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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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21-0653

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 25 September 2017.

AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION**IN THE MATTER OF Koresh Daniel HOUGHTON
AND THE CORPORATIONS ACT 2001**


To: Koresh Daniel HOUGHTON

**VARIATION OF A BANNING ORDER UNDER SECTIONS 920D OF THE CORPORATIONS ACT
2001**

TAKE NOTICE that under sections 920D of the Corporations Act 2001 the Australian Securities and Investments Commission varies the banning order made on 13 September 2017 that prohibited Mr Houghton from providing financial services permanently.

The permanent banning order is varied to prohibiting Mr Houghton from providing financial services, performing one or more functions as an officer of an entity that carries on a financial services business or controlling an entity that carries on a financial services business to 6 years effective from 25 September 2017.

Dated this 18th day of November 2021.

Signed: 
MELANIE BAXTER
Delegate of the
Australian Securities and Investments Commission.

Your attention is drawn to section 920C(2) and s1311 of the Corporations Act 2001 which provides that a person commits an offence if they engage in conduct that breaches a banning order that has been made against them. (Penalty: 600 penalty units or imprisonment for 5 years or both.)

21-0932

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

Enabling legislation

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

Title

2. This instrument is ASIC Instrument 21-0932.

Commencement

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

Declaration

4. Chapter 5C of the Act applies to Acure Funds Management Limited (ACN 151 502 680) in its capacity as responsible entity of Australind Trust (ARSN 655 225 880), Shepparton Home Trust (ARSN 655 226 181), 64 GEH Trust (ARSN 655 225 433), Industrial Trust No. 1 (ARSN 655 226 118), OTC Karratha Unit Trust (ARSN 655 226 921), OTC Carnarvon Unit Trust (ARSN 655 226 789), OTC Port Headland Unit Trust (ARSN 655 227 115), Apartment 66 Unit Trust (ARSN 655 227 231); (each a *Scheme* and together *the Schemes*) as if the following provisions of that Chapter were modified or varied:
 - (a) after section 601FE insert:

“601FEA Modification of duties: stapled securities

 - (1) This section applies to a registered scheme where the interests in the scheme and interests in one or more other registered schemes are components of stapled securities.
 - (2) For the purposes of paragraphs 601FC(1)(c) and 601FD(1)(c), an obligation to act in the best interests of members of the scheme is an obligation to act in the best interests of the members of the scheme having regard to their interests as members of all the schemes.
 - (3) For the purposes of paragraphs 601FC(1)(e), 601FD(1)(d) and 601FD(1)(e), and subsection 601FE(1), an obligation not to make use of information, or not make improper use of position, in order to cause detriment to the members of the scheme is an obligation not to do those things in order to cause detriment to the members of the scheme having regard to their membership of all the schemes.”;
 - (b) after subsection 208(2) as notionally inserted by section 601LC, insert:

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“(2A) Member approval is not required for the giving of a financial benefit and the benefit need not be given within 15 months if all the following conditions are satisfied:

- (a) the benefit either:
 - (i) is given out of the scheme property of a registered scheme; or
 - (ii) could endanger the scheme property;
- (b) all of the interests in the scheme and all of the interests in all the other schemes are components of stapled securities;
- (c) the benefit is given by:
 - (i) the responsible entity of the scheme; or
 - (ii) an entity that the responsible entity controls; or
 - (iii) an agent of, or person engaged by, the responsible entity;
- (d) the benefit is given to:
 - (i) an entity wholly owned, whether directly or indirectly, by the scheme; or
 - (ii) one of the other schemes or an entity that is wholly owned, whether directly or indirectly, by one of the other schemes; or
 - (iii) an entity wholly owned, whether directly or indirectly, jointly by the scheme and the other schemes.

(2B) For the purposes of this section:

- (a) an entity is wholly owned by another entity if all of the shares or interests (as applicable) in the first-mentioned entity are held by, or held by a nominee for (in the case of the second-mentioned entity being a company), or form part of the trust property of (in the case of the second-mentioned entity being a trust), the second-mentioned entity or a wholly owned entity of it; and
- (b) a reference to the giving of a benefit to an entity which is a trust is a reference to the giving of a benefit to the trustee of the trust so as to form part of the trust property of the trust or for the benefit of the trust beneficiaries.”; and

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- (c) insert after section 601PC:

“601PD Stapled securities

For the purposes of this Chapter:

stapled securities means two or more financial products including at least one interest in a registered scheme where:

- (a) under the terms on which each of the products are to be traded, they must be transferred together; and
- (b) there are no financial products in the same class as those financial products which may be transferred separately.”

Where this declaration applies

5. This declaration applies where each interest in the Scheme must, under the terms upon which it is to be traded, only be transferred with an interest in the other Schemes.

Where this declaration ceases to apply

6. This declaration ceases to apply if interests in any class, other than the class of interests in the Scheme and interests in the other Schemes that are already on issue as at the date of this instrument, are issued.

Dated this 22nd day of November 2021



Signed by Marie-Christine De Greeff
as a delegate of the Australian Securities and Investments Commission

21-0937

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

Notice of Cancellation of an Australian Financial Services Licence

TO: Christian Hennequin & Associates Pty Ltd
ACN 079 365 898 ("the Licensee")
376 Plenty Road
Mill Park VIC 3082

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 237101 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 17 November 2021

Signed



Chun Kei Marco Lam
A delegate of the Australian Securities and Investments Commission

21-0956

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

Notice of Cancellation of an Australian Financial Services Licence

TO: Janice Frances Sharples
ABN 24 190 617 152 ("the Licensee")
10 Tamarang Street
TARRAGINDI QLD 4121

Pursuant to paragraph 915B(1)(e) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 383988 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 22 November 2021

Signed 

Gerard Mithen
A delegate of the Australian Securities and Investments Commission

21-0958

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

Notice of Cancellation of an Australian Financial Services Licence

TO: Industry Funds Management (Nominees 2) Pty Ltd
ACN 073 931 843 ("the Licensee")
Casselden
Level 22
2 Lonsdale 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 284301 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 22 November 2021

Signed 

Gerard Mithen
A delegate of the Australian Securities and Investments Commission

21-0967



Australian Market Licence (ASX Limited) Additional Conditions Notice 2021 (No. 1)

Corporations Act 2001

I, Kim Demarte, Acting Senior Executive Leader, Australian Securities and Investments Commission, issue this notice under paragraph 796A(1)(a) of the *Corporations Act 2001* (the Act).

Dated 24 November 2021

Signed 

as a delegate of the Minister under section 1101J of the Act.

1 Name of notice

This notice is the *Australian Market Licence (ASX Limited) Additional Conditions Notice 2021 (No. 1)*.

2 Commencement

This notice takes effect from 24 November 2021.

3 Additional conditions

Schedule 1 sets out additional conditions that are imposed on the *Australian Market Licence (ASX Limited) 2002* as varied by:

- (a) *Australian Market Licence (Australian Stock Exchange Limited) Variation Notice 2004 (No. 1)*; and
- (b) *Australian Market Licence (Australian Stock Exchange Limited) Variation Notice 2006 (No. 1)*.

Schedule 1—Conditions

1 Definitions

In this Schedule:

Executive Steering Group means the Executive Steering Group overseeing the execution by the licensee of the remedial actions to address the IBM review recommendations.

go-live in relation to a relevant technology project means the licensee cutting over to a new technology or system that is to be delivered or implemented as part of the relevant technology project.

IBM review recommendations means the recommendations contained in the final report by IBM issued to the licensee and dated 22 June 2021.

licensee means ASX Limited.

quarter end date means 31 March, 30 June, 30 September and 31 December.

relevant oversight body means:

- (a) the Executive Steering Group; or
- (b) if the Executive Steering Group is no longer in place—any other group of senior executives of the licensee overseeing the execution by the licensee of the remedial actions to address the IBM review recommendations.

relevant technology project means a technology project that has been notified to ASIC by the licensee as a project under which it will give the attestations referred to in condition 6(2).

2 Implementation of the IBM review recommendations

The licensee must address each of the IBM review recommendations to the satisfaction of ASIC.

3 Quarterly reporting by licensee

- (1) The licensee must, by 31 January 2022 and thereafter within 14 days of each quarter end date occurring during the period from 31 March 2022 to 30 June 2023, give a report to ASIC and the independent expert appointed in accordance with condition 4 containing an update on:
 - (a) the progress of the implementation of the remedial actions undertaken by the licensee to address the IBM review recommendations; and

- (b) if there are any issues in implementing any remedial actions, the reasons for those issues and what action the licensee will take to address them (*quarterly report*).

The quarterly report must be accompanied by an attestation from the relevant oversight body confirming that the relevant oversight body reasonably believes the quarterly report is accurate. The attestation may be made by one or more members of the relevant oversight body authorised by the relevant oversight body to make the attestation on its behalf.

4 Appointment of an independent expert

- (1) The licensee must, within 14 days of the imposition of the conditions in this Schedule, appoint an independent third party (*independent expert*) to:
- (a) review and assess each of the quarterly reports; and
 - (b) within 30 days of receipt of each quarterly report, provide the licensee and ASIC with a written report setting out whether the remedial actions undertaken in the period covered by the report demonstrate appropriate implementation of, and progress towards addressing, the IBM review recommendations.
- (2) The independent expert appointed by the licensee must:
- (a) be satisfactory to ASIC; and
 - (b) engaged on terms and conditions that are satisfactory to ASIC.

5 Reasonable assistance to the independent expert

The licensee must:

- (a) permit the independent expert, to the extent that it is reasonable having regard to the engagement, to have access to its premises, equipment, technology, systems, books and records, and to interview its representatives;
- (b) give the independent expert any information, document or explanation reasonably requested by the independent expert; and
- (c) otherwise reasonably assist the independent expert in carrying out the terms of its engagement.

6 Board attestation requirements

- (1) Within 14 days after completion of all of the remedial actions necessary to fully address the IBM review recommendations, the licensee must provide ASIC with an attestation on behalf of the Board of Directors of the licensee confirming that, having regard to information provided by the licensee's

Schedule 1 Conditions

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senior executives and, where relevant, applicable reports from experts independent of the licensee:

- (a) the licensee has put in place adequate controls and procedures designed to implement the remedial actions; and
 - (b) the licensee has employed or engaged all necessary people with the requisite skill and expertise in order to implement the remedial actions.
- (2) Prior to go-live in connection with any relevant technology project, the licensee must provide ASIC with an attestation on behalf of the Board of Directors of the licensee confirming that, having regard to information provided by the licensee's senior executives and, where relevant, applicable reports from experts independent of the licensee:
- (a) the licensee has in place adequate controls and procedures designed to ensure that the licensee complies with section 792A of the Act; and
 - (b) the licensee has employed or engaged all necessary people with the requisite skill and expertise in order to comply with section 792A of the Act.

The licensee must ensure that it does not go-live on a relevant technology project unless 14 days have elapsed after the attestation has been given to ASIC.

7 Compliance with conditions

- (1) The licensee may seek ASIC's written consent to extend the time by which any of the requirements of the licence conditions in this Schedule are to be completed. The licensee must provide ASIC with written reasons for seeking the extension prior to expiry of the time under the licence condition for completion of the relevant requirement. No extension shall be effective until such time as ASIC has provided its written consent to the licensee.
- (2) Nothing in these licence conditions derogates from any other obligation of the licensee to give notice to ASIC of a matter under section 792B of the Act.
- (3) If the licensee fails to perform any of the requirements of the licence conditions in this Schedule in the time required by the conditions, or as extended under condition 7(1), the licensee must immediately notify ASIC in writing of the failure to perform the relevant requirement and when compliance with the relevant requirement of the conditions will occur.

8 Conclusion of licence conditions

- (1) Conditions 2 to 5 and 6(1) in this Schedule cease to have effect upon the provision of the attestation required under condition 6(1).
- (2) All remaining licence conditions in this Schedule cease to have effect 14 days after each of the following are satisfied:
 - (a) an attestation required under condition 6(2) has been given in relation to a relevant technology project; and
 - (b) at the time of giving the attestation there are no other relevant technology projects in respect of which the licensee has yet to provide an attestation to ASIC under condition 6(2).

21-0968



Australian CS Facility Licence (ASX Clear Pty Limited) Additional Conditions Notice 2021 (No. 1)

Corporations Act 2001

I, Kim Demarte, Acting Senior Executive Leader, Australian Securities and Investments Commission, issue this notice under paragraph 825A(1)(a) of the *Corporations Act 2001* (the Act).

Dated 24 November 2021

Signed 

as a delegate of the Minister under section 1101J of the Act.

1. Name of notice

This notice is the *Australian CS Facility Licence (ASX Clear Pty Limited) Additional Conditions Notice 2021 (No. 1)*.

2. Commencement

This notice takes effect from 24 November 2021.

3. Additional conditions

Schedule 1 sets out additional conditions that are imposed on the *Australian CS Facility Licence (ASX Clear Pty Limited) 2002* as varied by:

- (a) *Australian CS Facility Licence (Options Clearing House Pty Limited) Variation Notice 2002 (No. 1)*;
- (b) *Australian CS Facility Licence (Options Clearing House Pty Limited) Variation Notice 2004 (No. 1)*;
- (c) *Australian CS Facility Licence (Australian Clearing House Pty Limited)(Additional Conditions) Notice 2005 (No. 1)*

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- (d) *Australian CS Facility Licence (Australian Clearing House Pty Limited) Variation Notice 2010 (No.1); and*
- (e) *Australian CS Facility Licence (Australian Clearing House Pty Limited) Variation Notice 2010 (No.2).*

Schedule 1—Conditions

1 Definitions

In this Schedule:

CHES means the Clearing House Electronic Sub-register System.

CHES replacement program means the program to replace CHES with the CHES replacement system.

CHES replacement system means the system to replace CHES which is to be delivered or implemented as part of the CHES replacement program.

Executive Steering Group means the Executive Steering Group overseeing the CHES replacement program.

go-live in relation to the CHES replacement program means cutting over to the CHES replacement system.

go-live decision framework means the licensee's decision framework to proceed with the migration to the CHES replacement system and then go-live.

IBM review recommendations means the recommendations contained in the final report issued to ASX Limited dated 22 June 2021.

licensee means ASX Clear Pty Limited.

relevant oversight body means:

- (a) the Executive Steering Group; or
- (b) if the Executive Steering Group is no longer in place—any other group of senior executives of the licensee responsible for overseeing the CHES replacement program.

reporting date means 30 June and 31 December.

2 Appointment of an independent expert

- (1) Within 28 days of the imposition of the conditions in this Schedule, the licensee must appoint an independent third party (**independent expert**) to:
 - (a) assess the assurance program for implementation of the CHES replacement program and oversee the implementation of any remedial actions from the IBM review recommendations which are relevant to the CHES replacement program; and

-
- (b) provide the licensee and ASIC with the following written reports on the CHES replacement program and the CHES replacement system:
- (i) by 15 February 2022—a report on the design of the assurance program assessing whether the existing plan is fit for purpose, identifying any topics that need further independent assessment and proposing any remedial actions;
 - (ii) within 7 days after each reporting date occurring within the period commencing on 30 June 2022 and ending on the date go-live occurs—a report:
 - (A) providing an update on the matters set out in the report provided under condition 2(1)(b)(i);
 - (B) outlining the status of existing remedial actions and identifying any further remedial actions required; and
 - (C) containing an update on the implementation of any remedial actions from the IBM review recommendations which are relevant to the CHES replacement program;
 - (iii) not less than 14 days prior to go-live—a report on:
 - (A) the status of any remedial actions and whether they are necessary to be undertaken prior to go-live; and
 - (B) the findings of the totality of the assurance program reviews indicating whether the remedial actions identified by the independent expert in the reports referred to in conditions 2(1)(b)(i) and 2(1)(b)(ii) and the relevant IBM review recommendations have been appropriately implemented by the licensee; and
 - (iv) within 7 days before each of the dates that are 6 months and 12 months after go-live—a post implementation review report, including an assessment of whether the go-live decision framework was followed and identifying any remedial actions with respect to the CHES replacement system that the independent expert considers appropriate.
- (2) The independent expert appointed by the licensee must:
- (a) be satisfactory to ASIC; and
 - (b) engaged on terms and conditions that are satisfactory to ASIC.

- (3) The licensee must provide all assurance reviews received by the licensee in respect of the CHES replacement program and the CHES replacement system to the independent expert and to ASIC at the time of receipt.

3 Senior Executive attestation requirements

- (1) Prior to go-live the licensee must provide to ASIC an attestation from the relevant oversight body that the relevant oversight body reasonably believes that:
- (a) the licensee has implemented any remedial actions identified by the independent expert;
 - (b) the licensee has completed all necessary testing for go-live;
 - (c) all implementation readiness activity is complete;
 - (d) there are no known implementation issues or dependencies that would prevent the go-live;
 - (e) all open defects are not critical;
 - (f) the CHES replacement system has met its functional and non-functional requirements; and
 - (g) the CHES replacement system is operationally ready to go-live.
- (2) The attestation may be made by one or more members of the relevant oversight body authorised by the relevant oversight body to make the attestation on its behalf.
- (3) If the relevant oversight body is unable to attest to the matters in condition 3(1)(a) the attestation need not include that matter provided that it contains an outline of the remedial actions identified by the independent expert that have not been fully implemented and explains the reasons why.

4 Board attestation requirements

Prior to go-live for the CHES replacement system, the licensee must provide an attestation to ASIC on behalf of the Board of Directors of the licensee confirming that, having regard to information provided by the licensee's senior executives and, where relevant, applicable reports from experts independent of the licensee:

- (a) the licensee has put in place adequate controls and procedures designed to implement the remedial actions recommended by the independent expert appointed under condition 2(1); and
- (b) the licensee has employed or engaged all necessary people with the requisite skill and expertise in order to implement the remedial

actions recommended by the independent expert appointed under condition 2(1).

5 Conditions which must be satisfied before the replacement system goes live

The CHES replacement system must not go-live unless the documents and information referred to in conditions 2(1)(b)(i)—(iii), 2(3), 3 and 4 have been provided to ASIC and 14 days have elapsed after the provision of such documents and information to ASIC.

6 Compliance with conditions

- (1) The licensee may seek ASIC's written consent to extend the time by which any of the requirements of the licence conditions in this Schedule are to be completed. The licensee must provide ASIC with written reasons for seeking the extension prior to expiry of the time under the licence condition for completion of the relevant requirement. No extension shall be effective until such time as ASIC has provided its written consent to the licensee.
- (2) Nothing in these licence conditions derogates from any other obligation of the licensee to give notice to ASIC of a matter under section 821B of the Act.
- (3) If the licensee fails to perform any of the requirements of the licence conditions in this Schedule in the time required by the conditions, or as extended under licence condition 6(1), the licensee must immediately notify ASIC in writing of the failure to perform the relevant requirement and when compliance with the relevant requirement of the conditions will occur.

7 Conclusion of licence conditions

- (1) Conditions 3, 4 and 5 in this Schedule cease to have effect once go-live of the CHES replacement system has occurred.
- (2) All remaining licence conditions in this Schedule cease to have effect upon provision to ASIC of the report required to be given 12 months after go-live under condition 2(1)(b)(iv).

21-0969



Australian CS Facility Licence (ASX Settlement Pty Limited) Additional Conditions Notice 2021 (No. 1)

Corporations Act 2001

I, Kim Demarte, Acting Senior Executive Leader, Australian Securities and Investments Commission, issue this notice under paragraph 825A(1)(a) of the *Corporations Act 2001* (the Act).

Dated 24 November 2021

Signed 

as a delegate of the Minister under section 1101J of the Act.

1. Name of notice

This notice is the *Australian CS Facility Licence (ASX Settlement Pty Limited) Additional Conditions Notice 2021 (No. 1)*.

2. Commencement

This notice takes effect from 24 November 2021.

3. Additional conditions

Schedule 1 sets out additional conditions that are imposed on the *Australian CS Facility Licence (ASX Settlement Pty Limited) 2002* as varied by:

- (a) *Australian CS Facility Licence (ASX Settlement and Transfer Corporation Pty Limited) Variation Notice 2004 (No. 1)*;
- (b) *Australian CS Facility Licence (ASX Settlement and Transfer Corporation Pty Limited) Variation Notice 2010 (No. 1)*; and
- (c) *Australian CS Facility Licence (ASX Settlement and Transfer Corporation Pty Limited) Variation Notice 2010 (No. 2)*.

Schedule 1—Conditions

1 Definitions

In this Schedule:

CHES means the Clearing House Electronic Sub-register System.

CHES replacement program means the program to replace CHES with the CHES replacement system.

CHES replacement system means the system to replace CHES which is to be delivered or implemented as part of the CHES replacement program.

Executive Steering Group means the Executive Steering Group overseeing the CHES replacement program.

go-live in relation to the CHES replacement program means cutting over to the CHES replacement system.

go-live decision framework means the licensee's decision framework to proceed with the migration to the CHES replacement system and then go-live.

IBM review recommendations means the recommendations contained in the final report issued to ASX Limited dated 22 June 2021.

licensee means ASX Settlement Pty Limited.

relevant oversight body means:

- (a) the Executive Steering Group; or
- (b) if the Executive Steering Group is no longer in place—any other group of senior executives of the licensee responsible for overseeing the CHES replacement program.

reporting date means 30 June and 31 December.

2 Appointment of an independent expert

- (1) Within 28 days of the imposition of the conditions in this Schedule, the licensee must appoint an independent third party (**independent expert**) to:
 - (a) assess the assurance program for implementation of the CHES replacement program and oversee the implementation of any remedial actions from the IBM review recommendations which are relevant to the CHES replacement program; and

-
- (b) provide the licensee and ASIC with the following written reports on the CHES replacement program and the CHES replacement system:
- (i) by 15 February 2022—a report on the design of the assurance program assessing whether the existing plan is fit for purpose, identifying any topics that need further independent assessment and proposing any remedial actions;
 - (ii) within 7 days after each reporting date occurring within the period commencing on 30 June 2022 and ending on the date go-live occurs—a report:
 - (A) providing an update on the matters set out in the report provided under condition 2(1)(b)(i);
 - (B) outlining the status of existing remedial actions and identifying any further remedial actions required; and
 - (C) containing an update on the implementation of any remedial actions from the IBM review recommendations which are relevant to the CHES replacement program;
 - (iii) not less than 14 days prior to go-live—a report on:
 - (A) the status of any remedial actions and whether they are necessary to be undertaken prior to go-live; and
 - (B) the findings of the totality of the assurance program reviews indicating whether the remedial actions identified by the independent expert in the reports referred to in conditions 2(1)(b)(i) and 2(1)(b)(ii) and the relevant IBM review recommendations have been appropriately implemented by the licensee; and
 - (iv) within 7 days before each of the dates that are 6 months and 12 months after go-live—a post implementation review report, including an assessment of whether the go-live decision framework was followed and identifying any remedial actions with respect to the CHES replacement system that the independent expert considers appropriate.
- (2) The independent expert appointed by the licensee must:
- (a) be satisfactory to ASIC; and
 - (b) engaged on terms and conditions that are satisfactory to ASIC.

- (3) The licensee must provide all assurance reviews received by the licensee in respect of the CHES replacement program and the CHES replacement system to the independent expert and to ASIC at the time of receipt.

3 Senior Executive attestation requirements

- (1) Prior to go-live the licensee must provide to ASIC an attestation from the relevant oversight body that the relevant oversight body reasonably believes that:
- (a) the licensee has implemented any remedial actions identified by the independent expert;
 - (b) the licensee has completed all necessary testing for go-live;
 - (c) all implementation readiness activity is complete;
 - (d) there are no known implementation issues or dependencies that would prevent the go-live;
 - (e) all open defects are not critical;
 - (f) the CHES replacement system has met its functional and non-functional requirements; and
 - (g) the CHES replacement system is operationally ready to go-live.
- (2) The attestation may be made by one or more members of the relevant oversight body authorised by the relevant oversight body to make the attestation on its behalf.
- (3) If the relevant oversight body is unable to attest to the matters in condition 3(1)(a) the attestation need not include that matter provided that it contains an outline of the remedial actions identified by the independent expert that have not been fully implemented and explains the reasons why.

4 Board attestation requirements

Prior to go-live for the CHES replacement system, the licensee must provide an attestation to ASIC on behalf of the Board of Directors of the licensee confirming that, having regard to information provided by the licensee's senior executives and, where relevant, applicable reports from experts independent of the licensee:

- (a) the licensee has put in place adequate controls and procedures designed to implement the remedial actions recommended by the independent expert appointed under condition 2(1); and
- (b) the licensee has employed or engaged all necessary people with the requisite skill and expertise in order to implement the remedial

actions recommended by the independent expert appointed under condition 2(1).

5 Conditions which must be satisfied before the replacement system goes live

The CHES replacement system must not go-live unless the documents and information referred to in conditions 2(1)(b)(i)—(iii), 2(3), 3 and 4 have been provided to ASIC and 14 days have elapsed after the provision of such documents and information to ASIC.

6 Compliance with conditions

- (1) The licensee may seek ASIC's written consent to extend the time by which any of the requirements of the licence conditions in this Schedule are to be completed. The licensee must provide ASIC with written reasons for seeking the extension prior to expiry of the time under the licence condition for completion of the relevant requirement. No extension shall be effective until such time as ASIC has provided its written consent to the licensee.
- (2) Nothing in these licence conditions derogates from any other obligation of the licensee to give notice to ASIC of a matter under section 821B of the Act.
- (3) If the licensee fails to perform any of the requirements of the licence conditions in this Schedule in the time required by the conditions, or as extended under licence condition 6(1), the licensee must immediately notify ASIC in writing of the failure to perform the relevant requirement and when compliance with the relevant requirement of the conditions will occur.

7 Conclusion of licence conditions

- (1) Conditions 3, 4 and 5 in this Schedule cease to have effect once go-live of the CHES replacement system has occurred.
- (2) All remaining licence conditions in this Schedule cease to have effect upon provision to ASIC of the report required to be given 12 months after go-live under condition 2(1)(b)(iv).

21-0978

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 22 November 2021

AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION**IN THE MATTER OF JAMES TERENCE FURNELL****Banning order under sections 920A and 920B
of the *Corporations Act 2001***

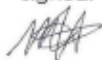
To: James Terence Furnell

Take notice that under sections 920A and 920B of the *Corporations Act 2001* the Australian Securities and Investments Commission prohibits James Terence Furnell for a period of seven (7) years from:

- (a) providing any financial services and
- (b) controlling, whether alone or in concert with one or more other entities, an entity that carries on a financial services business and
- (c) performing any function involved in the carrying on of a financial services business (including as an officer, manager, employee, contractor, or in some other capacity).

Dated this 19th day of November 2021.

Signed:



Myra Poon
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.

21-0979

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 24 November 2021

AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION**IN THE MATTER OF ADRIAN SUMMERS****Banning order under sections 920A and 920B
of the *Corporations Act 2001***

To: Adrian Summers

Take notice that under sections 920A and 920B of the *Corporations Act 2001* the Australian Securities and Investments Commission prohibits Adrian Summers for a period of five (5) years from:

- (a) providing any financial services and
- (b) controlling, whether alone or in concert with one or more other entities, an entity that carries on a financial services business and
- (c) performing the following specified functions (in any capacity) involved in the carrying on of a financial services business:
 - managing, supervising or auditing the provision of financial services
 - providing training about financial services or products.

Dated this 19th day of November 2021.

Signed:



Myra Poon
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.

21-0980

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 24 November 2021.

AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION**NOTICE OF CANCELLATION OF AUSTRALIAN FINANCIAL SERVICES LICENCE**

To: United Wealth Group Pty Ltd ACN 608 358 461

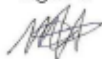
Under section 915C of the Corporations Act 2001 (the Act) the Australian Securities and Investments Commission cancels Australian financial services licence number 499203 held by United Wealth Group Pty Ltd ACN 608 358 461.

Under section 915H of the Act ASIC specifies that the Licence continues in effect for 12 months, as though the cancellation has not happened for the purposes of:

- s 912A(1)(g) to the extent that it requires the licensee to have a dispute resolution system complying with s 912A(2)(b) (which requires the licensee to be a member of the AFCA scheme) and
- s 912B and regulations 7.6.02AAA and 7.6.02AA (which require the licensee to have arrangements for compensating retail clients including the holding of professional indemnity insurance cover).

Dated this 19th day of November 2021.

Signed:



Myra Poon
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 twenty-sixth day of November 2021

Name of Company

ARBN

ROLLEX MEDICAL (N Z) LIMITED

142 910 736

CORPORATIONS ACT 2001
Section 601CC(3)

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

Dated this twenty-sixth day of November 2021

Name of Company

ARBN

KELLYGANG AND FRIENDS INCORPORATED

091 479 711

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 twenty-sixth day of November 2021

Name of Company	ARBN
FUNDROCK MANAGEMENT COMPANY S.A.	625 926 847
MAN SERIES 6 OM-IP 220 LIMITED	096 060 776
NAT TECH, LLC	636 066 825

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 twenty-sixth day of November 2021

Name of Scheme

ARSN

BLACKROCK STRATEGIC OPPORTUNITY FUND

639 854 667

CFML LISTED PROPERTY FUND

154 057 397

CORPORATIONS ACT 2001
Subsection 601PA(3)

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

Dated this twenty-sixth day of November 2021

Name of Scheme

ARSN

EPOCH SHAREHOLDER YIELD TRUST

639 665 320

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.

AWARE ENVIRONMENTAL LTD

ACN 134 677 955 will change to a proprietary company limited by shares. The new name will be AWARE ENVIRONMENTAL PTY LTD ACN 134 677 955.

LOGIN&GO LTD ACN 644 805 336 will change to a proprietary company limited by shares. The new name will be LOGIN&GO PTY LTD ACN 644 805 336.

RIMFIRE PACIFIC MINING N.L.

ACN 006 911 744 will change to a public company limited by shares. The new name will be RIMFIRE PACIFIC MINING LIMITED ACN 006 911 744.

VEGANIC SKN PTY LTD ACN 142 515 437 will change to a public company limited by shares. The new name will be VEGANIC SKN LIMITED ACN 142 515 437.

COMFORTDELGRO CORPORATION

AUSTRALIA LTD ACN 002 072 004 will change to a proprietary company limited by shares. The new name will be COMFORTDELGRO CORPORATION AUSTRALIA PTY LTD ACN 002 072 004.

PEPPER CAPITAL CORPORATION LIMITED

ACN 106 677 301 will change to a proprietary company limited by shares. The new name will be PEPPER CAPITAL CORPORATION PTY LIMITED ACN 106 677 301.

TATTERSALL'S HOLDINGS PTY LTD

ACN 081 925 706 will change to a public company limited by shares. The new name will be TATTERSALL'S HOLDINGS LIMITED ACN 081 925 706.

VYTAS RESOURCES PTY LTD ACN 644 572 403 will change to a public company limited by shares. The new name will be VYTAS RESOURCES LIMITED ACN 644 572 403.