



**ASIC**  
Australian Securities &  
Investments Commission

## CEU compliance report by ASIC

ASIC's interim report dated **28 April 2020** on compliance with the s93AA ASIC Act court enforceable undertaking (CEU) given by **Christopher John Cannon** dated 19 December 2017.

Terms used in this report have the same meaning as in the CEU dated 19 December 2017. Matters described in ASIC's interim report dated 17 April 2019 have not been repeated in this report.

Undertakings	Report on compliance
<b>Assessment of Independent Expert</b> CEU paragraph 20 – 21.2	<ol style="list-style-type: none"><li>1. In the review period covering 18 December 2018 to 17 December 2019, the independent expert has:<ol style="list-style-type: none"><li>1.1. reviewed 5 of Mr Cannon's Financial Product Advice files and provided a report to Mr Cannon, ASIC and Mr Cannon's current Australian financial services licensee, MyPlanner Professional Services Pty Ltd regarding his compliance with sections 947D, 961B, 961G and 961J of the Corporations Act 2001;</li><li>1.2. assessed whether Mr Cannon has met his ongoing training requirements; and</li><li>1.3. found that Mr Cannon's 5 client files were compliant with sections 947D, 961B, 961G and 961J of the Corporations Act 2001 and no issues or failures were noted in relation to his ongoing training requirements.</li></ol></li></ol>