



ASIC
Australian Securities &
Investments Commission

Commonwealth of Australia Gazette

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Contents

Notices under Corporations Act 2001

20-0192	20-0233	20-0259	20-0260	20-0275
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Company/scheme deregistrations

Change of company type

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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20-0192

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 12 March 2020.

AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

IN THE MATTER OF CHRISTOPHER NORMAN HARRIS

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

To: Christopher Norman Harris

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

Dated this 4th day of March 2020

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.

20-0233

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

Enabling legislation

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 20-0233.

Commencement

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

Revocation

4. ASIC Instrument 19-0894 is revoked.

Amendment

5. ASIC Instrument 17-0503 is amended as follows:

- (a) In subparagraph 4, omit
“31 March 2020”,
substitute
“31 March 2022.”

Dated this 26th day of March 2020.



Signed by Madeline Morris
as a delegate of the Australian Securities and Investments Commission

20-0259

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

Enabling legislation

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

Title

2. This instrument is ASIC Instrument 20-0259.

Commencement

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

Declaration

4. Chapter 6 of the Act applies to Goldsea Australia Mining Pty Ltd (ACN 637 464 601) (*Bidder*) as if:
 - (a) subsection 605(2) of the Act was modified or varied by:
 - (i) deleting “or” at the end of paragraph (a);
 - (ii) deleting “.” at the end of paragraph (b) and replacing it with “; or”; and
 - (iii) inserting the following new paragraph after paragraph (b):

“(c) they are options which have different expiry dates.”;
 - (b) subsection 618(1) were modified or varied by inserting the words “or compensate the holders of such securities for the cancellation, surrender or forfeiture of” after the word “buy”;
 - (c) subsection 619(2) was modified or varied by:
 - (i) deleting “.” at the end of paragraph (e) and replacing it with “; and”; and
 - (ii) inserting the following paragraph after paragraph (e):

“(f) any differences in the offers attributable to the fact that the offers relate to options which have different exercise dates.”.

Where this instrument applies

5. This instrument applies where:
 - (a) the Bidder makes an off-market bid to acquire five tranches of 78,842,567 options being options over unissued ordinary shares in Alto Metals Limited (ACN 159 819 173) (*Target*) in respect of which the bidder’s statement will be lodged with ASIC on or around 25 March 2020; and

20-0259

- (b) the consideration offered by the Bidder for different classes of options over unissued shares in the Target is equitable having regard to the different expiry dates of the different options.

Dated this 23rd day of March 2020



Signed by Henry Brunskill
as a delegate of the Australian Securities and Investments Commission

20-0260

**Australian Securities and Investments Commission
Corporations Act 2001 Section 655A – Exemption**

Enabling legislation

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

Title

2. This instrument is ASIC Instrument 20-0260.

Commencement

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

Exemption

4. Goldsea Australia Mining Pty Ltd (ACN 637 464 601) (*Bidder*) does not have to comply with subsection 606(1) of the Act in relation to the acquisition of fully paid ordinary shares in Alto Metals Limited (ACN 159 819 173) (*Alto*) as a result of the exercise of unlisted options to acquire fully paid ordinary shares in Alto, where:
 - (a) the Bidder makes a takeover bid for all of the issued fully paid ordinary shares in Alto (*Share Offer*) in respect of which a bidder's statement is lodged with ASIC on or about 25 March 2020; and
 - (b) the Bidder makes a takeover bid for all the options which have an exercise price that is more than the price per share offered under the Share Offer as at the date set by the bidder under subsection 633(2) of the Act (*Option Offer*), in respect of which the bidder's statement will be lodged with ASIC on or about 25 March 2020.

Where this instrument applies

5. This instrument applies where:
 - (a) the Option Offer is subject to a non-waivable defeating condition that the Share Offer:
 - (i) becomes, or is declared, unconditional; or
 - (ii) is subject only to conditions that relate to either the happening of the prescribed circumstances in subsection 652C(1) or (2);
 - (b) the Bidder first sends the offers under the Option Offer and Share Offer on the same day;
 - (c) the Bidder discloses in its bidder's statements in respect of the Option Offer and Share Offer:

20-0260

- (i) that it received relief from ASIC and provides a brief description of the terms of the relief;
 - (ii) its intentions concerning the exercise of the options it acquires under the Option Offer; and
 - (iii) that any Alto shares issued during the Share Offer bid period upon exercise of any options acquired by the Bidder under the Option Offer do not form part of the Share Offer bid class; and
- (d) the Option Offer is a cash offer to acquire the different classes of options at different consideration, having regard to the different expiry dates, as confirmed with ASIC on 10 March 2020.

Dated this 23rd day of March 2020



Signed by Henry Brunskill
as a delegate of the Australian Securities and Investments Commission

20-0275

Notice is given under section 915F of the Corporations Act 2001 that the Australian Securities and Investments Commission has made an order in the terms set out below, which order took effect on 16 March 2020.

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

Notice of Suspension of Australian Financial Services Licence

To: LM Investment Management Limited ACN 077 208 461
C/- FTI Consulting
Level 20
345 Queen Street
BRISBANE QLD 4000

Under s915B(3)(b) of the Corporations Act 2001 (**Act**) the Australian Securities and Investments Commission (**ASIC**) suspends Australian financial services licence number 220281 held by LM Investment Management Limited ACN 077 208 461 (**Licensee**) until 15 March 2022.

Under s915H of the Act ASIC specifies that the licence continues in effect as though the suspension had not happened for the purposes of the provisions of the Act specified in Schedule A regarding the matters specified in Schedule B.

Schedule A

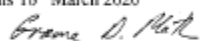
- (a) The provisions of Chapter 5C;
- (b) The provisions of Chapter 7, other than the provisions in Parts 7.2, 7.3, 7.4 and 7.5.

Schedule B

The provision by the Licensee of financial services which are reasonably necessary for, or incidental, to the transfer to a new responsible entity, investigating or preserving the assets and affairs of, or winding up of:

1. LM First Mortgage Income Fund ARSN 089 343 288;
2. LM Currency Protected Australian Income Fund ARSN 110 247 875;
3. LM Institutional Currency Protected Australian Income Fund ARSN 122 052 868;
4. LM Australian Income Fund ARSN 133 497 917;
5. LM Australian Structured Products Fund ARSN 149 875 669.

Dated this 16th March 2020


Signed

Graeme Darcy Plath, a delegate of the Australian Securities and Investments Commission

CORPORATIONS ACT 2001
Section 601CL(4)

ASIC will strike the foreign companies listed below off the register three months after the publication of this notice, unless given acceptable reason not to proceed.

Dated this twenty-seventh day of March 2020

Rosanne Bell
DELEGATE OF
THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Name of Company	ARBN
ALLIED GOLD MINING LIMITED	151 368 053
IT GLOBAL (UK) LIMITED	090 768 844
TRONOX INTERNATIONAL FINANCE LLP	160 448 475
3-D MATRIX ASIA PTE. LTD.	624 174 689

CORPORATIONS ACT 2001
Subsection 601PB(2)

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

Dated this twenty-seventh day of March 2020

Rosanne Bell
DELEGATE OF
THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Name of Company	ARSN
ABERDEEN STANDARD ACTIVE INDEX INCOME FUND	092 789 083
ABERDEEN STANDARD AUSTRALIAN FLOATING RATE INCOME FUND	092 788 899

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.

ATI GLOBAL PTY LTD ACN 634 158 204 will change to a public company limited by shares. The new name will be ATI GLOBAL LIMITED ACN 634 158 204.

DJ'S RISE & SHINY LTD ACN 639 211 635 will change to a proprietary company limited by shares. The new name will be DJ'S RISE & SHINY PTY LTD ACN 639 211 635.

QUAYPAY LTD ACN 162 524 085 will change to a proprietary company limited by shares. The new name will be QUAYPAY PTY LTD ACN 162 524 085.

CBFC LIMITED ACN 008 519 462 will change to a proprietary company limited by shares. The new name will be CBFC PTY LIMITED ACN 008 519 462.

FAMILY BUSINESS CONSULTANTS NETWORK LIMITED ACN 159 122 960 will change to a proprietary company limited by shares. The new name will be FAMILY BUSINESS CONSULTANTS NETWORK PTY. LTD. ACN 159 122 960.