

# EU final compliance report by ASIC

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ASIC's final report dated 31 October 2017, on compliance with the section 93AA of the ASIC Act enforceable undertaking given by Avalon Pacific Capital Pty Ltd (ACN 138 130 328) (**Avalon**) dated 24 July 2017.

Terms used in this report have the same meaning as used in the 24 July 2017 enforceable undertaking.

| <b>Undertakings</b>  | <b>Report on compliance</b>  |
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| Resignation as an NSX Participant– sub-paragraph 4.1.1                 | 1. Avalon resigned as an NSX Market Participant within 30 days of the date of the EU, in accordance with sub-paragraph 4.1.1 of the EU.  |
| Amend authorised representatives' authorisations – sub-paragraph 4.1.4 | 2. Avalon amended the authorisations of its authorised representative the Collins Street Group Pty Ltd within 30 days of the date of the EU, in accordance with sub-paragraph 4.1.4 of the EU. |