



Australian Securities & Investments Commission

Commonwealth of Australia Gazette No. A01/18, Tuesday, 2 January 2018

Published by ASIC



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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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Australian Securities & Investments Commission

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

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

TO: MAP Funds Management Ltd. ACN 011 061 831 ("Licensee") Level 5, 10-14 Spring Street SYDNEY NSW 2000

Pursuant to paragraph 915B(3)(d) of the Corporations Act 2001 the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 240753 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 18 December 2017

Signed

Kolles

Kim Demarte

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# ASIC

Australian Securities & Investments Commission

# 17-0787

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

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

TO: Plaman Group (Management) Pty Ltd ACN 169 962 707 ("the Licensee") Suite 702 3 Spring Street SYDNEY NSW 2000

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 461975 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

14 December 2017

Signed

Koule

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ASIC

Australian Securities & Investments Commission

### 17-0837

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

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

TO: Chubb Insurance Company of Australia Limited ACN 003 710 647 ("the Licensee") GPO Box 4065 SYDNEY NSW 2001

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 239778 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

20 December 2017

Signed ......

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# ASIC

Australian Securities & Investments Commission

17-1084

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

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

TO: Annuity Australia Pty Ltd, ACN 600 619 216 ("the Licensee") 7 Myamyn Street Armidale VIC 3143

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 462187 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 19 December 2017

Signed

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Australian Securities & Investments Commission

# 17-1093

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

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

TO: Lothbury Advisory Pty Ltd ACN 113 292 710 ("the Licensee") - Deregistered C/- Lothbury Pty Ltd 19 Charles Street SOUTH PERTH WA 6151

Pursuant to paragraph 915B(3)(a) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 292517 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

18 December 2017

Signed

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John Connor A delegate of the Australian Securities and Investments Commission

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ASIC

Australian Securities & Investments Commission

17-1095

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

Notice of Cancellation of an Australian Financial Services Licence

TO: Richmond Hill Capital Managers Pty Ltd ACN 101 508 632 ("the Licensee") - Deregistered 5 Moorhouse Street ARMADALE VIC 3143

Pursuant to paragraph 915B(3)(a) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 261989 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

18 December 2017

Signed

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John Connor A delegate of the Australian Securities and Investments Commission

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ASIC

Australian Securities & Investments Commission

# 17-1102

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

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

TO: Robert Leslie Rogers ABN 87 597 632 099 ("the Licensee") 3 St. Georges Avenue TEMPLESTOWE VIC 3106

Pursuant to paragraph 915B(i)(e) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 275559 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 20 December 2017

Signed Malle

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ASIC

Australian Securities & Investments Commission

# 17-1104

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

# Notice of Cancellation of an Australian Financial Services Licence

TO: Trimantium Capital Funds Management Pty Ltd ACN 602 329 902 ("the Licensee") Level 9 287 Collins Street MELBOURNE VIC 3000

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 467850 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

A December 2017

Signed

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Australian Securities & Investments Commission

# 17-1112

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

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

TO: Timber Hill Australia Pty Limited ACN 079 993 534 ("the Licensee") Level 40 Grosvenor Place 224 George Street SYDNEY NSW 2000

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 244380 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 20 December 2017

Signed

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ASIC

Australian Securities & Investments Commission

# 17-1113

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

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

TO: Rachelle Heather Pty Limited ACN 169 150 225 ("the Licensee") PO Box 772 MARYBOROUGH QLD 4650

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 476818 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 20 December 2017.

Signed

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| Australian Securities and Investments Commission<br>Corporations Act 2001 Section 915B |  |  |  |  |  |
| Notice of Cancellation of an Australian Financial Services Licence                     |  |  |  |  |  |
| AC<br>Let<br>384   | GU Insurance Limited<br>IN 004 478 371 ("the Licensee")<br>vel 26, NRMA Centre<br>8 George Street<br>IDNEY NSW 2000  |  |  |  |  |
| Securities<br>Services I   | to paragraph 915B(3)(d) of the <b>Corpo</b><br>and Investments Commission hereby<br>Licence number 238291 held by the Li<br>hich this notice is given to the License | cancels Australian Financial<br>censee, with effect from the |  |  |  |
| Dated  | 14 December 2017   |  |  |  |  |
| Signed   | MOULLA<br>Kim Demarte<br>a delegate of the Australian Securitie  |  |  |  |  |

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ASIC

Australian Securities & Investments Commission

# 17-1117

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

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

TO: HBF Insurance Limited ACN 009 268 277 ("the Licensee") Level 26, NRMA Centre 388 George Street SYDNEY NSW 2000

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 229190 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 14 December 2017

Signed

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| NEW SEC  | ASIC<br>Australian Securities & Investments Commission                  |  |  |  |
|  | 17-1118   |  |  |  |
| Australian Securities and Investments Commission<br>Corporations Act 2001 Section 915B   |   |  |  |  |
| Notice of Cancellation of an Australian Financial Services Licence   |   |  |  |  |
| TO: WFI Insurance Limited<br>ACN 000 036 279 ("the Licensee")<br>Level 26, NRMA Centre<br>388 George Street<br>SYDNEY NSW 2000   |   |  |  |  |
| Pursuant to paragraph 915B(3)(d) of the Construction Securities and Investments Commission here Services Licence number 241461 held by the date on which this notice is given to the Licence for the Licence f | ereby cancels Australlan Financial<br>he Licensee, with effect from the |  |  |  |
| Dated 14 December 2017   |   |  |  |  |
| Signed Kim Demarte<br>a delegate of the Australian Sec   | urities and Investments Commission                                      |  |  |  |

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ASIC

Australian Securities & Investments Commission

# 17-1120

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

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

TO: Mutual Community General Insurance Proprietary Limited ACN 007 895 543 ("the Licensee") Level 26, NRMA Centre 388 George Street SYDNEY NSW 2000

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 237634 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 14

14 December 2017.

Signed

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ASIC

Australian Securities & Investments Commission

# 17-1121

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

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

TO: Swann Insurance (Aust) Pty Ltd ACN 000 886 680 ("the Licensee") Level 26, NRMA Centre 388 George Street SYDNEY NSW 2000

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 238292 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 14 December 2017

Signed

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#### 17-1132

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

#### Enabling legislation

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

### Title

2. This instrument is ASIC Instrument 17-1132.

#### Commencement

3. This instrument commences on 18 December 2017.

#### Declaration

- Chapter 6 of the Act applies to Managed Accounts Holdings Limited ACN 128 316 441 (the *Company*) as if section 609 of the Act were modified or varied by, after subsection (13) (as notionally inserted by ASIC Class Order [CO 13/520]), inserting:
  - "(14) A body corporate does not have a relevant interest in its own securities merely because, under an escrow arrangement entered into by the body corporate, the body corporate applies restrictions on the disposal of the securities by the holder."
- Chapter 6C of the Act applies to the Company as if section 671B were modified or varied by, after subsection 671B(7) (as notionally inserted by ASIC Class Order [CO 13/520]), inserting:

#### "671B(8) Escrow Agreements

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

#### Where this instrument applies

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

#### 1

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### 17-1132

- (a) is entered into in connection with the acquisition by the Company of Linear Financial Holdings Pty Ltd ACN 118 723 023 (the Acquired Company);
- (b) restricts disposal of, but not the exercise of voting rights attaching to, the Escrowed Securities;
- (c) together with each other Escrow Agreement, does not create a restriction continuing more than 12 months after the date of issue of the Escrowed Securities;
- (d) in the case of a takeover bid:
  - allows each Shareholder to accept into the takeover bid where holders of at least half of the bid class securities that are not subject to any Escrow Agreement with the Company have accepted into the bid; and
  - (ii) requires that the Escrowed Securities be returned to escrow if the bid does not become unconditional;
  - and
- (e) allows the Escrowed Securities to be transferred or cancelled as part of a merger by way of a compromise or arrangement under Part 5.1 of the Act.

### Interpretation

7. In this instrument:

*Shareholder* means a vendor of the Acquired Company or a nominee of such vendor, and who were issued Escrowed Securities as part consideration for the sale to the Company of the Acquired Company.

Dated this 18th day of December 2017

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Signed by Nicky Tran as a delegate of the Australian Securities and Investments Commission

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#### 17-1133

#### Australian Securities and Investments Commission Corporations Act 2001 – Paragraph 926A(2)(a) – Exemption

#### Enabling legislation

 The Australian Securities and Investments Commission (ASIC) makes this instrument under paragraph 926A(2)(a) of the Corporations Act 2001 (the Act).

### Title

This instrument is ASIC Instrument 17-1133.

#### Commencement

This instrument commences on 1 January 2018.

#### Exemption

- The Uniting Church in Australia Property Trust (S.A.) ABN 25 068 897 781 (UCAPT) does not have to comply with subsection 911A(1) of the Act for the provision of any of the following financial services:
  - (a) issuing a debenture; and
  - (b) providing general advice that is included in an offer document for debentures.

#### Conditions

- UCAPT has had accepted by ASIC, an identification statement pursuant to paragraph 5(3)(a) of ASIC Corporations (Charitable Investment Fundraising) Instrument 2016/813 (Instrument 2016/813), and has not been notified in writing that ASIC has revoked the acceptance;
- UCAPT must comply at all times with the requirement in section 5(3) and the conditions in section 7 of Instrument 2016/813; and
- On or before 1 January 2018, UCAPT must disclose the effect of this instrument to investors and on its website.

#### Where exemption ceases to apply

This exemption ceases to apply on 31 March 2018.

#### Interpretation

In this instrument:

offer document means any document which contains an offer for the issue of debentures in connection with UCAPT.

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identification statement has the meaning given in section 4 of Instrument 2016/813.

Dated this 21st day of December 2017

Signed by Jayaki Somasegaram as a delegate of the Australian Securities and Investments Commission

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### 17-1135

#### Australian Securities and Investments Commission Corporations Act 2001 – Subsection741(1) – Declaration

#### Enabling legislation

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

#### Title

This instrument is ASIC Instrument 17 - 1135

#### Commencement

This instrument commences on 19 December 2017.

#### Declaration

- 4. Chapter 6D of the Act applies to Afterpay Touch Group Limited ACN 618 280 649 (Afterpay AUS), Afterpay US, Inc (a body incorporated under the laws of Delaware USA), (Afterpay USA), a person who holds securities in Afterpay AUS and a person who holds securities in Afterpay USA as if:
  - (a) the definition of *continuously quoted securities* in section 9 of the Act, as notionally modified by ASIC Corporations (Disregarding Technical Relief) Instrument 2016/73 and ASIC Corporations (Sale Offers: Securities Issued on Conversion of Convertible Notes) Instrument 2016/82, were further modified or varied by:
    - (i) omitting "prospectus or Product Disclosure Statement or notice given under paragraph 708A(12C)(e) or 1012DA(12C)(e)" (twice occurring), and substituting "prospectus, Product Disclosure Statement or notice given under paragraph 708A(12C)(e), 708A(12G)(e) or 1012DA(12C)(e)"; and
    - (ii) in subparagraph (b)(ii), omitting "or declaration under paragraph 741(1)(b)".
  - (b) section 708A, as notionally modified by ASIC Corporations (Non-Traditional Rights Issues) Instrument 2016/84 and ASIC Corporations (Sale Offers: Securities Issued on Conversion of Convertible Notes) Instrument 2016/82, were further modified or varied as follows:
    - (i) in paragraph (1)(a) omitting "(11), (12), (12A) or (12C),", and substituting "(11), (12), (12A), (12C) or (12G),"; and
    - (ii) after notional subsection (12F) (as inserted by ASIC Corporations (Sale Offers: Securities Issued on Conversion of Convertible Notes) Instrument 2016/82) inserting:

"Sale offer of certain securities issued on conversion of convertible notes

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### 17-1135

- (12G) The sale offer does not need disclosure to investors under this Part if:
  - (a) the relevant securities:
    - were issued by reason of the conversion of convertible notes; and
    - (ii) are listed entity securities; and
  - (b) on the day on which a notice in relation to the convertible notes was given under paragraph (e):
    - securities in the same class as listed entity securities were continuously quoted securities; and
    - there was no determination under subsection 713(6) in force in respect of the listed entity; and
  - (c) trading in securities in the class of listed entity securities on the prescribed financial market on which they are quoted was not suspended for more than a total of 5 days during the shorter of the period during which the class of listed entity securities were quoted, and the period of 12 months before the day on which the convertible notes were issued; and
  - (d) the conversion of the convertible notes did not involve any further offer; and
  - (e) the listed entity and note issuer jointly gave the relevant market operator for the listed entity a notice that complied with subsection (12H) on the same day as, or within 2 business days before, the day on which the convertible notes were issued.
- (12H) A notice complies with this subsection if:
  - (a) the notice contains the following information:
    - (i) for the convertible notes the information required by subsection 713(2); and
    - (ii) for the listed entity securities the information required by subsections 713(2) to (5);
    - as if the notice were a prospectus; and
  - (b) the information in the notice is worded and presented in a clear, concise and effective manner; and
  - (c) where the notice includes a statement by a person, or a statement said in the notice to be based on a statement by a person:
    - the person has consented to the statement being included in the notice in the form and context in which it is included; and

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### 17-1135

- the notice states that the person has given this consent; and
- (iii) the person has not withdrawn this consent before the notice is given to the relevant market operator.
- (12I) If the listed entity and note issuer jointly give a notice under paragraph (12G)(e) in relation to convertible notes, each financial report or directors' report of the listed entity required under section 298 in relation to a financial year during which those convertible notes were on issue must contain the following information:
  - (a) the:
    - number of convertible notes in that class that have not converted as at the end of the financial year; and
    - (ii) maximum number of listed entity securities into which the convertible notes will convert; and
    - (iii) price (if any) to be paid on conversion; and
    - (iv) circumstances in which conversion may occur; and
  - (b) the remaining liability of the note issuer to make payments under convertible notes in that class as at the end of the financial year; and
  - (c) the average conversion price (if any) paid for any convertible notes in that class that were converted during the financial year and the number of listed entity securities into which they converted; and
  - (d) any other matters relating to the convertible notes that holders of ED securities of the listed entity providing the financial report would reasonably require to make an informed assessment of the financial position of the listed entity and its prospects for future financial years.
- (12J) The financial report and directors' report may omit material that would otherwise be included under paragraph (121)(d) if it is likely to result in unreasonable prejudice to:
  - (a) the listed entity; or
  - (b) if consolidated financial statements are required the consolidated entity or any entity (including the listed entity) that is part of the consolidated entity.

If material is omitted, the report must say so.

(12K) For the purposes of subsections (12G), (12H), (12I), (12J) and (12K):

*listed entity* means, in relation to convertible notes, the issuer of the securities into which the convertible notes may convert.

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### 17-1135

listed entity securities means securities of a listed entity.

note issuer means, in relation to convertible notes, the issuer of the notes.".

#### Where this instrument applies

- This instrument applies to an offer of securities in Afterpay AUS for sale by a holder of the securities where:
  - the securities were issued by reason of the conversion of convertible notes issued by Afterpay USA;
  - (b) the convertible notes were issued by Afterpay USA in the period beginning on the date of this instrument and ending on 31 January 2018;
  - (c) the offers of convertible notes did not require disclosure to investors under Part 6D.2 of the Act;
  - (d) the terms of the convertible notes are substantially the same as the terms provided to ASIC on 8 December 2017; and
  - (e) except for ASIC Instrument 17-1135 no declaration under paragraph 741(1)(b) relating to a disclosing entity provision for the purposes of Division 4 of Part 1.2A of the Act covered Afterpay AUS or Afterpay USA.

Dated this 19th day of December 2017

y

Signed by William Zhang as a delegate of the Australian Securities and Investments Commission

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#### 17-1137

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

#### Enabling legislation

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

#### Title

2. This instrument is ASIC Instrument 17-1137.

#### Commencement

3. This instrument commences on 20 December 2017.

#### Declaration

- 4. Chapter 5C of the Act applies to One Managed Investment Funds Limited ACN 117 400 987 in its capacity as the responsible entity of the Gryphon Capital Income Trust ARSN 623 308 850 (the *Trust*) as if Chapter 5C of the Act were further modified or varied as follows:
  - after paragraph 601GAE(2)(b) as notionally inserted into the Act by ASIC Class Order [CO 13/655], insert the following subsection:

"(2A) The constitution may provide an alternative formula or method when the interests in the scheme are in a class of interests that is traded on a financial market where:

- (a) the formula or method is based on the value of scheme property attributable to interests in that class at the time of issue less any liabilities that under the constitution may be met from that property attributable to interests in that class divided by the number of interests on issue in that class; and
- (b) the constitution contains a provision to the effect that if the issue price is set in accordance with a formula or method that is covered by paragraph 601GAE(2A)(a), the issue price must be greater than the issue price that is determined by using a formula or method under paragraph 601GAE(2)(b)."; and
- (b) in subsection 601GAE(1) as notionally inserted into the Act by ASIC Class Order [CO 13/655], omit "subsection (2)", and substitute "subsections (2) or (2A)".

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### 17-1137

### Where this declaration applies

 This declaration applies where interests in the Trust are in a class of interests that is traded on the financial market operated by ASX Limited ACN 008 624 691.

Dated this 20th day of December 2017

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Signed by Hassan Salem as a delegate of the Australian Securities and Investments Commission

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### 17-1142

### 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 20 December 2017.

#### Australian Securities and Investments Commission Section 915C Corporations Act 2001

#### Notice of Cancellation of Australian Financial Services Licence

To: Smart Trader International Pty Ltd ACN 604 911 622

TAKE NOTICE that under s915C(1)(a) and s915C(1)(aa) of the Corporations Act 2001 the Australian Securities and Investments Commission cancels Australian financial services licence number 475277 held by Smart Trader International Pty Ltd ACN 604 911 622.

Dated this 12th day of December 2017

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*).

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# ASIC

Australian Securities & Investments Commission

# 17-1144

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

#### Notice of Suspension of an Australian Financial Services Licence

- TO: QEnergy Limited ACN 120 124 101 (the Licensee) PO Box 3043 South Brisbane QLD 4101
- Pursuant to paragraph 915B(3)(d) of the Corporations Act 2001 (the Act), the Australian Securities and Investments Commission hereby suspends Australian Financial Services licence number 375889 (the AFSL) held by the Licensee until 30 April 2018, with effect from the date on which this notice is given to the Licensee.

#### Licence to continue in effect

- Pursuant to section 915H of the Act, the AFSL continues in effect while suspended, as though the suspension had not happened, for the purposes of Chapter 7 of the Act in relation to the following matters:
  - (a) dealing in a financial product by issuing, applying for, acquiring, varying or disposing of a derivative, where all of the following apply:
    - the dealing is for the sole purpose of hedging the Licensee's exposure to electricity spot prices;
    - before entering into a derivative transaction, the Licensee has provided written notice to the counterparty to the derivative informing the counterparty that:
      - (A) the Licensee is in breach of the financial conditions of the AFSL; and
      - (B) the AFSL has been voluntarily suspended;
    - (iii) the notice referred to in subparagraph (a)(ii) includes a copy of the Licensee's balance sheet that is current as at the time the Licensee enters into the derivative transaction;
    - (iv) new derivative transactions are entered into only with an eligible provider as defined in ASIC Pro Forma 209 as in force as at the date of this notice;

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Australian Securities & Investments Commission

- (v) for a dealing that occurs on or after 15 January 2018, the Licensee has provided to ASIC, no later than the tenth business day of each calendar month, commencing in January 2018, a report that is signed by a director of the Licensee which includes:
  - (A) the balance sheet of the Licensee;
  - (B) the Licensee's adjusted surplus liquid funds calculation;
  - (C) all derivative transactions entered into by the Licensee in the previous calendar month and the Licensee's open positions; and
  - (D) any dealings in miscellaneous financial risk products limited to value risk products, with respect to the previous calendar month;
- (b) dealing in a financial product by issuing, applying for, acquiring, varying or disposing of miscellaneous financial risk products limited to value risk products, where all of the following apply:
  - the dealing is for the sole purpose of hedging the Licensee's exposure to electricity spot prices;
  - before dealing in the product, the Licensee has provided written notice to the counterparty to the dealing informing the counterparty that:
    - (A) the Licensee is in breach of the financial conditions of the AFSL; and
    - (B) the AFSL has been voluntarily suspended;
  - (iii) the notice referred to in subparagraph (b)(ii) includes a copy of the Licensee's balance sheet that is current as at the time the Licensee deals in the product;
- (c) the provision of any financial service that is necessary to terminate, as soon as reasonably practicable, any financial services provided that involve matters not specified in paragraphs (a) or (b).

Dated 21 December 2017

Signed Marke

#### Kim Demarte

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### 17-1145

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

#### Enabling legislation

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

#### Title

2. This instrument is ASIC Instrument 17-1145.

#### Commencement

This instrument commences on 21 December 2017.

#### Declarations

- Chapters 6 and 6C of the Act apply to AXS Group Limited ACN 619 705 207 (the *Company*) as if section 609 were modified or varied by, after subsection (13) (as notionally inserted by ASIC Class Order [CO 13/520]), inserting:
  - "(13A) A body corporate does not have a relevant interest in its own securities merely because, under an escrow arrangement entered into by the body corporate, the body corporate applies restrictions on the disposal of the securities by the holder.".
- Chapters 6 and 6C of the Act apply to the Company as if section 9 were modified or varied by, after subparagraph (a)(ii)(C) in the definition of *substantial holding* (as notionally inserted by ASIC Class Order [CO 13/520]), inserting:

"or

- (D) subsection 609(13A) (securities subject to escrow arrangement);".
- Chapter 6C of the Act applies to the Company as if section 671B were modified or varied by, omitting "." in paragraph (7)(c) (as notionally inserted by ASIC Class Order [CO 13/520]), inserting:

"; or

(d) subsection 609(13A) (securities subject to escrow arrangement).".

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### 17-1145

#### Where this instrument applies

- 7. This instrument applies in relation to relevant interests the Company has in securities of the Company (*Escrowed Securities*) merely because the Company has entered into one or more escrow agreements or deeds (each an *Escrow Arrangement*) with each *Security Holder* in connection with the proposed admission of the Company's securities to the official list of the Australian Securities Exchange (*ASX*) where each Escrow Arrangement:
  - does not restrict the exercise of voting rights attaching to, the Escrowed Securities;
  - (b) in the case of a takeover bid (including a proportional takeover bid):
    - allows each Security Holder to accept into the Takeover Bid where holders of at least half of the bid class securities that are not subject to an Escrow Arrangement have accepted into the bid; and
    - (ii) requires that the Escrowed Securities be returned to escrow if the bid does not become unconditional;
  - allows the Escrowed Securities to be transferred or cancelled as part of a merger by way of compromise or arrangement under Part 5.1 of the Act;
  - (d) terminates on the date that is no later than two years after the date of execution of the relevant Escrow Arrangement; and
  - (e) is substantially in the same form as the draft agreement provided to ASIC on 27 November 2017.

#### Interpretation

- In this instrument Security Holder means any of the following persons who hold shares in the Company:
  - I. and L. Computer Services Pty. Ltd. ACN 006 545 713 ATF The Colak Family Trust;
  - ii. Kelvin Allan Poole;
  - LRA Consulting Pty Ltd ACN 109 526 516 ATF The Atkinson Consulting Trust;
  - iv. David Nigel Grey;
  - v. Brendan Dickson;
  - vi. A.C.N. 137 837 613 Pty Ltd ATF The Patrice A/C; and

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### 17-1145

vii. MMR Corporate Services Pty Ltd ACN 161 550 714.

Dated this 21st day of December 2017

MARUN

Signed by Nicky Tran as a delegate of the Australian Securities and Investments Commission

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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 twenty-second day of December 2017

Rosanne Bell DELEGATE OF THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

| Name of Company<br>AIR BERLIN PLC & CO. LUFTVERKEHRS KG | <b>ARBN</b><br>169 668 017 |
|---|----------------------------|
| CROAKYBILL LIMITED                                      | 141 530 805                |
| DUBLICOM LIMITED  | 140 096 475                |
| FLUIDIGM SINGAPORE PTE. LTD.                            | 160 260 953                |
| FMR GROUP LIMITED                                       | 125 356 498                |
| GILTECH PRECISION CASTINGS (2004) LIMITED               | 109 030 677                |
| JUHE CAPITAL HOLDINGS LIMITED                           | 612 600 423                |
| MONS ROYALE LIMITED                                     | 151 074 538                |
| NEWMONT AUSTRALIA INVESTMENT LIMITED                    | 000 812 751                |
| NOVA SYLVA FORESTRY NZ LIMITED                          | 130 926 626                |
| UNILIFE CORPORATION                                     | 141 042 757                |

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CORPORATIONS ACT 2001 Section 601CL(5)

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

Dated this twenty-second day of December 2017

Rosanne Bell DELEGATE OF THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

| Name of Company<br>FONEBANK RECYCLING LIMITED | <b>ARBN</b><br>159 496 518 |
|---|----------------------------|
| GE CAPITAL INTERNATIONAL HOLDINGS LIMITED     | 608 828 717                |
| RELIGARE CAPITAL MARKETS (HONG KONG) LIMITED  | 140 313 499                |

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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 twenty-second day of December 2017

Rosanne Bell DELEGATE OF THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Name of Scheme BT CASH ARSN 164 257 854

BT GLOBAL BOND FUND

087 593 002

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.

### **GENESYS HOLDINGS LIMITED**

ACN 144 965 006 will change to a proprietary company limited by shares. The new name will be GENESYS HOLDINGS PTY LTD ACN 144 965 006.

**ONEATOM 12 PTY LTD** ACN 608 890 259 will change to a public company limited by shares. The new name will be ONEATOM 12 LIMITED ACN 608 890 259.

**PFP MIDCO LTD** ACN 154 640 310 will change to a proprietary company limited by shares. The new name will be PFP MIDCO PTY LTD ACN 154 640 310.

### NOVA EMPLOYEE COMPANY PTY LTD

ACN 117 248 450 will change to a public company limited by shares. The new name will be NOVA EMPLOYEE COMPANY LTD ACN 117 248 450.

**ORION MINERALS NL** ACN 098 939 274 will change to a public company limited by shares. The new name will be ORION MINERALS LTD ACN 098 939 274.

### SYNERGY CAPITAL MANAGEMENT LIMITED

ACN 062 264 108 will change to a proprietary company limited by shares. The new name will be SYNERGY CAPITAL MANAGEMENT PTY LTD ACN 062 264 108.

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