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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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19-0737

**Australian Market Licence (EBS Service Company Limited) 2019***Corporations Act 2001*

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

Dated 25/7/2019

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

1. Name

This is the *Australian Market Licence (EBS Service Company Limited) 2019*.

Note: This instrument should be read in conjunction with the *Corporations (EBS Service Company Limited) Exemption Notice 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:
 - (i) 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.

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

Licensee means EBS Service Company Limited ARBN 107 465 967.

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

- (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) a financial product mentioned in paragraph 764A(1)(k) of the Act;
 - (b) derivatives that are commodity derivatives; and
 - (c) derivatives that are foreign exchange derivatives.

5. Participants

- (1) It is a condition of this Licence that the Licensee must ensure that each:
 - (a) Australian participant:
 - (i) is a professional investor; or is a branch or office of an entity that is a professional investor; and
 - (ii) only deals on the Market on their own behalf or on behalf of a professional investor.
 - (b) foreign participant only deals on the Market:
 - (i) on their own behalf; or
 - (ii) on behalf of a person who is not an Australian client; or
 - (iii) if the foreign participant is a professional investor—on behalf of an Australian client who is a professional investor.

6. Information about the operation of the Market

It is a condition of this Licence that the Licensee must at all times make available to participants information, including updated information, about the operation of the Market.

7. Clearing and settlement arrangements

- (1) 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
 - (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:
 - (i) 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.

8. Quarterly notifications

- (1) It is a condition of this Licence that the Licensee must notify ASIC of the details of the following matters, within 30 days after the end of each reporting period:
- (a) details of any kind of disciplinary action taken by the Licensee against a participant including the participant's name and the reason for and nature of the action taken;
 - (b) if the Licensee became aware of:
 - (i) a matter that the Licensee considers has adversely affected, is adversely affecting, or may adversely affect the ability of a participant, who is a financial services licensee, to meet the participant's obligations as a financial services licensee; or
 - (ii) a matter, concerning a participant who is a financial services licensee, that is of a kind prescribed under Regulation 7.2.01 of the Corporations Regulations 2001;
 - (c) if the Licensee became aware that a person had come to have, or had ceased to have, more than 15% of the voting power in or in a holding company of the Licensee.
 - (d) if a person became or ceased to be a director, secretary or senior manager of the Licensee or of a holding company of the Licensee (including when a person changes from one of those positions to another); and
 - (e) details of any changes made to its operating rules in a notice that must:
 - (i) set out the text of the change; and
 - (ii) specify the date on which the change was made; and
 - (iii) contain an explanation of the purpose of the change.

9. 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, Metals derivatives, Index derivatives,

	Environmental derivatives, Freight derivatives, Multi Commodity derivatives
Foreign Exchange financial products	Spot, Forward, Vanilla Option, NDF, NDO, Continuous FX, Simple Exotic, Exotic, Complex Exotic

- (a) 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;
- (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.

10. Annual report

It is a condition of this Licence that the Licensee must include in its annual report to ASIC under section 792F of the Act, details of any new class of financial services provided by the Licensee that is incidental to the operation of the Market.

11. Record keeping

- (1) It is a condition of this Licence that the Licensee must have adequate arrangements in place for the recording of order information and trades entered into through the Market.
- (2) It is a condition of this Licence that the Licensee must keep for a period of at least 7 years the records of order information and trades entered into through the Market.

12. Market ceases to operate

- (1) It is a condition of this Licence that, where the Licensee intends to cease operating the Market in this jurisdiction, the Licensee must:
 - (a) establish, document and implement adequate arrangements for ensuring, as applicable, the orderly cessation of the Market;
 - (b) notify ASIC:

- (i) that the Licensee intends to cease operating the Market in this jurisdiction, as soon as reasonably practicable;
- (ii) of the arrangements referred to in paragraph (a), at least 4 weeks 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.

19-0738

**Corporations (EBS Service Company Limited) Exemption Notice
2019***Corporations Act 2001*

I, Nathan Bourne, Senior Executive Leader, Australian Securities and Investments Commission make this notice under subsection 791C(1) of the *Corporations Act 2001* (the Act).

Dated 25/7/2019

Signed 

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

1. Name

This is the *Corporations (EBS Service Company Limited) Exemption Notice 2019*.

Note: This instrument should be read in conjunction with the *Australian Market Licence (EBS Service Company Limited) 2019*.

2. Authority

This instrument is made under subsection 791C(1) of the Act.

3. Commencement

(1) This instrument commences on the later of:

- (a) the time that is immediately after the commencement of the *Australian Market Licence (EBS Service Company Limited) 2019*; and
- (b) the date of execution.

4. Definitions

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

Act means the *Corporations Act 2001*.

ASIC means the Australian Securities and Investments Commission.

Corporations Regulations means the *Corporations Regulations 2001*.

Licensee means EBS Service Company Limited ARBN 107 465 967.

Market means the financial market operated by the Licensee under the *Australian Market Licence (EBS Service Company Limited) 2019*.

5. Exemption - Notifications to ASIC

- (1) The Licensee does not have to comply with any of the following provisions of the Act in relation to the Market:
- (a) paragraph 792B(2)(a) – relating to notifying ASIC of a new class of financial service incidental to the operation of the Market;
 - (b) paragraph 792B(2)(b) – relating to notifying ASIC of disciplinary action taken against a participant;
 - (c) paragraph 792B(3)(a) – relating to notifying ASIC of a matter that has (or may) adversely affect the ability of a participant, who is a financial services licensee, to meet the participant's obligations as a financial services licensee;
 - (d) paragraph 792B(3)(b) – relating to notifying ASIC of a matter concerning a participant who is a financial services licensee, of a kind prescribed by the regulations made for the purposes of paragraph 792B(3)(b);
Note: See Corporations Regulation 7.2.01 for the matters prescribed for the purposes of paragraph 792B(3)(b)
 - (e) paragraph 792B(5)(a) – relating to notifying ASIC of a person becoming or ceasing to be a director, secretary or senior manager of the Licensee or of a holding company of the Licensee; and
 - (f) paragraph 792B(5)(b) – relating to notifying of voting power of more than 15% in the Licensee or in a holding company of the Licensee.

6. Exemption - Changing the operating rules

The Licensee does not have to comply with section 793D of the Act in relation to changes to the operating rules of the Market.

7. Exemption - Content of operating rules

- (1) The Licensee does not have to comply with any of the following in relation to the Market:
- (a) Corporations Regulation 7.2.07(b)(ii) – relating to operating rules for the monitoring of participants' compliance with the operating rules;
 - (b) Corporations Regulation 7.2.07(b)(v) – relating to operating rules for the expulsion or suspension of a participant for breaches of Chapter 7 of the Act or regulations made under that Chapter;
 - (c) Corporations Regulation 7.2.07(b)(vii) – relating to operating rules for the expulsion or suspension of, or enforcement action against, a participant for failing to meet obligations under commitments entered into on the market;
 - (d) Corporations Regulation 7.2.07(f) – relating to operating rules dealing with the terms of the contract formed between participants;

- (e) Corporations Regulation 7.2.07(h) – relating to operating rules to deal with mechanisms for settling market-related disputes between participants; and
 - (f) Corporations Regulation 7.2.07(i) – relating to operating rules to deal with assessment and investigation of market-related disputes between participants.
- (2) The Licensee is exempt from the requirement to have market operating rules that comply with paragraph 798DA(2) of the Act.

8. Exemption - Content of written procedures

The Licensee does not have to comply with Corporations Regulation 7.2.08 relating to written procedures for the Market for the matters specified under the regulation.

19-0739



**Corporations (EBS Service Company 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 *Corporations Act 2001* (the Act).

Dated 25 / 7 / 2019

Signed

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

1. Name

This is the *Corporations (EBS Service Company Limited) Exemption Revocation Notice 2019*.

2. Commencement

This instrument commences on the later of:

- (a) the time that is immediately after the commencement of the *Australian Market Licence (EBS Service Company Limited) 2019*; and
- (b) the date of execution.

3. Revocation of exemption

The *Corporations (EBS Service Company Limited) Exemption Notice 2010* is revoked.

19-0748



**Australian Market Licence (Integral Development Corporation
(Europe) Ltd) 2019**

Corporations Act 2001

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

Dated 30/7/2019

Signed 

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

1. Name

This is the *Australian Market Licence (Integral Development Corporation (Europe) Ltd) 2019*.

Note: This instrument should be read in conjunction with the *Corporations (Integral Development Corporation (Europe) Ltd) Exemption Notice 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 a Market;
- (b) a foreign branch or office of an Australian entity where:
 - (i) the foreign branch or office is a participant in a Market; or
 - (ii) the Australian entity is a participant in a Market.
- (c) an Australian branch or office of a foreign entity where:
 - (i) the Australian branch or office is a participant in a Market; or
 - (ii) the foreign entity is a participant in a Market.

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

Licensee means Integral Development Corporation (Europe) Ltd
ARBN 631 491 015.

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

reporting period means each period of 3 months 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) a financial product mentioned in paragraph 764A(1)(k) of the Act;
 - (b) derivatives that are foreign exchange swaps or foreign exchange forwards.

5. Participants

- (1) It is a condition of this Licence that the Licensee must ensure that each:
 - (a) Australian participant:
 - (i) is a professional investor, or a branch or office of an entity that is a professional investor; and
 - (ii) only deals on the Market on their own behalf or on behalf of a professional investor.
 - (b) foreign participant only deals on the Market:
 - (i) on their own behalf; or
 - (ii) on behalf of a person who is not an Australian client; or
 - (iii) if the foreign participant is a professional investor—on behalf of an Australian client who is a professional investor.

6. Information about the operation of the Market

It is a condition of this Licence that the Licensee must at all times make available to participants information, including updated information, about the operation of the Market.

7. Clearing and settlement arrangements

- (1) 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
 - (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:
 - (i) 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.

8. Quarterly notifications

- (1) It is a condition of this Licence that the Licensee must notify ASIC of details of the following matters, within 30 days after the end of each reporting period:
 - (a) details of any kind of disciplinary action taken by the Licensee against a participant including the participant's name and the reason for and nature of the action taken;
 - (b) if the Licensee became aware of:
 - (i) a matter that the Licensee considers has adversely affected, is adversely affecting, or may adversely affect the ability of a participant, who is a financial services licensee, to meet the participant's obligations as a financial services licensee; or
 - (ii) a matter, concerning a participant who is a financial services licensee, that is of a kind prescribed under Reg 7.2.01 of the Corporations Regulations 2001;
 - (c) if the Licensee became aware that a person had come to have, or had ceased to have, more than 15% of the voting power in or in a holding company of the Licensee;
 - (d) if a person became or ceased to be a director, secretary or senior manager of the Licensee or of a holding company of the Licensee (including when a person changes from one of those positions to another); and
 - (e) details of any changes made to its operating rules in a notice that must:
 - (i) set out the text of the change; and
 - (ii) specify the date on which the change was made; and
 - (iii) contain an explanation of the purpose of the change.

9. 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
Foreign Exchange financial products	Spot, Forward, NDF, Swap

- (a) 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;
- (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).

10. Annual report

It is a condition of this Licence that the Licensee must include in its annual report to ASIC under section 792F of the Act, details of any new class of financial services provided by the Licensee that is incidental to the operation of the Market.

11. Record keeping

- (1) It is a condition of this Licence that the Licensee must have adequate arrangements in place for the recording of order information and trades entered into through the Market.

- (2) It is a condition of this Licence that the Licensee must keep for a period of at least 7 years the records of order information and trades entered into through the Market.

12. Market ceases to operate

- (1) It is a condition of this Licence that, where the Licensee intends to cease operating the Market in this jurisdiction, the Licensee must:
 - (a) establish, document and implement adequate arrangements for ensuring, as applicable, the orderly cessation of the Market;
 - (b) notify ASIC:
 - (i) that the Licensee intends to cease operating the Market in this jurisdiction, as soon as reasonably practicable;
 - (ii) of the arrangements referred to in paragraph (a), at least 4 weeks 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.

19-0753



**Corporations (Integral Development Corporation (Europe) Ltd)
Exemption Notice 2019**

Corporations Act 2001

I, Nathan Bourne, Senior Executive Leader, Australian Securities and Investments Commission make this notice under subsection 791C(1) of the *Corporations Act 2001* (the Act).

Dated 30/7/2019

Signed 

as a delegate of the Minister under s1101J of the Act

1. Name

This is the Corporations (Integral Development Corporation (Europe) Ltd) Exemption Notice 2019.

Note: This instrument should be read in conjunction with the *Australian Market Licence (Integral Development Corporation (Europe) Ltd) 2019*.

2. Authority

This instrument is made under subsection 791C(1) of the Corporations Act 2001.

3. Commencement

(1) This instrument commences on the later of:

- (a) the time that is immediately after the commencement of the *Australian Market Licence (Integral Development Corporation (Europe) Ltd) 2019*; and
- (b) the date of execution.

4. Definitions

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

Act means the *Corporations Act 2001*.

ASIC means the Australian Securities and Investments Commission;

Corporations Regulations means the *Corporations Regulations 2001*.

Licensee means Integral Development Corporation (Europe) Ltd
ARBN 631 491 015.

Market means the financial market operated by the Licensee under the *Australian Market Licence (Integral Development Corporation (Europe) Ltd) 2019*.

5. Exemption - Notifications to ASIC

- (1) The Licensee does not have to comply with any of the following provisions of the Act in relation to the Market:
- (a) paragraph 792B(2)(a) – relating to notifying ASIC of a new class of financial service incidental to the operation of a financial market;
 - (b) paragraph 792B(2)(b) – relating to notifying ASIC of disciplinary action taken against a participant;
 - (c) paragraph 792B(3)(a) – relating to notifying ASIC of a matter that has (or may) adversely affect the ability of a participant, who is a financial services Licensee, to meet the participant's obligations as a financial services Licensee;
 - (d) paragraph 792B(3)(b) – relating to notifying ASIC of a matter concerning a participant who is a financial services Licensee, of a kind prescribed by the regulations made for the purposes of paragraph 792B(3)(b);

Note: See Corporations Regulation 7.2.01 for the matters prescribed for the purposes of paragraph 792B(3)(b)

- (e) paragraph 792B(5)(a) – relating to notifying ASIC of a person becoming or ceasing to be a directory, secretary or senior manager of the Licensee or of a holding company of the Licensee;
- (f) paragraph 792B(5)(b) – relating to notifying of voting power of more than 15% in the a Licensee or a holding company of a Licensee.

6. Exemption - Changing the operating rules

The Licensee does not have to comply with section 793D of the Act in relation to changes to the operating rules of the Market.

7. Exemption - Content of operating rules

- (1) The Licensee does not have to comply with any of the following in relation to the Market:
- (a) Corporations Regulation 7.2.07(b)(ii) – relating to operating rules for the the monitoring of participants' compliance with the operating rules;

- (b) Corporations Regulation 7.2.07(b)(v) –relating to operating rules for the expulsion or suspension of a participant for breaches of Chapter 7 of the Act or regulations made under that Chapter;
- (c) Corporations Regulation 7.2.07(b)(vii) –relating to operating rules for the expulsion or suspension of, or enforcement action against, a participant for failing to meet obligations under commitments entered into on the market;
- (d) Corporations Regulation 7.2.07(f) –relating to operating rules dealing with the the terms of the contract formed between participants;
- (e) Corporations Regulation 7.2.07(h) –relating to operating rules to deal with mechanisms for settling market-related disputes between participants; and
- (f) Corporations Regulation 7.2.07(i) –relating to operating rules to deal with assessment and investigation of market-related disputes between participants.

- (2) The Licensee is exempt from the requirement to have market operating rules that comply with paragraph 798DA(2) of the Act.

8. Exemption - Content of written procedures

The Licensee does not have to comply with Corporations Regulation 7.2.08 relating to written procedures for the Market for the matters specified under the regulation.

19-0754



Corporations (Integral Development Corp.) Exemption Revocation Notice 2019

Corporations Act 2001

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

Dated 30/7/2019

Signed 

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

Name of Notice

1. This Notice is the *Corporations (Integral Development Corp.) Exemption Revocation Notice 2019*.

Commencement

2. This Notice commences on the date of execution.

Revocation of Exemption

3. The *Corporations (Integral Development Corp.) Exemption Notice 2014* is revoked.

19-0794

**Australian Securities and Investments Commission
Corporations Act 2001 - Paragraph 1020F(1)(c) – Declaration**

Enabling legislation

1. The Australian Securities and Investments Commission (**ASIC**) makes this instrument under paragraph 1020F(1)(c) of the *Corporations Act 2001* (the *Act*).

Title

2. This instrument is ASIC Instrument 19-0794

Commencement

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

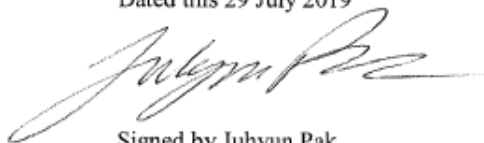
Declaration

4. Part 7.9 of the Act applies to Equity Trustees Limited ACN 004 031 298 in its capacity as the responsible entity of the Partners Group Global Income Fund ARSN 634 678 381 (the **Fund**) as if section 1017E of the Act were modified or varied as follows:
 - (a) in paragraph 1017E(4)(d) of the Act, omit "one month" and substitute "60 days"; and
 - (b) in paragraph 1017E(4)(e) of the Act, omit "end of that month" and substitute "end of the period referred to in paragraph (4)(d)".

Where this declaration applies

5. This declaration applies in relation to the offer of interests in the Fund under a Product Disclosure Statement (the **PDS**) dated and lodged with ASIC on 29 July 2019, where the PDS includes a statement to the effect that money paid for the interests in the Fund may be held for up to 60 days starting on the day on which the money was received before the interests in the Fund are issued or the money is returned.

Dated this 29 July 2019



Signed by Juhyun Pak
as a delegate of the Australian Securities and Investments Commission

19-0797

**Australian Securities and Investments Commission
Corporations Act 2001 — Paragraph 926A(2)(c) — Declaration**

Enabling power

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

Title

2. This instrument is ASIC Instrument [19-0797].

Commencement

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

Declaration

4. Part 7.6 (other than Divisions 4 and 8) of the Act applies in relation to Allianz Australian Insurance Limited ACN 000 122 850 (*Allianz*) and its authorised representatives as if subsection 916F(1AA) (as notionally inserted by subregulation 7.6.08(3) of the *Corporations Regulations 2001*) were modified by omitting paragraph (c) and substituting:

“(c) the representative is:

- (i) an employee of the authoriser; or
- (ii) a person whose services are used by the authoriser for a period of not more than 24 months (including any extension or rollover of a contract or engagement) and who:
 - (A) performs substantially the same duties as an employee of the authoriser; and
 - (B) is subject to the same, or substantially the same, control and direction as an employee when the person is providing financial services as a representative of Allianz Australia Insurance Limited ACN 000 122 850 (*Allianz*); and
 - (C) does not, or in relation to whom the authoriser or Allianz do not, hold out or represent to retail clients that the person is acting other than as an authorised representative of Allianz in providing the financial services in (B); or
- (iii) a person who is engaged to replace an employee of the authoriser who is absent from work in that capacity and reasonably expected to return to work and who:
 - (A) performs substantially the same duties as an employee of the authoriser; and
 - (B) is subject to the same, or substantially the same, control and direction as an employee when the person is providing financial services as a

19-0797

- representative of Allianz Australia Insurance Limited ACN 000 122 850 (*Allianz*); and
- (C) does not, or in relation to whom the authoriser or Allianz do not, hold out or represent to retail clients that the person is acting other than as an authorised representative of Allianz in providing the financial services in (B); and”

Where this declaration applies

5. The declaration in paragraph 4 applies in relation to an authorised representative of Allianz that is not an authorised representative of another financial services licensee.
6. The declaration in paragraph 4 also applies in relation to an authorised representative of Allianz that is also an authorised representative of another financial services licensee where any consent provided by the other licensee under paragraph 916C(1)(a) of the Act includes consent for the representative to authorise the following classes of persons under section 916B of the Act to provide financial services on behalf of Allianz:
 - (a) persons other than employees whose services are used by the authoriser for a period of not more than 24 months (including any extension or rollover of a contract or engagement); and
 - (b) persons engaged to replace an employee of the authoriser who is absent from work in that capacity and reasonably expected to return to work.

Dated this 31st day of July 2019



Signed by Alexandra Hall

as a delegate of the Australian Securities and Investments Commission

19-0805

**Australian Securities and Investments Commission
Corporations Act 2001 — s926A(2)(a) — Exemption**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under s926A(2)(a) of the *Corporations Act 2001*.

Title

2. This instrument is ASIC Instrument 19-0805.

Commencement

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

Exemption

4. ASIC exempts J.P. Morgan Bank Luxembourg S.A (the *body*) from the requirement to hold an Australian financial services (*AFS*) licence in the case referred to in Schedule A.

Cessation

5. The exemption in paragraph 4 ceases to have effect on the earlier of:
 - (a) the expiry of the period referred to in subitem 1(3) of Schedule 2 of *ASIC Corporations (Repeal and Transitional) Instrument 2016/396*;
 - (b) the body failing to comply with any written notice given by ASIC directing the body to give to ASIC, within the time specified in the notice, a written statement containing specified information about the financial service business operated by the body in this jurisdiction; and
 - (c) ASIC giving notice to the body or its agent that the body is excluded from relying on this instrument.

Schedule A

1. The exemption in paragraph 4 applies where all of the following apply:
 - (a) the body is authorised in Luxembourg as a credit institution under Article 2 of *Law of 5 April 1993 on the financial sector* of Luxembourg;
 - (b) the body is either a body corporate incorporated or a partnership formed in Luxembourg;

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- (c) the body:
 - (i) is registered under Div 2 of Pt 5B.2 of the Act; or
 - (ii) has an agent at the time the body first purports to rely on this instrument and, from that time, has not failed to have an agent for any consecutive period of 10 business days;
- (d) the body's primary business is the provision of financial services;
- (e) the body provides any of the following financial services (the *financial services*) in this jurisdiction to wholesale clients:
 - (i) providing financial product advice;
 - (ii) dealing in a financial product;
 - (iii) making a market for a financial product; or
 - (iv) providing a custodial or depository service;in respect of any of the following financial products:
 - (v) derivatives;
 - (vi) foreign exchange contracts;
 - (vii) securities;
 - (viii) debentures, stocks or bonds issued by a government;
 - (ix) interests in a managed investment scheme that is not required to be registered under Chapter 5C of the Act;
 - (x) managed investment products;
 - (xi) deposit-taking facilities that are not deposit products; or
 - (xii) facilities through which a person makes non-cash payments; and
- (f) the body has provided ASIC with all of the following:
 - (i) evidence that paragraph 1(a) of Schedule A is satisfied;
 - (ii) notice that it will provide the financial services in this jurisdiction in reliance on this instrument;
 - (iii) a deed of the body for the benefit of and enforceable by ASIC and the other persons referred to in s659B(1) of the Act that applies notwithstanding that the body may have ceased to rely, or never have relied, on this instrument, which deed provides that:
 - (A) the deed is irrevocable except with the prior written consent of ASIC; and
 - (B) the body submits to the non-exclusive jurisdiction of the Australian courts in legal proceedings conducted by ASIC (including under s50 of the ASIC Act) and, in relation to proceedings relating to a financial services law, by any person referred to in s659B(1) of the Act and whether brought in the name of ASIC or the Crown or otherwise; and

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- (C) the body covenants to comply with any order of an Australian court in respect of any matter relating to the provision of the financial services; and
- (D) if the body is not registered under Div 2 of Pt 5B.2 of the Act, service of process on the body in relation to legal proceedings conducted by ASIC (including under section 50 of the ASIC Act) and, in relation to proceedings relating to a financial services law, by any person referred to in s659B(1) of the Act and whether brought in the name of ASIC or the Crown or otherwise can be effected by service on the agent; and
- (E) the body covenants that, on written request of either CSSF or ASIC, it will give or vary written consent and take all other practicable steps to enable and assist CSSF to disclose to ASIC and ASIC to disclose to CSSF any information or document that CSSF or ASIC has that relates to the body;
- (iv) written consents to the disclosure by CSSF to ASIC and ASIC to CSSF of any information or document that CSSF or ASIC has that relates to the body. The consents must be in such form (if any) as ASIC specifies in writing.
- (g) neither the body nor its agent has been notified by ASIC that the body is excluded from relying on this instrument;
- (h) if the body becomes aware or should reasonably have become aware of matters that give it reason to believe that it has failed, other than in an immaterial respect, to comply with a requirement set out in Schedule B:
 - (i) 15 business days have not passed since the body became so aware or should reasonably have become so aware without the body providing full particulars of the failure to ASIC (to the extent that the body knows those particulars or would have known them if it had undertaken reasonable enquiries); and
 - (ii) 30 business days have not passed from ASIC receiving those particulars from the body without ASIC notifying the body that it may continue to rely on this instrument;
- (i) the body has not notified ASIC that it will not rely on this instrument.

Schedule B

1. The body must:
 - (a) provide each of the financial services in this jurisdiction in a manner which would comply, so far as is possible, with the Luxembourg regulatory requirements if the financial service were provided in Luxembourg in like circumstances;
 - (b) notify ASIC, as soon as practicable and in any event within 15 business days after the body became aware or should reasonably have become aware, and in such form if any as ASIC may from time to time specify in writing, of the details of:
 - (i) each significant change to, including the termination of, the authorisation as a credit institution under Article 2 of the *Law of 5 April 1993 on the financial sector of Luxembourg*, applying to the body relevant to the

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- financial services the body provides or intends to provide in this jurisdiction; and
- (ii) each significant particular exemption or other relief which the body obtains from the Luxembourg regulatory requirements relevant to the financial services the body provides or intends to provide in this jurisdiction; and
 - (iii) each action or investigation of the following kinds taken by the CSSF or other overseas regulatory authority against the body in a foreign jurisdiction in relation to the financial services provided in the foreign jurisdiction:
 - (A) significant enforcement action;
 - (B) significant disciplinary action;
 - (C) significant investigation (unless, after having taken reasonable steps to enable notification to be given to ASIC, the body is prohibited by law from giving such notification but only to the extent of the prohibition); and
- (c) provide written disclosure to all persons to whom the financial services are provided in this jurisdiction (before the financial services are provided) containing prominent statements to the following effect:
- (i) the body is exempt from the requirement to hold an AFS licence under the Act in respect of the financial services; and
 - (ii) the body is regulated by the CSSF under the laws of Luxembourg, which differ from Australian laws; and
- (d) if ASIC gives the body a written notice directing the body to lodge with ASIC, within the time specified in the notice, a written statement containing specified information about any financial service provided by the body in this jurisdiction—comply with the notice.

Interpretation

In this instrument:

Act means the *Corporations Act 2001*;

address, in relation to a company, means the address of the registered office of the company;

agent means a natural person resident in this jurisdiction or a company, whose name and address were last notified to ASIC by the body for the purposes of this instrument, and who is authorised to accept on the body's behalf, service of process from ASIC and, in relation to proceedings relating to a financial services law, from any person referred to in s659B(1) of the Act;

ASIC Act means the *Australian Securities and Investments Commission Act 2001*;

CSSF means Commission de Surveillance du Secteur Financier of Luxembourg;

custodial or depository service has the meaning given by section 766E of the Act;

deposit product has the meaning given by section 761A of the Act;

derivative has the meaning given by section 761D of the Act;

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financial product advice has the meaning given by section 766B of the Act;

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

foreign exchange contract has the meaning given by section 761A of the Act;

Luxembourg regulatory requirements means the rules that apply in relation to the financial services including:

- (a) Article 2 of *Law of 5 April 1993 on the financial sector* of Luxembourg, as amended;
- (b) any other applicable legislation;
- (c) any instruments made under that legislation; and
- (d) any relevant policies or other documents (however described) issued by the CSSF.

making a market has the meaning given by s766D of the Act;

notice and *notified* mean, respectively, written notice and notified in writing;

wholesale client has the meaning given in s761G of the Act.

Dated this 2nd day of August 2019



Signed by Nadene Pillay
as a delegate of the Australian Securities and Investments Commission

19-0807

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 July 2019.

AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION**IN THE MATTER OF ROBERT SHANE MICHAEL****BANNING ORDER UNDER SECTIONS 920A AND 920B
OF THE CORPORATIONS ACT 2001**

To: Robert Shane Michael

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

Dated this 26th day of July 2019



Megan Deane
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.

19-0808

**Australian Securities and Investments Commission
Corporations Act 2001 – Paragraph 741(1)(a) – Exemption**

Enabling legislation

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

Title

2. This instrument is ASIC Instrument 19-0808.

Commencement

3. This instrument commences on 2 August 2019.

Exemption

4. The Relevant Parties do not have to comply with subsection 734(2) of the Act.

Where this instrument applies

5. Subject to paragraph 6, this instrument applies to the following information communicated by a Relevant Party:
 - (a) to Employees:
 - (i) the fact that the Company is proposing to undertake the Offer;
 - (ii) the proposed timing and structure of the Offer;
 - (iii) eligibility to participate in the Offer and other information relevant to participation in the Offer;
 - (iv) information concerning the likelihood of the Offer proceeding, including factors relevant thereto;
 - (v) administrative or organisational changes to the Damstra Entities in connection with the Offer and the Company becoming an ASX-listed company;
 - (vi) information concerning impending announcements about the Offer;
 - (vii) changes to the terms of employment of Employees (including remuneration and incentive arrangements) that will be made in connection with the Offer;

19-0808

- (viii) information regarding the effect of the Offer on any existing incentive arrangements; and
 - (ix) details of the Incentive Plans or contractual arrangements which may be offered to the Employees at or about the same time as the Offer.
- (b) to Existing Securityholders:
- (i) the fact that the Company is proposing to undertake the Offer;
 - (ii) the proposed timing and structure of the Offer;
 - (iii) eligibility to participate in the Offer and other information relevant to participation in the Offer;
 - (iv) information concerning the invitation to Existing Securityholders to sell or dispose of a proportion of their Shares in connection with the Offer;
 - (v) information concerning the likelihood of the Offer proceeding, including factors relevant thereto;
 - (vi) administrative or organisational changes to the Company in connection with the Offer and the Company becoming an ASX-listed company;
 - (vii) information regarding the effect of the Offer on Existing Securities;
 - (viii) information concerning impending announcements about the Offer; and
 - (ix) information about the proposed escrow arrangements with respect to Shares held by Existing Securityholders after the Offer.

Conditions

6. The Relevant Parties must do all things necessary to ensure that:
- (a) the content of the advertising or publicity is authorised by the Company or a Damstra Entity (as applicable);
 - (b) the content of the advertising or publicity does not refer to the content, or proposed content, of the Prospectus other than as permitted by paragraph 5 above (provided that condition 6(a) is not breached); and
 - (c) in communicating any of the information set out in paragraph 5 above, no advantages, benefits or merits of the Offer are communicated.

19-0808

Cessation

7. This exemption shall remain effective, unless otherwise revoked, until the earlier of:
- (a) the date on which the Prospectus is lodged with ASIC; and
 - (b) 22 January 2020.

Interpretation

8. In this instrument:

Company means Damstra Holdings Pty Ltd ACN 610 571 607.

Damstra Entity means the Company or any of its subsidiaries.

Employee means an employee of a Damstra Entity.

Existing Securities means any share, convertible note or other security (including options) in the Company.

Existing Securityholder means any shareholder, noteholder or holder of any such other security (including options) in the Company.

Incentive Plan means any share option, performance right or other incentive plan proposed to be adopted by the Company, including any salary sacrifice plan.

Offer means the proposed initial public offering of Shares.

Prospectus means the prospectus to be lodged with ASIC under which the Offer will be made.

Relevant Parties means the Company, SaleCo and each Damstra Entity.

SaleCo means a special purpose vehicle which will offer Shares under the Prospectus.

Share means a fully paid ordinary share in the Company.

Dated this 2nd day of August 2019



Signed by Priti Joshi

as a delegate of the Australian Securities and Investments Commission

CORPORATIONS ACT 2001

Section 601CL(5)

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

Dated this second day of August 2019

Rosanne Bell

DELEGATE OF

THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Name of Company

ARBN

SECURED ASSET PORTFOLIO III LIMITED

161 048 577

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 second day of August 2019

Rosanne Bell

DELEGATE OF

THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Name of Company**ARBN**

ARROW COFFEE LIMITED

623 189 275

BEAR FOOD LLC

621 035 970

C.L. STERLING & SON, LLC

619 946 977

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 second day of August 2019

Rosanne Bell

DELEGATE OF

THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Name of Company

ARSN

FIDELITY SELECT GLOBAL SMALL CAP FUND

093 164 777

NIKKO AM INTERNATIONAL BOND FUND

098 735 758

CORPORATIONS ACT 2001

Subsection 601PA(3)

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

Dated this second day of August 2019

Rosanne Bell

DELEGATE OF

THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Name of Company

ARSN

PERENNIAL VOLATILITY ALPHA TRUST

616 350 979

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.

BAYLIFE CAPITAL LTD ACN 102 355 420 will change to a proprietary company limited by shares. The new name will be BAYLIFE CAPITAL PTY LTD ACN 102 355 420.

ESTRELA METALS LIMITED ACN 132 232 789 will change to a proprietary company limited by shares. The new name will be ESTRELA METALS PTY LTD ACN 132 232 789.

NAVITAS LIMITED ACN 109 613 309 will change to a proprietary company limited by shares. The new name will be NAVITAS PTY LIMITED ACN 109 613 309.

BIRCH AND PRESTIGE INVESTMENT GROUP LIMITED ACN 163 645 654 will change to a proprietary company limited by shares. The new name will be BIRCH AND PRESTIGE INVESTMENT GROUP PTY LTD ACN 163 645 654.

HEALTH HOUSE HOLDINGS LIMITED ACN 626 641 290 will change to a proprietary company limited by shares. The new name will be HEALTH HOUSE AUSTRALIA PTY LTD ACN 626 641 290.