who provides information that the person knows to be false or misleading is guilty of an offence, for which they may be subject to prosecution.
- I agree to notify the department immediately of any changes to the information in this form or the documents provided with this application.
- I acknowledge that failure to provide all required information and documents may result in delays in processing the application or refusal of the application.
- I declare that I am authorised to complete and lodge this application.

Agent details	
Full name	
Proof of identity	☐ Proof of identity document (e.g. valid driver's licence) is attached
Contact phone	
Contact email relevant to the agency arrangement	(This email will be used by the department for all correspondence relating to the administration of the *Mining Act 1992*)

Contact postal address						
PO Box (if applicable)						
Street number		Street name				
Suburb			State		Postcode	
Evidence of appointment as an agent	☐ I have attached a written notice by the holder of my appointment as their agent					
Date						
Signature						

Office use only

Application received	
Date	
Officer's name:	

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