



ASIC

Australian Securities & Investments Commission

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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 or from the Administrative Law Co-ordinator in the ASIC office with which you have been dealing.

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# Australian Market Licence (360 Trading Networks Inc.) 2019

Corporations Act 2001

I, Nathan Bourne, Senior Executive Leader, Australian Securities and Investments Commission grant this Licence under subsection 795B(2) of the *Corporations Act 2001* (the Act) and impose conditions on this Licence under subsection 796A(1) of the Act.

Dated 27/6/2019

Signed ....

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

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19-0208

#### 1. Name

This is the Australian Market Licence (360 Trading Networks Inc.) 2019.

#### 2. Commencement

This Licence commences when it is granted.

#### 3. Definitions

In this Licence unless the contrary intention appears, terms defined in the Act have the same meaning in this Licence and:

Act means the Corporations Act 2001.

ASIC means the Australian Securities and Investments Commission.

Australian client means, in relation to a participant in the Market, a person in this jurisdiction on whose behalf the participant deals on the Market.

#### Australian participant means:

- (a) an Australian entity that is a participant in the Market;
- (b) a foreign branch or office of an Australian entity where:
  - the foreign branch or office is a participant in the Market; or
  - the Australian entity is a participant in the Market.
- (c) an Australian branch or office of a foreign entity where:
  - (i) the Australian branch or office is a participant in the Market; or
  - (ii) the foreign entity is a participant in the Market.

foreign participant means a participant who is not an Australian participant.

Licensee means 360 Trading Networks Inc. ARBN 628 126 876.

Market means the financial market the Licensee is authorised to operate under this Licence.

reporting period means each period of 3 months, or part thereof, during which the Market is operated in Australia, ending on 31 March, 30 June, 30 September, or 31 December.

# 4. Grant of Licence

The Licensee is granted a licence to operate a financial market through which participants may make or accept offers to acquire or dispose of derivatives.

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#### 5. Participants

- It is a condition of this Licence that the Licensee must ensure that each Australian participant:
  - is a professional investor, or is a branch or office of an entity that is a professional investor; and
  - (b) only deals on the Market on their own behalf or on behalf of a person who is a professional investor.

#### 6. Clearing and settlement arrangements

- (1) It is a condition of this Licence that the Licensee must:
  - clearly inform participants of the Market of their respective responsibilities in relation to the clearing and/or settlement of trades entered into on the Market; and
  - (b) have in place adequate arrangements to facilitate the efficient clearing and/or settlement of trades entered into on the Market, which must be arrangements of one or more of the following types:
    - arrangements for the clearing and settlement of the trades with a clearing and settlement facility; or
    - (ii) arrangements to:
      - a. notify each party to a trade entered into on the Market of the identity of the other party to the trade; or
      - otherwise be satisfied that each party to a trade entered into on the Market knows the identity of the other party to the trade,

so that the parties to the trade can settle the trade in accordance with arrangements agreed between them.

# 7. Periodic trade reporting

(1) It is a condition of this Licence that the Licensee must give to ASIC, in a machine-readable format, at least the following information within 30 days after the end of each reporting period, for each product specified in the following table:

| Category           | Products                                      |  |
|--------------------|---|--|
| Commodity          | Agricultural derivatives, Energy derivatives, |  |
| derivatives        | Metals derivatives, Index derivatives,        |  |
|                    | Environmental derivatives, Freight            |  |
|                    | derivatives, Multi Commodity derivatives      |  |
| Credit derivatives | Index derivatives, Index Tranche derivatives, |  |
|                    | Single Name derivatives, Swaptions, Total     |  |
|                    | Return Swap, Total Return Swap Index,         |  |
|                    | Exotic derivatives                            |  |

Notices under Corporations Act 2001

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| Equity derivatives                         | Swap, Portfolio Swap, Contract for<br>Difference, Option, Forward, Other<br>derivatives   |  |  |
|--|---|--|--|
| Foreign Exchange<br>derivatives            | Forward, Vanilla Option, NDF, NDO,<br>Continuous FX, Simple Exotic, Exotic,<br>Complex Exotic   |  |  |
| Interest Rate and<br>Inflation derivatives | FRA, Interest Rate Swap, Cross Currency,<br>Inflation Swap, Forward Debt, CapFloor,<br>Swaption, Debt Option, Inflation CapFloor,<br>Exotic |  |  |

- the total number of trades and their total value, in AUD-equivalent terms, of trades during the reporting period by all participants; and
- (b) the total number of trades and their total value, in AUD-equivalent terms, of trades during the reporting period by each Australian participant, identifying each Australian participant by their registered name and, if applicable, their branch name and, if available, their Legal Entity Identifier; and
- (c) the total number of trades and their total value, in AUD-equivalent terms, of trades during the reporting period by each foreign participant but only in relation to the trades that the Licensee believes to be trades on behalf of one or more Australian clients, identifying each foreign participant by their registered name and, if applicable, their branch name and, if available, their Legal Entity Identifier; and
- (d) the total number of trades and their total value, in AUD-equivalent terms, of the trades that are included in the information in (b) and (c) above and which are trades between any two participants listed in (b) and (c) above.

#### 8. Market ceases to operate

- It is a condition of this Licence where the Licensee intends to cease operating the Market in this jurisdiction, the Licensee must:
  - establish, document and implement adequate arrangements for ensuring, as applicable, the orderly cessation of the Market;
  - (b) notify ASIC:
    - that the Licensee intends to cease operating the Market in this jurisdiction, as soon as reasonably practicable;
    - of the arrangements referred to in paragraph (a), as soon as reasonably practicable before ceasing to operate the Market in this jurisdiction; and
    - (iii) of any changes to the arrangements referred to in paragraph
       (a) following the notification in subparagraph (ii), as soon as reasonably practicable after making those changes.



# Corporations (360 Trading Networks Inc.) Exemption Revocation Notice 2019

Corporations Act 2001

I, Nathan Bourne, Senior Executive Leader, Australian Securities and Investments Commission, make this notice under subsection 791C(2) of the Corporations Act 2001 (the Act).

Dated 27/6/2019

Signed

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

#### Name of instrument

 This is the Corporations (360 Trading Networks Inc.) Exemption Revocation Notice 2019.

# Commencement

- 2. This instrument commences on the later of:
  - (a) the time that is immediately after the commencement of the Australian Market Licence (360 Trading Networks Inc.) 2019; and
  - (b) the date of execution.

# Revocation of exemption

 The Corporations (360 Trading Networks Inc.) Exemption Notice 2017 is revoked.





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

# Notice of Cancellation of an Australian Financial Services Licence

TO: Loupe Nominees Pty Limited ACN116 860 103 ("the Licensee") 18 Grasstree Avenue Woongarrah NSW 2259

Pursuant to 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 301970 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

21 June 2019

Signed

John Connor





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

# Notice of Cancellation of an Australian Financial Services Licence

TO: Koistinen Management Services Pty Ltd ACN 007 290 048 ("the Licensee") PO Box 4216 Essendon Fields VIC 3041

26 June 2016

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 484552 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

Signed

John Connor

# Australian Securities and Investments Commission Corporations Act 2001 – Paragraphs 741(1)(b) - Declaration

#### **Enabling legislation**

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

#### Title

This instrument is ASIC Instrument 19-0440.

#### Commencement

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

#### Declaration

- Chapter 6D of the Act applies to holders of securities in Jervois as if section 707 of the Act were modified or varied:
  - (a) by omitting subsection 707(3), and substituting:
    - "(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
        - granting, issuing or transferring interests in, or options or warrants over, them;

and section 708 or 708A does not say otherwise"; and

- (b) by omitting subsection 707(4), and substituting:
  - "(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 instrument applies

- 5. This instrument applies:
  - (a) in connection with a plan of arrangement between Jervois and M2 conducted under the Business Corporations Act (British Columbia) on the terms and conditions as set out in an information circular to be dated on or about 13 May 2019 or such other date as may be determined by the Board of M2 and filed with the securities commission in the province of British Columbia, and the TSX, with any such amendments, variations or supplements as approved by the court (Information Circular);
  - (b) where the Information Circular is prepared for a special meeting of M2 shareholders;
  - (c) where a statement that Jervois will provide a hard copy of the Information Circular if requested, accompanied with details of the Information Circular's location on SEDAR is provided to ASX Limited ACN 008 624 691 for release to the market prior to any on-sale in the issuer's securities by M2 securityholders; and
  - (d) where the plan of arrangement complies with all statutory requirements under the Business Corporations Act (British Columbia).

#### Interpretation

6. In this instrument:

Jervois means Jervois Mining Limited ACN 007 626 575.

M2 means M2 Cobalt Corp., a company incorporated under the laws of British Columbia.

**SEDAR** means the System for Electronic Document Analysis and Retrieval used for electronically filing securities related information with the Canadian securities regulatory authorities.

TSX means the Toronto Stock Exchange.

Kobertan

Dated this 27h day of May 2019

Signed by Will Robertson

#### Australian Securities and Investments Commission Corporations Act 2001 – Paragraph 911A(2)(I) – Exemption

#### **Enabling legislation**

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

#### Title

2. This instrument is ASIC Instrument 19-0489.

#### Commencement

This instrument commences on gazettal.

# Exemption

 QBE Strategic Capital Company Pty Ltd ACN 000 679 498 (the *Company*) is exempt from the requirement under subsection 911A(1) of the Act to hold an Australian financial services licence.

#### Where this instrument applies

- This instrument applies to the provision of financial services where:
  - (a) the Company is, and remains at all times, an entity within the QBE Insurance Group;
  - (b) the financial services provided by the Company consist only of either or both of:
    - (i) dealing in derivatives; and
    - (ii) dealing in foreign exchange contracts;
  - (c) the financial services do not involve the making of a market for derivatives or foreign exchange contracts;
  - (d) the dealing is entered into by the Company solely for the purpose of one or more entities within the QBE Insurance Group managing a financial risk that arises in the ordinary course of business of the entity; and
  - (e) the financial services provided by the Company do not constitute a significant part of the QBE Insurance Group's business on a consolidated basis.

#### Conditions

 Before entering all derivative and foreign exchange transactions, the Company must notify the counterparty to the transaction that the Company is exempt from the requirement to hold, and does not hold, an Australian financial services licence.

# Interpretation

In this instrument:

control has the same meaning as in accounting standard AASB 127 Consolidated and Separate Financial Statements.

**QBE Insurance Group** means the group of entities consisting of QBE Insurance Group Limited ACN 008 485 014 (**QIGL**) and all other entities controlled by QIGL.

Dated this 28th day of June 2019

Signed by Nadene Pillay





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

# Notice of Cancellation of an Australian Financial Services Licence

TO: Austral Anglo Propriety Limited ACN 005 231 229 ("the Licensee") PO Box 684 Mount Eliza, VIC 3930

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 238328 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

22 JUNE 2019

Signed

Peter Schofield

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19-0580

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

# Notice of Cancellation of an Australian Financial Services Licence

TO: Rajesh Chandra
ABN 63 510 231 495 ("the Licensee")
PO Box 1077
Huntingdale VIC 3166

Pursuant to paragraph 915B(1)(e) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 488242 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 21/06/2019

Signed Will Company

Floyd Williams





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

# Notice of Cancellation of an Australian Financial Services Licence

TO: Angela Przulj

A.B.N. 25 773 268 970 ("the Licensee")

Level 1

2A Lonsdale Street Dandenong VIC 3175

Pursuant to paragraph 915B(1)(e) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 486198 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

22 JUNE 2019

Signed

Peter Schofield





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

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

TO: Arthur Tateossian
ABN 94 463 763 819 ("the Licensee")
Suite 505, 71-73 Archer Street
Chatswood NSW 2067

Pursuant to paragraph 915B(1)(e) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 475020 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 21/06/2019

Signed J.M.

Floyd Williams





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

# Notice of Cancellation of an Australian Financial Services Licence

TO: Masselos Grahame Masselos Pty. Limited ACN 001 933 268 ("the Licensee") Level 17 44 Market 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 477399 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

22 JUNE 2019

Signed

Peter Schofield





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

# Notice of Cancellation of an Australian Financial Services Licence

TO: Taxation Law Consultants Pty Ltd ACN 084 209 610 ("the Licensee") 35 Lime Street Sydney NSW 2000

Pursuant to 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 487640 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

19 June 2019

Signed

John Connor





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

# Notice of Cancellation of an Australian Financial Services Licence

TO: Brian L Fuller ABN 18 242 006 581 ("the Licensee") 31 Collie Street Albany WA 6330

Pursuant to paragraph 915B(1)(e) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 253712 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 26 June 2019

Signed Will—

Floyd Williams





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

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

TO: Cost Price Thoroughbred Syndications Pty. Ltd. ACN 609 992 636 ("the Licensee") 433A Old Windsor Road Winston Hills NSW 2153

21 June 2019

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 486732 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

Signed

John Connor





ASIC

Australian Securities & Investments Commission

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

# Notice of Cancellation of an Australian Financial Services Licence

TO: EISS Advice Pty Ltd

ACN 617 179 674 ("The Licensee")

Level 2

201 Elizabeth Street Sydney NSW 2000

Pursuant to section 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Licence Number 504771 held by the Licensee with effect from the date on which this notice is given to the Licensee.

Dated:

Signed

Peter Schofield

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ASIC

Australian Securities & Investments Commission

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

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

TO: Ascent Property Group Pty Ltd ACN 611 545 736 ("The Licensee") 7 St Georges Crescent Drummoyne NSW 2047

Pursuant to section 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Licence Number 487763 held by the Licensee with effect from the date on which this notice is given to the Licensee.

Dated:

Signed

Peter Schofield





ASIC

Australian Securities & Investments Commission

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

# Notice of Cancellation of an Australian Financial Services Licence

TO: Golden Financial Group Pty Ltd ACN 128 837 285 ("The Licensee") 'West Tower' Level 9 608 St Kilda Road Melbourne VIC 3004

Pursuant to section 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Licence Number 321191 held by the Licensee with effect from the date on which this notice is given to the Licensee.

Dated:

Signed

Peter Schofield

A delegate of the Australian Securities and Investments Commission

Schoful





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

#### Notice of Cancellation of an Australian financial services licence

TO: Food and Beverage Australia Ltd ACN: ("the Licensee") 007 996 081 105 King William Street Kent Town SA 5067

- Pursuant to paragraph 915B(3)(d) of the Corporations Act 2001 (the Act), the Australian Securities and Investments Commission (ASIC) hereby cancels Australian financial services (AFS) licence number 246650 held by the Licensee, with effect from the date on which this notice is given to the Licensee.
- Pursuant to section 915H of the Act, the AFS licence continues in effect while cancelled, as though the cancellation had not happened for the purposes of:
  - paragraphs 912A(2)(c) of the Act, which requires the Licensee to maintain membership of the Australian Financial Complaints Authority scheme for no less than twelve months from the date the notice of cancellation of the AFS licence is given to the Licensee; and
  - b. section 912B of the Act, which requires the Licensee to maintain compensation arrangements for no less than twelve months from the date the notice of cancellation of the AFS licence is given to the Licensee. The arrangements must satisfy the requirements set out in regulation 7.6.02AAA of the Corporations Regulations 2001.

Dated

22<sup>nd</sup> June 2019

Signed

Peter Schofield





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

#### Notice of Cancellation of an Australian financial services licence

TO: Arthur J. Gallagher (Life Solutions) Pty Ltd ACN: 074 697 537 ("the Licensee") Level 3 17 Bowen Bridge Road Herston QLD 4006

- Pursuant to paragraph 915B(3)(d) of the Corporations Act 2001 (the Act), the Australian Securities and Investments Commission (ASIC) hereby cancels Australian financial services (AFS) licence number 238318 held by the Licensee, with effect from the date on which this notice is given to the Licensee.
- Pursuant to section 915H of the Act, the AFS licence continues in effect while cancelled, as though the cancellation had not happened for the purposes of:
  - paragraphs 912A(2)(c) of the Act, which requires the Licensee to maintain membership of the Australian Financial Complaints Authority scheme for no less than twelve months from the date the notice of cancellation of the AFS licence is given to the Licensee; and
  - b. section 912B of the Act, which requires the Licensee to maintain compensation arrangements for no less than twelve months from the date the notice of cancellation of the AFS licence is given to the Licensee. The arrangements must satisfy the requirements set out in regulation 7.6.02AAA of the Corporations Regulations 2001.

Dated

22<sup>nd</sup> June 2019

Signed

Peter Schofield

# Australian Securities and Investments Commission Corporations Act 2001 – Paragraphs 741(1)(a) - Declaration

# **Enabling legislation**

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

#### Title

2. This instrument is ASIC Instrument 19-0632.

#### Revocation

3. ASIC Instrument 19-0440 dated 27 May 2019 is revoked.

#### Commencement

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

#### Declaration

- Chapter 6D of the Act applies to holders of securities in Jervois as if section 707 of the Act were modified or varied:
  - (a) by omitting subsection 707(3), and substituting:
    - "(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
        - granting, issuing or transferring interests in, or options or warrants over, them;

and section 708 or 708A does not say otherwise"; and

- (b) by omitting subsection 707(4), and substituting:
  - "(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 instrument applies

- This instrument applies:
  - (a) in connection with a plan of arrangement between Jervois and M2 conducted under the Business Corporations Act (British Columbia) on the terms and conditions as set out in an information circular dated 15 May 2019 and filed with the securities commission in the province of British Columbia, and the TSX, with any such amendments, variations or supplements as approved by the court (Information Circular);
  - (b) where the Information Circular is prepared for a special meeting of M2 shareholders;
  - (c) where the plan of arrangement complies with all statutory requirements under the Business Corporations Act (British Columbia).

#### Interpretation

7. In this instrument:

Jervois means Jervois Mining Limited ACN 007 626 575.

 ${\it M2}$  means M2 Cobalt Corp, a company incorporated under the laws of British Columbia

TSX means the Toronto Stock Exchange.

Dated this 20th day of June 2019

Signed by Will Robertson

#### Australian Securities and Investments Commission Corporations Act 2001 – Paragraph 741(1)(a) - Declaration

#### Enabling legislation

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

#### Title

This instrument is ASIC Instrument 19-0633.

#### Commencement

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

#### Declaration

- Chapter 6D of the Act applies to holders of securities in Titan Minerals as if section 707 of the Act were modified or varied:
  - (a) by omitting subsection 707(3), and substituting:
    - "(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
        - granting, issuing or transferring interests in, or options or warrants over, them;

and section 708 or 708A does not say otherwise"; and

- (b) by omitting subsection 707(4), and substituting:
  - "(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 instrument applies

- This instrument applies:
  - (a) in connection with a plan of arrangement between Titan Minerals and Core Gold (Plan of Arrangement) conducted under the Business Corporations Act (British Columbia) on the terms and conditions as set out in an information circular dated 10 May 2019 filed with the securities commission in the province of British Columbia, and the TSXV, with any such amendments, variations or supplements as approved by the court (Information Circular);
  - (b) under the Plan of Arrangement ordinary shares in Titan Minerals are issued to:
    - holders of common shares in Core Gold pursuant to the Plan of Arrangement; and
    - holders of Core Gold options and warrants who, as a result of the Plan of Arrangement, are subsequently entitled to receive ordinary shares of Titan Minerals on exercise of such securities or replacement securities issued pursuant to the Plan of Arrangement.
  - (c) where the Information Circular is prepared for a special meeting of Core Gold securityholders;
  - (d) where a statement that Titan Minerals will provide the Information Circular if requested, accompanied with the details of the Information Circular's location on SEDAR is provided to ASX Limited ACN 008 624 691 for release to the market prior to any on-sale in Titan Minerals' securities by Core Gold securityholders; and
  - (e) where the plan of arrangement complies with all statutory requirements under the Business Corporations Act (British Columbia).

#### Interpretation

#### 6. In this instrument:

Core Gold means Core Gold Inc, a company incorporated under the laws of the Province of British Columbia.

**SEDAR** means the System for Electronic Document Analysis and Retrieval used for electronically filing securities related information with the Canadian securities regulatory authorities.

Titan Minerals means Titan Minerals Limited ACN 117 790 897.

TSXV means the TSX Venture Exchange.

Dated this 20th day of June 2019

WRobertin

Signed by Will Robertson as a delegate of the Australian Securities and Investments Commission





Australian Securities & Investments Commission

19-0634

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

# Notice of Cancellation of an Australian financial services licence

TO: Kaz Capital Pty Ltd ACN: ("the Licensee") 142 401 429 Level 6 88 Foveaux Street Surrey Hills NSW 2010

- Pursuant to paragraph 915B(3)(d) of the Corporations Act 2001 (the Act), the Australian Securities and Investments Commission (ASIC) hereby cancels Australian financial services (AFS) licence number 384738 held by the Licensee, with effect from the date on which this notice is given to the Licensee.
- Pursuant to section 915H of the Act, the AFS licence continues in effect while cancelled, as though the cancellation had not happened for the purposes of:
  - paragraphs 912A(2)(c) of the Act, which requires the Licensee to maintain membership of the Australian Financial Complaints Authority scheme for no less than twelve months from the date the notice of cancellation of the AFS licence is given to the Licensee; and
  - b. section 912B of the Act, which requires the Licensee to maintain compensation arrangements for no less than twelve months from the date the notice of cancellation of the AFS licence is given to the Licensee. The arrangements must satisfy the requirements set out in regulation 7.6.02AAA of the Corporations Regulations 2001.

Dated

22<sup>nd</sup> June 2019

Signed

Peter Schofield





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

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

TO: 3<sup>rd</sup> Wave Services Pty Ltd

ABN 46 074 033 524 ("the Licensee")

PO Box 7875

Cloisters Square WA 6850

Pursuant to paragraph 915B(3)(d) of the Corporations Act 2001, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 236558 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 21 June 2019

Signed ......

Floyd Williams





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

# Notice of Cancellation of an Australian Financial Services Licence

TO: Mind Your Tax Accounting Pty. Ltd. ABN 67 156 498 190 ("the Licensee") 6/225 Queen Street Hurlstone Park NSW 2193

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 488827 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 21 June 2019

Floyd Williams

Signed





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

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

TO: BCP Private Equity Pty Ltd
ACN 109 599 840 ("the Licensee")
C/- Prime Accounting & Business Advisory Pty Ltd
L19, HWT Tower
40 City Road
Southbank VIC 3006

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 278523 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

22 June 2019

Signed

Peter Schofield





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

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

TO: Blackwood Capital Partners Fund 1 Pty Ltd ACN 110 145 483 ("the Licensee") C/- Prime Accounting & Business Advisory Pty Ltd L19, HWT Tower 40 City Road SOUTHBANK VIC 3006

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 279646 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 22 June 2019

Peter Schofield

Signed

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

#### **Enabling legislation**

 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 19-0643.

#### Commencement

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

#### Declaration

- 4. Chapter 6D of the Act applies to a person who holds shares of common stock or CDIs over shares of common stock in Sezzle Inc. ARBN 633 327 358, a company incorporated in Delaware (Sezzle), 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

- This instrument applies where a person who holds securities in Sezzle makes an offer of those securities for sale (Sale Securities) where:
  - (a) the sale offer occurs within 12 months of the issue of the Sale Securities;
  - a prospectus was lodged with ASIC by Sezzle on or around 24 June 2019 (Prospectus) in relation to an initial public offer of CDIs over common stock of Sezzle that are in the same class as the Sale Securities;
  - (c) the Sale Securities were issued by Sezzle without disclosure under Chapter 6D of the Act:
    - in consideration for the conversion of preferred stock, on or around the settlement of the offer made under the Prospectus;
    - in consideration for the conversion of convertible notes, on or around the settlement of the offer made under the Prospectus; or;
    - (iii) on the exercise of options or restricted stock units granted on or before 24 June 2019 and disclosed in the Prospectus.

## Interpretation

6. In this Instrument

CDIs means equitable interests in securities in Sezzle that:

- (a) are issued by CHESS Depositary Nominees Pty Ltd ACN 071 346 506 (CDN): for the purpose of enabling beneficial ownership of securities in Sezzle to which the interests relate, to be recorded and transferred through CHESS;
- (b) are described in the operating rules of the ASX Settlement and Transfer Corporation Pty Limited ACN 008 504 532 as CHESS Depository Interests or CDIs; and
- (c) are included in the official list of the financial market operated by ASX Limited ACN 008 624 691.

CHESS means the Clearing House Electronic Subregister System operated by ASX Settlement and Transfer Corporation Pty Limited ACN 008 504 532.

Dated this 21st day of June 2019

Signed by Tashreen Tourabaly





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

## Notice of Cancellation of an Australian Financial Services Licence

TO: Blackwood Capital Partners Fund 1A Pty Ltd ACN 110 145 536 ("the Licensee") C/- Prime Accounting & Business Advisory Pty Ltd L19, HWT Tower 40 City Road SOUTHBANK VIC 3006

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 279647 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

22 June 2019

Signed

Peter Schofield





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

## Notice of Cancellation of an Australian Financial Services Licence

TO: Beyond Life Insurance Pty Ltd ACN 118 785 489 ("the Licensee") Level 27, 101 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 310299 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

22 June 2019

Signed

Peter Schofield





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

## Notice of Cancellation of an Australian Financial Services Licence

TO: Metallum Commodity Consulting Pty Ltd ACN 158 801 202 ("the Licensee") Church Farmhouse 20 Church Street Southrepps Norwich, NR11 8NP United Kingdom

Pursuant to paragraph 915B(3)(d) of the Corporations Act 2001, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 457141 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

22 JUNE 2019

Signed

Peter Schofield





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

## Notice of Cancellation of an Australian Financial Services Licence

FO: Ebsworth Partners Pty Ltd
ACN 144 561 491 ("the Licensee") – Under External Administration
C/- Farnsworth Shepard
Level 5
2 Barrack Street
Sydney NSW 2000

Pursuant to paragraph 915B(3)(b) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 387640 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 22 June 2019

Peter Schofield

Signed



# Corporations (OTCX Trading Limited) Exemption Notice Variation 2019 (No. 1)

| Corporations Act 2001  |
|--|
| I, Nathan Bourne, Senior Executive Leader, Australian Securities and Investments Commission make this notice under subsection 791C(2) of the <i>Corporations Act 2001</i> (the Act). |
| Dated 24/6/2019  |
| Signed   |

## 1. Name

This is the Corporations (OTCX Trading Limited) Exemption Notice Variation 2019 (No. 1).

## 2. Commencement

This instrument takes effect on the day it is made.

## 3. Variation

Corporations (OTCX Trading Limited) Exemption Notice 2016 is varied as described in the Schedule.

2

19-0649

Schedule

Variation

[1] Section 4

substitute

## Period of Exemption

This exemption ceases to apply on 1 January 2020.





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

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

TO: Harapan Tan

ABN 94 409 33 093 ("the Licensee")

8 Napper Avenue

**RIVERWOOD NSW 2210** 

Pursuant to paragraph 915B(1)(e) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 484827 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

24 JUNE 2019

Signed

Floyd Williams

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 20 June 2019.

## AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

#### IN THE MATTER OF JOHN VAN DIEREN

#### SECTIONS 920A AND 920B OF THE CORPORATIONS ACT 2001

To: John Van Dieren

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

TAKE NOTICE that under paragraphs 920A(1)(da) and 920A(1)(e), and section 920B, of the Corporations Act 2001, the Australian Securities and Investments Commission prohibits John Van Dieren for a period of three years from providing any financial services.

Dated this 19th day of June 2019

Signed:

Graeme Darcy Plath

Delegate of the Australian Securities and Investments Commission

Your attention is drawn to s920C and s1311 of the Corporations Act 2001 that provide that a person commits an offence if they engage in conduct that breaches a banning order that has been made against them (Penalty \$2,750 or imprisonment for 6 months or both).





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

## Notice of Cancellation of an Australian Financial Services Licence

TO: Family Superfund Advisors Pty Limited ACN 147 031 007 ("the Licensee") PO Box 2134 Bowral NSW 2576

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 489064 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 25 June 2019

Floyd Williams

Signed

#### Australian Securities and Investments Commission

Corporations Act 2001 - Paragraphs 926A(2)(a), 951B(1)(a), 992B(1)(a) and 1020F(1)(a) - Exemption

#### **Enabling legislation**

The Australian Securities and Investments Commission (ASIC) makes this
instrument under paragraphs 926A(2)(a), 951B(1)(a), 992B(1)(a) and 1020F(1)(a)
of the Corporations Act 2001 (the Act).

#### Title

This instrument is ASIC Instrument 19-0661.

#### Commencement

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

#### Exemption

- Cooperatieve Rabobank U.A. ARBN 003 917 655 (Rabobank) does not have to comply with:
  - (a) subsection 911A(1) and Part 7.7 of the Act in relation to a financial service;
  - (b) Division 3 of Part 7.6 of the Act in relation to a financial service;
  - (c) Part 7.7A in relation to a financial service;
  - (d) Part 7.8 of the Act in relation to a relevant financial product; and
  - (e) Part 7.9 of the Act in relation to a relevant financial product.

#### Where the exemptions apply

- 5. The exemptions in paragraphs 4(a), 4(b) and 4(c) apply where all of the following are met:
  - (a) the financial service:
    - is provided by Rabobank from premises in the Netherlands to a retail client in this jurisdiction; and
    - (ii) relates to one or more of the following:

- (A) a relevant financial product issued by Rabobank and acquired by the retail client when the retail client was not in this jurisdiction;
- (B) a financial product that supplements a financial product mentioned in sub-subparagraph (A);
- a financial product that is of the same kind as, and is issued in substitution for, a financial product mentioned in subsubparagraph (A);
- the retail client is a person who acquired a financial product from Rabobank while the person was not in this jurisdiction;
- (c) Rabobank does not actively solicit persons in this jurisdiction in relation to the financial products mentioned in sub-subparagraphs (ii)(A) to (C).
  - Note: paragraph (c) does not preclude Rabobank from contacting the retail client in relation to the financial products mentioned in sub-subparagraphs (ii)(A) to (C) after they have been acquired by the retail client.
- The exemptions in paragraphs 4(d) and 4(e) apply where each of the following are met:
  - (a) the circumstances specified in section 5 of this instrument are met;
  - (b) the financial product is a product mentioned in sub-subparagraphs 5(a)(ii)(A) to (C).

#### Conditions

- Rabobank must:
  - take reasonable steps to ensure that its related bodies corporate in Australia do not actively solicit retail clients in Australia in relation to the financial products mentioned in sub-subparagraphs 5(a)(ii)(A) to (C);
  - (b) clearly disclose to the retail client that:
    - a. the provision of the relevant product is governed by the laws of the Netherlands;
    - Rabobank is not a member of the Australian Financial Complaints Authority; and
    - c. the retail client's deposits are not protected by the Australian Government's Financial Claims Scheme under the Banking Act 1966;

(c) have adequate resources (including financial, technological and human resources) and risk management systems to ensure the circumstances specified in section 5 and the conditions specified in this section are met.

## Interpretation

In this instrument:

deposit product means a facility described in s764A(1)(i) of the Act, other than a securities account or retirement pension product.

makes non-cash payments has the meaning given by section 763D of the Act.

relevant financial product means each of the following financial products issued by Rabobank:

- (a) a deposit product;
- (b) a facility through which a person makes non-cash payments that is related to a deposit product;
- (c) a margin lending facility;
- (d) a retirement pension product.

retirement pension product means a facility with the following features:

- (a) the client deposits money into the facility until an agreed end date;
- (b) the client cannot withdraw money from the facility other than to transfer it to a different facility of the same kind, or upon reaching an age where the client would ordinarily be entitled to a government pension; and
- (c) the money deposited into the facility may be invested in financial products that are not issued by Rabobank.

Dated this 26th day of June 2019

Signed by Matthew Newell





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

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

TO: Quantum Insurance Brokers (Australia) Pty Ltd ABN 31 0003 896 884 ("the Licensee") PO Box 3329 Middle Dural NSW 2158

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 244519 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 25 June 2019

Signed W.C.

Floyd Williams





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

## Notice of Cancellation of an Australian Financial Services Licence

FO: UQH Finance Pty Ltd ACN 166 213 350 ("the Licensee") The University of Queensland Brisbane QLD 4072

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 450415 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 25 June 2019

Floyd Williams

Signed





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

## Notice of Cancellation of an Australian Financial Services Licence

TO: Anne Elizabeth Petersen
ABN 17 641 256 252 ("the Licensee")
202 Lock Road
Gisborne South
Victoria 3137

Pursuant to paragraph 915B(1)(e) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 488392 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 25 June 2019

Signed (JWC)

Floyd Williams





#### Australian Securities and Investments Commission National Consumer Credit Protection Act 2009 Section 54

#### Notice of Cancellation of an Australian Credit Licence

TO: AAA Financial Intelligence Pty Ltd
ACN 093 616 445 ("the Licensee") – Under External Administration
C/- PKF
Level 8
1 O'Connell Street

Sydney NSW 2000

Pursuant to paragraph 54(1)(c) of the **National Consumer Credit Protection Act 2009**, the Australian Securities and Investments Commission hereby cancels Australian Credit Licence number 312478 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 26 June 2019

Signed #U

Floyd Williams





#### Australian Securities and Investments Commission National Consumer Credit Protection Act 2009 Section 54

#### Notice of Cancellation of an Australian Credit Licence

TO: Business Loans Australia Pty Ltd
ACN 003 352 752 ("the Licensee") – Under External Administration
C/- Smith Hancock
Level 4
88 Phillip Street
Parramatta NSW 2150

Pursuant to paragraph 54(1)(c) of the **National Consumer Credit Protection Act 2009**, the Australian Securities and Investments Commission hereby cancels Australian Credit Licence number 395016 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 26 June 2019

Signed Mill

Floyd Williams

## 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 14 June 2019.

## AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

#### IN THE MATTER OF SUBEER LUTHRA

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

To: Subeer Luthra

**TAKE NOTICE** that under subsections 920A(1) and 920B(2) of the Corporations Act 2001 the Australian Securities and Investments Commission prohibits **Subeer Luthra** from providing any financial services permanently.

Dated this 11th day of June 2019

Signed:

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.





#### Australian Securities and Investments Commission National Consumer Credit Protection Act 2009 Section 54

#### Notice of Cancellation of an Australian Credit Licence

TO: A.C.N 008 181 888 Pty Ltd
ACN 008 181 888 ("the Licensee") – Under External Administration
C/- Bernardi Martin
Ground Floor
195 Victoria Square
Adelaide SA 5000

Pursuant to paragraph 54(1)(c) of the **National Consumer Credit Protection Act 2009**, the Australian Securities and Investments Commission hereby cancels Australian Credit Licence number 392254 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 26 June 2019

Signed Signed

Floyd Williams

Notices under Corporations Act 2001

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19-0675

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

## Notice of Cancellation of an Australian Financial Services Licence

TO: Southwest Superannuation Services Pty Limited ABN 51 611 140 491 ("the Licensee") PO Box 188

Liverpool NSW 1871

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 485888 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 25 June 2019

Signed Dill

Floyd Williams





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

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

TO: VCB Promotions Limited
ACN 116 909 472 ("the Licensee") – Under External Administration
C/- Edney Ryan Chartered Accountants
Level 2
357-359 Military Road
Mosman NSW 2088

Pursuant to paragraph 915B(3)(b) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 299525 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 27 June 2019

Signed

Floyd Williams





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

## Notice of Cancellation of an Australian Financial Services Licence

TO: Winslow Investment Management Pty Ltd ACN 066 174 829 ("the Licensee") Collins Square Tower 4 Level 18 727 Collins Street DOCKLANDS VIC 3008

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 247248 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 26 June 2019

Signed .....

Floyd Williams





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

## Notice of Cancellation of an Australian Financial Services Licence

TO: King & Wood Mallesons ACN 108 014 062 Level 61, Governor Phillip Tower 1 Farrer Place 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 269287 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

26 June 2019

Signed

Floyd Williams





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

## Notice of Cancellation of an Australian Financial Services Licence

TO: Leigh Maxwell Brander

ABN 11 535 570 578 ("the Licensee")

PO Box 150

**OURIMBAH NSW 2258** 

Pursuant to paragraph 915B(1)(e) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 486274 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 26 June 2019

Floyd Williams

Signed

Notices under Corporations Act 2001

Page 61 of 87





19-0680

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

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

To: QEnergy Limited

ACN 120 124 101 (the Licensee) 176 Montague Road South Brisbane QLD 4101

Under s915B of the *Corporations Act 2001*, the Australian Securities and Investments Commission hereby varies ASIC Instrument 19-0377 by replacing the date "30 June 2019" with the date "30 September 2019".

Dated this 26th day of June 2019.

Signed

John Connor

Page 62 of 87

19-0681

## Australian Securities & Investments Commission National Consumer Credit Protection Act 2009

## Notice of Cancellation of an Australian Credit Licence

TO: K.J. TREES PTY LTD KEVIN TREES PO BOX 7163 EAST BALLINA NSW 2478

Pursuant to section 54 of the National Consumer Credit Protection Act 2009 (the Act), the Australian Securities and Investments Commission hereby cancels Licence Number 392925 held by the Licensee with effect from the date on which this notice is given to the Licensee.

Dated 26 June 2019

Signed

Gail Newbury, a delegate of the Australian Securities and Investments Commission





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

## Notice of Cancellation of an Australian Financial Services Licence

TO: Property Funds Management Services Pty Ltd ABN 93 090 659 055 ("the Licensee") 12 Macmahon Street Willoughby NSW 2068

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 232438 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

26 JUNE 2019

Signed

Floyd Williams





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

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

TO: Grenfell Securities Limited
ACN 075 358 075 ("the Licensee") – Under External Administration
C/- Farnsworth Shepard
Level 5
2 Barrack Street
Sydney NSW 2000

Pursuant to paragraph 915B(3)(b) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 247321 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 26 June 2019

Signed .....

Floyd Williams

#### Australian Securities and Investments Commission

#### Corporations Act 2001 — Paragraph 907D(1)(a) — Exemption

#### **Enabling legislation**

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

#### Title

2. This is ASIC Instrument 19/0687.

#### Commencement

3. This instrument commences on 1 July 2019.

#### Exemption (Lifecycle reporting of CommSec CFDs)

Relief

- From 1 July 2019 to 1 September 2019, Commonwealth Securities Limited (ABN 60 067 254 399) (CommSec) does not have to comply with Rule 2.2.1 of the Rules in relation to an OTC Derivative where:
  - (a) the OTC Derivative is a CommSec CFD; and
  - (b) the OTC Derivative was entered into on or before 25 July 2019.

Condition

- If CommSec relies on the exemption in paragraph 4 in relation to an OTC Derivative, CommSec must:
  - (a) report, in accordance with Rule 2.2.8(1) of the Rules (as if the OTC Derivative were not an Excluded Derivative or in a class of Excluded Derivatives), Derivative Transaction Information for each Reportable Transaction in relation to the OTC Derivative; and
  - (b) use its best efforts to close out all open positions in OTC Derivatives that are CommSec CFDs by 26 July 2019.

## Interpretation

6. In this instrument:

CommSec CFD means a CFD within the meaning of the Product Disclosure Statement CommSec CFDs.

**Product Disclosure Statement CommSec CFDs** means the Product Disclosure Statement of that name issued by CommSec on 1 March 2019.

Rules means the ASIC Derivative Transaction Rules (Reporting) 2013.

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

Dated 27 June 2019

Signed by Nathan Bourne



## Corporations (SwapEx, LLC) Exemption Notice Variation 2019 (No. 1)

| Corporations Act 2001   |
|---|
| I, Nathan Bourne, Senior Executive Leader, Australian Securities and Investments Commission make this notice under subsection 791C(2) of the Corporations Act 2001 (the Act). |
| Dated 27/6/2019   |
| Signed  |

## 1. Name

This is the Corporations (SwapEx, LLC) Exemption Notice Variation 2019 (No. 1).

## 2. Commencement

This instrument takes effect on the day it is made.

## 3. Variation

Corporations (SwapEx, LLC) Exemption Notice 2017 is varied as described in the Schedule.

Notices under Corporations Act 2001

2

19-0688

## Schedule Variation

[1] Section 4

substitute

## Period of exemption

4. This exemption ceases to apply on 1 January 2020.



## Corporations (TW SEF LLC) Exemption Notice Variation 2019 (No. 1)

| Corporations Act 2001   |
|---|
| , Nathan Bourne, Senior Executive Leader, Australian Securities and Investments Commission make this notice under subsection 791C(2) of the <i>Corporations Act 2001</i> (the Act). |
| Dated 27/6/2019   |
| Signed Signed   |
| s a delegate of the Minister under section 1101J of the Act   |
|   |

## 1. Name

This is the Corporations (TW SEF LLC) Exemption Notice Variation 2019 (No. 1).

## 2. Commencement

This instrument takes effect on the day it is made.

## 3. Variation

Corporations (TW SEF LLC) Exemption Notice 2017 is varied as described in the Schedule.

2

19-0689

## Schedule

Notices under Corporations Act 2001

Variation

## [1] Section 4

substitute

## Period of exemption

This exemption ceases to apply on 1 January 2020.





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

## Notice of Cancellation of an Australian Financial Services Licence

TO: KMB Partners Pty. Limited 53 161 779 764 ("the Licensee") 4 Poolman Street ABBOTSFORD NSW 2046

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 486356 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 27 June 2019

Floyd Williams



# Australian Market Licence (Tradeweb Europe Limited) 2019

Signed .

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

2

19-0691

#### 1. Name

This is the Australian Market Licence (Tradeweb Europe Limited) 2019.

#### 2. Commencement

This Licence commences when it is granted.

#### 3. Definitions

In this Licence unless the contrary intention appears, terms defined in the Act have the same meaning in this Licence and:

Act means the Corporations Act 2001.

ASIC means the Australian Securities and Investments Commission.

Australian client means, in relation to a participant in the Market, a person in this jurisdiction on whose behalf the participant deals on the Market.

#### Australian participant means:

- (a) an Australian entity that is a participant in the Market;
- (b) a foreign branch or office of an Australian entity where:
  - the foreign branch or office is a participant in the Market; or
  - (ii) the Australian entity is a participant in the Market.
- (c) an Australian branch or office of a foreign entity where:
  - (i) the Australian branch or office is a participant in the Market; or
  - (ii) the foreign entity is a participant in the Market.

#### bond means:

- (a) a debenture; and
- (b) a chose in action that includes an undertaking by a government, a government agency or a semi-government agency to pay as a debt money deposited with or lent to the government or agency.

### foreign bank means a body corporate that:

- is a foreign corporation within the meaning of paragraph 51 (xx) of the Constitution; and
- (b) is authorised to carry on banking business in a foreign country.

foreign exchange traded fund product means a financial product of the following kinds:

- (a) securities; or
- (b) financial products mentioned in paragraph 764A(1)(b) of the Act; or
- financial products mentioned in paragraph 764A(1)(ba) of the Act that relate to a managed investment scheme that is not required to be registered under Chapter 5C of the Act;

to the extent that they constitute an interest in an exchange traded fund and are not quoted on a prescribed financial market in Australia.

foreign participant means a participant who is not an Australian participant.

foreign share means a share in a foreign body that is not quoted on a prescribed financial market in Australia.

Licensee means Tradeweb Europe Limited ARBN 631529836.

Market means the financial market the Licensee is authorised to operate under this Licence.

prescribed financial market has the meaning given by section 9 of the Act.

*reporting period* means each period of 3 months, or part thereof, during which the Market is operated in Australia, ending on 31 March, 30 June, 30 September, or 31 December.

#### 4. Grant of Licence

- (1) The Licensee is granted a licence to operate a financial market through which participants may make or accept offers to acquire or dispose of any of the following financial products:
  - (a) bonds
  - derivatives and derivatives limited to convertible debt instruments converting into existing shares;
  - (c) foreign exchange traded fund products;
  - (d) foreign shares;
  - (e) any deposit-taking facility made available by an ADI (within the meaning of the Banking Act 1959) in the course of its banking business (within the meaning of that Act), other than an RSA (retirement savings account) (within the meaning of the Retirement Savings Account Act 1997); and
  - (f) any deposit-taking facility made available by a foreign bank in the course of its banking business (within the meaning of the Banking Act 1959) (to the extent not covered by (e) above).

#### 5. Participants

- It is a condition of this Licence that the Licensee must ensure that each Australian participant:
  - is a professional investor, or is a branch or office of an entity that is a professional investor; and
  - only deals on the Market on their own behalf or on behalf of a person who is a professional investor.

#### 6. Clearing and settlement arrangements

- It is a condition of this Licence that the Licensee must:
  - (a) clearly inform participants of the Market of their respective responsibilities in relation to the clearing and/or settlement of trades entered into on the Market; and

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- (b) have in place adequate arrangements to facilitate the efficient clearing and/or settlement of trades entered into on the Market, which must be arrangements of one or more of the following types:
  - arrangements for the clearing and settlement of the trades with a clearing and settlement facility; or
  - (ii) arrangements to:
    - (A) notify each party to a trade entered into on the Market of the identity of the other party to the trade; or
    - (B) otherwise be satisfied that each party to a trade entered into on the Market knows the identity of the other party to the trade.

so that the parties to the trade can settle the trade in accordance with arrangements agreed between them.

# 7. Periodic trade reporting

(1) It is a condition of this Licence that the Licensee must give to ASIC, in a machine-readable format, at least the following information within 30 days after the end of each reporting period, for each product specified in the following table:

| Category  | Products   |
|---|--|
| Commodity derivatives   | Agricultural derivatives, Energy derivatives,<br>Metals derivatives, Index derivatives,<br>Environmental derivatives, Freight<br>derivatives, Multi Commodity derivatives  |
| Credit derivatives  | Index derivatives, Index Tranche derivatives,<br>Single Name derivatives, Swaptions, Total<br>Return Swap, Total Return Swap Index,<br>Exotic derivatives  |
| Equity derivatives  | Swap, Portfolio Swap, Contract for<br>Difference, Option, Forward, Other<br>derivatives  |
| Equity financial<br>products other than<br>Equity derivatives               | ETF; ETF Security; and products that are each of (a), (b), (c), (d), (e) and (f) in the definition of Equity Securities in rule 1.4.3. of ASIC Market Integrity Rules (Securities Markets) 2017                          |
| Interest Rate and<br>Inflation derivatives                                  | FRA, Interest Rate Swap, Cross Currency,<br>Inflation Swap, Forward Debt, CapFloor,<br>Swaption, Debt Option, Inflation CapFloor,<br>Exotic  |
| Interest Rate financial<br>products other than<br>Interest Rate derivatives | Australian Commonwealth Government debt<br>instruments, Australian State or Local<br>Government debt instruments, Supranational<br>and Foreign Government debt instruments,<br>Corporate debt instruments, Cash deposits |

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- the total number of trades and their total value, in AUD-equivalent terms, of trades during the reporting period by all participants; and
- (b) the total number of trades and their total value, in AUD-equivalent terms, of trades during the reporting period by each Australian participant, identifying each Australian participant by their registered name and, if applicable, their branch name and, if available, their Legal Entity Identifier; and
- (c) the total number of trades and their total value, in AUD-equivalent terms, of trades during the reporting period by each foreign participant but only in relation to the trades that the Licensee believes to be trades on behalf of one or more Australian clients, identifying each foreign participant by their registered name and, if applicable, their branch name and, if available, their Legal Entity Identifier; and
- (d) the total number of trades and their total value, in AUD-equivalent terms, of the trades that are included in the information in (b) and (c) above and which are trades between any two participants listed in (b) and (c) above.

#### 8. Market ceases to operate

- It is a condition of this Licence where the Licensee intends to cease operating the Market in this jurisdiction, the Licensee must:
  - establish, document and implement adequate arrangements for ensuring, as applicable, the orderly cessation of the Market;
  - (b) notify ASIC:
    - that the Licensee intends to cease operating the Market in this jurisdiction, as soon as reasonably practicable;
    - of the arrangements referred to in paragraph (a), as soon as reasonably practicable before ceasing to operate the Market in this jurisdiction; and
    - (iii) of any changes to the arrangements referred to in paragraph (a) following the notification in subparagraph (ii), as soon as reasonably practicable after making those changes.



# Corporations (Tradeweb Europe Limited) Exemption Revocation Notice 2019

| Corporations Act 2001  |
|--|
| I, Nathan Bourne, Senior Executive Leader, Australian Securities and Investments Commission make this notice under subsection 791C(2) of the <i>Corporations Act 2001</i> (the Act). |
| Dated 27/6/2019  |
| Media  |
| Signed   |
| as a delegate of the Minister under section 1101J of the Act   |
|  |

# 1. Name

This is the Corporations (Tradeweb Europe Limited) Exemption Revocation Notice 2019.

# 2. Commencement

This instrument commences on the later of:

- the time that is immediately after the commencement of the Australian Market Licence (Tradeweb Europe Limited) 2019; and
- (b) the date of execution.

# 3. Revocation of exemption

The Corporations (Tradeweb Europe Limited) Exemption Notice 2007 is revoked.





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

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

TO: Gateway Insurance Brokers Pty Ltd ABN 54 081 370 103 ("the Licensee") PO Box 1077 NOOSAVILLE QLD 4566

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 325911 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 27 June 2019

Signed W. C.

Floyd Williams

A delegate of the Australian Securities and Investments Commission





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

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

TO: FSS Advisory Pty Ltd
ACN 096 835 880 ("the Licensee") – Under External Administration
C/- Mortons Solvency Accounts
Level 11
410 Queen Street
Brisbane QLD 4000

Pursuant to paragraph 915B(3)(b) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 341308 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 28 June 2019

Floyd Williams

A delegate of the Australian Securities and Investments Commission

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Notice is given under section 915F of the Corporations Act 2001 that the Australian Securities and Investments Commission has made an order in the terms set out below, which order took effect on 26 June 2019.

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

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

To: CWS Mortgage Ltd ACN 091 424 396 (CWS)

Under s915C(1)(a) and s915C(1)(aa) of the Corporations Act 2001 (Act) the Australian Securities and Investments Commission (ASIC) cancels Australian financial services licence number 244391 (Licence) held by CWS.

Under s915H of the Act, regarding the provision by CWS of financial services which are reasonably necessary for, or incidental to, the winding up of CWS Mortgage Fund ARSN 094 313 096, ASIC specifies that the Licence continues in effect until 21 June 2020, while cancelled, as though the cancellation had not happened for the purposes of Chapter 5C of the Act and Chapter 7 of the Act (other than Parts 7.2, 7.3, 7.4 and 7.5 of Chapter 7 of the Act).

Dated 21 June 2019

Signed

Graeme Darcy Plath

a delegate of the Australian Securities and Investments Commission

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

## Notice of Cancellation of an Australian Financial Services Licence

TO: TPFL Limited ACN 105 164 047 (in liquidation)

c/- Farnsworth Shepard

Level 5

2 Barrack Street

SYDNEY NSW 2000

Pursuant to paragraph 915B(3)(b) of the *Corporations Act 2001*, the Australian Securities and Investments Commission (ASIC) hereby varies ASIC Instrument 10-0239 as varied by ASIC Instrument 10-0936, ASIC Instrument 12-0400, ASIC Instrument 13-0382, ASIC Instrument 14-0253, ASIC Instrument 15-0593, ASIC Instrument 17-0611 and ASIC Instrument 18-0529 (Instrument) by deleting Schedule A of the Instrument and substituting Schedule A.

#### Schedule A

The provision by the Licensee until 30 June 2020 of financial services that are reasonably necessary for or incidental to the winding up of the:

Teys Strata Development Trust ARSN 112 939 509

Dated this 28th day of June 2019.

Signed by Andrew Duffy

as delegate of the Australian Securities and Investments Commission

#### 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 31 May 2019.

#### **AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION**

#### IN THE MATTER OF NEIL JOHN EVANS

#### SECTIONS 920A AND 920B OF THE CORPORATIONS ACT 2001

To: Neil John Evans

#### 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 **NEIL JOHN EVANS** from providing any financial services permanently.

Dated this 21st day of May 2019

Signed: Coult

Christine Croft

Delegate of the Australian Securities and Investments Commission

Your attention is drawn to section 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 section 920C(2) is an offence.

| ASIC GAZETTE                   | Commonwealth of Australia Gazette |
|--------------------------------|-----------------------------------|
| A28/19, Tuesday 2 July 2019    |                                   |
| Company/Scheme deregistrations | Page 83 of 87                     |

CORPORATIONS ACT 2001 Section 601CL(5)

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

Dated this twenty-eighth day of June 2019

Rosanne Bell DELEGATE OF THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

| Name of Company                    | ARBN        |
|------------------------------------|-------------|
| ARMED WORKWEAR AUSTRALASIA LIMITED | 151 090 916 |
| CARGILL COTTON LIMITED             | 602 822 846 |
| PALADIN SOLUTIONS PNG LTD          | 621 335 957 |
| PHOENIX PRODUCTS COMPANY, INC.     | 625 426 271 |
| POMWAN PALADIN SECURITY LTD        | 622 220 311 |
| SALADMASTER UK LIMITED             | 622 356 932 |

# A28/19, Tuesday 2 July 2019

Company/Scheme deregistrations

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CORPORATIONS ACT 2001 Subsection 601CC(4)

ASIC has struck the registered Australian bodies listed below off the register.

Dated this twenty-eighth day of June 2019

Rosanne Bell DELEGATE OF THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Name of Company

**ARBN** 

WINEMAKERS' FEDERATION OF AUSTRALIA INCORPORATED

133 387 827

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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-eighth day of June 2019

Rosanne Bell DELEGATE OF THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

| Name of Company         | ARBN        |  |
|-------------------------|-------------|--|
| BANK OF SCOTLAND PLC    | 126 955 557 |  |
| EXPRO EURASIA LIMITED   | 600 598 641 |  |
| LLOYDS BANK PLC         | 142 617 605 |  |
| PORSCHE CONSULTING GMBH | 621 211 121 |  |

Company/Scheme deregistrations

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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-eighth day of June 2019

Rosanne Bell
DELEGATE OF
THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

| Name of Scheme                          | ARSN        |
|---|-------------|
| ANALYTIC GLOBAL MANAGED VOLATILITY FUND | 140 358 774 |
| CORVAL PROPERTY TRUST NO. 2             | 150 956 102 |
| MACQUARIE GLOBAL BOND FUND              | 091 487 384 |

# A28/19, Tuesday 2 July 2019

Change of company type

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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.

**AMCOR LTD** ACN 000 017 372 will change to a proprietary company limited by shares. The new name will be AMCOR PTY LTD ACN 000 017 372.

**EVERLIGHT RESOURCES LTD** ACN 609 289 750 will change to a proprietary company limited by shares. The new name will be EVERLIGHT RESOURCES PTY LTD ACN 609 289 750.

#### **GOODMOTHER GROUP AUSTRALIA PTY LTD**

ACN 632 829 095 will change to a public company limited by shares. The new name will be GOODMOTHER GROUP AUSTRALIA LTD ACN 632 829 095.

**PRIMEQ LIMITED** ACN 608 710 318 will change to a proprietary company limited by shares. The new name will be PRIMEQ PTY LIMITED ACN 608 710 318.

**DJ PROPERTY LIMITED** ACN 113 384 348 will change to a proprietary company limited by shares. The new name will be DJ PROPERTY PTY LTD ACN 113 384 348.

#### **GAZAL CORPORATION LIMITED**

ACN 004 623 474 will change to a proprietary company limited by shares. The new name will be GAZAL CORPORATION PTY LIMITED ACN 004 623 474.

#### **NEUBERGER BERMAN AUSTRALIA PTY LTD**

ACN 146 033 801 will change to a public company limited by shares. The new name will be NEUBERGER BERMAN AUSTRALIA LTD ACN 146 033 801.

## TF GLOBAL MARKETS (AUST) PTY LTD

ACN 158 361 561 will change to a public company limited by shares. The new name will be TF GLOBAL MARKETS (AUST) LIMITED ACN 158 361 561.