



ASIC

Australian Securities &
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RIGHTS OF REVIEW

Persons affected by certain decisions made by ASIC under the *Corporations Act 2001* and the other legislation administered by ASIC may have rights of review. ASIC has published Regulatory Guide 57 *Notification of rights of review* (RG57) and Information Sheet *ASIC decisions – your rights* (INFO 9) to assist you to determine whether you have a right of review. You can obtain a copy of these documents from the ASIC Digest, the ASIC website at www.asic.gov.au or from the Administrative Law Co-ordinator in the ASIC office with which you have been dealing.

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14 - 0212

ASIC

Australian Securities & Investments Commission

**Australian Securities & Investments Commission
Corporations Act 2001 Section 915B**

Notice of Cancellation of an Australian Financial Services Licence

TO: National Australia Securities Ltd
ACN 006 982 332 ("the Licensee")
L1 800 Bourke Street
Docklands, VIC 3008

Pursuant to section 915B of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Licence Number 230682 held by the Licensee with effect from the date on which this notice is given to the Licensee.

Dated this 31 March 2014

Signed

Joyce Krashow, a delegate of the Australian Securities and Investments Commission



ASIC

Australian Securities & Investments Commission

14-0216

**Australian Securities and Investments Commission
Corporations Act 2001 Section 915B**

Notice of Cancellation of an Australian Financial Services Licence

TO: Mitsui Bussan Commodities (Australia) Pty Ltd
ACN: 072 446 014 ("the Licensee")
Level 15, 120 Collins Street
MELBOURNE VIC 3000

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 223454 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

27th March 2014

Signed

A handwritten signature in black ink, appearing to be 'JK', written over a dotted line.

Joyce Krashow

A delegate of the Australian Securities and Investments Commission

14/0233

**Australian Securities and Investments Commission
Corporations Act—Paragraph 907D(2)(a)—Exemption**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraph 907D(2)(a) of the *Corporations Act 2001 (Act)*.

Title

2. This instrument is ASIC Instrument [14/0233].

Commencement

3. This instrument commences on 1 April 2014.

Exemption

4. The ANZ Bank New Zealand Limited (NZBN 9429040797410) (*Bank*) does not have to comply with subrule 2.2.1(1) of the *ASIC Derivative Transaction Rules (Reporting) 2013 (Rules)* to the extent that subrule requires the Bank to report information about:
 - (a) each of its Reportable Transactions in credit derivatives and interest rate derivatives in accordance with the Transaction Reporting Requirements in Part S1.1 of Schedule 1 of the Rules, during the Reporting Period from 1 April 2014 to 30 September 2014;
 - (b) each of its Reportable Positions in credit derivatives and interest rate derivatives in accordance with the Position Reporting Requirements in Part S1.2 of Schedule 1, by 1 October 2014; and
 - (c) each Reportable Transaction in a credit derivative or interest rate derivative that is a modification, termination or assignment of a Reportable Position in a credit derivative or interest rate derivative and that occurs before 1 October 2014, in accordance with Rule 2.4.4,in accordance with the requirements of Part 2.2 of the Rules.

Conditions

5. It is a condition of the exemption in paragraph 4 of this instrument that the Bank must:
 - (a) from 1 October 2014 onwards, report, for each of its Reportable Transactions in credit derivatives and interest rate derivatives, the Derivative Transaction Information set out in Part S2.1 of Schedule 2 of the Rules to a Licensed Repository, other than a Reportable Transaction that is a modification, termination or assignment referred to in paragraph (c);
 - (b) by or on 1 April 2015 report, for all outstanding positions as at 1 October 2014 in OTC Derivatives that are credit and interest rate derivatives that, if entered into

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on 1 October 2014, would be required to be reported by the Bank in accordance with paragraph (a), the Derivative Position Information set out in Part S2.2 of the Schedule 2 of the Rules, to a Licensed Repository; and

- (c) from 1 October 2014 report each Reportable Transaction in a credit derivative or interest rate derivative that is a modification, termination or assignment of a Reportable Position in a credit derivative or interest rate derivative and that occurs before 1 April 2015, in accordance with Rule 2.4.4,

in accordance with the requirements of Part 2.2 of the Rules.

6. It is an additional condition of the exemption in paragraph 4 of this instrument that where:
- (a) on or after 1 October 2014, the Bank will or may be required to comply with Rule 2.2.1 of the Rules or the conditions in paragraph 5 of this instrument by reporting Identifying Information in relation to a Reportable Transaction or Reportable Position to a Trade Repository; and
- (b) the Bank will or may be required to:
- (i) obtain the express consent (*Consent*) of the counterparty (*Relevant Counterparty*) to which the Identifying Information relates before it reports the Identifying Information to the Trade Repository; or
- (ii) give the Relevant Counterparty a notice (*Notice*) before it reports the Identifying Information to the Trade Repository; and
- (c) if the Bank does not obtain the Consent or give the Notice before it reports the Identifying Information to the Trade Repository, the Bank may breach:
- (i) a duty of confidence owed by the Bank to the Relevant Counterparty which is actionable at law by the Relevant Counterparty;
- (ii) a contractual duty owed by the Bank to the Relevant Counterparty; or
- (iii) a provision of a law or regulation of a foreign jurisdiction that applies to the Bank in its dealings with the Relevant Counterparty; and
- (d) as at 1 April 2014, the Bank has not obtained the Consent of the Relevant Counterparty, or has not given the Relevant Counterparty the Notice (as applicable),

then the Bank must from 1 April 2014 use all reasonable endeavours to obtain the Consent from, or give the Notice to, the Relevant Counterparty, as soon as reasonably practicable, to ensure that the Bank is able to comply with Rule 2.2.1 of the Rules and the conditions in paragraph 5 of this instrument on or after 1 October 2014, by reporting Identifying Information in relation to a Reportable Transaction or Reportable Position to a Trade Repository.

7. From 1 April 2014, it is an additional condition to the exemption in paragraph 4 of this instrument that where the Bank has determined that it will be required to give the Notice under paragraph 6(b)(ii), the Bank must give the Relevant Counterparty the Notice by the later of:
- (a) 30 June 2014; and
- (a) the date which is one calendar month after the date on which the Bank determines that it will be required to give the Notice under paragraph 6(b)(ii).

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8. It is an additional condition of the exemption in paragraph 4 of this instrument that the Bank must, from 1 May 2014:
- (a) have in place a written compliance plan which describes how the Bank will ensure that the Bank is able to comply with:
 - (i) Rule 2.2.1 of the Rules and the condition in paragraph 5 on or after 1 October 2014; and
 - (ii) the conditions in paragraphs 6 and 7 of this instrument on or after 1 April 2014 including, without limitation, how the Bank will from 1 April 2014 use all reasonable endeavours to obtain Consent from, or give Notice to, Relevant Counterparties as soon as reasonably practicable;
 - (b) on request by ASIC, provide ASIC with a copy of the compliance plan referred to in paragraph (a), within the time specified in the request or if no time is specified, within a reasonable time; and
 - (c) on request by ASIC, provide ASIC with a document reporting on the Bank's implementation of the compliance plan referred to in paragraph (a), within the time specified in the request or if no time is specified, within a reasonable time, covering the period up to the time of the request.

Interpretation

9. In this instrument, *Identifying Information* means Derivative Trade Data referred to in the following table, or substantially equivalent information:

Table in Rules	Items in Table
Table S2.1(1) (Derivative Transaction Information - Common data)	7, 8, 10 and 11
Table S2.1(3) (Derivative Transaction Information - Equity derivative and credit derivative data)	1, 2, 3 and 4
Table S2.1(5) (Derivative Transaction Information - Interest rate derivative data)	6, 7, 8, 9, 10 and 11
Table S2.2(1) (Derivative Position Information - Common data)	6, 7, 8 and 9
Table S2.2(3) (Derivative Position Information - Equity derivative and credit derivative data)	1, 2, 3 and 4
Table S2.2(5) (Derivative Position Information - Interest rate derivative data)	5, 6, 7, 8, 9 and 10

10. In this instrument, unless otherwise specified, capitalised terms have the meaning given by the Rules.

14/0233

Dated this 28th day of March 2014



Signed by Oliver Harvey
as a delegate of the Australian Securities and Investments Commission

14/0236

**Australian Securities and Investments Commission
Corporations Act—Paragraph 907D(2)(a)—Exemption**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraph 907D(2)(a) of the *Corporations Act 2001 (Act)*.

Title

2. This instrument is ASIC Instrument [14/0236].

Commencement

3. This instrument commences on 1 April 2014.

Exemption

4. The ASB Bank Limited (NZBN 9429039435743) (*Bank*) does not have to comply with subrule 2.2.1(1) of the *ASIC Derivative Transaction Rules (Reporting) 2013 (Rules)* to the extent that subrule requires the Bank to report information about:
 - (a) each of its Reportable Transactions in credit derivatives and interest rate derivatives in accordance with the Transaction Reporting Requirements in Part S1.1 of Schedule 1 of the Rules, during the Reporting Period from 1 April 2014 to 30 September 2014;
 - (b) each of its Reportable Positions in credit derivatives and interest rate derivatives in accordance with the Position Reporting Requirements in Part S1.2 of Schedule 1, by 1 October 2014; and
 - (c) each Reportable Transaction in a credit derivative or interest rate derivative that is a modification, termination or assignment of a Reportable Position in a credit derivative or interest rate derivative and that occurs before 1 October 2014, in accordance with Rule 2.4.4,in accordance with the requirements of Part 2.2 of the Rules.

Conditions

5. It is a condition of the exemption in paragraph 4 of this instrument that the Bank must:
 - (a) from 1 October 2014 onwards, report, for each of its Reportable Transactions in credit derivatives and interest rate derivatives, the Derivative Transaction Information set out in Part S2.1 of Schedule 2 of the Rules to a Licensed Repository, other than a Reportable Transaction that is a modification, termination or assignment referred to in paragraph (c);
 - (b) by or on 1 April 2015 report, for all outstanding positions as at 1 October 2014 in OTC Derivatives that are credit and interest rate derivatives that, if entered into

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on 1 October 2014, would be required to be reported by the Bank in accordance with paragraph (a), the Derivative Position Information set out in Part S2.2 of the Schedule 2 of the Rules, to a Licensed Repository; and

- (c) from 1 October 2014 report each Reportable Transaction in a credit derivative or interest rate derivative that is a modification, termination or assignment of a Reportable Position in a credit derivative or interest rate derivative and that occurs before 1 April 2015, in accordance with Rule 2.4.4,

in accordance with the requirements of Part 2.2 of the Rules.

- 6. It is an additional condition of the exemption in paragraph 4 of this instrument that where:

- (a) on or after 1 October 2014, the Bank will or may be required to comply with Rule 2.2.1 of the Rules or the conditions in paragraph 5 of this instrument by reporting Identifying Information in relation to a Reportable Transaction or Reportable Position to a Trade Repository; and

- (b) the Bank will or may be required to:

- (i) obtain the express consent (*Consent*) of the counterparty (*Relevant Counterparty*) to which the Identifying Information relates before it reports the Identifying Information to the Trade Repository; or
- (ii) give the Relevant Counterparty a notice (*Notice*) before it reports the Identifying Information to the Trade Repository; and

- (c) if the Bank does not obtain the Consent or give the Notice before it reports the Identifying Information to the Trade Repository, the Bank may breach:

- (i) a duty of confidence owed by the Bank to the Relevant Counterparty which is actionable at law by the Relevant Counterparty;
- (ii) a contractual duty owed by the Bank to the Relevant Counterparty; or
- (iii) a provision of a law or regulation of a foreign jurisdiction that applies to the Bank in its dealings with the Relevant Counterparty; and

- (d) as at 1 April 2014, the Bank has not obtained the Consent of the Relevant Counterparty, or has not given the Relevant Counterparty the Notice (as applicable),

then the Bank must from 1 April 2014 use all reasonable endeavours to obtain the Consent from, or give the Notice to, the Relevant Counterparty, as soon as reasonably practicable, to ensure that the Bank is able to comply with Rule 2.2.1 of the Rules and the conditions in paragraph 5 of this instrument on or after 1 October 2014, by reporting Identifying Information in relation to a Reportable Transaction or Reportable Position to a Trade Repository.

- 7. From 1 April 2014, it is an additional condition to the exemption in paragraph 4 of this instrument that where the Bank has determined that it will be required to give the Notice under paragraph 6(b)(ii), the Bank must give the Relevant Counterparty the Notice by the later of:

- (a) 30 June 2014; and

- (a) the date which is one calendar month after the date on which the Bank determines that it will be required to give the Notice under paragraph 6(b)(ii).

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8. It is an additional condition of the exemption in paragraph 4 of this instrument that the Bank must, from 1 May 2014:
- (a) have in place a written compliance plan which describes how the Bank will ensure that the Bank is able to comply with:
 - (i) Rule 2.2.1 of the Rules and the condition in paragraph 5 on or after 1 October 2014; and
 - (ii) the conditions in paragraphs 6 and 7 of this instrument on or after 1 April 2014 including, without limitation, how the Bank will from 1 April 2014 use all reasonable endeavours to obtain Consent from, or give Notice to, Relevant Counterparties as soon as reasonably practicable;
 - (b) on request by ASIC, provide ASIC with a copy of the compliance plan referred to in paragraph (a), within the time specified in the request or if no time is specified, within a reasonable time; and
 - (c) on request by ASIC, provide ASIC with a document reporting on the Bank's implementation of the compliance plan referred to in paragraph (a), within the time specified in the request or if no time is specified, within a reasonable time, covering the period up to the time of the request.

Interpretation

9. In this instrument, **Identifying Information** means Derivative Trade Data referred to in the following table, or substantially equivalent information:

Table in Rules	Items in Table
Table S2.1(1) (Derivative Transaction Information - Common data)	7, 8, 10 and 11
Table S2.1(3) (Derivative Transaction Information - Equity derivative and credit derivative data)	1, 2, 3 and 4
Table S2.1(5) (Derivative Transaction Information - Interest rate derivative data)	6, 7, 8, 9, 10 and 11
Table S2.2(1) (Derivative Position Information - Common data)	6, 7, 8 and 9
Table S2.2(3) (Derivative Position Information - Equity derivative and credit derivative data)	1, 2, 3 and 4
Table S2.2(5) (Derivative Position Information - Interest rate derivative data)	5, 6, 7, 8, 9 and 10

10. In this instrument, unless otherwise specified, capitalised terms have the meaning given by the Rules.

14/0236

Dated this 28th day of March 2014



Signed by Oliver Harvey
as a delegate of the Australian Securities and Investments Commission

14/0237

**Australian Securities and Investments Commission
Corporations Act—Paragraph 907D(2)(a)—Exemption**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraph 907D(2)(a) of the *Corporations Act 2001 (Act)*.

Title

2. This instrument is ASIC Instrument [14/0237].

Commencement

3. This instrument commences on 1 April 2014.

Exemption

4. The Bank of New Zealand (NZBN 9429039342188) (*Bank*) does not have to comply with subrule 2.2.1(1) of the *ASIC Derivative Transaction Rules (Reporting) 2013 (Rules)* to the extent that subrule requires the Bank to report information about:
 - (a) each of its Reportable Transactions in credit derivatives and interest rate derivatives in accordance with the Transaction Reporting Requirements in Part S1.1 of Schedule 1 of the Rules, during the Reporting Period from 1 April 2014 to 30 September 2014;
 - (b) each of its Reportable Positions in credit derivatives and interest rate derivatives in accordance with the Position Reporting Requirements in Part S1.2 of Schedule 1, by 1 October 2014; and
 - (c) each Reportable Transaction in a credit derivative or interest rate derivative that is a modification, termination or assignment of a Reportable Position in a credit derivative or interest rate derivative and that occurs before 1 October 2014, in accordance with Rule 2.4.4,in accordance with the requirements of Part 2.2 of the Rules.

Conditions

5. It is a condition of the exemption in paragraph 4 of this instrument that the Bank must:
 - (a) from 1 October 2014 onwards, report, for each of its Reportable Transactions in credit derivatives and interest rate derivatives, the Derivative Transaction Information set out in Part S2.1 of Schedule 2 of the Rules to a Licensed Repository, other than a Reportable Transaction that is a modification, termination or assignment referred to in paragraph (c);
 - (b) by or on 1 April 2015 report, for all outstanding positions as at 1 October 2014 in OTC Derivatives that are credit and interest rate derivatives that, if entered into

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on 1 October 2014, would be required to be reported by the Bank in accordance with paragraph (a), the Derivative Position Information set out in Part S2.2 of the Schedule 2 of the Rules, to a Licensed Repository; and

- (c) from 1 October 2014 report each Reportable Transaction in a credit derivative or interest rate derivative that is a modification, termination or assignment of a Reportable Position in a credit derivative or interest rate derivative and that occurs before 1 April 2015, in accordance with Rule 2.4.4,

in accordance with the requirements of Part 2.2 of the Rules.

6. It is an additional condition of the exemption in paragraph 4 of this instrument that where:
- (a) on or after 1 October 2014, the Bank will or may be required to comply with Rule 2.2.1 of the Rules or the conditions in paragraph 5 of this instrument by reporting Identifying Information in relation to a Reportable Transaction or Reportable Position to a Trade Repository; and
- (b) the Bank will or may be required to:
- (i) obtain the express consent (*Consent*) of the counterparty (*Relevant Counterparty*) to which the Identifying Information relates before it reports the Identifying Information to the Trade Repository; or
- (ii) give the Relevant Counterparty a notice (*Notice*) before it reports the Identifying Information to the Trade Repository; and
- (c) if the Bank does not obtain the Consent or give the Notice before it reports the Identifying Information to the Trade Repository, the Bank may breach:
- (i) a duty of confidence owed by the Bank to the Relevant Counterparty which is actionable at law by the Relevant Counterparty;
- (ii) a contractual duty owed by the Bank to the Relevant Counterparty; or
- (iii) a provision of a law or regulation of a foreign jurisdiction that applies to the Bank in its dealings with the Relevant Counterparty; and
- (d) as at 1 April 2014, the Bank has not obtained the Consent of the Relevant Counterparty, or has not given the Relevant Counterparty the Notice (as applicable),

then the Bank must from 1 April 2014 use all reasonable endeavours to obtain the Consent from, or give the Notice to, the Relevant Counterparty, as soon as reasonably practicable, to ensure that the Bank is able to comply with Rule 2.2.1 of the Rules and the conditions in paragraph 5 of this instrument on or after 1 October 2014, by reporting Identifying Information in relation to a Reportable Transaction or Reportable Position to a Trade Repository.

7. From 1 April 2014, it is an additional condition to the exemption in paragraph 4 of this instrument that where the Bank has determined that it will be required to give the Notice under paragraph 6(b)(ii), the Bank must give the Relevant Counterparty the Notice by the later of:
- (a) 30 June 2014; and
- (a) the date which is one calendar month after the date on which the Bank determines that it will be required to give the Notice under paragraph 6(b)(ii).

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8. It is an additional condition of the exemption in paragraph 4 of this instrument that the Bank must, from 1 May 2014:
- (a) have in place a written compliance plan which describes how the Bank will ensure that the Bank is able to comply with:
 - (i) Rule 2.2.1 of the Rules and the condition in paragraph 5 on or after 1 October 2014; and
 - (ii) the conditions in paragraphs 6 and 7 of this instrument on or after 1 April 2014 including, without limitation, how the Bank will from 1 April 2014 use all reasonable endeavours to obtain Consent from, or give Notice to, Relevant Counterparties as soon as reasonably practicable;
 - (b) on request by ASIC, provide ASIC with a copy of the compliance plan referred to in paragraph (a), within the time specified in the request or if no time is specified, within a reasonable time; and
 - (c) on request by ASIC, provide ASIC with a document reporting on the Bank's implementation of the compliance plan referred to in paragraph (a), within the time specified in the request or if no time is specified, within a reasonable time, covering the period up to the time of the request.

Interpretation

9. In this instrument, *Identifying Information* means Derivative Trade Data referred to in the following table, or substantially equivalent information:

Table in Rules	Items in Table
Table S2.1(1) (Derivative Transaction Information - Common data)	7, 8, 10 and 11
Table S2.1(3) (Derivative Transaction Information - Equity derivative and credit derivative data)	1, 2, 3 and 4
Table S2.1(5) (Derivative Transaction Information - Interest rate derivative data)	6, 7, 8, 9, 10 and 11
Table S2.2(1) (Derivative Position Information - Common data)	6, 7, 8 and 9
Table S2.2(3) (Derivative Position Information - Equity derivative and credit derivative data)	1, 2, 3 and 4
Table S2.2(5) (Derivative Position Information - Interest rate derivative data)	5, 6, 7, 8, 9 and 10

10. In this instrument, unless otherwise specified, capitalised terms have the meaning given by the Rules.

14/0237

Dated this 28th day of March 2014



Signed by Oliver Harvey
as a delegate of the Australian Securities and Investments Commission

14/0238

**Australian Securities and Investments Commission
Corporations Act—Paragraph 907D(2)(a)—Exemption**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraph 907D(2)(a) of the *Corporations Act 2001 (Act)*.

Title

2. This instrument is ASIC Instrument [14/0238].

Commencement

3. This instrument commences on 1 April 2014.

Exemption

4. From 1 April 2014 to 31 December 2015, UBS AG (ARBN 088 129 613) (*UBS*) is not required to comply with the requirements of subrule 2.2.1(1) and Part 2.2 of the *ASIC Derivative Transaction Rules (Reporting) 2013 (Rules)* that would otherwise apply to UBS in relation to a Reportable Transaction or a Reportable Position if, at the time UBS is required to comply with the requirements:
 - (a) UBS is registered or provisionally registered as a swap dealer with the U.S. Commodity Futures Trading Commission (*CFTC*) in accordance with the *Commodity Exchange Act 1936 (US) (CEA)*; and
 - (b) either:
 - (i) UBS or another entity has reported information about the Reportable Transaction or the Reportable Position to a Prescribed Repository, in compliance with the Dodd-Frank Wall Street Reform and Consumer Protection Act (*Dodd-Frank Act*) and any applicable regulations issued under the Dodd-Frank Act (together, *U.S. Reporting Requirements*); or
 - (ii) UBS is exempt from a requirement to report information about the Reportable Transaction or the Reportable Position under the U.S. Reporting Requirements, or there is no requirement under the U.S. Reporting Requirements to report information about the Reportable Transaction or Reportable Position.
5. It is a condition of the exemption in paragraph 4 of this instrument that, from 1 December 2014 to 31 December 2015, where UBS has reported information about the Reportable Transaction or the Reportable Position to a Prescribed Repository, UBS must designate that information as being able to be provided to ASIC by the Prescribed Repository.
6. From 1 April 2014 to 30 November 2014, UBS is not required to comply with the requirements of subrule 2.2.1(1) and Part 2.2 of the Rules that would otherwise apply to UBS in relation to a Reportable Transaction or a Reportable Position if, at the time UBS is required to comply with the requirements:
 - (a) UBS is registered or provisionally registered as a swap dealer with the CFTC in accordance with the CEA; and
 - (b) UBS or another entity is required to report information about the Reportable Transaction or the Reportable Position to a Prescribed Repository in compliance

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with U.S Reporting Requirements and UBS has the benefit of the CFTC No-Action Letter No. 13-75 dated December 20, 2013 (relating to Time-Limited No-Action Relief from Certain Requirements of Part 45 and Part 46 of the Commission's Regulations, for Certain Swap Dealers and Major Swap Participants Established under the Laws of Australia, Canada, the European Union, Japan or Switzerland).

7. It is a condition of the exemption in paragraph 6 of this instrument that:
- (a) for the period from 1 April 2014 to 30 November 2014, UBS must provide to ASIC a report in writing which specifies as at 30 April 2014 and as at the last day of each following month the following information:
 - (i) the total gross notional outstanding position held by UBS in OTC Derivatives in each of the following classes (each a *Class*):
 - (A) commodity derivatives that are not electricity derivatives;
 - (B) credit derivatives;
 - (C) equity derivatives;
 - (D) foreign exchange derivatives; and
 - (E) interest rate derivatives;
 - (ii) the aggregate mark-to-market valuation of the total gross notional outstanding position held by UBS in OTC Derivatives in each Class referred to in paragraph (i);
 - (iii) for each Class, the following information about a counterparty (*Major Counterparty*) which holds a total gross notional outstanding position in OTC Derivatives in that Class with UBS and which is among the ten largest total gross notional outstanding positions in OTC Derivatives in that Class held by counterparties with UBS:
 - (A) the full legal name of the Major Counterparty;
 - (B) the total gross notional outstanding position in OTC Derivatives in that Class held by UBS with the Major Counterparty; and
 - (C) the aggregate mark-to-market valuation of the total gross notional outstanding position in OTC Derivatives in that Class held by UBS with the Major Counterparty; and

where, for the purposes of the condition in paragraph 7(a), "OTC Derivative" means an OTC Derivative to which a Reportable Transaction relates and in respect of which UBS is required to report information in accordance with paragraph 2.2.1(1)(a) of the Rules but subject to the terms of ASIC Instrument [14/0234] (*Class Exemption*)
 - (b) UBS must provide each report referred to in paragraph (a) by or on the day which is the 15th day after the date as at which the report specifies the information required in paragraph (a).
 - (c) UBS does not have to provide the information in paragraph 7(a)(iii)(A) where UBS does not have to comply with Rule 2.2.1 of the Rules, to the extent that Rule requires UBS to report Identifying Information in relation to a Reportable Transaction to which the Major Counterparty is a party and the related Reportable Position, pursuant to paragraphs 8, 10, 12 and 12A of the Class Exemption. Where UBS does not have to provide the information in paragraph

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7(a)(iii)(A) pursuant to this paragraph, UBS must indicate "Name Withheld" in place of the full legal name of the Counterparty.

- (d) It is a condition of paragraph (c) that:
- (i) in connection with the exemption in paragraph 8 of the Class Exemption, as soon as reasonably practicable after UBS becomes reasonably satisfied that UBS would no longer breach the law or regulation of the Relevant Foreign Jurisdiction if, in relation to the Reportable Transaction or the Reportable Position, UBS reported the Identifying Information concerning the Major Counterparty to the Trade Repository, UBS must report the full legal name of the Major Counterparty to ASIC;
 - (ii) in connection with the exemption in paragraph 10 of the Class Exemption (subject to paragraphs 12 and 12A of the Class Exemption),
 - (A) UBS must use all reasonable endeavours to obtain the Consent from, or give the Notice to, the Major Counterparty, as soon as reasonably practicable;
 - (B) from 1 April 2014, where UBS has determined that the exemption in paragraph 10 of the Class Exemption applies only because of paragraph 10(a)(ii) of the Class Exemption, UBS must give the Major Counterparty the Notice by the later of:
 - (a) 30 April 2014; and
 - (b) the date which is one calendar month after the date on which UBS determines that the exemption in paragraph 10 of the Class Exemption applies only because of subparagraph 10(a)(ii) of the Class Exemption; and
 - (C) as soon as reasonably practicable after the Major Counterparty gives the Consent, or is given the Notice, UBS must report the full legal name of the Major Counterparty to ASIC.
8. It is condition of this instrument that UBS must:
- (a) keep records that enable UBS to demonstrate it has complied with the conditions in paragraphs 5 and 7 of this instrument;
 - (b) keep the records referred to in paragraph (a) for a period of at least five years from the date the record is made or amended; and
 - (c) on request by ASIC, provide ASIC with records or other information relating to compliance with or determining whether there has been compliance with the conditions in paragraph 5 and 7 of this instrument, within the time specified in the request or if no time is specified, within a reasonable time.
9. A request by ASIC under paragraph 8(c) must be in writing and give UBS a reasonable time to comply.

Exemptions – Interaction between exemptions

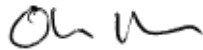
10. Each exemption in this instrument operates on its terms and does not limit the operation of any other exemption in this instrument.

14/0238

Interpretation

11. In this instrument, unless otherwise specified, capitalised terms have the meaning given by the Rules and the Class Exemption.

Dated this 28th day of March 2014



Signed by Oliver Harvey
as a delegate of the Australian Securities and Investments Commission



14-0239

ASIC

Australian Securities & Investments Commission

**Australian Securities and Investments Commission
Corporations Act 2001 — Subsection 601QA(1) — Declaration**

Enabling legislation

1. The Australian Securities and Investments Commission (**ASIC**) makes this instrument under subsection 601QA(1) of the *Corporations Act 2001* (the *Act*).

Title

2. This instrument is ASIC Instrument 14-0239.

Commencement

3. This instrument commences on the day it is signed.

Declaration

4. Chapter 5C of the Act applies to Commonwealth Managed Investments Limited ACN 084 098 180 (**CMIL**) in its capacity as responsible entity of Commonwealth Property Office Fund ARSN 086 029 736 (the **Scheme**) as if section 601FL were modified or varied as follows:
 - (a) in subsection (1) omit all the text after the word “retire”, substitute:

“and a company has consented in writing to become the scheme’s responsible entity, then:

 - (a) the current responsible entity must lodge a notice with ASIC asking it to alter the record of the scheme’s registration to name the company that has consented in writing to become the scheme’s responsible entity; and
 - (b) if the current responsible entity does not lodge the notice required by paragraph (a), the company that has consented in writing to become the new responsible entity may lodge that notice; and
 - (c) ASIC must comply with the notice when it is lodged.”;
 - (b) delete section 601FL(2);
 - (c) delete section 601FL(3);

14-0239

- (d) in subsection (4) omit all the text after the word “subsection” first appears, substitute:

“(1) unless the consent referred to in that subsection has been given before the notice is lodged.”

Where this declaration applies

5. This declaration applies to the proposed retirement of CMIL as responsible entity of the Scheme and its replacement by DEXUS Funds Management Limited ACN 060 920 783 (*Bidder*) where:
- (a) Bidder has consented in writing to becoming the new responsible entity of the Scheme; and
 - (b) a takeover bid has been made by Bidder, in its capacity as the responsible entity of the DEXUS Office Trust Australia, under Chapter 6 of the Act for all the interests in the Scheme; and
 - (c) Bidder had prior to compulsory acquisition a relevant interest in over 90% (by number) of the total number of interests in the Scheme, and has acquired more than 75% (by number) of the total number of interests in the Scheme which the Bidder offered to acquire under its takeover bid for the Scheme; and
 - (d) Bidder has filed notice to commence compulsory acquisition with ASIC under section 661A of the Act of all the interests in the Scheme under Part 6A.1 of the Act (*Notice*); and
 - (e) any application to stop the acquisition made to the Court under section 661E of the Act has been finally determined or the time for making such an application has passed without an application being made; and
 - (f) Bidder has notified ASX Limited ACN 008 624 691 in writing of CMIL's intention to retire as responsible entity of the Scheme, and the notice contains statements to the following effect:
 - (i) Bidder has consented to become the Scheme's new responsible entity;
 - (ii) CMIL's retirement, and Bidder's appointment as responsible entity of the Scheme will take effect when ASIC has altered the record of the Scheme's registration to name Bidder as the Scheme's responsible entity;
 - (iii) Bidder has a relevant interest in over 90% (by number) of interests in the Scheme and has acquired more than 75% of interests in the Scheme which the Bidder offered to acquire under its takeover bid for the Scheme;
 - (iv) Bidder has filed the Notice; and

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- (v) in recognition of the specific circumstances relating to the scheme, ASIC has granted a modification of section 601FL of the Act to permit CMIL to retire, and Bidder to be appointed, as the responsible entity of the Scheme without holding a meeting of members to choose the new responsible entity.

Dated this 27th day of March 2014



Signed by Janice Chandra
As a delegate of the Australian Securities and Investments Commission

14-0245

**Australian Securities and Investments Commission
Corporations Act 2001 – Paragraphs 911A(2)(l), 992B(1)(a), 1020F(1)(a) and
1020F(1)(b) – Exemptions**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraphs 911A(2)(l), 992B(1)(a), 1020F(1)(a) and 1020F(1)(b) of the *Corporations Act 2001 (Act)*.

Title

2. This instrument is ASIC Instrument 14-0245.

Commencement

3. This instrument commences on gazettal.

Exemptions

4. The issuer does not have to comply with Part 7.9 of the Act where the issuer:
 - (a) makes an eligible incentive plan offer;
 - (b) offers to arrange for the issue of financial products under an eligible incentive plan offer; or
 - (c) issues a financial product under an eligible incentive plan offer;on the conditions set out in this instrument and for so long as the conditions are met.
5. Where the issuer is exempt from Part 7.9 in relation to an eligible incentive plan offer because of the exemption in paragraph 4, the issuer is also exempt from the requirement to hold an Australian financial services licence for the provision of the following financial services:
 - (a) a financial service consisting of general advice reasonably given in connection with the eligible incentive plan offer (including any general advice given in the offer document) where the issuer ensures that the offer document for the offer includes a statement to the effect that any advice given by the issuer in connection with the offer is general advice only, and that employees should consider obtaining their own financial product advice from an independent person who is licensed by ASIC to give such advice;
 - (b) a custodial or depositary service in connection with an eligible incentive plan offer where the issuer performs their duties in good faith and has sufficient resources to perform those duties;

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- (c) dealing in a financial product in the course of providing a custodial or depository service covered by paragraph (b);
 - (d) issuing a financial product under an eligible incentive plan offer covered by paragraph 4 of this instrument; and
 - (e) dealing in a financial product in connection with an eligible incentive plan offer where any acquisition by purchase or disposal of the product by the issuer occurs either:
 - (i) through a person who holds an Australian financial services licence authorising the holder to deal in financial products; or
 - (ii) outside this jurisdiction and through a person who is licensed or otherwise authorised to deal in financial products in the relevant place.
6. Where the issuer is exempt from Part 7.9 in relation to an eligible incentive plan offer because of the exemption in paragraph 4, the issuer also does not have to comply with section 992A of the Act in relation to an eligible incentive plan offer made in the course of, or because of, unsolicited meetings or telephone calls reasonably held or made in connection with the offer.
7. ASIC exempts a financial product that is the subject of an eligible incentive plan offer from Part 7.9 of the Act where:
- (a) a recommendation is made by a person (other than the issuer) that a person to whom an eligible incentive plan offer has been made, acquire the financial product as a retail client; and
 - (b) the person who made the recommendation is not aware, and ought not reasonably to be aware, that any of the conditions set out in this instrument have not been met;
- but only in relation to the recommendation by the person.

Where this instrument applies

8. This instrument applies where the issuer:
- (a) meets the requirements (including, for the avoidance of doubt, definitions) of the class order, except the definitions of:
 - (i) “eligible offer” in paragraph 9 of the Interpretation; and
 - (ii) “issuer” in paragraph 12 of the Interpretation; and
 - (b) would meet the requirements of the class order if:
 - (i) the definition of an “eligible offer” in paragraph 9 of the Interpretation were to read:

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“9. “eligible offer” means an offer for issue or sale of performance rights in relation to fully-paid shares in an issuer in the same class as shares which have been quoted on the financial market operated by the New York Stock Exchange throughout the 12 month period immediately before the offer without suspension for more than a total of 2 trading days during that period made under an employee share scheme extended only to eligible employees of the issuer;” and

(ii) in the Interpretation, the following definition were inserted:

“9A. “employee share scheme”, for a body corporate, means a scheme under which shares (or units of shares or options to acquire unissued shares or performance rights) in the body or a related body corporate may be acquired:

(a) by, or for the benefit of:

- (i) employees of the body, or of the related body corporate; or
- (ii) directors of the body, or of a related body corporate, who hold a salaried employment or office in the body or in a related body corporate; or

(b) by a corporation all of whose members are:

- (i) employees of the body, or of a related body corporate; or
- (ii) directors of the body, or of a related body corporate, who hold a salaried employment or office in the body or in a related body corporate;” and

(iii) in the definition of an “offer document” in paragraph 15 of the Interpretation, subparagraphs (c) and (d) were to read:

“(c) specifies in respect of the performance rights or the shares to which the performance rights relate:

- (i) the acquisition price in Australian dollars;
- (ii) where the acquisition price is specified in a foreign currency, the Australian dollar equivalent of that price at the date of the eligible offer; or
- (iii) where the acquisition price is to be worked out in the future under a formula, the Australian dollar or Australian dollar equivalent of that price were the formula applied at the date of the eligible offer; and

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- (d) includes an undertaking, and an explanation of the way in which, the issuer who has a registered office in this jurisdiction will, during the period in which an eligible employee may acquire the Performance Rights, within a reasonable period of the employee requesting, make available to the employee:
- (i) the current market price (or, where that price is denominated in a foreign currency, the Australian dollar equivalent of that price) of the shares to which the performance rights relate; and
 - (ii) where sub-subparagraph (c)(ii) or (iii) applies, the information referred to in that subparagraph as updated to that date.”; and
- (iv) in the Interpretation, the following definition were inserted:
- “16A. “performance right” means a conditional right:
- (a) to be issued or transferred a fully-paid ordinary share in the capital of the issuer; or
 - (b) to receive a cash amount equivalent to the value of a fully-paid ordinary share in the capital of the issuer; or
 - (c) to receive either cash or fully-paid ordinary share equivalent to the value of any dividends paid on a fully-paid ordinary share of the issuer during the period in which a performance right remains outstanding,
- where the performance right is offered for no more than nominal monetary consideration;”.

Conditions

9. The issuer can only rely on the exemptions in this instrument if the issuer complies with the following conditions:
- (a) the conditions of the class order (excluding the condition specified in paragraph 3 of the Schedule to the class order) as expressed to apply to them; and
 - (b) the issuer must take reasonable steps to ensure that the number of shares that may be issued in connection with any eligible incentive plan offer, when aggregated with:
 - (i) the number of shares in the same class which would be issued were every other outstanding offer with respect to shares, units of shares, options to acquire unissued shares and performance rights under every other employee share schemes of the issuer to vest or to be accepted or exercised;

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- (ii) the number of shares in the same class issued during the previous 5 years pursuant to:
 - (A) an eligible incentive plan offer extended only to eligible employees; and
 - (B) any other employee share scheme extended only to eligible employees of the issuer;

but disregarding any offer made, option or right acquired or share issued by way of or as a result of:

- (iii) an offer to a person situated at the time of receipt of the offer outside this jurisdiction; or
- (iv) an offer that did not need disclosure to investors because of section 708 of the Act; or
- (v) an offer that did not require the giving of a Product Disclosure Statement because of section 1012D of the Act; or
- (vi) an offer made under a disclosure document or Product Disclosure Statement,

must not exceed 5% of the total number of issued shares in that class of the issuer as at the time of the offer.

Interpretation

10. In this instrument:

- (a) a word and phrase used in this instrument has the same meaning as it has in the class order unless the word or phrase is defined in paragraph 8 of this instrument in which case the word or phrase has that meaning;
- (b) *class order* means ASIC Class Order [CO 03/184] as in force on the date of this instrument and as amended from time to time by a disallowable legislative instrument within the meaning of the Legislative Instruments Act 2003;
- (c) *eligible incentive plan offer* means an offer for the issue or sale of performance rights, made under an arrangement known as the MasterCard Incorporated 2006 Long Term Incentive Plan (under which the performance rights are referred to as restricted stock units and performance units) and the Australian Offer Document, the terms of which are substantially in the same form as those provided to ASIC on 17 March 2014; and
- (d) *issuer* means MasterCard Incorporated, a company incorporated under the laws of the State of Delaware, United States of America, and any related body corporate.

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Dated this 28 day of March 2014

A handwritten signature in black ink, appearing to read 'Elizabeth Korpi', written in a cursive style.

Signed by Elizabeth Korpi
as a delegate of the Australian Securities and Investments Commission

14-0246

Australian Securities and Investments Commission
Corporations Act 2001 — Paragraphs 601QA(1)(a), 741(1)(a), 911A(2)(1),
992B(1)(a), 1020F(1)(a) and 1020F(1)(b) —Exemption

Enabling legislation

1. The Australian Securities and Investments Commission (**ASIC**) makes this instrument under paragraphs 601QA(1)(a), 741(1)(a), 911A(2)(1), 992B(1)(a), 1020F(1)(a) and 1020F(1)(b) of the *Corporations Act 2001* (the **Act**).

Title

2. This instrument is ASIC Instrument 14-0246.

Commencement

3. This instrument commences on the date of its gazettal.

Exemptions

4. ASIC exempts:
 - (a) the issuer;
 - (b) a related body corporate of the issuer; and
 - (c) the Custodian and the Manager; and
 - (d) any person who, by way of contract between the person and the issuer, in connection with an eligible offer, acts for or on behalf of the issuer, from Parts 6D.2, 6D.3 (except section 736 of the Act) and 7.9 of the Act where that person:
 - (e) makes an eligible offer;
 - (f) offers to arrange for the issue of financial products under an eligible offer;
 - (g) issues a financial product under an eligible offer,on the conditions set out in paragraph 10 of this instrument and for so long as the conditions are met.
5. ASIC exempts a financial product that is the subject of an eligible offer from Part 7.9 where a person (other than a person covered by paragraph 4 of this instrument) makes a recommendation to acquire financial products under an eligible offer, except where the person is aware, or ought reasonably to be aware, that any of the conditions set out in paragraph 10 of this instrument have not been met.
6. ASIC exempts a person who is exempt from Part 6D.2 or Part 7.9 of the Act because of paragraph 4 of this instrument from the requirement to hold an Australian financial services licence for the provision of a financial service consisting of general advice reasonably given in connection with an offer referred to in that paragraph (including any general advice given in the offer document) where the offer document for the offer includes a statement to the effect that any advice given by the person in connection with the offer is general advice only, and that employees should consider obtaining their own financial product advice from an independent person who is licensed by ASIC to give such advice.

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7. ASIC exempts:
- (a) the issuer who is exempt from Part 6D.2 or Part 7.9 of the Act because of paragraph 4 of this instrument; and
 - (b) a related body corporate of the issuer,
- from the requirement to hold an Australian financial services licence for the provision of the following financial services:
- (c) the provision of a custodial or depository service in connection with an eligible offer covered by paragraph 4 of this instrument where the provider of the service performs its duties in good faith and has sufficient resources to perform those duties; and
 - (d) dealing in a financial product in the course of providing a custodial or depository service covered by paragraph 7(c) of this instrument; and
 - (e) dealing in a financial product in connection with an offer covered by the exemption in paragraph 4 of this instrument where any acquisition by purchase or disposal of the product (by the issuer or a related body corporate of the issuer) occurs either:
 - (i) through a person who holds an Australian financial services licence authorising the holder to deal in those financial products; or
 - (ii) outside this jurisdiction and through a person who is licensed or otherwise authorised to deal in those financial products in the relevant place.
8. ASIC exempts a person who is exempt from Part 6D.2 or Part 7.9 because of paragraph 4 of this instrument from sections 736, 992A and 992AA of the Act in relation to offers made in the course of, or because of, unsolicited meetings or telephone calls reasonably held or made in connection with the offer.
9. ASIC exempts:
- (a) the issuer;
 - (b) a related body corporate of the issuer; and
 - (c) the Custodian or the Manager; and
 - (d) any person who, by way of contract between the person and the issuer, in connection with an eligible offer, acts for or on behalf of the issuer,
- from subsection 601ED(5) of the Act in relation to the operation of that managed investment scheme relating to an eligible offer covered by the exemption in paragraph 4 of this instrument.

Conditions

10. The following conditions apply:
- (a) the issuer must ensure that the eligible offer must be substantially on the terms set out in the letter from Herbert Smith Freehills to ASIC dated 4 March 2014, titled 'VINCI: Employee Share Offering 2014' on behalf of the issuer; and

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- (b) the person making the offer must:
- (i) include that offer in an offer document; and
 - (ii) take reasonable steps to ensure that any eligible employee to whom the offer is made is given a copy of the offer document; and
 - (iii) provide to ASIC a copy of the offer document (which need not contain details of the offer particular to the employee such as the identity or entitlement of the employee) and of each accompanying document not later than 7 days after the first provision of that material to an employee; and
- (c) the issuer must take reasonable steps to ensure that Freyssinet Australia complies with any undertaking required to be made in the offer document by reason of this instrument; and
- (d) the issuer must take reasonable steps to ensure that the number of shares the subject of the offer when aggregated with:
- (i) the number of shares in the same class which would be issued were each outstanding offer with respect to shares and units of shares, under an employee share scheme to be accepted or exercised; and
 - (ii) the number of shares in the same class issued during the previous 5 years pursuant to the International Group Share Ownership Plan or any other employee share scheme extended only to eligible employees of the issuer;
- but disregarding any offer made, or option acquired or share issued by way of or as a result of:
- (iii) an offer to a person situated at the time of receipt of the offer outside this jurisdiction; or
 - (iv) an offer that was an excluded offer or invitation within the meaning of the Corporations Law as in force before the commencement of Schedule 1 to the *Corporate Law Economic Reform Program Act 1999*; or
 - (v) an offer that did not need disclosure to investors because of section 708 of the Act; or
 - (vi) an offer that did not require the giving of a Product Disclosure Statement because of section 1012D of the Act; or
 - (vii) an offer made under a disclosure document or Product Disclosure Statement,
- must not exceed 5% of the total number of issued shares in that class of the issuer as at the time of the offer; and
- (e) the Rules must contain provisions to the effect that the books of account maintained in respect of the activities of the FCPE must be audited annually; and

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- (f) the issuer must take reasonable steps to ensure that the Manager and/or the Custodian may only levy any fees or charges for operating and administering the FCPE which are payable by the employees to a maximum amount provided for in the Rules and such fees must be fully disclosed in the offer document; and
- (g) the issuer, through Freyssinet Australia, must make the statements of assets, balance sheets and statements of income (together with the related notes) of the FCPE and the auditors' reports of those statements delivered to them under the Rules available for inspection by eligible employees domiciled in this jurisdiction at a registered office or principal place of business in Australia during normal business hours or such other time as is agreed with an eligible employee; and
- (h) the issuer must take reasonable steps to ensure that upon Freyssinet Australia receiving notices relating to the buy-back/redemption of units as provided for in the Rules or otherwise under the eligible offer, it must forward these to the Manager without delay; and
- (i) the issuer must take reasonable steps to ensure that Freyssinet Australia must, on behalf of the issuer and the Manager, accept notices, correspondence and service of process at a registered office or principal place of business in Australia; and
- (j) upon Freyssinet Australia being advised that the buy-back arrangements/redemption facilities of units in the FCPE are suspended or terminated or that quotation of the shares of the issuer on any approved foreign market is suspended, the issuer through Freyssinet Australia must notify ASIC within 7 days; and
- (k) the issuer, through Freyssinet Australia, must make available for public inspection at Freyssinet Australia's registered office or principal place of business in Australia, and provide to eligible employees domiciled in this jurisdiction, copies of the Rules and the offer document and meet all reasonable requests for information; and
- (l) the issuer, through Freyssinet Australia, must maintain in Australia and make available to ASIC, upon request, records relating to the issue or sale of and the buy-back/redemption of units in the FCPE to or from eligible employees domiciled in this jurisdiction; and
- (m) the FCPE must at all times be approved or authorised or registered by the French Autorité des Marchés Financiers (the **Relevant Agency**) and the International Group Share Ownership Plan must at all times be authorised under the law of France; and
- (n) there must at all times be a custodian of the FCPE assets and the Rules must be complied with in appointing or changing the Custodian; and
- (o) within 14 days of the date of this instrument, ASIC must be provided with:
 - (i) copies of the Rules and any other related documents;
 - (ii) a copy of any written approval or authorisation issued by the Relevant Agency in relation to the eligible offer; and

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- (iii) if any document is not in English, a translation of that document into English; and
- (p) the issuer must take reasonable steps to ensure that each related body corporate of the issuer must keep at a registered office or principal place of business in this jurisdiction, a register of its employees who participate in the eligible offer and enter in the register:
 - (i) the names and addresses of each employee;
 - (ii) the extent of the holding of each employee;
 - (iii) the date at which the name of each employee was entered in the register; and
 - (iv) the date at which any employee's interest ceased; and
- (q) except as may be required by French law, the Rules must not be modified or varied in any material respect that would adversely affect the rights and interests of eligible employees domiciled in this jurisdiction who participate in the eligible offer unless ASIC notifies Freyssinet Australia in writing that it does not object to the modification or variation; and
- (r) the issuer must take reasonable steps to ensure that the Manager and the Custodian must comply with the provisions of the Rules; and
- (s) the eligible offer must at all times comply with the law of France.

Interpretation

11. In this instrument:

except where otherwise stated, references to provisions are to provisions of the Act.

an employee share scheme shall not be regarded as extended to a person other than an eligible employee only because such an employee may renounce an offer of financial products made to them under the scheme in favour of their nominee.

approved foreign market means NYSE Euronext Paris;

Australian dollar equivalent in relation to a price, means a price calculated by reference to the relevant exchange rate published by an Australian bank no earlier than the business day before the day to which the price relates;

current market price means in relation to a share, the price published by the NYSE Euronext Paris as the final price for the previous day on which the share was traded on that financial market;

Custodian means the custodian from time to time of the FCPE (presently CACEIS Bank France, a company registered in France), where the Custodian, by way of contract with the Manager, in connection with an eligible offer acts for or on behalf of the issuer;

eligible employee means, in relation to an issuer, a person who is at the time of an offer under an employee share scheme, a full or part-time employee or director of the issuer or of a related body corporate of the issuer;

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eligible offer means an offer to issue or transfer fully-paid shares in the issuer where:

- (i) the shares are in the same class as shares which have been quoted on an approved foreign market throughout the 12 month period immediately before the offer without suspension for more than a total of 2 trading days during that period;
- (ii) the shares are to be held by the Custodian of the FCPE or are allocated as a result of participating employees satisfying specified conditions set out in the offer documentation; and
- (iii) units in the FCPE are issued in accordance with the Rules to eligible employees who participate in the eligible offer;

made under the employee share scheme, as described as the International Group Share Ownership Plan, on terms not significantly different to those described in a letter to ASIC dated 4 March 2014, titled 'VINCI: Employee Share Offering 2014', from Herbert Smith Freehills on behalf of the issuer, extended only to eligible employees of the issuer;

FCPE means the Fonds Commun de Placement d'Entreprise governed by the Rules of the "FCPE Castor International" approved on 9 April 2002 and last updated on 10 April 2013 and the rules of the "FCPE Castor International Relais 2014" approved on 24 October 2013, each as amended from time to time;

financial product advice has the meaning given by section 766B of the Act;

Freyssinet Australia means Freyssinet Australia Pty Ltd ACN 002 617 736;

general advice has the meaning given by section 766B of the Act;

International Group Share Ownership Plan means the VINCI International Group Share Ownership Plan for employees of non-French companies of the VINCI group dated on 2 September 2011, as amended from time to time;

issuer means VINCI S.A., a company registered in France;

Manager means the portfolio management company from time to time of the FCPE (presently Amundi, a French public limited company (société anonyme) with registered office at 90, boulevard Pasteur, 75015 Paris, France, where the management company, by way of contract with the issuer in connection with an eligible offer, acts for or on behalf of the issuer;

offer has a meaning affected by sections 700, 702 and 1010C of the Act;

offer document means a document setting out an offer under an employee share scheme that:

- (a) includes or is accompanied by a copy or summary of the Rules under which the offer is made; and
- (b) if a summary (rather than a copy) of the Rules is given - includes an undertaking that during the period (the **offer period**) during which an eligible employee domiciled in this jurisdiction may acquire the financial products offered, the issuer through Freyssinet Australia will, within a reasonable period of the employee so requesting, provide the employee without charge with a copy of the Rules; and

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- (c) specifies in respect of the shares:
- (i) the acquisition price in Australian dollars;
 - (ii) where the acquisition price is specified in a foreign currency, the Australian dollar equivalent of that price at the date of the offer; or
 - (iii) where the acquisition price is to be worked out in the future under a formula, the Australian dollar or Australian dollar equivalent of that price were that formula applied at the date of the offer; and
- (d) includes an undertaking, and an explanation of the way in which, the issuer through Freyssinet Australia will, during the offer period, within a reasonable period of the employee requesting, make available to the employee:
- (i) the current market price (or, where that price is denominated in a foreign currency, the Australian dollar equivalent of that price) of shares in the same class as those offered; and
 - (ii) where subparagraph (c)(ii) or (iii), the information referred to in that paragraph as updated to that date; and
- (e) discloses the conditions, obligations and risks associated with any loan or financial assistance offered by the issuer or a related body corporate of the issuer for the purpose of acquiring financial products under the International Group Share Ownership Plan; and
- (f) states prominently that the eligible offer is an offer for participation in a foreign scheme that is subject to the regulation of the Relevant Agency and to the law of France and describes the legal and practical effect (if any) this may have on the rights and ability of an eligible employee domiciled in this jurisdiction to make any claim or enforce any right arising out of or in connection with the eligible offer;

Rules means the rules of the International Group Share Ownership Plan and the rules of the FCPEs as those terms and defined hereabove;

unit means a portion of the FCPE assets, or in relation to a share means a legal or equitable right or interest in the share.

Dated this 28th day of March 2014



Signed by Junghee Ryu
as a delegate of the Australian Securities and Investments Commission



14-0247

ASIC

Australian Securities & Investments Commission

**Australian Securities & Investments Commission
Corporations Act 2001 Section 915B**

Notice of Cancellation of an Australian Financial Services Licence

TO: Active Enhancement Pty Ltd
ACN: 058 066 087 ("The Licensee")
30 Booran Road, Caulfield
VIC 3162

Pursuant to section 915B of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Licence Number 228907 held by the Licensee with effect from the date on which this notice is given to the Licensee.

Dated this 28th day of March 2014

Signed

Joyce Krashow, a delegate of the Australian Securities and Investments Commission



14-0248

ASIC

Australian Securities & Investments Commission

**Australian Securities & Investments Commission
Corporations Act 2001 Section 915B**

Notice of Cancellation of an Australian Financial Services Licence

TO: Abacus Investment Management Pty Ltd
ACN: 100 760 496 ("The Licensee")
248 Pirie Street, Adelaide
SA 5000

Pursuant to section 915B of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Licence Number 225128 held by the Licensee with effect from the date on which this notice is given to the Licensee.

Dated this 28th day of March 2014

Signed

Joyce Krashow, a delegate of the Australian Securities and Investments Commission

14 –0249

**Australian Securities and Investments Commission
Corporations Act 2001 – Subsections 340(1) and 741(1) – Order**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under subsections 340(1) and 741(1) of the *Corporations Act 2001* (the *Act*).

Title

2. This instrument is ASIC Instrument 14-0249.

Commencement

3. This instrument commences on 31 March 2014.

Order

4. ASIC relieves Platinum Australia Limited (Subject to Deed of Company Arrangement) ACN 093 417 942 (the *company*) from Part 2M.3 of the Act for the financial year ended 30 June 2013 and the half financial year ended 31 December 2013 until the earlier of:
 - (a) 30 September 2014 (the *extended deadline*); or
 - (b) the date of termination of the deed of company arrangement (the *extended deadline*).
5. To avoid doubt, if the requirements of that Part have not been complied with by the extended deadline (as applicable), this order has no application from the day after the extended deadline to any continuing obligation under that Part.
6. ASIC modifies section 713 of the Act by inserting a new subsection 7 as follows:

“(7) A body may not rely on this section if:

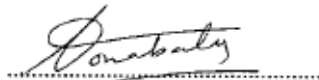
 - (a) the body is relying on an order made under section 340 that relieves the body from compliance with Part 2M.3; or
 - (b) a period of 12 months has not elapsed after the end of the company’s financial year that first occurs after the company ceased relying on such an order.”

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Conditions

7. The company must, as soon as possible, and in any event by 5:00pm WST on 1 April 2014, provide a written notice to ASX Limited ACN 008 624 691 (*ASX*) for release on the Market Announcements Platform of the financial market operated by ASX, which includes a statement describing the need for, and effect of, the relief provided by this order as it applies to the company.
8. The company must maintain arrangements for answering, free of charge, reasonable enquiries from its members about the consequences of the external administration of the company.

Dated this 28 March 2014



Signed by Tashreen Tourabaly
as a delegate of the Australian Securities and Investments Commission

14-0252

**Australian Securities and Investments Commission
Corporations Act 2001 – Paragraphs 655A(1)(b) and 673(1)(b) – Declarations**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraphs 655A(1)(b) and 673(1)(b) of the *Corporations Act 2001 (Act)*.

Title

2. This instrument is ASIC Instrument 14-0252.

Commencement

3. This instrument commences on the date it is signed.

Declaration

4. Chapter 6 of the Act applies to Burson Group Limited ACN 168 402 426 (the *Company*) as if section 609, as notionally varied by Class Order [CO 13/520], were further modified or varied by inserting:

“(14) A body corporate does not have a relevant interest in its own securities merely because under an escrow agreement entered into by the body corporate, the body corporate applies restrictions on the disposal of the securities by the holder.”.

5. Chapter 6C of the Act applies to the Company as if Part 6C.1, as notionally varied by Class Order [CO 13/520], were further modified or varied by inserting:

“671BA Escrow Agreements

For the purposes of section 671B and the definition of *substantial holding* in section 9, a body corporate has a relevant interest in securities if the body corporate would have a relevant interest in the securities but for subsection 609(14).”.

Where this instrument applies

6. This instrument applies to an acquisition of a relevant interest in securities in the Company (*Escrowed Shares*) arising as a result of the entry into one or more escrow agreements (each, an *Escrow Agreement*) between the Company and each Shareholder where each Escrow Agreement:

- (a) is in connection with the Company being admitted to the official list of the financial market operated by ASX Limited ACN 008 624 691;

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- (b) restricts disposal of, but not the exercise of voting rights attaching to, the Escrowed Shares;
- (c) terminates on the date that is no later than 2 years after the date of execution of the relevant Escrow Agreement;
- (d) allows the Shareholder to accept into a takeover bid where:
 - (i) holders of at least half of the bid class securities that are not the subject of an Escrow Agreement to which the offer under the bid relates have accepted; and
 - (ii) the Escrow Agreement requires that the Escrowed Shares be returned to escrow if the bid does not become unconditional;
- (e) allows the Escrowed Shares to be transferred or cancelled as part of an arrangement under Part 5.1 of the Act if the Shareholder agrees in writing that the Holding Lock (as defined in the Escrow Agreement) will be applied if the merger does not take effect; and
- (f) is in substantially the same form provided to ASIC on 27 March 2014.

Interpretation

7. In this instrument:

Shareholder means any of the following persons who hold shares in the Company:

- i. Quadrant Private Equity No. 3C Pty Limited as trustee for Quadrant Private Equity No. 3C;
- ii. Quadrant Private Equity No. 3D Pty Limited as trustee for Quadrant Private Equity No. 3D; and
- iii. QPE No. 3GP Pty Limited as General Partner of the General Partner of Quadrant Private Equity No. 3, LP.

Dated this 28th day of March 2014



Signed by Melissa Liu
as a delegate of the Australian Securities and Investments Commission

14- 0253

**Australian Securities and Investments Commission
Corporations Act 2001 - Section 915B and 915H**

Notice of Cancellation of an Australian Financial Services Licence

TO: TPFL Limited ACN 105 164 047 (in liquidation)
c/- Farnsworth Shepard
Level 5
2 Barrack Street
SYDNEY NSW 2000

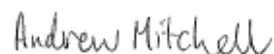
Pursuant to paragraph 915B(3)(b) of the *Corporations Act 2001*, the Australian Securities and Investments Commission (**ASIC**) hereby varies ASIC Instrument 10-0239 as varied by ASIC Instrument 10-0936, ASIC Instrument 12-0400 and ASIC Instrument 13-0382 (the **Instrument**) by deleting Schedule A of the Instrument and substituting Schedule A.

Schedule A

The provision by the Licensee until 30 June 2015 of financial services that are reasonably necessary for or incidental to the winding up of the:

Teys Strata Development Trust ARSN 112 939 509
The Teys Income Builder ARSN 110 052 429
Teys Strata Lifestyle Property Trust ARSN 096 588 108

Dated this 28th day of March 2014



Signed by Andrew Mitchell
as delegate of the Australian Securities and Investments Commission

14-0254

**Australian Securities and Investments Commission
Corporations Act 2001 – Paragraphs 911A(2)(l), 992B(1)(a), 1020F(1)(a) and
1020F(1)(b) – Exemptions**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraphs 911A(2)(l), 992B(1)(a), 1020F(1)(a) and 1020F(1)(b) of the *Corporations Act 2001 (Act)*.

Title

2. This instrument is ASIC Instrument 14-0254.

Commencement

3. This instrument commences on gazettal.

Exemptions

4. The issuer does not have to comply with Part 7.9 of the Act where the issuer:
 - (a) makes an eligible incentive plan offer;
 - (b) offers to arrange for the issue of financial products under an eligible incentive plan offer; or
 - (c) issues a financial product under an eligible incentive plan offer;on the conditions set out in this instrument and for so long as the conditions are met.
5. Where the issuer is exempt from Part 7.9 in relation to an eligible incentive plan offer because of the exemption in paragraph 4, the issuer is also exempt from the requirement to hold an Australian financial services licence for the provision of the following financial services:
 - (a) a financial service consisting of general advice reasonably given in connection with the eligible incentive plan offer (including any general advice given in the offer document) where the issuer ensures that the offer document for the offer includes a statement to the effect that any advice given by the issuer in connection with the offer is general advice only, and that employees should consider obtaining their own financial product advice from an independent person who is licensed by ASIC to give such advice;
 - (b) a custodial or depositary service in connection with an eligible incentive plan offer where the issuer performs their duties in good faith and has sufficient resources to perform those duties;

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- (c) dealing in a financial product in the course of providing a custodial or depositary service covered by paragraph (b);
 - (d) issuing a financial product under an eligible incentive plan offer covered by paragraph 4 of this instrument; and
 - (e) dealing in a financial product in connection with an eligible incentive plan offer where any acquisition by purchase or disposal of the product by the issuer occurs either:
 - (i) through a person who holds an Australian financial services licence authorising the holder to deal in financial products; or
 - (ii) outside this jurisdiction and through a person who is licensed or otherwise authorised to deal in financial products in the relevant place.
6. Where the issuer is exempt from Part 7.9 in relation to an eligible incentive plan offer because of the exemption in paragraph 4, the issuer also does not have to comply with section 992A of the Act in relation to an eligible incentive plan offer made in the course of, or because of, unsolicited meetings or telephone calls reasonably held or made in connection with the offer.
7. ASIC exempts a financial product that is the subject of an eligible incentive plan offer from Part 7.9 of the Act where:
- (a) a recommendation is made by a person (other than the issuer) that a person to whom an eligible incentive plan offer has been made, acquire the financial product as a retail client; and
 - (b) the person who made the recommendation is not aware, and ought not reasonably to be aware, that any of the conditions set out in this instrument have not been met;
- but only in relation to the recommendation by the person.

Where this instrument applies

8. This instrument applies where the issuer:
- (a) meets the requirements (including, for the avoidance of doubt, definitions) of the class order, except the definitions of:
 - (i) “eligible offer” in paragraph 9 of the Interpretation; and
 - (ii) “issuer” in paragraph 12 of the Interpretation; and
 - (b) would meet the requirements of the class order if the definition of an “eligible offer” in paragraph 9 of the Interpretation was to read:

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- “9. “eligible offer” means an offer for issue or sale of performance rights, in relation to fully-paid shares in an issuer, made under an employee share scheme extended only to eligible employees of the issuer;” and
- (c) would meet the requirements of the class order if, in the Interpretation, the following definition was inserted:
- “9A. “employee share scheme”, for a body corporate, means a scheme under which shares (or units of shares or options to acquire unissued shares or performance rights) in the body or a related body corporate may be acquired:
- (a) by, or for the benefit of:
- (i) employees of the body, or of the related body corporate; or
- (ii) directors of the body, or of a related body corporate, who hold a salaried employment or office in the body or in a related body corporate; or
- (b) by a corporation all of whose members are:
- (i) employees of the body, or of a related body corporate; or
- (ii) directors of the body, or of a related body corporate, who hold a salaried employment or office in the body or in a related body corporate;” and
- (d) would meet the requirements of the class order if, in the definition of an “offer document” in paragraph 15 of the Interpretation, subparagraphs (c) and (d) were to read:
- “(c) specifies in respect of the performance rights or the shares to which the performance rights relate:
- (i) the acquisition price in Australian dollars;
- (ii) where the acquisition price is specified in a foreign currency, the Australian dollar equivalent of that price at the date of the eligible offer; or
- (iii) where the acquisition price is to be worked out in the future under a formula, the Australian dollar or Australian dollar equivalent of that price were the formula applied at the date of the eligible offer; and
- (d) includes an undertaking, and an explanation of the way in which, the issuer who has a registered office in this jurisdiction will, during the period in which an eligible employee may acquire the shares, within a reasonable period of the employee requesting, make available to the employee:

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- (i) the current market price (or, where that price is denominated in a foreign currency, the Australian dollar equivalent of that price) of the shares to which the performance rights relate; and
 - (ii) where sub-subparagraph (c)(ii) or (iii) applies, the information referred to in that subparagraph as updated to that date.”; and
- (e) would meet the requirements of the class order if, in the Interpretation, the following definition was inserted:
- “16A. “performance right” means a conditional right to be issued or transferred a fully-paid ordinary share in the capital of the issuer, where the performance right:
- (a) is offered for no more than nominal monetary consideration; and
 - (b) will not vest until shares in the issuer have been quoted on the financial market operated by ASX Limited ACN 008 624 691 for at least 12 months.”.

Conditions

9. The issuer can only rely on the exemptions in this instrument if the issuer complies with the following conditions:
- (a) the conditions of the class order (excluding the condition specified in paragraph 3 of the Schedule to the class order) as expressed to apply to them; and
 - (b) the issuer must take reasonable steps to ensure that the number of shares that may be issued in connection with any eligible incentive plan offer, when aggregated with:
 - (i) the number of shares in the same class which would be issued were every other outstanding offer with respect to shares, units of shares, options to acquire unissued shares and performance rights under every other employee share schemes of the issuer to vest or to be accepted or exercised;
 - (ii) the number of shares in the same class issued during the previous 5 years pursuant to:
 - (A) an eligible incentive plan offer extended only to eligible employees; and
 - (B) any other employee share scheme extended only to eligible employees of the issuer;

but disregarding any offer made, option or right acquired or share issued by way of or as a result of:

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- (iii) an offer to a person situated at the time of receipt of the offer outside this jurisdiction; or
- (iv) an offer that did not need disclosure to investors because of section 708 of the Act; or
- (v) an offer that did not require the giving of a Product Disclosure Statement because of section 1012D of the Act; or
- (vi) an offer made under a disclosure document or Product Disclosure Statement,

must not exceed 5% of the total number of issued shares in that class of the issuer as at the time of the offer.

- (c) where eligible offers are made within the first 3 months of the issuer being admitted to the official list of the Australian Securities Exchange, the issuer must provide, or make available, to eligible employees the prospectus lodged with ASIC on or about 31 March 2014.

Interpretation

In this instrument:

- (a) a word and phrase used in this instrument has the same meaning as it has in the class order unless the word or phrase is defined in paragraph 8 of this instrument in which case the word or phrase has that meaning;
- (b) *class order* means ASIC Class Order [CO 03/184] as in force on the date of this instrument and as amended from time to time by a disallowable legislative instrument within the meaning of the *Legislative Instruments Act 2003*;
- (c) *eligible incentive plan offer* means an offer for the issue or sale of performance rights, made under an arrangement known as the Burson Group Limited Long Term Incentive Plan Rules, the terms of which are substantially in the same form as those provided to ASIC on 26 March 2014.
- (d) *issuer* means Burson Group Limited ACN 168 402 426 and any related body corporate.

Dated this 28th day of March 2014



Signed by Melissa Liu
as a delegate of the Australian Securities and Investments Commission

14-0256

**Australian Securities and Investments Commission
Corporations Act 2001 – Subsection 655A(1) – Declaration**

Enabling legislation

1. The Australian Securities and Investments Commission makes this declaration under subsection 655A(1) of the *Corporations Act 2001* (the *Act*).

Title

2. This instrument is ASIC Instrument 14-0256.

Commencement

3. This instrument commences on 28 March 2014.

Declaration

4. Chapter 6 of the Act applies to Asia Minerals Corporation Limited ACN 146 588 507 (*AMC*) as if items 11 and 12 of the table in subsection 633(1) of the Act were modified or varied by omitting the words “no later than 15 days” and substituting them with “no later than 65 days”.

Where this instrument applies

5. The declaration in paragraph 4 applies where:
 - (a) Brighton Mining Group Limited ACN 140 818 686 (*BTN*) has made an off-market takeover bid for all the ordinary shares in AMC in respect of which a bidder's statement was lodged with ASIC on 4 February 2014; and
 - (b) BTN has made a concurrent off-market takeover bid for all the ordinary shares in Brighton Mining Limited ACN 117 493 160 in respect of which a bidder's statement was lodged with ASIC on 4 February 2014.

Dated this 28th day of March 2014



Signed by Stefan Pfeifle
as a delegate of the Australian Securities and Investments Commission

14-0257

**Australian Securities and Investments Commission
Corporations Act 2001 – Paragraphs 911A(2)(l), 992B(1)(a), 1020F(1)(a) and
1020F(1)(b) – Exemptions**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraphs 911A(2)(l), 992B(1)(a), 1020F(1)(a) and 1020F(1)(b) of the *Corporations Act 2001 (Act)*.

Title

2. This instrument is ASIC Instrument 14-0257.

Commencement

3. This instrument commences on gazettal.

Exemptions

4. The issuer does not have to comply with Part 7.9 of the Act where the issuer:
 - (a) makes an eligible incentive plan offer;
 - (b) offers to arrange for the issue of financial products under an eligible incentive plan offer; or
 - (c) issues a financial product under an eligible incentive plan offer;on the conditions set out in this instrument and for so long as the conditions are met.
5. Where the issuer is exempt from Part 7.9 in relation to an eligible incentive plan offer because of the exemption in paragraph 4, the issuer is also exempt from the requirement to hold an Australian financial services licence for the provision of the following financial services:
 - (a) a financial service consisting of general advice reasonably given in connection with the eligible incentive plan offer (including any general advice given in the offer document) where the issuer ensures that the offer document for the offer includes a statement to the effect that any advice given by the issuer in connection with the offer is general advice only, and that employees should consider obtaining their own financial product advice from an independent person who is licensed by ASIC to give such advice;
 - (b) a custodial or depositary service in connection with an eligible incentive plan offer where the issuer performs their duties in good faith and has sufficient resources to perform those duties;
 - (c) dealing in a financial product in the course of providing a custodial or depositary service covered by paragraph (b);

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- (d) issuing a financial product under an eligible incentive plan offer covered by paragraph 4 of this instrument; and
 - (e) dealing in a financial product in connection with an eligible incentive plan offer where any acquisition by purchase or disposal of the product by the issuer occurs either:
 - (i) through a person who holds an Australian financial services licence authorising the holder to deal in financial products; or
 - (ii) outside this jurisdiction and through a person who is licensed or otherwise authorised to deal in financial products in the relevant place.
6. Where the issuer is exempt from Part 7.9 in relation to an eligible incentive plan offer because of the exemption in paragraph 4, the issuer also does not have to comply with section 992A of the Act in relation to an eligible incentive plan offer made in the course of, or because of, unsolicited meetings or telephone calls reasonably held or made in connection with the offer.
7. ASIC exempts a financial product that is the subject of an eligible incentive plan offer from Part 7.9 of the Act where:
- (a) a recommendation is made by a person (other than the issuer) that a person to whom an eligible incentive plan offer has been made, acquire the financial product as a retail client; and
 - (b) the person who made the recommendation is not aware, and ought not reasonably to be aware, that any of the conditions set out in this instrument have not been met;

but only in relation to the recommendation by the person.

Where this instrument applies

8. This instrument applies where the issuer:
- (a) meets the requirements (including, for the avoidance of doubt, definitions) of the class order, except the definitions of:
 - (i) “eligible offer” in paragraph 9 of the Interpretation; and
 - (ii) “issuer” in paragraph 12 of the Interpretation; and
 - (b) would meet the requirements of the class order if:
 - (i) the definition of an “eligible offer” in paragraph 9 of the Interpretation were to read:

“9. “eligible offer” means an offer for issue or sale of performance rights in relation to fully-paid shares in an issuer in the same class as shares which

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have been quoted on the financial market operated by the New York Stock Exchange throughout the 12 month period immediately before the offer without suspension for more than a total of 2 trading days during that period made under an employee share scheme extended only to eligible employees of the issuer;"; and

(ii) in the Interpretation, the following definition were inserted:

"9A. "employee share scheme", for a body corporate, means a scheme under which shares (or units of shares or options to acquire unissued shares or performance rights) in the body or a related body corporate may be acquired:

(a) by, or for the benefit of:

- (i) employees of the body, or of the related body corporate; or
- (ii) directors of the body, or of a related body corporate, who hold a salaried employment or office in the body or in a related body corporate; or

(b) by a corporation all of whose members are:

- (i) employees of the body, or of a related body corporate; or
- (ii) directors of the body, or of a related body corporate, who hold a salaried employment or office in the body or in a related body corporate;"; and

(iii) in the definition of an "offer document" in paragraph 15 of the Interpretation, subparagraphs (c) and (d) were to read:

"(c) specifies in respect of the performance rights or the shares to which the performance rights relate:

- (i) the acquisition price in Australian dollars;
- (ii) where the acquisition price is specified in a foreign currency, the Australian dollar equivalent of that price at the date of the eligible offer; or
- (iii) where the acquisition price is to be worked out in the future under a formula, the Australian dollar or Australian dollar equivalent of that price were the formula applied at the date of the eligible offer; and

(d) includes an undertaking, and an explanation of the way in which, the issuer who has a registered office in this jurisdiction will, during the

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period in which an eligible employee may acquire the shares, within a reasonable period of the employee requesting, make available to the employee:

- (i) the current market price (or, where that price is denominated in a foreign currency, the Australian dollar equivalent of that price) of the shares to which the performance rights relate; and
 - (ii) where sub-subparagraph (c)(ii) or (iii) applies, the information referred to in that subparagraph as updated to that date.”; and
- (iv) in the Interpretation, the following definition were inserted:

“16A. “performance right” means a conditional right:

- (a) to be issued a fully-paid ordinary share in the capital of the issuer; and
- (b) to receive, equivalent to the value of dividends or distributions paid or payable in respect of a share in the same class as the share to which the right relates, further performance rights,

where the performance right is offered for no more than nominal monetary consideration.”.

Conditions

9. The issuer can only rely on the exemptions in this instrument if the issuer complies with the following conditions:
- (a) the conditions of the class order (excluding the condition specified in paragraph 3 of the Schedule to the class order) as expressed to apply to them; and
 - (b) the issuer must take reasonable steps to ensure that the number of shares that may be issued in connection with any eligible incentive plan offer, when aggregated with:
 - (i) the number of shares in the same class which would be issued were every other outstanding offer with respect to shares, units of shares, options to acquire unissued shares and performance rights under every other employee share schemes of the issuer to vest or to be accepted or exercised;
 - (ii) the number of shares in the same class issued during the previous 5 years pursuant to:
 - (A) an eligible incentive plan offer extended only to eligible employees; and

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- (B) any other employee share scheme extended only to eligible employees of the issuer;

but disregarding any offer made, option or right acquired or share issued by way of or as a result of:

- (iii) an offer to a person situated at the time of receipt of the offer outside this jurisdiction; or
- (iv) an offer that did not need disclosure to investors because of section 708 of the Act; or
- (v) an offer that did not require the giving of a Product Disclosure Statement because of section 1012D of the Act; or
- (vi) an offer made under a disclosure document or Product Disclosure Statement,

must not exceed 5% of the total number of issued shares in that class of the issuer as at the time of the offer.

Interpretation

10. In this instrument:

- (a) a word and phrase used in this instrument has the same meaning as it has in the class order unless the word or phrase is defined in paragraph 8 of this instrument in which case the word or phrase has that meaning;
- (b) *class order* means ASIC Class Order [CO 03/184] as in force on the date of this instrument and as amended from time to time by a disallowable legislative instrument within the meaning of the Legislative Instruments Act 2003;
- (c) *eligible incentive plan offer* means an offer for the issue or sale of performance rights, made under an arrangement known as the Wells Fargo & Company Long-Term Incentive Compensation Plan (under which the performance rights are referred to as restricted share rights), and the Australian offer document and addendum, the terms of which are substantially in the same form as those provided to ASIC on 25 February 2014; and
- (d) *issuer* means Wells Fargo & Company, a company incorporated under the laws of the State of Delaware, United States of America, and any related body corporate.

Dated this 31st day of March 2014



Signed by Melissa Liu
as a delegate of the Australian Securities and Investments Commission

14-0258

Australian Securities and Investments Commission
Corporations Act 2001 – Paragraphs 741(1)(a), 911A(2)(l), 992B(1)(a) and 1020F(1)(a) – Exemptions

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraphs 741(1)(a), 911A(2)(l), 992B(1)(a) and 1020F(1)(a) of the *Corporations Act 2001 (Act)*.

Title

2. This instrument is ASIC Instrument [14-0258].

Commencement

3. This instrument commences on gazettal.

Exemptions

4. The issuer does not have to comply with Parts 6D.2 and 6D.3 (except section 736) of the Act where the issuer:
 - (a) makes an eligible incentive plan offer;
 - (b) offers to arrange for the issue of financial products under an eligible incentive plan offer; or
 - (c) issues a financial product under an eligible incentive plan offer;on the conditions set out in this instrument and for so long as the conditions are met.
5. Where the issuer is exempt from Parts 6D.2 and 6D.3 in relation to an eligible incentive plan offer because of the exemption in paragraph 4, the issuer is also exempt from the requirement to hold an Australian financial services licence for the provision of the following financial services:
 - (a) a financial service consisting of general advice reasonably given in connection with the eligible incentive plan offer (including any general advice given in the offer document) where the issuer ensures that the offer document for the offer includes a statement to the effect that any advice given by the issuer in connection with the offer is general advice only, and that employees should consider obtaining their own financial product advice from an independent person who is licensed by ASIC to give such advice;
 - (b) a custodial or depositary service in connection with an eligible incentive plan offer where the issuer performs their duties in good faith and has sufficient resources to perform those duties;

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- (c) dealing in a financial product in the course of providing a custodial or depositary service covered by paragraph (b);
 - (d) issuing a financial product under an eligible incentive plan offer covered by paragraph 4 of this instrument;
 - (e) dealing in a financial product in connection with an eligible incentive plan offer where any acquisition by purchase or disposal of the product (by the issuer) occurs either:
 - (i) through a person who holds an Australian financial services licence authorising the holder to deal in financial products; or
 - (ii) outside this jurisdiction and through a person who is licensed or otherwise authorised to deal in financial products in the relevant place.
6. Where the issuer is exempt from Parts 6D.2 and 6D.3 in relation to an eligible incentive plan offer because of the exemption in paragraph 4, the issuer also does not have to comply with section 736 of the Act in relation to an eligible incentive plan offer made in the course of, or because of, unsolicited meetings or telephone calls reasonably held or made in connection with the offer.
7. ASIC exempts a financial product that is the subject of an eligible incentive plan offer from Part 7.9 of the Act where:
- (a) a recommendation is made by a person (other than the issuer) that a person to whom an eligible incentive plan offer has been made acquire the financial product as a retail client; and
 - (b) the person who made the recommendation is not aware, and ought not reasonably to be aware, that any of the conditions set out in this instrument have not been met;
- but only in relation to the recommendation by the person.

Where this instrument applies

8. This instrument applies where the issuer:
- (a) meets the requirements (including, for the avoidance of doubt, definitions) of the class order, except the definitions of:
 - (i) "eligible offer" in paragraph 9 of the Interpretation; and
 - (ii) "issuer" in paragraph 12 of the Interpretation; and
 - (iii) "offer document" in paragraph 15 of the Interpretation; and
 - (b) would meet the requirements of the class order if:

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- (i) the definition of an “eligible offer” in paragraph 9 of the Interpretation were to read:

“9. “eligible offer” means an offer for issue or sale of options for the issue or transfer of fully-paid shares in an issuer, where each of the options is offered for no more than nominal consideration and is made under an employee share scheme extended only to eligible employees of the issuer;” and

- (ii) the definition of “offer document” in paragraph 15 of the Interpretation were to read:

“offer document” means a document setting out an offer under an employee share scheme that:

- (a) includes, or is accompanied by a copy, or a summary, of the rules of the Plans under which the offer is made; and
- (b) if a summary (rather than a copy) of the rules is given — includes an undertaking that during the period (the *offer period*) during which an eligible employee may acquire the Shares offered under the Plans, the issuer or a wholly-owned subsidiary of the issuer will, within a reasonable period of the eligible employee so requesting, provide the eligible employee without charge with a copy of the rules; and
- (c) specifies in respect of the issuer’s shares subject to the options:
- (i) the acquisition price in Australian dollars (where the acquisition price is specified in a foreign currency, the Australian dollar equivalent of that price at the date of the offer); and
- (ii) the current fair market value in Australian dollars (where the value is specified in a foreign currency, the Australian dollar equivalent of that value);
- (d) provides a detailed explanation of the process undertaken, and factors considered, by the issuer in determining the fair market value of the issuer’s shares;
- (e) contains all the information that would be required under section 710 if the offer document were a prospectus; and
- (f) contains a copy of the most recent audited financial report of the issuer prepared in accordance with the U.S. Generally Accepted Accounting Principles, including a reconciliation of the material differences in individual line items to Australian International Financial Reporting Standards.”

14-0258

(iii) in the Interpretation, the following definition were inserted:

“9A. “employee share scheme”, for a body corporate, means a scheme under which shares (or units of shares or options to acquire shares) in the body or a related body corporate may be acquired:

(a) by, or for the benefit of:

- (i) employees of the body, or of the related body corporate; or
- (ii) directors of the body, or of a related body corporate, who hold a salaried employment or office in the body or in a related body corporate; or

(b) by a corporation all of whose members are:

- (i) employees of the body, or of a related body corporate; or
- (ii) directors of the body, or of a related body corporate, who hold a salaried employment or office in the body or in a related body corporate;”.

Conditions

9. The issuer can only rely on the exemptions in this instrument if the issuer complies with the following conditions:
- (a) an eligible incentive plan offer made by the issuer must not result in the number of eligible employees participating in the Plan under which the offer is made exceeding 50 eligible employees;
 - (b) when making an eligible incentive plan offer the issuer must:
 - (i) include that offer in an offer document that complies with the definition of “offer document” in paragraph 8(b)(ii) of this instrument; and
 - (ii) take reasonable steps to ensure that any eligible employee to whom the offer is made is given a copy of the offer document; and
 - (iii) provide to ASIC a copy of the offer document (which need not contain details of the offer particular to the employee such as the identity or entitlement of the employee) and of each accompanying document not later than 7 days after the first provision of that material to an eligible employee;

14-0258

- (c) the issuer must comply, or cause a wholly-owned subsidiary of the issuer to comply, with any undertaking required to be made in the offer document by reason of this instrument; and
- (d) the issuer must provide an information memorandum to every eligible employee who has accepted an eligible incentive plan offer on a quarterly basis, and within a reasonable period of time before the date of exercise of an option, which:
 - (i) contains all the information that would be required under section 710 if the document were a prospectus;
 - (ii) specifies the current fair market value of the issuer's shares (where the value is specified in a foreign currency, the Australian dollar equivalent of that value);
 - (iii) the process undertaken, and factors considered, by the issuer in determining the fair market value of the issuer's shares; and
 - (iv) contains a copy of the most recent audited financial report of the issuer prepared in accordance with the U.S. Generally Accepted Accounting Principles.”.
- (e) the issuer must:
 - (i) commission, at least once every financial year, an independent and suitably qualified expert to provide a valuation report valuing shares in the issuer for the purpose of, among other things, assisting the board to determine the fair market value of the issuer's shares for the purpose of making an eligible incentive plan offer; and
 - (ii) take reasonable steps to ensure that any valuation report referred to in paragraph (i) is not more than 6 months old at the time of determining the exercise price of options to be granted to eligible employees under an eligible incentive plan offer.
- (f) the issuer must take reasonable steps to ensure that the number of Class A and Class B shares that may be issued in connection with the exercise of an option issued in accordance with any eligible incentive plan offer, when aggregated with:
 - (i) the number of shares in the same class which would be issued were every other outstanding offer with respect to shares, units of shares, options to acquire unissued shares and performance rights under every other employee share schemes of the issuer to vest or to be accepted or exercised;
 - (ii) the number of shares in the same class issued during the previous 5 years pursuant to:

14-0258

- (A) an eligible incentive plan offer extended only to eligible employees; and
- (B) any other employee share scheme extended only to eligible employees of the issuer;

but disregarding any offer made, option or right acquired or share issued by way of or as a result of:

- (iii) an offer to a person situated at the time of receipt of the offer outside this jurisdiction; or
- (iv) an offer that did not need disclosure to investors because of section 708 of the Act; or
- (v) an offer that did not require the giving of a Product Disclosure Statement because of section 1012D of the Act; or
- (vi) an offer made under a disclosure document or Product Disclosure Statement,

must not exceed 5% of:

- (i) in the case of an offer of Class A Shares, the aggregate of the total number of issued Class A Shares and the total number of issued Class B Shares at the time of the offer; and
- (ii) in the case of an offer of Class B Shares, the aggregate of the total number of issued Class B Shares and the total number of issued Class A Shares at the time of the offer.

Interpretation

10. In this instrument:

- (a) a word and phrase used in this instrument has the same meaning as it has in the class order unless the word or phrase is defined in paragraph 8 of this instrument in which case the word or phrase has that meaning;
- (b) *class order* means ASIC Class Order [CO 03/184] as in force on the date of this instrument and as amended from time to time by a disallowable legislative instrument within the meaning of the Legislative Instruments Act 2003;
- (c) *eligible incentive plan offer* means an offer for the issue or sale of options in relation to fully-paid ordinary shares in the issuer, made under an arrangement known as the Palantir Technologies Inc. Amended 2010 Equity Incentive Plan (under which the options are referred to as Stock Options), the terms of which are substantially in the same form as provided to ASIC on 10 April 2013; and

14-0258

- (d) *issuer* means Palantir Technologies Inc., a company incorporated under the laws of the State of Delaware of the United States of America, and any related body corporate.

Dated this 31st day of March 2014



Signed by Nathania Nero
as a delegate of the Australian Securities and Investments Commission



14 - 0260

ASIC

Australian Securities & Investments Commission

**Australian Securities & Investments Commission
Corporations Act 2001 Section 915B**

Notice of Cancellation of an Australian Financial Services Licence

TO: WSP Financial Services Pty Ltd
ACN 079 487 317 ("the Licensee")
Level 1
197 Adelaide Terrace
EAST PERTH WA 6004

Pursuant to section 915B of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Licence Number 237463 held by the Licensee with effect from the date on which this notice is given to the Licensee.

Dated this 31 March 2014

Signed

Joyce Krashow, a delegate of the Australian Securities and Investments Commission



14-0261

ASIC

Australian Securities & Investments Commission

**Australian Securities & Investments Commission
Corporations Act 2001 Section 915B**

Notice of Cancellation of an Australian Financial Services Licence

TO: Michael James DOUGHERTY
ABN 24 486 748 675 ("the Licensee")
Cnr Queen & Fitzroy Streets
GRAFTON NSW 2460

Pursuant to section 915B of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels AFS Licence Number 247407 held by the Licensee with effect from the date on which this notice is given to the Licensee.

Dated this 31st March 2014

Signed

Joyce Krashow, a delegate of the Australian Securities and Investments Commission



14-0265

ASIC

Australian Securities & Investments Commission

**Australian Securities & Investments Commission
Corporations Act 2001 Section 915B**

Notice of Cancellation of an Australian Financial Services Licence

TO: Capital Mutual Insurance Brokers Pty Ltd
ACN 005 958 467 ("the Licensee")
PO Box 287
NORTH BALWYN VIC 3104

Pursuant to section 915B of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels AFS Licence Number 245378 held by the Licensee with effect from the date on which this notice is given to the Licensee.

Dated this 2 April 2014.

Signed

Joyce Krashow, a delegate of the Australian Securities and Investments Commission

14-0266

**Australian Securities and Investments Commission
Corporations Act 2001 - Paragraph 911A(2)(l)
Exemption**

Pursuant to paragraph 911A(2)(l) of the *Corporations Act 2001 (Act)* the Australian Securities and Investments Commission (ASIC) exempts the entities listed in Schedule A from the requirement to hold an Australian financial services licence for the provision of financial services of the kind referred to in Schedule B in the case set out in Schedule C.

Schedule A

Equiniti Limited
Equiniti Financial Services Limited
(collectively, **Equiniti**)

Schedule B

The provision of the following financial services by Equiniti solely for the purpose of an Exempt Employee Incentive Scheme:

1. providing general financial product advice;
2. the provision of a custodial or depository service in connection with the relevant Exempt Employee Share Scheme where Equiniti performs its duties in good faith and has sufficient resources to perform those duties;
3. dealing in a financial product in the course of providing a custodial or depository service covered by paragraph 2; and
4. dealing in a financial product in connection with an offer under the relevant Exempt Employee Incentive Scheme where any acquisition or disposal of the product occurs either:

through a person who holds an Australian financial services licence authorising the holder to deal in financial products or a dealers licence issued under the old Corporations Act authorising the holder to deal in securities; or

outside this jurisdiction and through a person who is licensed or otherwise authorised to deal in financial products in the relevant place.

Schedule C

At all times the number of employee participants of the Exempt Employee Incentive Scheme who are residents of this jurisdiction must not exceed 5% of the total number of members participating in the scheme.

14-0266

Interpretation

In this instrument:

"Exempt Employee Incentive Scheme" means an employee incentive scheme under which securities or financial products were or are to be issued without disclosure to employees of an issuer under:

- (a) Part 6D.2 of the Act or the giving of a Product Disclosure Statement under Part 7.9 of the Act because the issuer relied or relies on:
 - (i) ASIC Class Order [CO 03/184] or any other class order relief that ASIC grants in relation to employee incentive schemes; or
 - (ii) any other instrument of relief granted by ASIC to the issuer in relation to its employee incentive scheme; or
- (b) Part 6D.2 of the Act because the issuer relied or relies on the exceptions to the obligation to provide a disclosure document under sections 708(1), (8) or (12) of the Act.

Commencement

This instrument takes effect on gazettal.

Dated this 2nd day of April 2014



Signed by Junghee Ryu
as a delegate of the Australian Securities and Investments Commission

14-0267

**Australian Securities and Investments Commission
Corporations Act 2001 – Paragraph 741(1)(b) – Declaration**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraph 741(1)(b) of the *Corporations Act 2001 (Act)*.

Title

2. This instrument is ASIC Instrument 14-0267.

Commencement

3. This instrument commences on 2 April 2014.

Declaration

4. Chapter 6D of the Act applies to iBuy Group Limited ACN 165 522 887 (*iBuy*) as if subsection 9A(4) (as notionally modified by ASIC Class Order [CO 08/35]) of the Act were modified or varied as follows:
 - (a) in paragraph 9A(4)(a) insert “*(first round exempt investors)*” after “some or all persons who are offered securities as an exempt investor”;
 - (b) in paragraph 9A(4)(e), omit “.”, substitute “; and”; and
 - (c) after paragraph 9A(4)(e), insert:
 - “(f) every person who is offered securities as a person who is not a first round exempt investor, but no other person who is offered securities, is entitled to trade rights to be issued with the person’s securities during a period of time ending prior to the time by which the person may accept the offer.”

Where this instrument applies

5. This declaration applies to an offer by iBuy of fully paid ordinary shares in iBuy for issue, to be made on or around 2 April 2014.

Dated this 2nd day of April 2014



Signed by Nathania Nero
as a delegate of the Australian Securities and Investments Commission

14-0268

Australian Securities and Investments Commission
Corporations Act 2001 – Paragraphs 911A(2)(l), 992B(1)(a), 1020F(1)(a) and
1020F(1)(b) – Exemptions

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraphs 911A(2)(l), 992B(1)(a), 1020F(1)(a) and 1020F(1)(b) of the *Corporations Act 2001 (Act)*.

Title

2. This instrument is ASIC Instrument 14-0268.

Commencement

3. This instrument commences on gazettal.

Exemptions

4. The issuer does not have to comply with Part 7.9 of the Act where the issuer:
 - (a) makes an eligible incentive plan offer;
 - (b) offers to arrange for the issue of financial products under an eligible incentive plan offer; or
 - (c) issues a financial product under an eligible incentive plan offer;on the conditions set out in this instrument and for so long as the conditions are met.
5. Where the issuer is exempt from Part 7.9 in relation to an eligible incentive plan offer because of the exemption in paragraph 4, the issuer is also exempt from the requirement to hold an Australian financial services licence for the provision of the following financial services:
 - (a) a financial service consisting of general advice reasonably given in connection with the eligible incentive plan offer (including any general advice given in the offer document) where the issuer ensures that the offer document for the offer includes a statement to the effect that any advice given by the issuer in connection with the offer is general advice only, and that employees should consider obtaining their own financial product advice from an independent person who is licensed by ASIC to give such advice; and
 - (b) issuing a financial product under an eligible incentive plan offer covered by paragraph 4 of this instrument.
6. Where the issuer is exempt from Part 7.9 in relation to an eligible incentive plan offer because of the exemption in paragraph 4, the issuer also does not have to comply with

14-0268

section 992A of the Act in relation to an eligible incentive plan offer made in the course of, or because of, unsolicited meetings or telephone calls reasonably held or made in connection with the offer.

7. ASIC exempts a financial product that is the subject of an eligible incentive plan offer from Part 7.9 of the Act where:
- (a) a recommendation is made by a person (other than the issuer) that a person to whom an eligible incentive plan offer has been made, acquire the financial product as a retail client; and
 - (b) the person who made the recommendation is not aware, and ought not reasonably to be aware, that any of the conditions set out in this instrument have not been met;

but only in relation to the recommendation by the person.

Where this instrument applies

8. This instrument applies where the issuer:
- (a) meets the requirements (including, for the avoidance of doubt, definitions) of the class order, except the definitions of:
 - (i) “eligible offer” in paragraph 9 of the Interpretation; and
 - (ii) “issuer” in paragraph 12 of the Interpretation; and
 - (iii) “offer document” in paragraph 15 of the Interpretation; and
 - (b) would meet the requirements of the class order if:
 - (i) the definition of an “eligible offer” in paragraph 9 of the Interpretation were to read:

“9. “eligible offer” means an offer for issue or grant of a cash-settled award under an employee share scheme where:

 - (a) the offer or grant is extended only to eligible employees;
 - (b) no monetary consideration is paid or payable by an eligible employee to acquire the cash-settled award; and
 - (c) the amount of the payment that may be made under the cash-settled award is wholly referable to the market value on a given day of fully-paid shares in an issuer in the same class as shares which have been quoted on the financial market operated by the New York Stock Exchange throughout the 12 month period immediately before the offer without suspension for more than a total of 2 trading days during that period;”;

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- (ii) in the Interpretation, the following definition were inserted:
- “9A. “employee share scheme”, for a body corporate, means a scheme under which shares (or units of shares or options to acquire unissued shares) in the body or a related body corporate or a cash-settled award may be acquired:
- (a) by, or for the benefit of:
- (i) employees of the body, or of the related body corporate; or
 - (ii) directors of the body, or of a related body corporate, who hold a salaried employment or office in the body or in a related body corporate; or
- (b) by a corporation all of whose members are:
- (i) employees of the body, or of a related body corporate; or
 - (ii) directors of the body, or of a related body corporate, who hold a salaried employment or office in the body or in a related body corporate;” and
- (iii) in the definition of an “offer document” in paragraph 15 of the Interpretation, subparagraphs (c) and (d) were to read:
- “(c) specifies how any cash amount payable by an issuer under the proposed terms of the cash-settled award will be calculated; and
- (d) includes an undertaking, and an explanation of the way in which, the issuer who has a registered office in this jurisdiction will, during the period until the vesting of the cash-settled award, within a reasonable period of the employee requesting, make available to the employee the current market price (or where that price is denominated in a foreign currency, the Australian dollar equivalent of that price) of the shares to which the cash-settled award relates;” and
- (iv) in the Interpretation, the following definition were inserted:
- “5A. “cash-settled award” means a conditional right to receive a cash amount equivalent to the value of a fully-paid ordinary share in the capital of the issuer where the cash-settled award is offered for no monetary consideration”.

14-0268

Conditions

9. The issuer can only rely on the exemptions in this instrument if the issuer complies with the conditions of the class order (excluding the condition specified in paragraphs 3 and 4 of the Schedule to the class order) as expressed to apply to them.

Interpretation

10. In this instrument:

- (a) a word and phrase used in this instrument has the same meaning as it has in the class order unless the word or phrase is defined in paragraph 8 of this instrument in which case the word or phrase has that meaning;
- (b) *class order* means ASIC Class Order [CO 03/184] as in force on the date of this instrument and as amended from time to time by a disallowable legislative instrument within the meaning of the Legislative Instruments Act 2003;
- (c) *eligible incentive plan offer* means an offer for the issue or grant of cash-settled awards made under an arrangement known as The Boeing Company 2003 Incentive Stock Plan, as amended and restated effective February 21, 2011 (under which the cash-settled awards are referred to as restricted stock units), and the Australian Offer Document, Employee Information Supplement (Tax), International Notice of Terms and the US Prospectus for the 2003 Plan, the terms of which are substantially in the same form as those provided to ASIC on 12 February 2014; and
- (d) *issuer* means The Boeing Company, a company incorporated under the laws of the State of Delaware in the United States of America and any related body corporate.

Dated this 2nd day of April 2014



Signed by Megan Dillon
as a delegate of the Australian Securities and Investments Commission

14 - 0271

NOTICE UNDER SECTION 920E OF THE CORPORATIONS ACT 2001

Notice is hereby given under section 920E of the Corporations Act 2001 that the Australian Securities and Investments Commission has made an order, a copy of which is set out below, which order took effect on the date of service of the order on the person to whom it relates, being 1 April 2014.

AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION**IN THE MATTER OF JADE ZAICEW****SECTIONS 920A AND 920B OF THE CORPORATIONS ACT 2001**

To: Mr Jade Zaicew

**ORDER UNDER SECTIONS 920A AND 920B OF THE
CORPORATIONS ACT 2001**

TAKE NOTICE that under paragraph 920A(1)(e) and section 920B of the Corporations Act 2001 the Australian Securities and Investments Commission prohibits Jade Zaicew from providing any financial services for a period of seven years.

Dated this 17th day of March 2014.

Signed: 
Graeme Darcy Plath
Delegate of the Australian Securities and
Investments Commission

Your attention is drawn to sections 920C and 1311 of the Corporations Act 2001 that provide that a person commits an offence if they engage in conduct that breaches a banning order that has been made against them (Penalty \$2,750 or imprisonment for 6 months or both).

14-0272

**Australian Securities and Investments Commission
Corporations Act 2001 – Subsections 340(1) and 741(1) – Repeal**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under subsections 340(1) and 741(1) of the *Corporations Act 2001*.

Title

2. This instrument is ASIC Instrument 14-0272.

Commencement

3. This instrument commences on 3 April 2014.

Repeal

4. ASIC Instrument 14-0249 is repealed.

Dated this 3rd day of April 2014



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Signed by Tashreen Tourabaly
as a delegate of the Australian Securities and Investments Commission

14-0274

**Australian Securities and Investments Commission
Corporations Act 2001 – Subsection 741(1) – Declaration**

Enabling legislation

1. The Australian Securities and Investments Commission makes this instrument under subsection 741(1) of the *Corporations Act 2001* (the *Act*).

Title

2. This instrument is ASIC Instrument 14-0274.

Commencement

3. This instrument commences on 3 April 2014.

Declaration

4. Chapter 6D of the Act applies to Platinum Australia Limited (Subject to Deed of Company Arrangement) ACN 093 417 942 as if section 713 of the Act were modified or varied by, after subsection (6), inserting:

“(7) A body may not rely on this section if:

- (a) the body is relying on an order made under section 340 that relieves the body from compliance with Part 2M.3; or
- (b) a period of 12 months has not elapsed after the end of the body’s financial year that first occurs after the body ceased relying on such an order.”.

Dated this 3rd day of April 2014



Signed by Tashreen Tourabaly
as a delegate of the Australian Securities and Investments Commission

14-0275

AUSTRALIAN SECURITIES & INVESTMENTS COMMISSION

IN THE MATTER OF DAVID GRANT ST PIERRE

BANNING ORDER UNDER SECTIONS 920A AND 920B
OF THE CORPORATIONS ACT 2001

To: David Grant St Pierre

TAKE NOTICE that under sections 920A(1) and 920B(2) of the Corporations Act 2001 the Australian Securities & Investments Commission prohibits **DAVID GRANT ST PIERRE** from providing any financial services permanently.

Dated this 28th day of February 2014.

Signed: 
Kate Dluzniak
Delegate of the Australian Securities &
Investments Commission

Your attention is drawn to subsection 920C(2) of the Corporations Act 2001 which provides that a person must not engage in conduct which breaches a banning order that has been made against the person. Contravention of subsection 920C(2) is an offence.

CORPORATIONS ACT 2001
SECTION 601AH(1)& 601AH(2)

Notice is hereby given that the registration of
the companies mentioned below have been reinstated.

Dated this second day of April 2014

Rosanne Bell
DELEGATE OF
THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Name of Company	ACN
A.S. COMMERCIAL BUILDERS PTY. LTD.	139 339 923
A & K STEWART PTY LTD	137 810 452
A & M DENHAM PTY LIMITED	142 586 687
ABIJAH INVESTMENTS PTY LTD	145 185 226
ACN 126953526 PTY LTD	126 953 526
ADALARD NOMINEES PTY. LTD.	007 198 629
ADF DESIGN & BUILDING CONSULTANTS PTY. LTD.	066 385 564
ADTC CIVIL EARTHMOVING PTY. LTD.	142 000 182
ADVIK PTY. LTD.	145 691 961
AINSLEIGH NOMINEES PTY LIMITED	054 635 782
AIRBLAST TECHNOLOGY PTY LTD	009 241 990
AIR RTP PTY. LTD.	150 764 051
AKS ROOFING PTY LTD	107 085 852
ALL ABOUT FASCIA & GUTTER PTY. LTD.	121 352 145
ALL LIFE PTY LTD	134 003 795
ALLSPORTS NATURAL HEALING CLINIC PTY LTD	129 342 034
ALPHA BUSINESS CENTRE PTY LTD	149 302 965
ALPHA TECHNOLOGY SOLUTIONS PTY LIMITED	099 725 096
APLUS PTY LTD	003 190 190
ARB & BJ STUART INVESTMENTS PTY. LTD.	005 115 168
ARENA SPORTS AND ENTERTAINMENT PTY LIMITED	121 451 009
ASTRILEX PTY LTD	143 772 329
AUSTUTE PTY. LIMITED	126 340 832
BARCOO FURNITURE PTY LTD	147 957 686
BATO CAPITAL PTY LIMITED	145 998 278
BAUER INVESTMENTS PTY LTD	010 865 068
BCFM GROUP PTY. LTD.	096 015 977

Name of Company	ACN
BDH SUPER PTY LTD	153 501 592
BENNETT CLAYTON PTY LTD	131 702 522
BERWICK INDUSTRIES AUSTRALIA PTY. LTD.	006 204 075
BETTIL PTY LTD	139 619 462
BONNEY FARMING PTY LTD	111 937 896
BOSS SHADE PTY LTD	115 280 272
BRIAN HAYTER HOLDINGS PTY LTD	104 918 774
BROCKO HOLDINGS PTY LTD	129 717 193
BSF CONSTRUCTIONS PTY LIMITED	104 878 659
BUILT4U CONSTRUCTIONS PTY LTD	152 981 890
BULLWINKLE TRADING CO. PTY LTD	077 394 033
CABOOLTURE PROPERTY MANAGEMENT PTY. LTD.	082 581 860
CAMBRIDGE CONSULTING PTY LTD	134 052 216
CASTLE CONSTRUCTIONS (QLD) PTY LTD	127 468 580
CHAPIMO PTY LTD	060 867 941
CHATEAU BOYER PTY LTD	082 733 622
CIVISTRUCT PTY LTD	116 627 831
CM2 PTY LTD	113 606 689
CNNB PTY LTD	150 327 227
COMMERCIAL CONCRETE CONSTRUCTIONS PTY LTD	109 840 235
COMPACTOR HIRE (TOWNSVILLE) PTY LTD	077 355 447
CONQUAL PTY LTD	121 704 069
CONTRACT MANAGEMENT SERVICES PTY LTD	152 853 364
COOL CHANGE ENVIRONMENTAL SOLUTIONS PTY LTD	136 425 799
COPAL BREWERY PTY LTD	140 226 964
CORPORATE REALTY PTY LTD	150 165 174
CRAYONS INTERNATIONAL PTY LTD	149 987 422
D & E MINING PTY LTD	113 261 064
D & V TRADING PTY LTD	097 730 606
DAVID FRANCIS DENTON PTY LTD	132 172 966
DAVIDSON & BEAUMONT PTY. LTD.	127 850 079
DENTAL WELLNESS PTY LTD	082 835 407
DENTLIN FACILITIES PTY LTD	002 241 527
DESIGN 250 PROPRIETARY LIMITED	004 680 684
DESIRE NAILS & BEAUTY PTY LTD	131 105 676
DIAMOND AUDIO VISUAL PTY LTD	151 337 638
DL GRAY & SONS NOMINEES PTY LTD	130 562 891
DOCTOR TIPPER PTY LTD	127 396 258

Name of Company	ACN
DOME SUPER PTY LTD	152 829 804
DOUGLAS HOMES PTY. LTD.	065 473 038
DOWELL INDUSTRIES (AUST) LTD.	004 355 499
DS LET PTY LTD	082 481 392
DSMG SUPER PTY LTD	146 060 764
EARLY LEARNING PTY LTD	135 434 730
EGMONT SYSTEMS PTY LTD	006 986 483
ELIE TRANSPORT PTY LTD	151 334 646
ENDSVILLE SERVICES PTY LTD	143 452 742
ENWORB PTY LIMITED	145 113 435
ERB INTERNATIONAL PTY LTD	088 005 538
ETO PTY LTD	003 267 883
EVANTA NOMINEES PTY LTD	126 197 742
EX-FILES DOCUMENT SECURITY PTY LTD	149 919 764
EXCAVATORS & CO PTY LTD	114 819 760
FENCEWORKS (AUST) PTY LTD	082 172 825
FIBRES BAYSWATER LIMITED	004 305 702
FLARGOHF PTY. LTD.	122 929 757
FLETCHER CHEMICAL COMPANY LIMITED	004 213 914
FUSION FASHION AGENCIES PTY LTD	136 545 429
GERBIL PTY LTD	101 248 908
G KAKAZANIS (NOMINEES) PTY LTD	152 405 671
GOLDEN PALMS WATER PTY LTD	119 060 285
GOODMANN PTY LTD	132 625 944
GRAYS LEGAL PTY LTD	145 061 098
GREENWOOD FUTURES PTY LTD	150 215 731
GUALCHOS INVESTMENTS PTY LIMITED	100 331 815
HANYUN PTY LTD	142 741 900
HAPPYCOCO PTY LTD	130 252 265
HARVEY LOGISTICS PTY. LTD.	093 475 015
HAWKESBURY PLANT HIRE PTY LTD	124 675 261
HERITAGE PLUMBING SERVICE PTY. LTD.	005 500 381
HOUSE & LAND MARKETING PTY LTD	139 412 990
HYDRO PLUMBING PTY LTD	127 389 048
IHIRE (AUST) PTY LTD	127 399 731
IMIJ DISTRIBUTION PTY. LTD.	153 123 034
INDEPENDENT SCAFFOLDS SOLUTIONS PTY LTD	117 859 775
INSPECTION CORP PTY LTD	146 752 310

Name of Company	ACN
J. AND M. THOMSON INVESTMENTS PTY. LIMITED	050 040 867
J.J. RICHARDS PTY. LTD.	009 814 402
J.W. HOSPITALITY PTY LTD	113 575 634
JAIELA PTY LTD	151 604 152
JIA SUN PAINTING PTY LTD	136 589 672
J L GREEN CONTRACTORS PTY LTD	110 713 409
JOETA PTY LTD	121 396 129
JOHN HIGGINS & ASSOCIATES PTY LTD	003 172 610
JONATHAN PEARCE PTY LTD	137 538 802
JUMPABOUT EVENT & PARTY HIRE PTY LIMITED	126 194 223
KARETT NOMINEES PTY LTD	084 193 671
KASTAKILY PTY LTD	071 012 970
KAYO FUMIGATION PTY LTD	138 645 593
KEVEN DICKENSON CONSULTING PTY LTD	134 885 626
KILL YOUR DARLINGS PTY LTD	139 044 983
KINGITANGA INVESTMENTS PTY LIMITED	134 036 669
KINGSLIFE INVESTMENTS PTY LTD	097 708 006
K LINE INTERIORS NSW PTY LTD	151 593 449
LADDERS LITTLE HELPER PTY LTD	136 907 269
LAF TECHNOLOGIES QLD PTY. LTD.	130 639 762
LAING (PROPERTIES) PTY LTD	078 918 046
LARAGILL PTY LTD	146 291 821
LASER PROFILES AUSTRALIA PTY LTD	009 328 689
LAWLEY PARK INVESTMENTS PTY. LIMITED	003 629 838
LEEBAK DESIGN PTY. LTD.	140 028 413
LEVERTON DALE PTY. LTD.	081 017 209
LIOREN PTY LTD	147 296 839
LOVELY PTY LIMITED	114 377 150
M.A.K.S.T PTY. LTD.	101 081 985
M & M SHEPHERD PTY LTD	097 612 434
MAGIC CITY CAMBERWELL PTY. LTD.	139 863 139
MAL CORPORATION PTY LTD	141 511 471
MANLY HARBOUR DEVELOPMENTS PTY LTD	121 551 880
MANY SQUARES PTY LTD	101 350 029
MARBA GROUP PTY LTD	109 946 205
MASU PTY LTD	078 920 760
M BILLING PTY LTD	132 838 101
MERCIER ROUSE STREET PTY LTD	114 623 675

Name of Company	ACN
MFT INVESTMENT GROUP PTY LTD	134 316 126
MIKAT INVESTMENTS PTY LTD	116 348 371
MILLIONAIRES IN WAITING PTY LTD	143 745 957
MITCHKAYLA PTY LTD	113 671 293
MJ CHAPLIN TRANSPORT PTY LTD	141 953 899
MK HOLDINGS (NSW) PTY LTD	139 357 930
MOONGALONG PTY LTD	151 765 329
MULTIRACK AUSTRALIA PTY. LTD.	145 397 959
MYSTART PTY LTD	127 126 238
NADER-ONE PTY. LIMITED	058 659 724
NEO NETWORKS PTY LTD	101 323 960
NIBLA NO.2 PTY LIMITED	131 697 106
NINETY-FIRST PLATOON PTY. LTD.	006 794 467
NOURISH BRANDS PTY LTD	138 721 990
NO 1 FOOD BUILDING MANAGEMENT PTY. LTD.	136 426 303
NRG ENGINEERING PTY LTD	130 919 685
NUGGET POWER CONTRACTORS PTY LTD	141 908 536
O & S GROUP PTY. LTD.	141 329 375
ORTHEL ENTERPRISES PTY LTD	146 672 077
OUTBACK GRADER HIRE PTY LTD	143 208 173
OWUSU CONSULTING PTY LTD	128 263 641
OZCAN TRANSPORT PTY LTD	132 574 808
P.A. MEAGHER PTY LTD	009 032 955
PACIFIC MOBILE PHONES PTY LTD	080 259 730
PAUL BASSETT PTY LTD	107 718 212
PECO WELDING SERVICES PTY. LIMITED	082 577 660
PHONE AUSTRALIA PTY. LTD.	050 400 541
PJ & SL MITCHELL FAMILY HOLDINGS PTY LTD	116 376 240
PLASTEX CORPORATION PTY. LTD.	004 856 946
PODARGUSVET PTY LTD	151 656 227
PSC INFO ARRIS PTY. LTD.	105 195 159
PUMPKINHEAD PROJECTS PTY LTD	137 055 308
QUALITY ESTATE DISTRIBUTORS NSW PTY LTD	137 763 574
QUIVOTT INDUSTRIES PTY LTD	142 451 867
RABIE SUPERFUND PTY LTD	096 063 722
RANGA UPGRADE PTY LTD	136 949 178
RESORT VILLAGE PTY LTD	120 485 298
RESOURCE BANQ GROUP PTY LTD	138 783 712

Name of Company	ACN
RESTYLE INNOVATIONS PTY LTD	152 542 482
R G R PAINTING SERVICES PTY LTD	153 702 615
ROBRUS PTY. LIMITED	060 193 455
ROGERS COFFEE PTY LTD	137 121 218
RUSJAN INVESTMENTS PTY LTD	151 130 657
RUSSELL I ASHDOWN PTY LIMITED	003 644 728
S.A.COURIERS PTY LTD	121 054 608
S & S HOLDINGS (AUSTRALIA) PTY LTD	138 177 429
SATERA ENGINEERING PTY. LTD.	050 278 218
SAYWELL GROUP PTY LTD	050 539 485
SEQ DEVELOPMENTS NO 7 PTY LTD	127 480 700
SG REAL ESTATE PTY LTD	152 722 051
SHORLAND DEVELOPMENTS (SA) PTY LTD	130 396 066
SIGN DOMINANCE PTY LTD	145 541 199
SINCLAIR INTERIOR LININGS PTY LTD	118 704 804
SKIDMORE PROPERTIES PTY LTD	133 444 390
SM ENTERPRISES PTY LTD	099 597 163
SOLEMON PTY LTD	153 463 079
SSMB PTY LIMITED	140 974 278
STALNOST PTY LTD	135 140 288
STANZIE PTY LTD	152 594 173
STORAGE INDEX PTY LTD	116 639 895
SURFACE TREATMENT (S.A.) PROPRIETARY LIMITED	007 566 958
SYDNEY SOIL EXCHANGE AUSTRALIA PTY LTD	153 243 068
SYS WARRAWONG PTY LTD	132 150 022
TACO 8 PTY. LTD.	132 316 682
TALKALOT PTY LTD	106 513 599
TASKGROVE PTY LTD	061 238 391
TEACHERS CHOICE PTY LTD	146 409 412
TERIBEE PASTORAL CO PTY LTD	092 969 769
THAI EXPRESS TASMANIA PTY LTD	130 808 936
THE MEDIA SHOP PTY LTD	127 644 231
THE RT GROUP PTY LTD	097 247 633
THE SEO COMPANY PTY LTD	153 335 472
THE VENUE OPERATIONS EXPERTS (THE VOX) PTY LTD	151 761 812
THE WILLIAM HAROLD COVINGTON ESTATE MANAGEMENT PTY LIMITED	010 892 583
THIRD CHAPTER PTY LTD	133 252 267

Name of Company	ACN
THREE CORD PTY LTD	116 339 292
TOBSTER INVESTMENTS PTY LTD	009 345 313
TOK NEWPORT PTY LTD	145 446 260
TOMMY DOUGLAS PROPERTIES PTY. LTD.	128 550 765
TOP PROPERTY REAL ESTATE PTY LTD	105 794 563
TOTAL TRANSPORT W.A. PTY LTD	138 697 042
TOV INVESTMENTS PTY LTD	000 299 089
TP & CF MCPHEE PTY LTD	076 371 983
TTV NGUYEN INVESTMENTS PTY LTD	121 767 324
UNITED SALVAGE AND DIVING SERVICES PTY LIMITED	089 102 358
UPPER SUTTON INVESTMENTS PTY. LTD.	152 616 567
VANILLA MERCHANDISING PTY LIMITED	115 800 176
VAV INTERNATIONAL PTY LTD	114 518 419
VDT INVESTMENTS PTY LTD	133 242 930
VERDUN DEVELOPMENTS PTY LTD	102 577 686
VICTORIA GROUP (AUS) PTY LTD	153 001 579
VMJ PROPERTIES PTY LTD	113 584 320
VOOTOOM PTY LTD	127 517 275
W. H. JAMES PTY. LTD.	010 059 999
WALROBIN PTY. LIMITED	010 458 849
WETHERILL PARK MARKET TOWN PTY LTD	080 097 963
WHARF STREET MEDICAL AND WELLNESS CENTRE PTY LTD	149 436 555
WHITE WAX PTY. LTD.	138 490 543
WISTERIA (TAS) PTY LTD	145 944 672
YAH SUS PTY LTD	121 211 461
YOOHOO MEDIA SOLUTIONS PTY. LTD.	127 302 103
YOUSIF TRAUMA & MEDICAL SERVICES PTY LTD	147 758 049

CORPORATIONS ACT 2001

Subsection 601PB(2)

ASIC may deregister the managed investment schemes listed below two months after the publication of this notice, unless given acceptable reason not to proceed.

Dated this fourth day of April 2014

Rosanne Bell

DELEGATE OF

THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Name of Scheme

ARSN

GLOBAL ALPHA FUND

109 123 168

GLOBAL ALPHA FUND IDPS

111 020 752

HUNTER HALL GLOBAL EQUITIES TRUST - HEDGED

148 948 565

CORPORATIONS ACT 2001

Section 601CL(4)

ASIC will strike the foreign companies listed below off the register three months after the publication of this notice, unless given acceptable reason not to proceed.

Dated this fourth day of April 2014

Rosanne Bell

DELEGATE OF

THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Name of Company

ARBN

CAPITOL INDUSTRIES LIMITED

151 049 508

RIVER ROAD ASSET MANAGEMENT, LLC

132 780 404

SOLIUM CAPITAL INC.

161 188 325

CORPORATIONS ACT 2001

Section 601CL(5)

ASIC has struck the foreign companies listed below off the register.

Dated this fourth day of April 2014

Rosanne Bell

DELEGATE OF

THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Name of Company	ARBN
AAA 01 CENTER WS DS LIMITED	138 825 457
APITI OIL AND GAS EXPLORATION LIMITED	104 584 956
BALDWINS INTELLECTUAL PROPERTY LIMITED	112 258 205
BURMESTER HOLDINGS LIMITED	151 630 474
CONNECTION TECHNOLOGIES LIMITED	135 776 519
HOMEPORT TWO LIMITED	120 730 458
ITBC LIMITED	137 077 555
MACGEAR LIMITED	147 542 925
MAGGIE POTTER (AUSTRALIA) LIMITED	088 710 785
MCG ENERGY LIMITED	146 074 991
NATIONAL PERSONNEL AUSTRALIA PTY LIMITED	152 812 372
NCP PREMIER LENDING, LLC	136 714 246
NEW ZEALAND ORGANIC ICE CREAM LIMITED	149 761 606
NP OIL & GAS HOLDINGS LIMITED	163 009 569
NZ AERIAL MAPPING LIMITED	137 211 137
PROQUEST LLC	127 866 951
SOUTH PACIFIC LENDING, LLC	136 581 667
STRATEGIC NOMINEES AUSTRALIA LIMITED	105 870 022
THE VERA MANDENO COMPANY LIMITED	112 421 351
TIGER ENERGY SERVICES NZ LIMITED	141 607 034
TIGER NETWORKS LIMITED	132 448 545
TOMIZONE LIMITED	129 637 332
WAVE IMAGES LIMITED	147 807 396
WHOLE HEALTH INTERNATIONAL LIMITED	148 958 669

Corporations Act 2001
Subsection 164(3)

Notice is hereby given that ASIC will alter the registration details of the following companies 1 month after the publication of this notice, unless an order by a court or Administrative Appeals Tribunal prevents it from doing so.

A.C.N. 143 320 834 LIMITED ACN 143 320 834 will change to a proprietary company limited by shares. The new name will be A.C.N. 143 320 834 PTY LTD ACN 143 320 834.

CAMBRIA PROPERTIES LIMITED
ACN 118 976 819 will change to a proprietary company limited by shares. The new name will be CAMBRIA PROPERTIES PTY LTD
ACN 118 976 819.

EXPRESS MORTGAGE AUSTRALIA LIMITED
ACN 161 910 694 will change to a proprietary company limited by shares. The new name will be EXPRESS MORTGAGE AUSTRALIA PTY LTD
ACN 161 910 694.

RED KITE NOMINEES PTY LTD
ACN 164 952 103 will change to a public company limited by shares. The new name will be JEDCART LIMITED ACN 164 952 103.

AUSTRALIAN UNITY INVESTMENT BONDS LIMITED ACN 087 649 072 will change to a proprietary company limited by shares. The new name will be AUSTRALIAN UNITY INVESTMENT BONDS PTY LTD ACN 087 649 072.

CAPITAL PROPERTY FUNDS LIMITED
ACN 162 323 506 will change to a proprietary company limited by shares. The new name will be CAPITAL PROPERTY FUNDS PTY LIMITED
ACN 162 323 506.

HOSSAINI SOCIETY OF VICTORIA PTY LTD
ACN 166 573 744 will change to a public company limited by shares. The new name will be HOSSAINI SOCIETY OF VICTORIA LIMITED
ACN 166 573 744.

STRATEGIC DEVELOPMENT FUND LIMITED
ACN 118 437 960 will change to a proprietary company limited by shares. The new name will be STRATEGIC DEVELOPMENT FUND PTY LTD
ACN 118 437 960.