



Federal Court of Australia

District Registry: Victoria

Division: General

No: VID1170/2019

AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Plaintiff

RI ADVICE GROUP PTY LTD and another named in the schedule

Defendants

ORDER

JUDGE: JUSTICE MOSHINSKY

DATE OF ORDER: 23 March 2021

WHERE MADE: Melbourne

THE COURT DECLARES THAT: on various occasions during the period 1 November 2013 to 30 June 2016, as set out in the Schedule attached to this order titled "Instances of Advice", the second defendant contravened s 961Q(1) of the *Corporations Act 2001* (Cth) in that the second defendant contravened ss 961B, 961G, 961H and 961J of the *Corporations Act*.

THE COURT ORDERS THAT:

1. The matter be listed for a case management hearing (in relation to a further hearing on the issues of relief and costs as between the plaintiff and the second defendant) on a date to be fixed.

Date that entry is stamped: 23 March 2021


Registrar



Schedule

No: VID1170/2019

Federal Court of Australia
District Registry: Victoria
Division: General

Second Defendant JOHN DOYLE



SCHEDULE – INSTANCES OF ADVICE

Instances of advice given by Doyle to Sample Clients to invest in Structured Products giving rise to contraventions

| <i>Client #</i> | <i>Type of Structured Product</i> | <i>Date of investment</i> | <i>Date of relevant SOA</i> |
|-----------------|---|---------------------------|-----------------------------|
| 1 | Macquarie Flexi 100 Trust – November 2013 | 30/11/2013 | 7/11/2013 |
| | Instreet Masti Series 36 & 38 | 30/06/2014 | 12/06/2014 |
| 2 | Macquarie Flexi 100 Trust – November 2013 | 30/11/2013 | 7/11/2013 |
| 3 | Macquarie Flexi 100 Trust – November 2013 | 30/11/2013 | 8/11/2013 |
| 4 | Macquarie Flexi 100 Trust – November 2013 | 30/11/2013 | 6/11/2013 |
| 5 | Instreet Masti Series 36 & 38 | 30/06/2014 | 12/06/2014 |
| | Macquarie Flexi 100 Trust – November 2013 | 30/11/2013 | N/A |
| 6 | Instreet Masti Series 36 & 38 | 30/06/2014 | 12/06/2014 |
| 7 | Macquarie Flexi 100 Trust – November 2013 | 30/11/2013 | 8/11/2013 |
| 8 | Macquarie Flexi 100 Trust – June 2015 | 30/06/2015 | 25/05/2015 |

Instances of advice given by Doyle in 2016 to Sample Clients to retain investments in Instreet Products giving rise to contraventions

| <i>Client #</i> | <i>Date and form of advice</i> |
|-----------------|--|
| 1 | Letter from John Doyle received 17 May 2016 |
| 5 | Email from John Doyle dated 17 May 2016 with subject line “Information attached” attaching letter from John Doyle. |
| | Email from John Doyle dated 20 May 2016 with subject line “Instreet”. |
| 6 | Email from John Doyle dated 20 May 2016 with subject line “Instreet”. |