



**ASIC**

Australian Securities &  
Investments Commission

Commonwealth of Australia Gazette

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# ASIC Gazette

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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](http://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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16-0998

## NOTICE UNDER SECTION 920E OF THE CORPORATIONS ACT 2001

Notice is given under section 920E of the *Corporations Act 2001* that the Australian Securities and Investments Commission has made a banning order in the terms set out below, which order took effect on 4 October 2016.

## AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

## IN THE MATTER OF TROY ANDREW RODNEY WILLIAMS

SECTIONS 920A AND 920B  
OF THE CORPORATIONS ACT 2001

To: Mr Troy Andrew Rodney Williams

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

**TAKE NOTICE** that under sections 920A(1) and 920B(2) of the *Corporations Act 2001* the Australian Securities and Investments Commission prohibits **TROY ANDREW RODNEY WILLIAMS** from providing any financial services permanently.

Dated this 30<sup>th</sup> day of September 2016

Signed: ..... 

Christine Croft  
Delegate of the Australian Securities and 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.

16-1000

**Australian Securities and Investments Commission  
Corporations Act 2001 - Subsection 111AT(1) - Exemption**

**Enabling legislation**

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under subsection 111AT(1) of the *Corporations Act 2001* (the *Act*).

**Title**

2. This exemption is ASIC Instrument [16-1000].

**Commencement**

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

**Exemption**

4. Cherry Fund Limited (Receivers and Managers Appointed) ACN 106 274 631 (the *Company*) does not have to comply with any of the following obligations under Part 2M.3 of the Act as it applies to disclosing entities:
  - (a) report to members of the Company under section 314 within the time required by section 315;
  - (b) send reports to a member of the Company in accordance with a request under subsection 316(1) within the time required by subsection 316(2);
  - (c) lodge reports with ASIC under subsection 319(1) within the time required by subsection 319(3);
  - (d) lodge half-year reports with ASIC under subsection 320(1) within the time required by that subsection;

in relation to a financial year or half-year of the Company ending during the deferral period.

This paragraph applies until the last day of the deferral period.

**Conditions**

5. The Company:
  - (a) must comply with any obligation to which paragraph 4 applies by no later than the last day of the deferral period;

## 16-1000

- (b) must arrange for a notice explaining the relief granted by this instrument to be published in a place that is readily accessible on a website maintained by the External Administrator or any external administrator appointed after the External Administrator; and
  - (c) must have adequate arrangements in place to answer, within a reasonable period of time and without charge, any reasonable questions asked by a member of the Company about the external administration.
6. The Company need not comply with the condition specified in subparagraph 5(a) (other than an obligation referred to in paragraph 4(c) or 4(d)) if, by no later than the last day of the deferral period, the Company arranges for a prescribed notice to be published in a place that is readily accessible on a website maintained by the External Administrator or any external administrator appointed after the External Administrator:
7. This exemption will cease to apply in relation to a half-year or a financial year of the Company from the date of any failure to comply with a condition in paragraph 5 in relation to the half-year or the financial year.

**Interpretation:**

In this instrument:

*deferral period* means the period starting on the date of this instrument and ending on whichever is the earlier of:

- (a) 30 October 2018; or
- (b) the date that the Company ceases to be under external administration.

*external administration* means where an external administrator has been appointed to the Company.

*external administrator* means:

- (a) an administrator of the Company appointed under s436A, 436B or 436C of the Act;
- (b) where the Company has executed a deed of company arrangement that has not yet terminated, the administrator of the deed appointed under Part 5.3A of the Act;
- (c) a provisional liquidator of the Company; or
- (d) a managing controller appointed in relation to property of the Company.

*External Administration* means the receivership and management of the Company by Anthony Gregory McGrath, Joseph David Hayes, Matthew Wayne Caddy and Robert Michael Kirman of McGrathNicol as joint and several receivers and managers of the Company appointed on 30 October 2012.

16-1000

**prescribed notice** means a notice that contains statements to the following effect:

- (a) the reports for the relevant financial year of the Company have been lodged with ASIC;
- (b) the Company will send copies of the reports to a member of the Company free of charge if the member asks for the reports in writing; and
- (c) the reports are available for download on the relevant website together with a hypertext link to the reports.

Dated: 12 October 2016



Signed by Pamela Smith  
as a delegate of the Australian Securities and Investments Commission



ASIC

Australian Securities &amp; Investments Commission

16-1002

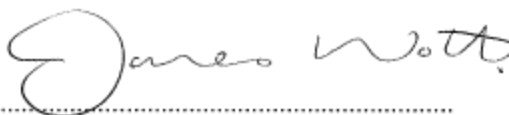
**Australian Securities and Investments Commission  
Corporations Act 2001 Section 915B**

**Notice of Cancellation of an Australian Financial Services Licence**

TO: Mr. Paul Peter Ferla  
ABN 86 434 332 720 ("the Licensee")  
Offices 209-210  
20 Convention Centre Place  
South Wharf Vic 3006

Pursuant to paragraph 915B(1)(e) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 229698 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 11 October 2016

Signed 

James Nott  
A delegate of the Australian Securities and Investments Commission

16-1007

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

**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 16-1007.

**Commencement**

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

**Exemption**

4. Harmony Australia Limited ACN 604 342 823 (*Responsible Entity*) as responsible entity of Harmony Australia Retail Trust ARSN 614 027 833 (the *Fund*) is exempt from section 601ED of the Act to the extent that subsection 601ED(1) of the Act may require each Loan entered into in connection with the Fund to be registered as a separate scheme.

**Where this instrument applies**

5. This instrument applies where:
  - (a) the Responsible Entity as responsible entity of the Fund operates the Platform; and
  - (b) the Fund Constitution specifies that the Loans are scheme property of the Fund.

**Interpretation**

*Borrower* means a natural person who is provided with credit through the Platform

*Custodian* means the company appointed to hold the Fund's assets and be the lender on the record for Loans.

*Fund Constitution* means the constitution of the Fund lodged with ASIC.

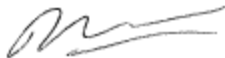
*Loan* means a contract between the Custodian (as trustee for Members) and a Borrower under which credit is provided from funds invested by Members.

16-1007

*Member* means a member of the Fund.

*Platform* means the on-line loan exchange platform maintained by or on behalf of the Responsible Entity for the matching of Loans between funders (being the Members) and Borrowers.

Dated this 10<sup>th</sup> day of October 2016.



Signed by Mai Go  
as a delegate of the Australian Securities and Investments Commission



16-1008

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

**Enabling legislation**

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

**Title**

2. This instrument is ASIC Instrument 16-1008.

**Commencement**

3. This instrument commences on execution.

**Declaration**

4. Chapter 5C of the Act applies to Harmony Australia Limited ACN 604 342 823 (*Responsible Entity*) as responsible entity of Harmony Australia Retail Trust ARSN 614 027 833 (*Trust*) as if Part 5C.6 of the Act were modified or varied as follows:

- (a) omit subsection 601GA(4) and substitute:

“(4) If members are to have a right to withdraw from the scheme under section 601KEA or section 601KEB, the scheme’s constitution must:

(a) specify the right; and

(b) set out adequate procedures that are to apply to making and dealing with withdrawal requests.

The right to withdraw, and any provisions in the constitution setting out procedures for making and dealing with withdrawal requests, must be fair to all members.”; and

- (b) after subsection 601KA(3) insert:

“(3AA) Subsection (3) does not apply to withdrawal in accordance with section KEA to KEB.”;

- (c) after subsection 601KE insert:

“**601KEA Withdrawal of cash from portfolio assets**

- (1) Subject to this section, the responsible entity of a registered scheme may allow a member who holds a particular class of interests to withdraw from the scheme in relation to cash held in a respect of the member’s portfolio

16-1008

assets in accordance with the procedures specified in the scheme's constitution.

- (1A) For the purpose of this section, *portfolio assets* means assets that the responsible entity holds separately on behalf of a member (comprising the only member of the class) and the member has an absolute interest in.

**601 KEB withdrawals from pooled assets**

- (1) Subject to this section, the responsible entity of a registered scheme may allow a member who holds a particular class of interests to have a right to withdraw from the scheme in relation to those interests if the assets that are properly attributed to that class are pooled assets.
- (1A) For the purpose of this section, *pooled assets* means assets that the members of the particular class have an equal, undivided interest in and that are separate from the assets of other classes of interests in the registered scheme.
- (2) The withdrawal must be undertaken in accordance with sections 601KB to 601KE (other than section 601KC) and the procedures specified in the constitution (consistent with those sections).
- (3) Only one withdrawal offer may be open at any one time in relation to the class of members. A withdrawal offer may be open at the same time as a right of withdrawal is available to members holding interest of a different class under section 601KEA."

**When this instrument applies**

5. This instrument applies in relation to a withdrawal from the Trust, and any provision of the Trust constitution that relates to such withdrawal, where:
- (a) the constitution of the Trust sets out procedures for making and dealing with requests for withdrawal of:
- (i) Cash by a Portfolio Unitholder; and
- (ii) Pool Units by a Pooled Unitholder.
- (b) the constitution does not specify any other rights of withdrawal.
- (c) in relation to a withdrawal of Cash by a Portfolio Unitholder:
- (i) the withdrawal is at the request of Portfolio Unitholder;
- (ii) the PDS and Website contain prominent disclosure:
- A. of the procedures for making and dealing with withdrawal requests by Portfolio Unitholders;

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- B. that only Cash may be withdrawn by a Portfolio Unitholder; and
  - C. where the amount of Cash set out in the withdrawal request exceeds the total amount of Cash, that a Portfolio Unitholder may only withdraw up to the total amount of Cash;
- (iii) the Responsible Entity notifies the Portfolio Unitholder in writing (which notice may be given electronically) each time as to whether or not the withdrawal request has been accepted or denied by the Responsible Entity;
- (iv) where the Responsible Entity accepts the withdrawal request, the withdrawal request is satisfied within five business days of the Responsible Entity receiving the withdrawal request, except where the Responsible Entity is unable to do so because of the act or omission of a person other than the Responsible Entity in connection with the withdrawal;
- (v) if a Portfolio Unitholder has a standing request on the Platform to withdraw a specified amount of Cash (*standing request*), then each time a withdrawal is effected, the relevant Portfolio Unitholder is given a prominent notice (which may be given electronically) by the Responsible Entity setting out the Portfolio Unitholder's standing request and that the Portfolio Unitholder may alter the standing request by providing instructions to the Responsible Entity on the Platform;
- (vi) the Responsible Entity makes a determination that the withdrawal request does not impact the assets held by the Responsible Entity for another Member and on a regular basis (at least Quarterly) sets out its determination in writing (which may be in respect of all withdrawal requests of the same kind); and
- (d) each interest of a Portfolio Unitholder is of a different class to each other Portfolio Unitholder and of a different class to a Pooled Unitholder.

### Interpretation

6. In this instrument:

**Cash** means cash in a Portfolio Unitholders Portfolio.

**Member** means a member of the Trust.

**PDS** means the Product Disclosure Statement issued by the Responsible Entity in respect of the Trust.

**Platform** means the online loan exchange platform maintained by or on behalf of the Responsible Entity for the matching of loans between funders (being the Members) and borrowers (being natural persons).

**Pool** means assets held by the Responsible Entity on behalf of a Pooled Unitholder including Cash and loans.

16-1008

**Pool Unit** means classes of interest in the Trust issued by the Responsible Entity where under terms of issue a Member has an equal, undivided interest in a Pool that is properly attributed to the class.

**Pooled Unitholder** means a Member that holds a Pool Unit.

**Portfolio** means the assets held by the Responsible Entity on behalf of a Portfolio Unitholder including Cash and loans.

**Portfolio Unit** means classes of interest in the Trust issued by the Responsible Entity where under terms of issue a Member has a beneficial interest in a Portfolio that is separate to every other Member's Portfolio.

**Portfolio Unitholder** means a Member that holds a Portfolio Unit.

**Product Disclosure Statement** has the same meaning given by section 761A of the Act.

**Quarterly** means once each quarter of a calendar year.

**Website** means the website address [www.harmony.com.au](http://www.harmony.com.au) and any related subdomains maintained by or on behalf the Responsible Entity in respect of the Platform.

Dated this 10<sup>th</sup> day of October 2016



Signed by Mai Go  
as a delegate of the Australian Securities and Investments Commission

16-1010

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

**Enabling legislation**

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraph 911A(2)(l) of the *Corporations Act 2001 (Act)*.

**Title**

2. This instrument is ASIC Instrument [16-1010].

**Commencement**

3. This instrument commences on gazettal.

**Revocation**

4. ASIC revokes ASIC Instrument [14-0801].

Dated this 11<sup>th</sup> day of October 2016



Signed by Richard McMahon  
as a delegate of the Australian Securities and Investments Commission

16-1011

**NOTICE UNDER SECTION 915F OF THE CORPORATIONS ACT 2001**

Notice is given under section 915F of the *Corporations Act 2001* that the Australian Securities and Investments Commission has taken the action set out in the Notice below, which action took effect on 5 October 2016.

**Australian Securities & Investments Commission****Notice of Suspension of Australian Financial Services Licence**

To: Rural & General Insurance Broking Pty Ltd  
ACN 093 483 928

**TAKE NOTICE** that under s915C(1) of the *Corporations Act 2001*, the Australian Securities and Investments Commission hereby suspends Australian financial services licence number 262353 held by Rural & General Insurance Broking Pty Ltd ACN 093 483 928 until 5 April 2017.

Dated this 5<sup>th</sup> day of October 2016.



Signed .....

Kate Dluzniak  
Delegate of the Australian Securities & Investments Commission

## 16-1013

**Australian Securities and Investments Commission  
Corporations Act 2001 - Subsection 250PAB(4) – Exemption**

**Enabling legislation**

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under subsection 250PAB(4) of the *Corporations Act 2001* (the *Act*).

**Title**

2. This instrument is ASIC Instrument 16-1013.

**Commencement**

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

**Order**

4. ASIC exempts Ansett Australia Limited (subject to deed of company arrangement) ACN 004 209 410 (the *Company*) from the obligation to hold an annual general meeting (*AGM*) under section 250N of the Act:
  - a. at least once in each calendar year; and
  - b. within 5 months after the end of each financial year ending during the period between the commencement and cessation of this instrument.

**Conditions**

5. This order applies for so long as the deed administrators maintain arrangements for answering, free of charge, reasonable enquiries from the Company's members about the consequences of the external administration and deed of company arrangement.
6. Within 2 months of the termination of the deed of company arrangement, the Company must hold an AGM.
7. The deed administrators must arrange for a notice explaining the relief granted by this instrument in relation to the Company to be published in a place that is readily accessible on a website maintained by the deed administrators.

**Where this instrument ceases to apply**

8. This instrument ceases to apply at the earlier of:
  - a. 12 December 2018; and
  - b. 2 months after the date of termination of the deed of company arrangement of the Company.

16-1013

**Interpretation:**

In this instrument:

*deed administrators* has the meaning given in paragraph (b) of the definition of *administrator* in section 9 of the Act.

*deed of company arrangement* means the deed of company arrangement in respect of the Company, executed and dated 2 May 2002 (and varied on 31 August 2006), appointing Mark Anthony Korda and Mark Francis Mentha as deed administrators.

Dated: 12 October 2016



Signed by Pamela Smith

As a delegate of the Australian Securities and Investments Commission





ASIC

Australian Securities &amp; Investments Commission

16-1014

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

**Notice of Cancellation of an Australian Financial Services Licence**

TO: Macro All State Investments & Securities Limited  
ACN: 168 713 719 ("the Licensee")  
Unit 3, 931 Albany Highway  
East Victoria Park WA 6101

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 468439 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated *12 October 2016*

Signed *James Nott*

James Nott  
A delegate of the Australian Securities and Investments Commission

16-1016

## NOTICE UNDER SECTION 915F OF THE CORPORATIONS ACT 2001

Notice is given under section 915F of the Corporations Act 2001 that the Australian Securities and Investments Commission has taken the action set out in the Notice below, which action took effect on 11 October 2016.


**AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION  
CORPORATIONS ACT 2001 SECTION 915B**

**NOTICE OF CANCELLATION OF AUSTRALIAN FINANCIAL SERVICES  
LICENCE**

To: Wilkins Financial Planning Pty Ltd ACN 166 111 806

Under s915B(3)(a) of the *Corporations Act 2001*, the Australian Securities and Investments Commission cancels Australian financial services licence number 448787 held by Wilkins Financial Planning Pty Ltd ACN 166 111 806.

Dated this 30<sup>th</sup> day of September 2016

Signed:..........

Christine Croft, a delegate of the Australian Securities and Investments Commission

Your attention is drawn to s911A(1) of the *Corporations Act 2001*, which provides that subject to this section, a person who carries on a financial services business in this jurisdiction must hold an Australian financial services licence covering the provision of the financial services and that a failure to comply with this subsection is an offence (see s1311(1) of the *Corporations Act 2001*).

16-1017

**NOTICE UNDER SECTION 920E OF THE CORPORATIONS ACT 2001**

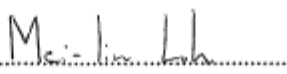
Notice is given under section 920E of the Corporations Act 2001 that the Australian Securities and Investments Commission has made a banning order in the terms set out below, which order took effect on 11 October 2016.

**AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION****IN THE MATTER OF CHRISTOPHER JAMES YOUNG****BANNING ORDER UNDER SECTIONS 920A AND 920B  
OF THE CORPORATIONS ACT 2001**

To: Mr Christopher James Young

**TAKE NOTICE** that under sections 920A(1) and 920B(2) of the Corporations Act 2001 the Australian Securities and Investments Commission prohibits **Christopher James Young** from providing any financial services for a period of five (5) years.

Dated this 10th day of October 2016.

Signed:   
Mei-lin Loh  
Delegate of the Australian Securities and 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.

**16-1018****Australian Securities and Investments Commission  
Corporations Act 2001 – Subsection 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 16-1018.

**Commencement**

3. This instrument commences on 14 October 2016.

**Declaration**

4. Chapter 6D of the Act applies to a shareholder of the Company who makes an offer of Shares, as if section 707 was modified or varied by omitting subsections 707(3) and (4) and substituting the following subsections:

"(3) An offer of a body's securities for sale within 12 months after their issue needs disclosure to investors under this Part if the body issued the securities:

- (a) without disclosure to investors under this Part; and
- (b) with the purpose of the person to whom they were issued:
  - (i) selling or transferring them; or
  - (ii) granting, issuing or transferring interests in, or options or warrants over, them;

and section 708 and 708A does not say otherwise.

- (4) Unless the contrary is proved, a body is taken to issue securities with the purpose referred to in paragraph 3(b) if any of the securities are subsequently sold, or offered for sale, within 12 months after their issue."

**Where this declaration applies**

5. This declaration applies where a shareholder of the Company makes an offer of Shares for sale within 12 months of their issue and where:

16-1018

- (a) the Options:
  - (i) were issued or granted by the Company prior to the date of the commencement of this instrument without disclosure under Chapter 6D of the Act; and
  - (ii) were disclosed in the Prospectus; and
- (b) the issue of Shares on the conversion of the Options did not involve any further offer.

**Interpretation**

6. In this instrument:

*Company* means Australis Oil & Gas Limited ACN 609 262 937;

*Options* mean the options disclosed in Section 2.3 of the Company's prospectus lodged with ASIC on 29 June 2016;

*Prospectus* means the prospectus in relation to the initial public offering of Shares, lodged with ASIC on 29 June 2016; and

*Shares* mean ordinary shares in the Company which were issued following the Initial Public Offer and as a result of the conversion of the Options.

Dated this 14<sup>th</sup> day of October 2016



Signed by Samantha Griffiths  
as a delegate for the Australian Securities and Investments Commission

**Corporations (MarketAxess Corporation) Exemption Notice 2016**

*Corporations Act 2001*

I, Oliver Harvey, Senior Executive Leader,  
Australian Securities and Investments Commission make this notice under section  
791C of the *Corporations Act 2001* (the **Act**).

Dated 14 October 2016

Signed 

as a delegate of the Minister under s1101J of the Act

**Name of exemption**

1. This exemption is the *Corporations (MarketAxess Corporation) Exemption Notice 2016*.

**Commencement**

2. This exemption commences on the day it is published in the *Gazette*.

**Exemption**

3. The exempt market operated by MarketAxess Corporation in this jurisdiction is exempt from the operation of Part 7.2 of the Act.

**Period of exemption**

4. This exemption ceases to apply on 1 July 2019.

**Where this exemption applies**

5. This exemption applies where all of the following matters in this paragraph 5 are satisfied.

*Financial products*

- (a) Any dealing in a financial product on the exempt market is limited to a dealing in an eligible financial product.

*Trading on the market: market operator*

- (b) MarketAxess Corporation only participates in the exempt market by dealing in financial products:
  - (i) on its own behalf; or
  - (ii) on behalf of a person who is a professional investor.

*Trading on the market: participant*

- (c) MarketAxess Corporation ensures that a person carrying on business in this jurisdiction does not directly participate in the exempt market unless the person:

- (i) is a professional investor dealing in a financial product on its own behalf; or
- (ii) is a professional investor dealing in a financial product on behalf of a person who is a professional investor.

*Clearing and settlement facility*

- (d) Neither MarketAxess Corporation nor an associate of MarketAxess Corporation operates a clearing and settlement facility in relation to the exempt market.

Note: For the avoidance of doubt, paragraph (d) does not prohibit MarketAxess Corporation or an associate from providing information about, or establishing procedures dealing with, the settlement of transactions effected through the exempt market.

*Cooperation with ASIC*

- (e) MarketAxess Corporation has entered into a written arrangement with ASIC for cooperation with ASIC in relation to this exemption and the subject matter to which this exemption relates.

*Provision of financial services*

- (f) MarketAxess Corporation is exempt from the requirement to hold an Australian financial services licence for financial services provided in this jurisdiction in connection with the operation of the exempt market.

Note: This exemption does not exempt MarketAxess Corporation from the requirement to hold an Australian financial services licence.

*Submission to Australian jurisdiction*

- (g) MarketAxess Corporation satisfies all of the following:
  - (i) MarketAxess Corporation is a broker dealer registered under section 15(b) of the US *Securities and Exchange Act of 1934*, and has provided ASIC with a copy of that permission;
  - (ii) MarketAxess Corporation has an agent at the time MarketAxess Corporation first purports to rely on this exemption and, from that time, has not failed to have an agent for any consecutive period of 10 business days;
  - (iii) MarketAxess Corporation has provided ASIC, and ASIC is satisfied with, a deed of MarketAxess Corporation for the benefit



of and enforceable by ASIC and the other persons referred to in subsection 659B(1) of the Act, which provides that:

- (I) the deed is irrevocable except with the prior written consent of ASIC;
- (II) MarketAxess Corporation submits to the non-exclusive jurisdiction of the Australian courts in legal proceedings conducted by ASIC (including under section 50 of the ASIC Act) and, in relation to proceedings relating to a financial services law, by any person referred to in subsection 659B(1) of the Act and whether brought in the name of ASIC or the Crown or otherwise;
- (III) MarketAxess Corporation covenants to comply with any order of an Australian court in respect of any matter relating to the provision of specified kinds of financial services in this jurisdiction and the operation of the exempt market in this jurisdiction;
- (IV) MarketAxess Corporation covenants that, on written request of either the US Securities and Exchange Commission (SEC) or ASIC, it will give or vary written consent and take all other practicable steps to enable and assist the SEC to disclose to ASIC and ASIC to disclose to the SEC any information or document that the SEC or ASIC has that relates to MarketAxess Corporation.

#### **Conditions**

6. This exemption ceases to apply if MarketAxess Corporation fails to take reasonable steps to comply with any of the matters set out in this paragraph 6.

#### *Operation of the market*

- (a) MarketAxess Corporation, in all material respects, must operate the exempt market in the way set out in the application for exemption.

#### *Conduct*

- (b) MarketAxess Corporation must do all things necessary to ensure that any financial services provided by MarketAxess Corporation in connection with the operation of the exempt market are provided efficiently, honestly and fairly.

*Resources*

- (c) MarketAxess Corporation must have available adequate resources (including financial, technological and human resources) to provide the financial services in connection with the operation of the exempt market and to carry out supervisory arrangements.

*Managing conflicts of interest*

- (d) MarketAxess Corporation must have adequate arrangements in place for managing its conflicts of interest arising from operating the exempt market.

*Reporting: securities transactions*

- (e) At the end of each 12 month period commencing on the date this exemption commences, MarketAxess Corporation must:
  - (i) identify each financial product (**relevant financial product**) that was traded on the exempt market that was also able to be traded on a financial market licensed under subsection 795B(1) of the Act;
  - (ii) identify the number of transactions in relevant financial products on the exempt market during the 12 month period;
  - (iii) notify ASIC in writing if the number of transactions calculated as required by subparagraph (ii) exceeds 2000;
- (f) If MarketAxess Corporation is required to give the notification referred to in subparagraph (e)(iii), the notification must be given within two weeks of the end of each 12 month period.

*Reporting: adverse findings*

- (g) If MarketAxess Corporation becomes aware that MarketAxess Corporation or a director or secretary of MarketAxess Corporation is covered by one or more of the following matters, MarketAxess Corporation must, within 7 days after becoming aware of the matter, give a written notice to ASIC advising of the matter:
  - (i) the person is the subject of a declaration of contravention in relation to a provision of the Act;
  - (ii) the person has been convicted of an offence under the Act;

- (iii) in the case of a director or secretary—the person has been disqualified from managing corporations under Part 2D.6 of the Act;
- (iv) the person has been banned or disqualified from providing financial services under Division 8 of Part 7.6 of the Act.

*Reporting: disciplinary action against participant*

- (h) If MarketAxess Corporation takes disciplinary action against an Australian participant, MarketAxess Corporation must, as soon as practicable, give a written notice to ASIC that includes the following details:
  - (i) the participant's name;
  - (ii) the reason for and nature of the action taken; and
  - (iii) when the action was taken.

*Reporting: suspected contraventions by participant*

- (i) If MarketAxess Corporation has reason to suspect that an Australian participant has committed, is committing, or is about to commit, a contravention of the Act or a significant contravention of the obligations imposed by MarketAxess Corporation in relation to the exempt market, MarketAxess Corporation must, as soon as practicable, give a written notice to ASIC that includes the following details:
  - (i) the participant's name;
  - (ii) details of the contravention or impending contravention; and
  - (iii) MarketAxess Corporation's reason for that belief.

*Assistance to ASIC*

- (j) If MarketAxess Corporation receives a reasonable request from ASIC to give assistance (which may include giving access to any information, document or books held by MarketAxess Corporation) to ASIC, or to a person authorised by ASIC, in relation to the operation of the exempt market, MarketAxess Corporation must provide that assistance.

*Record-keeping*

- (k) MarketAxess Corporation must have adequate arrangements in place for the recording of order information and transactions effected through the exempt market.
- (l) MarketAxess Corporation must keep for a period of at least 5 years the records of order information and transactions effected through the exempt market.

*Annual report*

- (m) MarketAxess Corporation must, within three months after the end of its financial year, give ASIC an annual report that sets out:
  - (i) the extent to which MarketAxess Corporation has complied with this exemption; and
  - (ii) the following information:
    - (A) a description of the activities that MarketAxess Corporation undertook in the financial year in relation to the operation of the exempt market;
    - (B) if any material system outages occurred during the financial year that prevented Australian participants from participating in the exempt market:
      - (I) the number of such outages;
      - (II) the duration of each outage;
      - (III) the cause of each outage; and
      - (IV) a description of the means by which each outage was resolved;
  - (iii) the names and number of Australian participants during the financial year, identifying those Australian participants who, as at the last day of the financial year, remained Australian participants;
  - (iv) details of the volume of trading on the exempt market by Australian participants throughout the financial year;
  - (v) the number and nature of significant complaints made to MarketAxess Corporation by Australian participants during the

financial year, and the action taken by MarketAxess Corporation in response to each complaint;

- (vi) any specific regulatory issues in relation to the exempt market operated by MarketAxess Corporation in this jurisdiction or a financial market operated by MarketAxess Corporation outside this jurisdiction, that MarketAxess Corporation encountered during the financial year and actions taken to resolve those issues;
- (vii) details of any significant conflicts of interest identified by MarketAxess Corporation in relation to its operation of the exempt market during the financial year, and how each conflict of interest was managed.

*Audit report*

- (n) If the Minister in writing requests MarketAxess Corporation to obtain an audit report, prepared by either ASIC or another person or body that is a suitably qualified person, in relation to the annual report mentioned in paragraph (m) or on any information or statements accompanying the annual report, MarketAxess Corporation must comply with the request.

*Reporting: operating status of market*

- 7. MarketAxess Corporation must, within 7 days, notify ASIC in writing if it ceases to operate the exempt market in this jurisdiction.

*Maintain regulatory approval by the SEC of the United States and report certain changes*

- 8. MarketAxess Corporation must:
  - (a) maintain registration as a broker dealer with the Securities and Exchange Commission in the US;
  - (b) notify ASIC, as soon as practicable and in writing, of the details of:
    - (i) the termination of, or any significant change to the registration by the SEC for MarketAxess Corporation as a broker dealer; or
    - (ii) any change to MarketAxess Corporation's regulatory status in the US; or
    - (iii) any enforcement or disciplinary action taken against MarketAxess Corporation by the SEC or any other overseas regulatory authority.

**Interpretation**

9. In this exemption:

- (a) italicised headings do not form part of this exemption;
- (b) *application for exemption* means the application dated 9 December 2015 (including any supplementary correspondence provided by MarketAxess Corporation to ASIC before this exemption is made) for an exemption from the operation of Part 7.2 of the Act of the financial market operated by MarketAxess Corporation.

*Australian participant* means a participant of the exempt market that carries on business in this jurisdiction.

*eligible financial product* means a financial product of the following kinds:

- (a) Securities;
- (b) corporate or government bonds; and
- (c) credit derivatives that are credit default swaps.

*exempt market* means the facility that operates in this jurisdiction through which:

- (a) offers to acquire or dispose of eligible financial products are regularly made or accepted; or
- (b) offers or invitations are regularly made to acquire or dispose of eligible financial products that are intended to result or may reasonably be expected to result, directly or indirectly, in:
  - (i) the making of offers to acquire or dispose of eligible financial products; or
  - (ii) the acceptance of such offers.

*SEC* means the Securities and Exchange Commission of the United States.

*financial services law* has the meaning given by section 761A of the Act.

*participant* has the meaning given by section 761A of the Act.

*MarketAxess Corporation* means MarketAxess Corporation, a company incorporated and existing under the laws of the United States.

*Securities* has the meaning given by section 761A of the Act.

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16-1021

**Corporations (MarketAxess Europe Limited) Exemption Notice  
2016***Corporations Act 2001*

I, Oliver Harvey, Senior Executive Leader,  
Australian Securities and Investments Commission make this notice under section  
791C of the *Corporations Act 2001* (the **Act**).

Dated 14 October 2016

Signed ah

as a delegate of the Minister under s1101J of the Act



**Name of exemption**

1. This exemption is the *Corporations (MarketAxess Europe Limited) Exemption Notice 2016*.

**Commencement**

2. This exemption commences on the day it is published in the *Gazette*.

**Exemption**

3. The exempt market operated by MarketAxess Europe in this jurisdiction is exempt from the operation of Part 7.2 of the Act.

**Period of exemption**

4. This exemption ceases to apply on 1 July 2019.

**Where this exemption applies**

5. This exemption applies where all of the following matters in this paragraph 5 are satisfied.

*Financial products*

- (a) Any dealing in a financial product on the exempt market is limited to a dealing in an eligible financial product.

*Trading on the market: market operator*

- (b) MarketAxess Europe only participates in the exempt market by dealing in financial products:
  - (i) on its own behalf; or
  - (ii) on behalf of a person who is a professional investor.

*Trading on the market: participant*

- (c) MarketAxess Europe ensures that a person carrying on business in this jurisdiction does not directly participate in the exempt market unless the person:

- (i) is a professional investor dealing in a financial product on its own behalf; or
- (ii) is a professional investor dealing in a financial product on behalf of a person who is a professional investor.

*Clearing and settlement facility*

- (d) Neither MarketAxess Europe nor an associate of MarketAxess Europe operates a clearing and settlement facility in relation to the exempt market.

Note: For the avoidance of doubt, paragraph (d) does not prohibit MarketAxess Europe or an associate from providing information about, or establishing procedures dealing with, the settlement of transactions effected through the exempt market.

*Cooperation with ASIC*

- (e) MarketAxess Europe has entered into a written arrangement with ASIC for cooperation with ASIC in relation to this exemption and the subject matter to which this exemption relates.

*Provision of financial services*

- (f) MarketAxess Europe is exempt from the requirement to hold an Australian financial services licence for financial services provided in this jurisdiction in connection with the operation of the exempt market.

Note: This exemption does not exempt MarketAxess Europe from the requirement to hold an Australian financial services licence.

*Submission to Australian jurisdiction*

- (g) MarketAxess Europe satisfies all of the following:
  - (i) MarketAxess Europe has a current permission given by the Financial Conduct Authority (FCA) under Part IV of the UK *Financial Services and Markets Act 2000* (FSM Act) and has provided ASIC with a copy of that permission;
  - (ii) MarketAxess Europe has an agent at the time MarketAxess Europe first purports to rely on this exemption and, from that time, has not failed to have an agent for any consecutive period of 10 business days;
  - (iii) MarketAxess Europe has provided ASIC, and ASIC is satisfied with, a deed of MarketAxess Europe for the benefit of and

enforceable by ASIC and the other persons referred to in subsection 659B(1) of the Act, which provides that:

- (I) the deed is irrevocable except with the prior written consent of ASIC;
- (II) MarketAxess Europe submits to the non-exclusive jurisdiction of the Australian courts in legal proceedings conducted by ASIC (including under section 50 of the ASIC Act) and, in relation to proceedings relating to a financial services law, by any person referred to in subsection 659B(1) of the Act and whether brought in the name of ASIC or the Crown or otherwise;
- (III) MarketAxess Europe covenants to comply with any order of an Australian court in respect of any matter relating to the provision of specified kinds of financial services in this jurisdiction and the operation of the exempt market in this jurisdiction;
- (IV) MarketAxess Europe covenants that, on written request of either the FCA or ASIC, it will give or vary written consent and take all other practicable steps to enable and assist the FCA to disclose to ASIC and ASIC to disclose to the FCA any information or document that the FCA or ASIC has that relates to MarketAxess Europe.

#### **Conditions**

6. This exemption ceases to apply if MarketAxess Europe fails to take reasonable steps to comply with any of the matters set out in this paragraph 6.

#### *Operation of the market*

- (a) MarketAxess Europe, in all material respects, must operate the exempt market in the way set out in the application for exemption.

#### *Conduct*

- (b) MarketAxess Europe must do all things necessary to ensure that any financial services provided by MarketAxess Europe in connection with the operation of the exempt market are provided efficiently, honestly and fairly.

*Resources*

- (c) MarketAxess Europe must have available adequate resources (including financial, technological and human resources) to provide the financial services in connection with the operation of the exempt market and to carry out supervisory arrangements.

*Managing conflicts of interest*

- (d) MarketAxess Europe must have adequate arrangements in place for managing its conflicts of interest arising from operating the exempt market.

*Reporting: securities transactions*

- (e) At the end of each 12 month period commencing on the date this exemption commences, MarketAxess Europe must:
  - (i) identify each financial product (**relevant financial product**) that was traded on the exempt market that was also able to be traded on a financial market licensed under subsection 795B(1) of the Act;
  - (ii) identify the number of transactions in relevant financial products on the exempt market during the 12 month period;
  - (iii) notify ASIC in writing if the number of transactions calculated as required by subparagraph (ii) exceeds 2000;
- (f) If MarketAxess Europe is required to give the notification referred to in subparagraph (e)(iii), the notification must be given within two weeks of the end of each 12 month period.

*Reporting: adverse findings*

- (g) If MarketAxess Europe becomes aware that MarketAxess Europe or a director or secretary of MarketAxess Europe is covered by one or more of the following matters, MarketAxess Europe must, within 7 days after becoming aware of the matter, give a written notice to ASIC advising of the matter:
  - (i) the person is the subject of a declaration of contravention in relation to a provision of the Act;
  - (ii) the person has been convicted of an offence under the Act;

- (iii) in the case of a director or secretary—the person has been disqualified from managing corporations under Part 2D.6 of the Act;
- (iv) the person has been banned or disqualified from providing financial services under Division 8 of Part 7.6 of the Act.

*Reporting: disciplinary action against participant*

- (h) If MarketAxess Europe takes disciplinary action against an Australian participant, MarketAxess Europe must, as soon as practicable, give a written notice to ASIC that includes the following details:
  - (i) the participant's name;
  - (ii) the reason for and nature of the action taken; and
  - (iii) when the action was taken.

*Reporting: suspected contraventions by participant*

- (i) If MarketAxess Europe has reason to suspect that an Australian participant has committed, is committing, or is about to commit, a contravention of the Act or a significant contravention of the obligations imposed by MarketAxess Europe in relation to the exempt market, MarketAxess Europe must, as soon as practicable, give a written notice to ASIC that includes the following details:
  - (i) the participant's name;
  - (ii) details of the contravention or impending contravention; and
  - (iii) MarketAxess Europe's reason for that belief.

*Assistance to ASIC*

- (j) If MarketAxess Europe receives a reasonable request from ASIC to give assistance (which may include giving access to any information, document or books held by MarketAxess Europe) to ASIC, or to a person authorised by ASIC, in relation to the operation of the exempt market, MarketAxess Europe must provide that assistance.

*Record-keeping*

- (k) MarketAxess Europe must have adequate arrangements in place for the recording of order information and transactions effected through the exempt market.
- (l) MarketAxess Europe must keep for a period of at least 5 years the records of order information and transactions effected through the exempt market.

*Annual report*

- (m) MarketAxess Europe must, within three months after the end of its financial year, give ASIC an annual report that sets out:
  - (i) the extent to which MarketAxess Europe has complied with this exemption; and
  - (ii) the following information:
    - (A) a description of the activities that MarketAxess Europe undertook in the financial year in relation to the operation of the exempt market;
    - (B) if any material system outages occurred during the financial year that prevented Australian participants from participating in the exempt market:
      - (I) the number of such outages;
      - (II) the duration of each outage;
      - (III) the cause of each outage; and
      - (IV) a description of the means by which each outage was resolved;
  - (iii) the names and number of Australian participants during the financial year, identifying those Australian participants who, as at the last day of the financial year, remained Australian participants;
  - (iv) details of the volume of trading on the exempt market by Australian participants throughout the financial year;
  - (v) the number and nature of significant complaints made to MarketAxess Europe by Australian participants during the financial

year, and the action taken by MarketAxess Europe in response to each complaint;

- (vi) any specific regulatory issues in relation to the exempt market operated by MarketAxess Europe in this jurisdiction or a financial market operated by MarketAxess Europe outside this jurisdiction, that MarketAxess Europe encountered during the financial year and actions taken to resolve those issues;
- (vii) details of any significant conflicts of interest identified by MarketAxess Europe in relation to its operation of the exempt market during the financial year, and how each conflict of interest was managed.

*Audit report*

- (n) If the Minister in writing requests MarketAxess Europe to obtain an audit report, prepared by either ASIC or another person or body that is a suitably qualified person, in relation to the annual report mentioned in paragraph (m) or on any information or statements accompanying the annual report, MarketAxess Europe must comply with the request.

*Reporting: operating status of market*

- 7. MarketAxess Europe must, within 7 days, notify ASIC in writing if it ceases to operate the exempt market in this jurisdiction.

*Maintain regulatory approval by the FCA of the United Kingdom and report certain changes*

- 8. MarketAxess Europe must:
  - (a) maintain the approval by the Financial Conduct Authority for MarketAxess Europe to operate as a 'Multilateral Trading Facility' (MTF) in the UK;
  - (b) notify ASIC, as soon as practicable and in writing, of the details of:
    - (i) the termination of, or any significant change to the approval by the FCA for MarketAxess Europe to operate as an MTF; or
    - (ii) any change to MarketAxess Europe's regulatory status in the UK; or
    - (iii) any enforcement or disciplinary action taken against MarketAxess Europe by the FCA or any other overseas regulatory authority.

**Interpretation**

9. In this exemption:

- (a) italicised headings do not form part of this exemption;
- (b) *application for exemption* means the application dated 9 December 2015 (including any supplementary correspondence provided by MarketAxess Europe to ASIC before this exemption is made) for an exemption from the operation of Part 7.2 of the Act of the financial market operated by MarketAxess Europe.

*Australian participant* means a participant of the exempt market that carries on business in this jurisdiction.

*eligible financial product* means a financial product of the following kinds:

- (a) securities;
- (b) corporate or government bonds; and
- (c) credit derivatives that are credit default swaps.

*exempt market* means the facility that operates in this jurisdiction through which:

- (a) offers to acquire or dispose of eligible financial products are regularly made or accepted; or
- (b) offers or invitations are regularly made to acquire or dispose of eligible financial products that are intended to result or may reasonably be expected to result, directly or indirectly, in:
  - (i) the making of offers to acquire or dispose of eligible financial products; or
  - (ii) the acceptance of such offers.

*FCA* means the Financial Conduct Authority of the United Kingdom and, for the avoidance of doubt, includes the Financial Services Authority of the United Kingdom as it was previously known before 1 April 2013.

*financial services law* has the meaning given by section 761A of the Act.



*FSM Act* means the *Financial Services and Markets Act 2000* of the United Kingdom.

*participant* has the meaning given by section 761A of the Act.

*MarketAxess Europe* means MarketAxess Europe Limited, a company incorporated and existing under the laws of the United Kingdom.

*Securities* has the meaning given by section 761A of the Act.

16-1022

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

**Enabling legislation**

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

**Title**

2. This instrument is ASIC Instrument 16-1022.

**Commencement**

3. This instrument commences on 14 October 2016.

**Declaration**

4. Chapter 6 of the Act applies to Hitachi Construction Machinery Co., Ltd (a body incorporated in Japan) (*Hitachi*) as if:
  - (a) section 617 were modified or varied by inserting after subsection 617(2) the following subsection:

“(2A) The bid may also extend to all securities that come to be in the bid class from the date set by the bidder for the purposes of subsection 633(2) to the end of the offer period due to the issue of securities in the bid class due to the vesting of derivatives which were issued to current or former directors or employees of the target or of any subsidiary of the target on or before that date and remained on issue at that date.”
  - (b) section 636 were modified or varied by inserting after paragraph 636(1)(j) the following paragraph:

“(ja) if the bid is to extend to securities that come to be in the bid class during the offer period under subsection 617(2A) – a statement to that effect referring to the relevant derivatives;”.

**Where declaration applies**

5. The declaration applies where:
  - (a) Hitachi has publicly proposed to make a takeover bid for securities in Bradken Limited ACN 108 693 009 (*Bradken*) on 3 October 2016;
  - (b) Bradken operates the Plans, the terms of which were provided to ASIC on 7 October 2016 and 11 October 2016;

16-1022

- (c) under the terms of the Plans or of the share rights issued under the Plans, Bradken must issue securities due to the vesting of the derivatives; and
- (d) Hitachi has disclosed that it proposes to extend the bid to securities issued from the date set by Hitachi for the purposes of subsection 633(2) of the Act and before the end of the bid period, upon the vesting of share rights issued under the Plans and which are on issue at the date set by Hitachi for the purposes of subsection 633(2) of the Act.

**Interpretation**

6. In this instrument:

*Plans* mean the following share rights plans:

- (a) Bradken Share Rights Plan 2014 (EPS) (Australian participants);
- (b) Bradken Share Rights Plan 2014 (EPS) (United States, Canada and China participants);
- (c) Bradken 2014 Share Rights (New Starter) Plan (EPS) (Canada participants);
- (d) Bradken Restricted Share Rights Plan 2014 (TSR) (Australian participants);
- (e) Bradken Restricted Share Rights Plan 2014 (TSR) (United States participants);
- (f) Bradken Share Rights Plan 2015 (EPS) (Australian participants);
- (g) Bradken Share Rights Plan 2015 (EPS) (United States, Canada and China participants);
- (h) Bradken Restricted Share Rights Plan 2015 (TSR) (Australian participants); and
- (i) Bradken Restricted Share Rights Plan 2015 (TSR) (United States participants).

Dated this 14<sup>th</sup> day of October 2016.



Signed by Stella Lee  
as a delegate of the Australian Securities and Investments Commission

CORPORATIONS ACT 2001

Section 601CL(5)

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

Dated this fourteenth day of October 2016

Rosanne Bell

DELEGATE OF

THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

**Name of Company**

**ARBN**

CHANGE.ORG WORLDWIDE LIMITED	158 696 363
DEWAN HOUSING FINANCE CORPORATION LTD	141 327 095
DOMAINCLUB.COM, LLC	151 797 072
GARDLINE ENVIRONMENTAL LIMITED	161 633 192
GARDLINE GEOSCIENCES LIMITED	161 633 487
RICART ENTERPRISES FAR EAST COMPANY LIMITED	060 218 064
STAR MOUNTAIN PROPERTIES AND INVESTMENTS LTD	140 177 546

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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 fourteenth day of October 2016

Rosanne Bell

DELEGATE OF

THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

<b>Name of Scheme</b>	<b>ARSN</b>
ADVANCE TRADEWINDS GLOBAL EQUITIES FUND	115 641 702
ANTARES CORE FIXED INTEREST TRUST	087 779 440
BT EXTERNAL AUSTRALIAN SHARES 16	140 395 017
BT EXTERNAL INTERNATIONAL SHARES 10	140 396 818
BT EXTERNAL INTERNATIONAL SHARES 2	105 250 566
BT EXTERNAL PROPERTY 5	140 392 945
BT EXTERNAL SPECIALIST 5	111 629 451
CBF1 INVESTMENT TRUST 1	124 364 227
CENTRIC DHA RESIDENTIAL PROPERTY FUND	164 676 386
CENTURIA 175 CASTLEREAGH STREET FUND	159 984 728
EVANS AND PARTNERS AUSTRALIAN BUY-WRITE FUND	166 707 599
FINOVIA BALANCED PORTFOLIO	135 243 800
FINOVIA GROWTH PORTFOLIO	135 243 435
FINOVIA MODERATE PORTFOLIO	135 243 622
INVESCO WHOLESALE ASIAN CONSUMER DEMAND FUND	093 413 720
INVESCO WHOLESALE GLOBAL OPPORTUNITIES FUND	168 004 706
MCG ABSOLUTE RETURN STRATEGIES FUND	154 789 367
PERPETUAL'S MEZZANINE MORTGAGE POOL FUND	109 612 919
PERPETUAL'S MORTGAGE FUND	106 129 659
PERPETUAL'S TERM FUND	092 387 874
PERPETUAL DYNAMIC GLOBAL PROPERTY FUND	164 093 270
PERPETUAL MONTHLY INCOME FUND	088 692 808
PERPETUAL MORTGAGE POOL FUND	094 407 066
PERPETUAL PREMIUM TREASURY FUND	110 147 763

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<b>Name of Scheme</b>	<b>ARSN</b>
PERPETUAL WHOLESale MONTHLY INCOME FUND	093 211 682
PRIVATE INVESTOR MORTGAGE FUND	092 603 873
SELECT ALTERNATIVES PORTFOLIO	104 903 684
SELECT DEFENSIVE PORTFOLIO	102 769 406
WESTPAC PERSONAL PORTFOLIO SERVICE CLASSIC STRATEGIES - CONSERVATIVE GROWTH FUND	088 841 927

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## 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 fourteenth day of October 2016

Rosanne Bell

DELEGATE OF

THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

**Name of Company****ARBN**

ASF CHINA HOLDINGS LIMITED	162 234 157
MAN OM-IP ECLIPSE LIMITED	118 858 263
MAN OM-IP ESSENTIAL LIMITED	130 382 080
ROYAL & SUN ALLIANCE INSURANCE (GLOBAL) LIMITED	056 202 718
ROYAL & SUN ALLIANCE INSURANCE PLC	153 863 006
SOASTA INTERNATIONAL, INC.	602 711 740

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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.

**AFFLUENCE FUNDS MANAGEMENT PTY LTD**  
ACN 604 406 297 will change to a public company limited by shares. The new name will be  
**AFFLUENCE FUNDS MANAGEMENT LIMITED**  
ACN 604 406 297.

**CHOICE PRACTICE LIMITED** ACN 164 103 664  
will change to a proprietary company limited by shares. The new name will be **CHOICE PRACTICE PTY LTD** ACN 164 103 664.

**LITHIUM CONSOLIDATED MINERAL EXPLORATION PTY LTD** ACN 612 008 358 will change to a public company limited by shares. The new name will be **LITHIUM CONSOLIDATED MINERAL EXPLORATION LIMITED** ACN 612 008 358.

**OAK CAPITAL LIMITED** ACN 604 197 113 will change to a proprietary company limited by shares. The new name will be **OAK CAPITAL PTY LIMITED** ACN 604 197 113.

**CARADVICE.COM LIMITED** ACN 116 608 158 will change to a proprietary company limited by shares. The new name will be **CARADVICE.COM PTY LIMITED** ACN 116 608 158.

**DAIRY TECHNICAL SERVICES LIMITED**  
ACN 004 319 171 will change to a proprietary company limited by shares. The new name will be **DAIRY TECHNICAL SERVICES PTY LIMITED** ACN 004 319 171.

**MARENGO MINING (AUSTRALIA) LIMITED**  
ACN 099 496 474 will change to a proprietary company limited by shares. The new name will be **MARENGO MINING (AUSTRALIA) PTY LTD** ACN 099 496 474.

**PHOENIX MYRRH TECHNOLOGY PTY. LTD.**  
ACN 139 996 259 will change to a public company limited by shares. The new name will be **PHOENIX MYRRH TECHNOLOGY LIMITED** ACN 139 996 259.