

From: s 22
To: [Chapple, Mark](#); [Michael Pearson](#)
Cc: Emma.Panhuber@bakermckenzie.com; s 22
Subject: NFA letter - ALS Limited [SEC=OFFICIAL:Sensitive]
Date: Wednesday, 26 October 2022 9:43:00 AM
Attachments: [20221025 ALS NFA letter.pdf](#)
[image001.gif](#)

Dear Mark and Michael

As discussed, I have attached ASIC's no further action letter in relation to the ALS Limited investigation.

Please reach out if you would like to discuss.

Kind regards

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Senior Lawyer, Corporations & Corporate Governance
Office of Enforcement

Australian Securities and Investments Commission

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ASIC logo





ASIC
Australian Securities &
Investments Commission

**Australian Securities
and Investments Commission**

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Michael Pearson
General Counsel & Company Secretary
ALS Limited
32 Shand Street
Stafford Qld 4053

Sent by email only to: michael.pearson@ALSGlobal.com

25 October 2022

Dear Mr Pearson

Investigation into ALS Limited

As you are aware, the Australian Securities and Investments Commission (**ASIC**) has been conducting an investigation into suspected contraventions of sections 180, 181, 184, 674 and 1307 of the *Corporations Act 2001* (Cth) as well as section 192E of the *Crimes Act 1900* (NSW) by ALS Limited ACN 009 657 489 (**ALS**) and its current and former officers and employees in relation to the testing and certification of coal during the period from 1 October 2007 to 3 April 2020.

ASIC has concluded the investigation and has decided that it will not take any enforcement action against ALS, its subsidiaries, or its current officers and employees.

ASIC may recommence its investigation, or commence enforcement action, if circumstances change.

Yours sincerely,

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Senior Manager
Corporations & Corporate Governance Enforcement
Australian Securities and Investments Commission