



ASIC
Australian Securities &
Investments Commission

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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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19-0997

**Australian Securities and Investments Commission
Corporations Act 2001 — Subsection 601QA(1) — Declaration**

Enabling legislation

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

Title

2. This instrument is ASIC Instrument 19-0997.

Commencement

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

Declaration

4. Chapter 5C of the Act applies to BT Funds Management Limited ACN 002 916 458 in its capacity as responsible entity of:
 1. AMP Capital Wholesale Plus Corporate Bond Fund ARSN 601 829 529 and
 2. APN Wholesale Plus AREIT Fund ARSN 601 826 653 and
 3. Pandal Wholesale Plus Australian Share Fund ARSN 601 830 200 and
 4. Ironbark Karara Wholesale Plus Australian Small Companies Fund ARSN 601 829 814 and
 5. UBS Wholesale Plus Australian Bond Fund ARSN 601 827 178 and
 6. Aberdeen Wholesale Plus Actively Hedged International Equities Fund ARSN 601 829 332 and
 7. Bennelong Wholesale Plus ex—20 Australian Equities Fund ARSN 601 829 234 and
 8. Fidelity Wholesale Plus Australian Equities Fund ARSN 601 829 636 and
 9. Perpetual Wholesale Plus Australian Fund ARSN 601 830 335 and
 10. Schroder Wholesale Plus Australian Equity Fund ARSN 601 830 479 and
 11. PIMCO Wholesale Plus Global Bond Fund ARSN 602 109 464 and

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12. PIMCO Wholesale Plus Diversified Fixed Interest Fund ARSN 602 109 857 and
13. Pandal Wholesale Plus Core Global Share Fund ARSN 602 109 599 and
14. Nikko AM Wholesale Plus Australian Share Fund ARSN 602 109 231 and
15. T Rowe Price Wholesale Plus Global Equity Fund ARSN 602 109 357 and
16. Kapstream Wholesale Plus Absolute Return Income Fund ARSN 602 129 822 and
17. Pandal Wholesale Plus Global Property Securities ARSN 602 129 966 and
18. Pandal Wholesale Plus Property Securities Fund ARSN 602 129 859 and
19. Walter Scott Wholesale Plus Global Equity Fund ARSN 602 129 984 and
20. RARE Infrastructure Wholesale Plus Value Fund – Hedged ARSN 602 130 138 and
21. Macquarie Wholesale Plus Income Opportunities Fund ARSN 602 130 174 and
22. Schroder Wholesale Plus Fixed Income Fund ARSN 602 130 236 and
23. RARE Infrastructure Wholesale Plus Value Fund – Unhedged ARSN 602 130 281 and
24. Pandal Wholesale Plus Fixed Interest Fund ARSN 602 130 290 and
25. Pandal Wholesale Plus Global Emerging Markets Opportunities Fund ARSN 602 190 483 and
26. Fidelity Wholesale Plus Global Equities Fund ARSN 602 190 465 and
27. Franklin Templeton Wholesale Plus Multisector Bond Fund ARSN 602 190 321 and
28. Lazard Wholesale Plus Emerging Markets Equity Fund ARSN 602 190 438 and
29. Perpetual Wholesale Plus Diversified Income Fund ARSN 602 190 554 and
30. Wingate Wholesale Plus Global Equity Fund ARSN 602 190 474 and
31. Magellan Wholesale Plus Global Fund ARSN 602 652 737 and

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32. Man AHL Wholesale Plus Alpha (AUD) ARSN 602 130 049

together (Schemes) as if section 601FL were modified or varied as follows:

- (a) in subsection (1) omitting all the text after the word “it”, substitute:
 - “must either:
 - (a) call a members’ meeting to explain its reason for wanting to retire and to enable the members to vote on a resolution (which must be an extraordinary resolution if the scheme is not listed) to choose a company to be the new responsible entity; or
 - (b) propose a related body corporate of the responsible entity to be the new responsible entity in accordance with subsection (1A).”;
- (b) after subsection (1), inserting:
 - “(1A) The requirements for proposing a related body corporate (proposed responsible entity) to be the new responsible entity are as follows:
 - (a) The responsible entity must give members of the scheme notice of a proposal to choose the proposed responsible entity, to be the scheme’s new responsible entity.
 - (b) The notice to members must:
 - (i) set out the following information:
 - (A) the responsible entity’s reasons for wanting to retire;
 - (B) such information as can reasonably be expected to be material to a member in forming a view as to the choice of the proposed responsible entity;
 - (C) information about the proposed timing of the retirement of the responsible entity and the manner in which that retirement will occur;
 - (D) how members can access on the responsible entity’s website current information about the proposed timing of the retirement of the responsible entity and the manner in which that retirement will occur;

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- (ii) state prominently that if:
 - (A) members who together hold at least 5% of the total value of the interests held by members; or
 - (B) 100 members,

who would be entitled to vote if the proposal were put as a proposed resolution to a meeting of members under paragraph (1)(a), ask for a vote on the choice of the proposed responsible entity by giving written notice received by the responsible entity within 21 days from the date the notice is sent, the responsible entity will either arrange a postal vote or convene a meeting to vote on a resolution for the choice of the proposed responsible entity; and
 - (iii) be accompanied by a form which can be ticked to ask for a vote; and
 - (iv) state prominently a reply-paid address of the responsible entity to which the form may be sent.
- (c) The responsible entity must prominently disclose on its website current information about the proposed timing of the retirement of the responsible entity and the manner in which that retirement will occur.
-
- (d) If sufficient members ask for a vote in accordance with the notice, the responsible entity must arrange for a postal vote or, if the responsible entity chooses, convene a meeting in accordance with Part 2G.4 to vote on the choice of the proposed responsible entity as soon as possible.
- (e) If there is a postal vote:
- (i) a voting paper must be sent to each member stating a reply-paid address of the responsible entity to which the voting paper may be sent; and
 - (ii) the responsible entity must notify the members in, or in a document accompanying, the voting paper that:
 - (A) the proposed responsible entity will be chosen as the new responsible entity if at least 50% of the total votes that may be cast by members that would be eligible to vote at a meeting under

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paragraph (1)(a) are cast in favour of the choice;
and

- (B) only votes received by the responsible entity within 28 days after the issue of the voting paper will be counted.

- (f) If a meeting is convened the resolution to choose the new responsible entity must be an extraordinary resolution if the scheme is not listed.";

- (c) after subsection (2) insert:

“(2A) If a postal vote is arranged under paragraph (1A)(d) and at least 50% of the total votes that may be cast by members that would be eligible to vote at a meeting under paragraph (1)(a) are cast in favour of the proposed responsible entity, that entity is taken for the purposes of subsection (2) to have been chosen by a resolution of members on the last day on which postal votes may be received in order to be counted.

- (2B) If:

- (a) a related body corporate is proposed to be the new responsible entity in accordance with subsection (1A); and
- (b) sufficient members do not ask for a vote to choose the entity in accordance with the notice referred to in paragraph (1A)(b); and
- (c) the entity has consented in writing to becoming the scheme's responsible entity,

then:

- (d) as soon as practicable and in any event within 2 business days after the end of the period in which a member may ask for such a vote, the current responsible entity must lodge a notice with ASIC asking it to alter the record of the scheme's registration to name the proposed responsible entity as the scheme's responsible entity; and
- (e) the notice must be accompanied by a certificate from the current responsible entity that it reasonably considers that the appointment of the proposed responsible entity would be in the best interests of members with a summary of the responsible entity's reasons as to why this is the case; and

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- (f) unless ASIC reasonably believes that the appointment of the proposed responsible entity would not be in the best interests of members, ASIC must comply with the notice as soon as practicable after the notice and summary are lodged.”.

Where this declaration applies

5. This declaration applies where Westpac Financial Services Limited ACN 000 241 127 has agreed in writing to become the new responsible entity of the Schemes.

Where this declaration ceases to apply

6. This declaration ceases to apply on 30 April 2020.

Dated this 31st day of October 2019.



Signed by Andrew Duffy
as a delegate of the Australian Securities and Investments Commission



ASIC

Australian Securities & Investments Commission

19-1086

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

Notice of Cancellation of an Australian Financial Services Licence

TO: DJ Carmichael Pty Limited
ACN: 003 058 857("the Licensee")
PO Box Z5186
PERTH WA 6831

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 232571 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated

23 October 2019

Signed

John Connor

A delegate of the Australian Securities and Investments Commission



ASIC

Australian Securities & Investments Commission

19-1094

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

Notice of Cancellation of an Australian Financial Services Licence

TO: Timothy Richard Allen
ABN 28 014 758 140 ("the Licensee")
Unit 11
1 Ross Street
Wollongong NSW 2500

Pursuant to paragraph 915B(1)(e) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 255994 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 21 October 2019

Signed

John Connor
A delegate of the Australian Securities and Investments Commission

19-1099

**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 Act.

Title

2. This instrument is ASIC Instrument 19-1099.

Commencement

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

Cessation

4. The exemption in paragraph 5 ceases to have effect on the earlier of:
 - (a) sub-paragraph 1(1) of Sch 2 of the *ASIC Corporations (Repeal and Transitional) Instrument 2016/396* ceasing to have effect in relation to the relief that was provided under ASIC Class Order [CO 03/1103] *Hong Kong SFC regulated financial service providers*; or
 - (b) Black Creek Investment Management Inc., a company incorporated under the laws of Ontario (Ontario Corporation Number 001780252) (the *body*), not complying 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.

Exemption

5. ASIC exempts the body from the requirement to hold an Australian financial services (*AFS*) licence in the case referred to in Schedule A.

Schedule A

1. Where all of the following apply:
 - (a) the body holds a current registration granted by the Ontario Securities Commission (*OSC*) as an Investment Fund Manager and Portfolio Manager pursuant to the Securities Act;

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- (b) the body is incorporated in Ontario;
 - (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) neither the body nor its agent has been notified by ASIC that the body is excluded from relying on this instrument;
 - (f) 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; and
 - (g) the body has not notified ASIC that it will not rely on this instrument.
2. Where the body provides the following financial services (the *financial services*) in this jurisdiction to wholesale clients:
- (a) providing financial product advice;
 - (b) dealing in a financial product;
- in respect of any of the following financial products:
- (c) securities;
 - (d) managed investment products; and
 - (e) interests in a managed investment scheme that is not required to be registered under Ch 5C of the Act;
3. Where the body has provided ASIC with all of the following:
- (a) evidence that paragraph 1(a) of Schedule A is satisfied that ASIC has stated in writing is adequate;

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- (b) a notice that it will provide financial services in this jurisdiction in reliance on this instrument;
- (c) 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 provides that:
 - (i) the deed is irrevocable except with the prior written consent of ASIC; and
 - (ii) 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
 - (iii) 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
 - (iv) 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 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 can be effected by service on the agent; and
 - (v) the body covenants that, on written request of either the Ontario Securities Commission (OSC) or ASIC, it will give or vary written consent and take all other practicable steps to enable and assist the OSC to disclose to ASIC and ASIC to disclose to the OSC any information or document that the OSC or ASIC has that relates to the body; and
- (d) written consents to the disclosure by the OSC to ASIC and ASIC to the OSC of any information or document that the OSC or ASIC has that relates to the body (being consents in such form (if any) as ASIC specifies in writing).

Schedule B

1. The body must provide each of the financial services in this jurisdiction in a manner which would comply, so far as is possible, with the Ontario regulatory requirements if the financial service were provided in Ontario in like circumstances.
2. The body must:
 - (a) 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 registration as an Investment Fund Manager and Portfolio Manager applying to the body relevant to the financial services the body provides or intends to provide in this jurisdiction; and

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- (ii) each significant particular exemption or other relief which the body obtains from the Ontario 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 OSC or other overseas regulatory authority against the body in a foreign jurisdiction in relation to 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
- (b) 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 OSC under the laws of Ontario, which differ from Australian laws.

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 body;

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*;

financial product advice has the meaning given by s766B of the Act;

financial services law has the meaning given by s761A of the Act;

Securities Act means the Securities Act, R.S.O. 1990, c.S.5;

managed investment products has the meaning given by s764A(1)(ba) of the Act;

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

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Ontario regulatory requirements means the rules that apply in relation to the financial services including any applicable legislation, instruments made under that legislation and any relevant policies or other documents (however described) issued by the Ontario Securities Commission;

overseas regulatory authority means a foreign regulatory authority (other than the OSC) which regulates financial services and which is established by or for the purposes of a foreign government or legislative body;

securities has the meaning given by s761A of the Act;

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

Dated 31 October 2019



Signed by Baldev Dillon
as a delegate of the Australian Securities and Investments Commission

19-1102

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

Enabling Legislation

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

Title

2. This instrument is ASIC Instrument 19-1102.

Commencement

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

Exemption

4. Schroder Investment Management Australia Limited ACN 000 443 274 (**Responsible Entity**) in its capacity as responsible entity for the Schroder Absolute Return Income (Managed Fund) ARSN 624 529 120 (**Fund**), a Chi-X quoted managed fund, does not have to comply with paragraph 601FC(1)(d) of the Act to the extent that it would prevent the Responsible Entity from permitting only authorised participants to withdraw from the Fund.

Where the exemption applies

5. The exemption applies where all of the following are satisfied:
 - (a) there is a Product Disclosure Statement in relation to interests in the Fund that are investment products admitted to quotation by Chi-X that includes statements to the effect that:
 - (i) the Fund uses an absolute return focused strategy that invests in Australian and international fixed income securities. This may include corporate bonds across the credit spectrum, subordinated securities, mortgage and asset backed securities, government and quasi-government bonds, developing market debt, cash and cash equivalents. Exposure to these asset classes may be achieved directly or via an investment in the Schroder Absolute Return Income Fund (ARSN 092 060 172);
 - (ii) the Responsible Entity will not treat members of the same class equally to the extent that it restricts withdrawal from the Fund to authorised participants;

19-1102

- (iii) except in exceptional circumstances only authorised participants may withdraw their interests from the Fund, but other members may sell their interests on the Chi-X Market;
- (iv) when interests in the Fund are suspended from trading on the Chi-X Market for more than 5 consecutive Business Days, members have a right to withdraw from the Fund and receive payment for their interests in money within a reasonable time of request unless any of the following apply:
 - (A) the Fund is being wound-up;
 - (B) the Fund is not liquid as defined in subsection 601KA(4) of the Act;
 - (C) the Responsible Entity suspends withdrawals in accordance with the constitution;
- (b) the constitution of the Fund does not permit a withdrawal fee per interest in the Fund to be payable by a member who is not an authorised participant that is greater than the withdrawal fee per interest that would generally be payable by an authorised participant receiving redemption proceeds in cash while interests in the Fund are quoted when withdrawing the minimum parcel; and
- (c) ASIC has not notified the Responsible Entity in writing that it is excluded from reliance on the exemption.

Note: Subparagraph 5(b) applies regardless of whether the withdrawal fees for the Fund are calculated on a per interest basis or otherwise.

Conditions

6. The Responsible Entity must take reasonable steps to ensure that the following information is publicly available during each Business Day on the Responsible Entity's website:
 - (a) full particulars of the composition of the Fund's daily portfolio holdings; and
 - (b) the net asset value per interest in the Fund, or where there is more than one class of interests, the net asset value per interest for each class of interests.

Interpretation

7. In this instrument:

admitted to quotation means admitted to quotation pursuant to rule 14.9 of the Chi-X Operating Rules.

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Australian resident for tax purposes means, for a particular financial year, a person who is an Australian resident for the purposes of the *Income Tax Assessment Act 1997* for the whole of that financial year.

authorised participant means, in relation to the Fund, a person who:

- (a) has an agreement with the Responsible Entity of the Fund in relation to making applications to acquire and withdraw interests in the Fund; and
- (b) has notified the Responsible Entity in writing that the person expects they will be an Australian resident for tax purposes for the financial year of the Fund in which the notification is made and for each subsequent financial year, and has not subsequently notified the Responsible Entity to the contrary; and
- (a) is either a Trading Participant or has engaged a Trading Participant to act on its behalf to acquire and dispose of interests in the Fund.

Business Day has the same meaning as in the Chi-X Operating Rules.

Chi-X means Chi-X Australia Pty Limited (ACN 129 584 667).

Chi-X Market means the financial market operated by Chi-X under *Australian Market Licence (Chi-X Australia Pty Ltd) 2011*.

Chi-X Operating Rules means the operating rules of the Chi-X Market.

quoted managed fund has the same meaning as in the Chi-X Operating Rules.

investment product has the same meaning as in the Chi-X Operating Rules.

minimum parcel means the smallest number or value of interests in the Chi-X quoted managed fund that are generally permitted to be withdrawn from the Chi-X quoted managed fund by an authorised participant while interests in the Chi-X quoted managed fund are quoted.

Trading Participant has the same meaning as that given to 'participant' in the Chi-X Operating Rules.

withdrawal fee per interest means, in relation the Fund, the fee that is payable in relation to a withdrawal from the Fund divided by the number of interests in the Fund to which the withdrawal relates.

Dated this 1st day of November 2019



Signed by Davis Zhang

As a delegate of the Australian Securities and Investments Commission

19- 1106

**Australian Securities and Investments Commission
Corporations Act 2001 — Subsection 601QA(1) — Declaration**

Enabling legislation

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

Title

2. This instrument is ASIC Instrument 19-1106.

Commencement

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

Declaration

4. Chapter 5C of the Act applies to I.O.O.F. Investment Management Limited ACN 006 695 021 in its capacity as responsible entity of:
 1. IOOF MultiMix Conservative Trust ARSN 130 093 186; and
 2. IOOF MultiMix Moderate Trust ARSN 100 071 332; and
 3. IOOF MultiMix Balanced Growth Trust ARSN 130 097 059; and
 4. IOOF MultiMix Growth Trust ARSN 130 096 945; and
 5. IOOF MultiMix Cash Enhanced Trust ARSN 130 097 175; and
 6. IOOF MultiMix Diversified Fixed Interest Trust ARSN 130 092 787; and
 7. IOOF MultiMix Australian Shares Trust ARSN 130 093 024; and
 8. IOOF MultiMix International Shares Trust ARSN 130 093 104; and
 9. IOOF Cash Management Trust ARSN 105 788 501; and
 10. IOOF Balanced Investor Trust ARSN 165 464 228; and
 11. Multi Series Wholesale Australian Equities Trust ARSN 614 051 428; and

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12. Multi Series Wholesale Fixed Income Trust ARSN 614 051 393; and
13. Multi Series Wholesale International Equities Trust ARSN 614 051 384; and
14. IOOF MultiSeries 30 ARSN 614 698 289; and
15. IOOF MultiSeries 50 ARSN 614 698 314; and
16. IOOF MultiSeries 70 ARSN 118 190 613; and
17. IOOF MultiSeries 90 ARSN 614 698 341; and
18. Profile 45 ARSN 124 731 488; and
19. Profile 55 ARSN 124 731 442; and
20. Profile 65 ARSN 124 731 531; and
21. Profile 75 ARSN 124 731 595; and
22. Profile 85 ARSN 124 731 684; and
23. Profile 95 ARSN 124 731 826; and
24. Profile Australian Shares ARSN 124 731 915; and
25. Profile Diversified Fixed Interest ARSN 124 731 933; and
26. Profile International Shares ARSN 124 731 960; and
27. Profile International Shares (Hedged) ARSN 124 732 047; and
28. IOOF Balanced Fund Fee Option 1 ARSN 087 727 491; and
29. IOOF Balanced Fund Fee Option 2 ARSN 087 728 738; and
30. MultiMix Wholesale International Shares Trust ARSN 093 528 511; and
31. MultiMix Wholesale Australian Property Trust ARSN 093 526 875; and
32. MultiMix Wholesale Defensive Equities Trust ARSN 169 673 590; and
33. MultiMix Wholesale International Property Trust ARSN 133 548 875; and
34. MultiMix Wholesale Diversified Fixed Interest Trust ARSN 093 526 026; and
35. MultiMix Wholesale Alternative Debt Trust ARSN 130 097 086; and

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36. MultiMix Wholesale Alternative Equity Trust ARSN 130 097 120; and
37. MultiMix Wholesale Cash Enhanced Trust ARSN 093 529 045; and
38. MultiMix Wholesale Australian Shares Trust ARSN 093 527 345; and
39. IOOF Multi Investment Manager Trust ARSN 093 226 861; and
40. IOOF MultiMix Capital Stable Trust ARSN 130 096 730; and
41. The Cash Management Fund ARSN 089 508 636; and
42. The Property Income Plus Fund ARSN 089 508 350; and
43. IOOF Capital Secure Trust ARSN 122 582 405; and
44. IOOF Income Trust ARSN 105 788 387; and
45. AM Property Plus ARSN 096 632 165; and
46. Lifetime Asset Management Programme ARSN 088 043 234; and
47. Specialist Australian Shares Fund ARSN 115 121 625; and
48. Specialist Dynamic Allocation Fund ARSN 143 234 262; and
49. Specialist Global Shares Fund ARSN 115 121 643; and
50. Specialist Diversified Fixed Interest Fund ARSN 097 160 748; and
51. Specialist Property Fund ARSN 115 121 563; and
52. Strategic Australian Equity Fund ARSN 133 312 820; and
53. Strategic Cash Plus Fund ARSN 158 867 308; and
54. Strategic Fixed Interest Fund ARSN 151 280 723; and
55. Strategic International Equity Fund ARSN 133 308 219; and
56. Strategic Global Property Fund ARSN 133 312 571; and
57. Foundation Assertive Fund ARSN 115 121 661; and
58. Foundation Balanced Fund ARSN 115 121 689; and
59. Foundation Conservative Fund ARSN 115 121 796; and

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60. IOOF Growth Shares Fund ARSN 087 721 337; and

61. IOOF Value Shares Fund ARSN 100 074 833

together (the *Schemes*) as if section 601FL were modified or varied as follows:

- (a) in subsection (1) omitting all the text after the word “it”, substitute:

“must either:

- (a) call a members’ meeting to explain its reason for wanting to retire and to enable the members to vote on a resolution (which must be an extraordinary resolution if the scheme is not listed) to choose a company to be the new responsible entity; or
- (b) propose a related body corporate of the responsible entity to be the new responsible entity in accordance with subsection (1A).”;

- (b) after subsection (1), inserting:

“(1A) The requirements for proposing a related body corporate (the *proposed responsible entity*) to be the new responsible entity are as follows:

- (a) The responsible entity must give members of the scheme notice of a proposal to choose the proposed responsible entity, to be the scheme’s new responsible entity.
- (b) The notice to members must:
 - (i) set out the following information:
 - (A) the responsible entity’s reasons for wanting to retire;
 - (B) such information as can reasonably be expected to be material to a member in forming a view as to the choice of the proposed responsible entity;
 - (C) information about the proposed timing of the retirement of the responsible entity and the manner in which that retirement will occur;
 - (D) how members can access on the responsible entity’s website current information about the

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proposed timing of the retirement of the responsible entity and the manner in which that retirement will occur;

- (ii) state prominently that if:
 - (A) members who together hold at least 5% of the total value of the interests held by members; or
 - (B) 100 members,who would be entitled to vote if the proposal were put as a proposed resolution to a meeting of members under paragraph (1)(a), ask for a vote on the choice of the proposed responsible entity by giving written notice received by the responsible entity within 21 days from the date the notice is sent, the responsible entity will either arrange a postal vote or convene a meeting to vote on a resolution for the choice of the proposed responsible entity; and
 - (iii) be accompanied by a form which can be ticked to ask for a vote; and
 - (iv) state prominently a reply paid address of the responsible entity to which the form may be sent.
- (c) The responsible entity must prominently disclose on its website current information about the proposed timing of the retirement of the responsible entity and the manner in which that retirement will occur.
 - (d) If sufficient members ask for a vote in accordance with the notice, the responsible entity must arrange for a postal vote or, if the responsible entity chooses, convene a meeting in accordance with Part 2G.4 to vote on the choice of the proposed responsible entity as soon as possible.
 - (e) If there is a postal vote:
 - (i) a voting paper must be sent to each member stating a reply paid address of the responsible entity to which the voting paper may be sent; and
 - (ii) the responsible entity must notify the members in, or in a document accompanying, the voting paper that:

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- (A) the proposed responsible entity will be chosen as the new responsible entity if at least 50% of the total votes that may be cast by members that would be eligible to vote at a meeting under paragraph (1)(a) are cast in favour of the choice; and
 - (B) only votes received by the responsible entity within 28 days after the issue of the voting paper will be counted.
 - (f) If a meeting is convened the resolution to choose the new responsible entity must be an extraordinary resolution if the scheme is not listed.”;
- (c) after subsection (2) insert:
 - “(2A) If a postal vote is arranged under paragraph (1A)(d) and at least 50% of the total votes that may be cast by members that would be eligible to vote at a meeting under paragraph (1)(a) are cast in favour of the proposed responsible entity, that entity is taken for the purposes of subsection (2) to have been chosen by a resolution of members on the last day on which postal votes may be received in order to be counted.
 - (2B) If:
 - (a) a related body corporate is proposed to be the new responsible entity in accordance with subsection (1A); and
 - (b) sufficient members do not ask for a vote to choose the entity in accordance with the notice referred to in paragraph (1A)(b); and
 - (c) the entity has consented in writing to becoming the scheme’s responsible entity,then:
 - (d) as soon as practicable and in any event within 2 business days after the end of the period in which a member may ask for such a vote, the current responsible entity must lodge a notice with ASIC asking it to alter the record of the scheme’s registration to name the proposed responsible entity as the scheme’s responsible entity; and
 - (e) the notice must be accompanied by a certificate from the current responsible entity that it reasonably considers that the

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appointment of the proposed responsible entity would be in the best interests of members with a summary of the responsible entity's reasons as to why this is the case; and

- (f) unless ASIC reasonably believes that the appointment of the proposed responsible entity would not be in the best interests of members, ASIC must comply with the notice as soon as practicable after the notice and summary are lodged.”.

Where this declaration applies

5. This declaration applies where IOOF Investment Services Ltd ACN 007 350 405 has agreed in writing to become the new responsible entity of the Schemes.

Where this declaration ceases to apply

6. This declaration ceases to apply on 30 November 2019.

Dated this 25th day of October 2019.



Signed by Sonia Moss
as a delegate of the Australian Securities and Investments Commission

19-1113

**Australian Securities and Investments Commission
Corporations Act 2001 (Cth) – Paragraphs 911A(2)(l), 926A(2)(a), 951B(1)(a),
992B(1)(a) and 1020F(1)(a) – Exemptions**

Enabling legislation

1. The Australian Securities and Investments Commission makes this instrument under:
 - (a) paragraph 911A(2)(l) of the *Corporations Act 2001* (Cth) (*the Corporations Act*);
 - (b) paragraph 926A(2)(a) of the Corporations Act;
 - (c) paragraph 951B(1)(a) of the Corporations Act;
 - (d) paragraph 992B(1)(a) of the Corporations Act; and
 - (e) paragraph 1020F(1)(a) of the Corporations Act.

Title

2. This instrument is ASIC Instrument 19-1113.

Commencement

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

Exemptions

4. Sympli Australia Pty Ltd (ABN 43 624 341 420) (*Sympli*) does not have to comply with:
 - (a) the requirement to hold an Australian financial services licence for the provision of a financial service by dealing in, or providing general advice in relation to, a facility through which, or through the acquisition of which, a person makes non-cash payments;
 - (b) Part 7.6 of the Corporations Act (other than Division 4 and Division 8);
 - (c) Part 7.7 of the Corporations Act;
 - (d) Part 7.8 of the Corporations Act; and
 - (e) Part 7.9 of the Corporations Act.

Where exemptions apply

5. The exemptions in paragraph 4 apply where each of the following are satisfied:

- (a) Sympli is the Electronic Lodgment Network Operator of the Sympli Electronic Lodgment Network;
- (b) Sympli provides a financial service only by dealing in, or providing general advice in relation to, a facility through which, or through the acquisition of which, a person makes non-cash payments;
- (c) the non-cash payment facility is provided in connection with the use of the Sympli Electronic Lodgment Network to enable the payment or completion of an associated financial transaction;
- (d) Sympli has internal dispute resolution procedures of the kind referred to in paragraph 912A(2)(a) that cover any financial services provided to a person who makes non-cash payments through the Sympli Electronic Lodgment Network;
- (e) Sympli's agreement with Subscribers provides that:
 - (i) where a person reports a payment has, or may have, been made to the wrong recipient through the Sympli Electronic Lodgment Network, Sympli must take all reasonable steps to as soon as practicable, and at most within 5 business days of the report being made:
 - (A) determine whether the payment has been made to an incorrect recipient;
 - (B) contact the financial institution that has received the incorrect payment to request it to take reasonable actions to assist to remedy the payment error, including requesting return of the funds as appropriate; and
 - (ii) where the payment has been made to a wrong recipient and that recipient is a Subscriber, the recipient must take all reasonable steps to assist to recover, remedy or resolve the incorrectly received payment, including by returning the funds to the Subscriber's nominated account or the Sympli Source Account as appropriate; and
- (f) prior to providing the financial service referred to in paragraph 5(b) Sympli has obtained independent review and sign-off from a person with appropriate skills and qualifications, on the components of the Sympli Electronic Lodgment Network required to complete financial settlement to ensure that such system components are fit for purpose, including:
 - (i) management of risks and liabilities involved with incorrect payments;
 - (ii) management of risks and liabilities involved with fraudulent payments;
 - (iii) management of risks and liabilities involved with information technology and cybersecurity systems; and
 - (iv) policies, procedures and systems to comply with any new requirements created by ARNECC or any new governance body or regulator for Electronic Lodgment Network Operators, as they relate to non-cash payments.

Conditions

6. If Sympli relies on the exemption in paragraph 4, Sympli must:

- (a) obtain annual independent review and sign-off from a person with appropriate skills and qualifications, on the components of the Sympli Electronic Lodgment Network required to complete financial settlement to ensure such system components are fit for purpose, as described in paragraph 5(f); and

- (b) include a warning pop-up message in the Sympli Electronic Lodgment Network that reminds Subscribers to check the recipient details that are entered in the relevant 'Settlement Statement' for the transaction, prior to approving the payment, to minimise risk of payments being made to the wrong recipient due to incorrect entry of recipient details.

Interpretation

In this instrument:

associated financial transaction has the meaning given in the *Electronic Conveyancing (Adoption of National Law) Act 2012* of New South Wales as at the date of this instrument.

Electronic Lodgment Network has the meaning given in the *Electronic Conveyancing (Adoption of National Law) Act 2012* of New South Wales as at the date of this instrument.

Electronic Lodgment Network Operator has the meaning given in the *Electronic Conveyancing (Adoption of National Law) Act 2012* of New South Wales as at the date of this instrument.

general advice has the meaning given in subsection 766B(4) of the Act.

non-cash payment has the meaning given in section 763D of the Act.

settlement means the transaction of payment for property purchase and transfer of ownership.

Subscribers means persons who will be authorised to undertake conveyancing transactions through the Sympli Electronic Lodgment Network.

Sympli Electronic Lodgment Network means the Electronic Lodgment Network operated by Sympli as the Electronic Lodgment Network Operator.

Dated this 28th day of October 2019



Signed by Tegan Lemm
as a delegate of the Australian Securities and Investments Commission

19-1114

Australian Securities and Investments Commission**Corporations Act 2001 – Paragraphs 926A(2)(a), 992B(1)(a) and 1020F(1)(a) –
Variation****National Consumer Credit Protection Act 2009 –
Paragraph 109(1)(a) – Variation****Enabling power**

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraphs 926A(2)(a), 992B(1)(a) and 1020F(1)(a) of the *Corporations Act 2001* (the *Corporations Act*) and paragraph 109(1)(a) of the *National Consumer Credit Protection Act 2009* (the *Credit Act*).

Title

2. This instrument is ASIC Instrument 19-1114.

Commencement

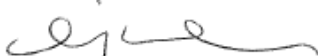
3. This instrument commences on the date that it is signed.

Variation

4. ASIC Instrument 18-1019 is varied as follows:

(a) In subparagraph 3(b) omit “31 October 2019”, substitute “31 January 2020”.

Dated this 28th day of October 2019



Signed by Emily Newman
as a delegate of the Australian Securities and Investments Commission

19-1119

**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 19-1119.

Commencement

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

Exemption

4. Nitro Software Limited ACN 079 215 419 (*Company*) does not have to comply with subsection 734(2) of the Act.

Where the exemption applies

5. Subject to paragraph 6, this instrument applies to the following information communicated by the Company to:
 - a. employees of the Company Group:
 - (i) the fact that the Company is proposing to undertake the IPO;
 - (ii) information relating to changes which may be made to the structure and internal administration of the Company Group at or around the same time as the IPO;
 - (iii) details of any employee share plan, employee option plan or similar employee incentive plan under which offers to employees of the Company Group may be made at or about the same time as the IPO;
 - (iv) information about the timetable for the IPO, and any proposed updates to the timetable for the IPO;
 - (v) details of the potential participation of the employees in the issue of Shares as part of the IPO;
 - (vi) information about impending announcements in relation to the IPO; and

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b. Shareholders of the Company:

- (i) the fact that the Company is proposing to undertake the IPO;
- (ii) information about the structure of the offer and the offer periods under the IPO;
- (iii) information about the timetable for the IPO, including any proposed updates to the timetable;
- (iv) eligibility to participate in the IPO and other information relevant to participation in the IPO;
- (v) information concerning the invitation to Shareholders to sell or dispose of a proportion of their Shares in connection with the IPO;
- (vi) information about the proposed escrow arrangements with respect to Shares held by Shareholders after the IPO;
- (vii) information alerting Shareholders to impending announcements about the IPO; and
- (viii) information relating to matters that may require approval from the Shareholders in connection with the IPO.

Conditions

6. This exemption does not apply if, in communicating any of the information set out in paragraph 5 of this instrument, the Company communicates any advantages, benefits or merits of the IPO.

Cessation

7. This instrument ceases to apply on the earlier of:
- a. the date on which the IPO Prospectus is lodged with ASIC; and
 - b. 31 December 2019.

Interpretation

8. In this instrument:

Company Group means the Company and its related bodies corporate.

19-1119

IPO means the proposed initial public offering of fully paid ordinary shares in the Company.

IPO Prospectus means the prospectus proposed to be lodged with ASIC in or around November 2019 under which the IPO will be made.

Shareholders means registered holders or beneficial owners of Shares.

Shares means fully paid ordinary shares in the Company.

Dated this 29th day of October 2019



Signed by Dominic Clarke
as a delegate of the Australian Securities and Investments Commission

19-1121

**Australian Securities and Investments Commission
Corporations Act 2001 – Paragraph 1020F(1)(b) – Exemption**

Enabling legislation

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

Title

2. This instrument is ASIC Instrument 19-1121.

Commencement

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

Exemption

4. An ordinary share in the Company is exempt from subsection 1020B(2) of the Act.

Where this instrument applies

5. The exemption applies to an offer to sell Offer Shares by:
 - (a) Selling Shareholders to SaleCo or Applicants nominated by SaleCo; or
 - (b) by SaleCo to Applicants;where all of the following are satisfied:
 - (a) each Selling Shareholder has, before the time of the offer, entered into a contract or is the beneficiary of a promise under a deed or deed poll to have issued to them Shares pursuant to the Convertible Notes and Anti-Dilution Arrangements;
 - (b) each Selling Shareholder has, before the time any sale offer is made by SaleCo, offered to sell Offer Shares to, or as directed by, SaleCo under an Irrevocable Offer;
 - (c) SaleCo has offered to sell the Offer Shares to Applicants.

Interpretation

6. In this instrument:

19-1121

ASX means ASX Limited ACN 008 624 691 or the financial market it operates, known as the Australian Securities Exchange, as the context requires.

Applicants means applicants under the IPO Prospectus.

Company means Carbon Revolution Limited ACN 128 274 653.

Convertible Note and Anti-Dilution Arrangements means the arrangements between the Company and Selling Shareholders pursuant to a convertible note deed poll executed by the Company and dated in or about May 2019 and an anti-dilution deed executed by the Company and Selling Shareholders dated on or about 29 March 2019 as amended from time to time.

IPO means the initial public offering of ordinary shares in the Company.

IPO Prospectus means a disclosure document to be lodged with ASIC by the Company on or around 1 November 2019.

Irrevocable Offer means an irrevocably offer by a Selling Shareholder to sell a certain number of Shares it receives under the Convertible Note and Anti-Dilution Arrangements to, or as directed by, SaleCo for consideration per Share equal to the offer price per Share under the IPO Prospectus, less any transaction fees.

Offer Shares means the Shares offered by the Company under the IPO Prospectus.

SaleCo means Carbon Revolution SaleCo Limited ACN 636 286 078.

Selling Shareholder means each of the following:

- i. Mr Ashley James Denmead as trustee for the Denmead Investment Trust;
- ii. Ronal AG;
- iii. Crown in Right of the State of Victoria;
- iv. Clean Energy Finance Corporation ABN 43 669 904 352;
- v. Acorn Capital Private Opportunities Fund L.P ABN 99 692 993 351;
- vi. Matthew Dingle as trustee for the M Dingle Family Trust;
- vii. Gregory James Lindsay & Tacy-Lee Lindsay as trustees for the Lindsay Family Trust;
- viii. McGuire Media Pty Ltd ACN 061 141 857;
- ix. BNP Paribas Noms Pty Ltd ACN 084 150 023;
- x. Sierra Lane Pty Ltd ACN 005 987 020;
- xi. J&L Super Pty Limited ACN 158 120 355;
- xii. Kerr Investment Holdings Pty Ltd ACN 162 690 691;
- xiii. Bargo Nominees Pty Limited ACN 600 194 545;
- xiv. Auro Superannuation Pty Ltd ACN 151 559 385;
- xv. Concave Pty Ltd ACN 005 090 906;
- xvi. SJ Parkton Pty Ltd ACN 602 490 568;
- xvii. Victor Hill Pty Ltd ACN 605 685 014;
- xviii. Foreteller Pty Ltd ACN 600 779 020 as trustee for the Kelinni Trust;
- xix. Astrid Widdop;

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- xx. Nicholas and Winsome Batchelor as trustees for the Dalriada Investments Trust;
- xxi. Bullivour Pty Ltd ACN 609 299 158;
- xxii. G K Financial Planning Pty Ltd ACN 059 140 662;
- xxiii. Dr Catharyn Johanna Stern & Mr Andrew Robert Welsh;
- xxiv. Feradio Helena Nominees Pty Ltd ACN 005 453 921;
- xxv. Give Where You Live Incorporated (VIC) A0001358H ABN 92 864 585 091;
- xxvi. Kasato Invest Pty Ltd ACN 627 890 117;
- xxvii. North Pole Investments Pty Limited ACN 606 073 349;
- xxviii. Stoepsitters Pty Ltd ACN 140 105 997;
- xxix. AWA Mutual Limited ACN 087 651 652;
- xxx. Billied Investments Pty Ltd ACN 010 151 845;
- xxxi. Brian Ernest King & Pamela Diagh King as trustees for B&P King Family Superannuation;
- xxxii. Dr Clive Roger McLennan;
- xxxiii. Kainjack Pty Ltd ACN 149 458 453 as trustee for the Hindmarsh Superannuation Fund;
- xxxiv. TMF Investments Pty Ltd ACN 115 518 379;
- xxxv. Mr Nicholas Waugh;
- xxxvi. Peter John Pickering as trustee for the Pickering Family Trust;
- xxxvii. Mr Philip Damien Anglin & Mrs Danielle Simone Anglin;
- xxxviii. Castworth Pty Ltd ACN 075 079 748 as trustee for Rickwood Family Trust;
- xxxix. Paul Pesavento;
- xl. Shirra Pty Ltd ACN 072 074 590;
- xli. Glenwood Foundation Pty Ltd ACN 163 198 552; and
- xlii. Albatross Corporation Pty Ltd ACN 081 931 759 as trustee for McCleery Family Trust.

Share means a fully paid ordinary share in the Company.

Dated this 30th day of October 2019



Signed by Sabrina Mobbs
as a delegate of the Australian Securities and Investments Commission

19-1122

**Australian Securities and Investments Commission
Corporations Act 2001 – Paragraph 655A(1)(a) – Exemption**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraph 655A(1)(a) of the *Corporations Act 2001* (the *Act*).

Title

2. This instrument is ASIC Instrument 19-1122.

Commencement

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

Exemption

4. The following persons do not have to comply with subsection 606(1) of the Act:
 - (a) SaleCo;
 - (b) Bruce Griffiths, James Douglas and Dale McKee, as shareholders of SaleCo; and
 - (c) Carbon Revolution Limited ACN 128 274 653 (*Company*),
(each a *SaleCo Party*).

Where this instrument applies

5. This instrument applies where:
 - (a) the acquisition of a relevant interest in Shares from a Selling Shareholder occurs as a result of the Selling Shareholder entering into an agreement or arrangement to participate in, and participating in, a facility or other arrangement established by SaleCo and the Company under which:
 - (i) pursuant to the terms of the Share Sale Arrangements, the Selling Shareholder sells or transfers their Shares to SaleCo and agrees not to dispose of their Shares;
 - (ii) SaleCo sells or transfers the Shares under offers made under the IPO Prospectus; and
 - (iii) SaleCo provides consideration to Selling Shareholders for the sale or transfer referred to in paragraph (a)(i) which is referable to the

19-1122

consideration received by SaleCo for the sale or transfer referred to in paragraph (a)(ii), subject to the payment by SaleCo of any costs associated with the sale or transfer pursuant to the Share Sale Arrangements;

- (b) each SaleCo Party will cease to have a relevant interest in the Shares which SaleCo acquired under the facility or arrangement described in paragraph (a) above by the earlier of:
 - (i) the date on which the Shares are transferred under an offer of Shares under the IPO Prospectus lodged with ASIC; and
 - (ii) 30 days from the date SaleCo acquires a relevant interest in the Shares from the Selling Shareholders;
- (c) SaleCo does not sell a Share to a person if it knows or believes that person would contravene section 606 of the Act by acquiring the Share;
- (d) SaleCo does not exercise any voting rights attaching to Shares which it acquires under the facility or arrangement described in paragraph (a), without ASIC's consent; and
- (e) each of the Company and SaleCo use their best endeavours to obtain as wide a placement of the Shares as practicable.

Interpretation

6. In this instrument:

IPO means the initial public offering of ordinary shares in the Company;

IPO Prospectus means a disclosure document to be lodged with ASIC by the Company on or around 1 November 2019;

SaleCo means Carbon Revolution SaleCo Limited ACN 636 286 078;

Selling Shareholder means each holder of Shares who elects to sell their Shares to SaleCo pursuant to the terms of the Share Sale Arrangements, who in turn will sell those Shares as part of the IPO;

Share means a fully-paid ordinary share in the Company;

Share Sale Arrangements means the share sale arrangements pursuant to which Selling Shareholders will sell to SaleCo some or all of their Shares.

19-1122

Dated this 30th day of October 2019

A handwritten signature in black ink, appearing to be 'S Mobbs', written in a cursive style.

Signed by Sabrina Mobbs
as a delegate of the Australian Securities and Investments Commission

19-1123

Australian Securities and Investments Commission**Corporations Act 2001 – Paragraphs 926A(2)(a) – Exemption****Enabling power**

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

Title

2. This instrument is ASIC Instrument [19-1123].

Commencement

3. This instrument commences on 1 November 2019.

Exemption

4. Revolut Ltd, a company incorporated in England and Wales (company number 08804411) (“Revolut”) is not required to hold an Australian financial services licence under section 911A of the Act for the provision of the following financial services:
 - (a) providing financial product advice in relation to a Facility through which a person makes a non-cash payment; and
 - (b) dealing in a Facility through which a person makes a non-cash payment.

Where exemptions apply

5. The exemption in paragraph 4 applies where Revolut complies with all of the following requirements:
 - (a) is an authorised Electronic Money Institution;
 - (b) operates an internal dispute resolution procedure that:
 - (i) complies with standards and requirements made or approved by ASIC for the purposes of subparagraph 912A(2)(a)(i) of the Act; and
 - (ii) covers complaints in relation to the Facility;
 - (c) is a member of the AFCA scheme in accordance with subparagraph 912A(2)(c) of the Act that covers complaints in relation to the Facility;

19-1123

- (d) holds all money provided by an Australian client in an account with an Australian ADI and in trust for the benefit of the client;
- (e) the only money paid into the account described in subparagraph 5(d) is:
 - (i) money that relates to a Facility; or
 - (ii) interest on the amount from time to time standing to the credit of the account; and
- (f) money of the kind described in subparagraph 5(d) is paid into the account on the day it is received by Revolut, or on the next business day.

Conditions

- 6. Revolut must comply with:
 - (a) Division 2 of Part 7.7 of the Act as if Revolut were a licensee for the purposes of that Division, and
 - (b) Reg 7.6.03A of the *Corporations Regulations 2001* as if Revolut has applied for an Australian financial services licence.
- 7. Revolut must take all reasonable steps to provide the financial services in paragraph 4 in this jurisdiction in a way that would comply with the UK regulatory requirements as if the financial service was provided in the United Kingdom in like circumstances.
- 8. Revolut must not issue the Facility to any Australian clients that have not previously acquired the Facility before 1 November 2019.

Cessation

- 9. This instrument ceases to apply on the earlier of:
 - (a) 1 May 2020; or
 - (b) 30 days after ASIC notifies Revolut of a decision on whether it will grant Revolut Payments Australia Pty Ltd an Australian financial services licence.

Interpretation

In this instrument:

authorised Electronic Money Institution has the meaning given by regulation 2 of the Electronic Money Regulations 2011;

19-1123

Facility means the digital wallet application provided by Revolut which allows for storage of funds and peer to peer payments to be made in multiple currencies and prepaid Visa cards issued to access funds on the wallet application;

FCA means Financial Conduct Authority of the United Kingdom;

Dated this 1st day of November 2019



Signed by Bonnie Butler
as a delegate of the Australian Securities and Investments Commission

19-1124

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 28 October 2019.

AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION**IN THE MATTER OF THANH HUU TRAN****BANNING ORDER UNDER SECTIONS 920A AND 920B
OF THE CORPORATIONS ACT 2001**

To: Thanh Huu Tran

TAKE NOTICE that under subsections 920A(1) and 920B(2) of the Corporations Act 2001 the Australian Securities and Investments Commission prohibits **Thanh Huu Tran** from providing any financial services for a period of two (2) years.

Dated this 23rd day of October 2019

Signed:



Sarah Thrift
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.

19-1131

**Australian Securities and Investments Commission
Corporations Act 2001 – Paragraph 992B(1)(a) - Exemption**

Enabling legislation

1. The Australian Securities and Investments Commission (ASIC) makes this instrument under paragraph 992B(1)(a) of the *Corporations Act 2001* (Act).

Title

2. This instrument is ASIC Instrument 19-1131.

Commencement

3. This instrument commences on 31 October 2019.

Exemption

4. RAM Australia Funds Management Limited ACN 629 968 163 (RAM Australia) does not have to comply with section 989B of the Act for the financial year ended 30 June 2019.

Where this instrument applies

5. This instrument applies where RAM Australia has not carried on a *Financial Services Business* during the financial year ended 30 June 2019.

Interpretation

6. In this instrument *Financial Services Business* has the meaning given to it by section 761A of the Act.

Dated this 31st day of October 2019



Signed by Andrew Duffy
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 first day of November 2019

Rosanne Bell
DELEGATE OF
THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Name of Company

ARBN

AMICROE HOLDINGS, LTD.

067 862 891

COECLERICI COMMODITIES SA

601 892 577

PURE CONTROL SOLUTIONS LIMITED

165 394 687

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 first day of November 2019

Rosanne Bell
DELEGATE OF
THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Name of Company

ARNN

AUSTBULK SHIPPING SDN BHD

071 526 513

KNOW INK, LLC

630 461 166

PETROLIS SINGAPORE PTE. LTD.

619 181 752

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 first day of November 2019

Rosanne Bell
DELEGATE OF
THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Name of Scheme

ARSN

ANTARES AUSTRALIAN SHARES FUND	090 554 117
ANTARES ELITE OPPORTUNITIES SHARES FUND	102 675 767
ANTARES LONG TERM EQUITY FUND - SERIES 1	127 178 170

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.

AML3D PTY LTD ACN 602 857 983 will change to a public company limited by shares. The new name will be **AML3D LIMITED** ACN 602 857 983.

NUGENT ENGINE TECHNOLOGIES PTY LTD ACN 133 943 156 will change to a public company limited by shares. The new name will be **NUGENT ENGINE TECH LIMITED** ACN 133 943 156.

TALOR LTD. ACN 060 532 041 will change to a proprietary company limited by shares. The new name will be **TALOR PTY LTD** ACN 060 532 041.

GP LINKS WIDE BAY LTD ACN 138 320 662 will change to a proprietary company limited by shares. The new name will be **GP LINKS WIDE BAY PTY LTD** ACN 138 320 662.

SHEPPARTON PARTNERS COLLECTIVE PTY LTD ACN 633 389 394 will change to a public company limited by shares. The new name will be **SHEPPARTON PARTNERS COLLECTIVE LTD** ACN 633 389 394.