



**ASIC**  
Australian Securities &  
Investments Commission

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# ASIC Gazette

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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](http://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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25-0903

**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 25-0903

**Commencement**

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

**Exemption**

4. ASIC exempts Pentagreen Capital Fund Management Pte. Ltd., a body incorporated in Singapore, registration number 202142537E (the *body*) from the requirement to hold an Australian financial services (AFS) licence in the case referred to in Schedule A.

**Cessation**

5. The exemption in paragraph 4 ceases to have effect on the earlier of:

- (a) sub-paragraph 7(1) of *ASIC Corporations (Foreign Financial Services Providers) Instrument 2025/798* ceasing to have effect in relation to the relief that was provided under ASIC Class Order [CO 03/1102] *Singapore MAS regulated financial service providers*; or
- (b) 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 services business operated by the body in this jurisdiction; or
- (c) the body being notified in writing by ASIC that it is excluded from relying on this instrument.

**Schedule A**

1. The exemption in paragraph 4 applies where all of the following apply:
  - (a) the body holds a current Capital Markets Services Licence granted by the Monetary Authority of Singapore (MAS) under section 86 of the Securities and Futures Act;
  - (b) the body is a body corporate incorporated in Singapore;

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- (c) the body 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 any of the following financial services (the **financial services**) in this jurisdiction to wholesale clients:
  - (a) providing financial product advice in respect of any of the following financial products:
    - (i) securities; and
    - (ii) interests in managed investment schemes that is not required to be registered under Chapter 5C of the Corporations Act;
  - (b) dealing in a financial product in respect of:
    - (i) interests in managed investment schemes that is not required to be registered under Chapter 5C of the Corporations Act; and
3. Where the body has provided ASIC with all of the following:
  - (a) evidence and submissions that paragraph 1(a) of Schedule A is satisfied;
  - (b) a notice that it will provide the 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 subsection 659B(1) of the Act that applies notwithstanding that the body may have ceased to rely, or never have relied, on this instrument, which deed 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 section 50 of the ASIC Act) and, in relation to proceedings relating to a financial services law, by any person referred to in subsection 659B(1) of the Act and whether brought in the name of ASIC or the Crown or otherwise; and

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- (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 section 50 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 MAS or ASIC, it will give or vary written consent and take all other practicable steps to enable and assist MAS to disclose to ASIC and ASIC to disclose to MAS any information or document that MAS or ASIC has that relates to the body; and

(d) written consents to the disclosure by MAS to ASIC and ASIC to MAS of any information or document that MAS or ASIC has that relates to the body. The consents must be 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 Singaporean regulatory requirements if the financial service were provided in Singapore 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 Capital Markets Services Licence applying to the body relevant to the financial services the body provides or intends to provide in this jurisdiction; and
    - (ii) each significant particular exemption or other relief which the body may obtain from the Singaporean 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 MAS 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

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(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 Australian financial services licence under the Act in respect of the financial services; and
- (ii) the body is regulated by MAS under Singaporean laws, which differ from Australian laws; and

(c) if ASIC gives the body a written notice directing the body to lodge with ASIC, within the time specified in the notice, a written statement containing specified information about any financial service provided by the body in this jurisdiction—comply with the notice.

#### Interpretation

6. In this instrument:

**address**, in relation to a company, means the address of the registered office of the company;

**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*;

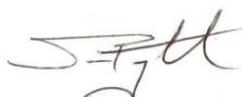
**notice** and **notified** mean, respectively, written notice and notified in writing;

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

**Securities and Futures Act** means the Securities and Futures Act 2001 (Cap.289); and

**Singaporean 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 MAS.

Dated this 30th day of January 2026.



Signed by Simon Pignolet  
as a delegate of the Australian Securities and Investments Commission

26-0016

**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* (*Act*).

**Title**

2. This instrument is ASIC Instrument 26-0016.

**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) the date specified in section 8 of the *ASIC Corporations (Foreign Financial Services Providers) Instrument 2025/798*; or
  - (b) Capitolis Partners LLC, a limited liability company formed under the laws of the State of Delaware under file number 7136713, and Australian Registered Body Number 693 170 857 (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; or
  - (c) the body being notified in writing by ASIC that it is excluded from relying on this instrument.

**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 is:
    - (i) a registered futures commission merchant; or
    - (ii) a registered introducing broker; or

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- (iii) a registered commodity pool operator; or
- (iv) a registered commodity trading advisor;

(b) the body is either:

- (i) a body corporate incorporated in the US or a State of the US; or
- (ii) a partnership formed in the US or a State of the US;

(c) the body:

- (i) is registered under Division 2 of Part 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; and

2. Where the body provides any of the following financial services (the *financial services*) in this jurisdiction to wholesale clients:

- (a) providing financial product advice; or
- (b) dealing in a financial product;

in respect of any of the following financial products:

- (c) derivatives; or
- (d) foreign exchange contracts; and

3. Where the body has provided ASIC with:

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- (a) evidence and submissions that paragraph 1(a) of Schedule A is satisfied;
- (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 subsection 659B(1) of the Act that applies notwithstanding that the body may have ceased to rely, or never have relied, on this instrument, which deed 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 section 50 of the ASIC Act) and, in relation to proceedings relating to a financial services law, by any person referred to in subsection 659B(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 Division 2 of Part 5B.2 of the Act, service of process on the body in relation to legal proceedings conducted by ASIC (including under section 50 of the ASIC Act) and, in relation to proceedings relating to a financial services law, by any person referred to in subsection 659B(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 CFTC or ASIC, it will give or vary written consent and take all other practicable steps to enable and assist CFTC to disclose to ASIC and ASIC to disclose to CFTC any information or document that CFTC or ASIC has that relates to the body; and
- (d) written consents to the disclosure by CFTC to ASIC and ASIC to CFTC of any information or document that CFTC or ASIC has that relates to the body. The consents must be in such form (if any) as ASIC specifies in writing; and
- (e) if the body is a registered commodity pool operator or a registered commodity trading advisor - written certification, provided annually or more frequently if notified by ASIC, that it has adequate resources to provide the financial services it provides and intends to provide in this jurisdiction.

#### 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 US regulatory requirements if the financial service were provided in the US in like circumstances.
2. The body must:

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(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 under the Commodity Exchange Act as a futures commission merchant, introducing broker, commodity pool operator or commodity trading advisor applying to the body relevant to the financial services the body provides or intends to provide in this jurisdiction; and
- (ii) each significant particular exemption or other relief which the body obtains from the US 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 CFTC 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 Australian financial services licence under the Act in respect of the financial services; and
- (ii) the body is regulated by the CFTC under US laws, which differ from Australian laws; and

(c) if ASIC gives the body a written notice directing the body to lodge with ASIC, within the time specified in the notice, a written statement containing specified information about any financial service provided by the body in this jurisdiction—comply with the notice.

#### **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 company;

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**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 subsection 659B(1) of the Act;

**ASIC Act** means the *Australian Securities and Investments Commission Act 2001*;

**CFTC** means the Commodity Futures Trading Commission of the US;

**Commodity Exchange Act** means the Commodity Exchange Act of the US;

**dealing** has the meaning given by section 766C of the Act;

**derivative** has the meaning given by section 761D of the Act;

**financial product advice** has the meaning given by section 766B of the Act;

**financial services law** has the meaning given by section 761A of the Act;

**foreign exchange contract** has the meaning given by section 761A of the Act;

**NFA** means the National Futures Association of the US;

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

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

**registered commodity pool operator** means a commodity pool operator who is:

- (a) registered under section 6n(1) of the Commodity Exchange Act; and
- (b) a member of the NFA;

**registered commodity trading advisor** means a commodity trading advisor who is:

- (a) registered under section 6n(1) of the Commodity Exchange Act; and
- (b) a member of the NFA;

**registered futures commission merchant** means a person who is:

- (a) registered as a futures commission merchant under section 6f(a) of the Commodity Exchange Act; and
- (b) a member of the NFA;

**registered introducing broker** means a person who is:

- (a) registered as an introducing broker under section 6f(a) of the Commodity Exchange Act; and
- (b) a member of the NFA;

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*US* means the United States of America;

*US 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 CFTC and the NFA; and

*wholesale* client has the meaning given in section 761G of the Act.

Dated this 29<sup>th</sup> day of January 2026.



Signed by Nadene Pillay

as a delegate of the Australian Securities and Investments Commission

26-0042

**Australian Securities and Investments Commission**  
***Corporations Act 2001 – Subsections 926A(2)(c) and 951B(1)(c) – Declaration***

**Enabling legislation**

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under subsection 926A(2)(c) and subsection 951B(1)(c) of the *Corporations Act 2001* (the *Act*).

**Title**

2. This instrument is ASIC Instrument [26-0042].

**Commencement**

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

**Declaration**

4. Part 7.6 (other than Divisions 4 and 8) of the Act applies in relation to Lifeplan (as the authorising licensee) and Greenstone (as the authorised licensee) as if the following provisions were omitted, modified or varied:

- (a) underneath subsection 916D(1) omit Note 2, substitute:

“Note 2: There are exceptions to this rule in sections 916E and 916EA.”;

- (b) in subsection 916D(2B) omit “section 916E.”, substitute “section 916E or 916EA.”;

- (c) after section 916E insert:

**“916EA Licensees acting under authority other than binder**

- (1) Despite section 916D, a financial services licensee (the *authorised licensee*) may be the authorised representative of another financial services licensee (the *authorising licensee*) who is an insurer, if the authorised licensee acts under a written agreement which authorises the authorised licensee to deal in, and provide general advice in relation to, investment life insurance products on behalf of the insurer.

- (2) For all purposes connected with contracts that are investment life insurance products, in respect of which the authorised licensee acts under the written agreement:

- (a) the authorised licensee is taken to act on behalf of the insurer and not the insured; and

(b) if the insured in fact relied in good faith on the conduct of the authorised licensee, the authorised licensee is taken to act on behalf of the insurer regardless of the fact that the authorised licensee did not act within the scope of the authorisation.

(3) This section does not apply where the licence of the authorised licensee covers the provision of any financial services in relation to investment life insurance products.

5. Part 7.7 of the Act applies in relation to Lifeplan (as the authorising licensee) and Greenstone (as the providing entity) as if the following provisions were omitted, modified or varied:

(a) in section 940A omit “(see section 916E),”, substitute “(see sections 916E and 916EA),”; and

(b) after paragraph 942C(2)(j) insert:

“(ja) if the providing entity acts under a written agreement of the kind specified in section 916EA in providing any of the authorised services—both of the following:

(i) a statement that:

(A) identifies the services provided under the agreement; and

(B) states that they are provided under the agreement; and

(C) explains the significance of the services being provided under the agreement;

(ii) a statement that, in relation to those services:

(A) the providing entity is taken to act on behalf of the authorising licensee and not the client; and

(B) the authorising licensee is responsible, as between the authorising licensee and the client for the conduct of the providing entity; and”.

#### Interpretation

6. In this instrument:

*deal in* has the meaning given by section 766C of the Act

**general advice** has the meaning given by section 766B(4) of the Act

**Greenstone** means Greenstone Financial Services Pty Ltd AFS Licence number 000343079 ACN 128 692 884

**investment life insurance product** has the meaning given by section 9 of the Act

**Lifeplan** means Lifeplan Australia Friendly Society Limited AFS Licence number 000237989 ACN 087 649 492

Dated this 27th day of January 2026.



Signed by Pippa Lane  
As a delegate of the Australian Securities and Investments Commission

26-0046

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

**Enabling legislation**

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

**Title**

2. This instrument is ASIC Instrument 26-0046.

**Commencement**

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

**Exemption**

*Exemption – regulation 7.9.44B*

4. The Trustee does not have to comply with regulation 7.9.44B of the Regulations to the extent that paragraph (4)(a), (4)(b) or (4)(c) of regulation 7.9.44B is satisfied between 13 February 2026 and 26 February 2026 (inclusive).

*Where the exemption applies*

5. The exemption in paragraph 4 applies where any insurance inactivity notice that would have been required to be sent by regulation 7.9.44B of the Regulations but for the exemption in paragraph 4 is sent to the member by no later than 26 March 2026.

*Condition*

6. If the Trustee relies on the exemption in paragraph 4, the Trustee must ensure that
  - a. in respect of members of the Fund who make an election referred to in paragraph (2)(c) of regulation 7.9.44C between 13 February 2026 and 26 February 2026 (inclusive), those members continue to be covered by the insurance that is the subject of the election until that election is processed by the Trustee; and
  - b. in respect of members of the Fund whose account satisfies paragraph (4)(c) of regulation 7.9.44B between 13 February 2026 and 26 February 2026 (inclusive), those members continue to be covered by the insurance referred to in paragraph (2)(b) of regulation 7.9.44B until they receive a cancellation notice.

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*Exemption – regulation 7.9.44C*

7. The Trustee does not have to comply with regulation 7.9.44C of the Regulations to the extent that an election referred to in paragraph (2)(c) of regulation 7.9.44C is made between 13 February 2026 and 26 February 2026 (inclusive).

*Where the exemption applies*

8. The exemption in paragraph 7 applies where any notice about rights to cease insurance that would have been required to be sent by regulation 7.9.44C of the Regulations but for the exemption in paragraph 7 is sent to the member by no later than 26 March 2026.

**Interpretation**

9. In this instrument:

**cancellation notice** means a notice sent by the Trustee to a member stating that their insurance cover will cease but they will have 60 days to reinstate their cover from the date of the insurance cancellation notice.

**Fund** means the Public Sector Superannuation accumulation plan (ABN 65 127 917 725).

**insurance inactivity notice** has the meaning given by subregulation 7.9.44B(5) of the Regulations.

**notice about rights to cease insurance** has the meaning given by subregulation 7.9.44C(5) of the Regulations.

**Regulations** means the *Corporations Regulations 2001*.

**Trustee** means Commonwealth Superannuation Corporation (ABN 48 882 817 243) in its capacity as trustee of the Fund.

Dated this 22<sup>nd</sup> day of January 2026



Signed by Pippa Lane  
as delegate of the Australian Securities and Investments Commission



**ASIC**  
Australian Securities &  
Investments Commission

**Australian Securities  
and Investments Commission**

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**26-0049**

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

**Notice of Cancellation of an Australian Financial Services Licence**

TO: Rubiconem Pty Ltd  
ACN 633 533 954 ("the Licensee")  
Suite 3 Level 1 148 Greenhill Road  
PARKSIDE SA 5063

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 518784 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 23 January 2026

Signed

*J. Dimitropoulos*

James Dimitropoulos  
A delegate of the Australian Securities and Investments Commission

26-0053

**Australian Securities and Investments Commission  
Corporations Act 2001 – Subsection 741(1) – Exemption**

**Enabling Legislation**

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under subsection 741(1) of the *Corporations Act 2001* (the *Act*).

**Title**

2. This instrument is ASIC Instrument 26-0053.

**Commencement**

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

**Exemption**

4. Trade Window Holdings Limited ARBN 691 932 546 (*TradeWindow*) does not have to comply with Part 6D.2 or 6D.3 of the *Act* (other than sections 736 and 738) for an offer for issue of shares under a purchase plan.

**Where this exemption applies**

5. This exemption applies where *TradeWindow* meets the requirements and conditions of LI 2019/547 except:

- (a) all references to \$30,000 in the definition of *purchase plan*, subparagraph 5(b)(i) and section 8 (wherever occurring) of LI 2019/547; and
- (b) the requirement in paragraph (c) in the definition of *purchase plan*, that each offer is made on the same terms and conditions; and
- (c) paragraph 7(f) of LI 2019/547; and

would meet the requirements and conditions of LI 2019/547 if:

- (d) in LI 2019/547, all references to \$30,000 (wherever occurring) were omitted and substituted with “NZ\$50,000”; and

- (e) each offer is made on the same terms and conditions to the extent that:
  - (i) it is an offer to a registered holder to acquire shares on their own behalf; or
  - (ii) it is an offer to a registered holder to acquire shares as custodian on behalf of a beneficiary;

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except that:

(iii) every holder with a registered address in Australia to whom the offer is made, but no other registered holder, is entitled to apply for shares under the offer in Australian dollars with the offer price being set by reference to the NZ\$:A\$ exchange rate published by the New Zealand Reserve Bank on its website at 7.00pm (New Zealand Time) on the closing date of the offer and in amounts referable to Australian dollars (up to a maximum application size of NZ\$50,000 based on the NZ\$:A\$ exchange rate published by the New Zealand Reserve Bank on its website at 7.00pm (New Zealand Time) on the closing date of the offer); and

(iv) the amount to be paid by those holders is subsequently converted into New Zealand dollars when applied towards the issue price for shares (rounded down to the nearest whole share) set by reference to the NZ\$:A\$ exchange rate published by the New Zealand Reserve Bank on its website at 7.00PM (New Zealand Time) on the closing date of the offer; and

(f) in section 7 of LI 2019/547 paragraph (f) was omitted and substituted with:

“(f) the issuer has either:

(i) not more than 30 days before the offer, given a notice to ASX that complies with subsection 708A(6), 708A(12J) as notionally inserted by ASIC Instrument 25-0875 or 1012DA(6) of the Act in relation to an issue of shares or interests in the class made otherwise than under a purchase plan; or

(ii) within the 24 hours before the offer is made, given a notice to the relevant market operators for the issuer that:

(A) states that the issuer reasonably believes the notice complies with clause 20 of Schedule 8 of the *Financial Markets Conduct Regulations 2014* of New Zealand; and

(B) the notice states, in addition to any requirements of the *Financial Markets Conduct Regulations 2014* of New Zealand at the time the notice is given, that:

(I) the issuer will make offers to issue shares under a purchase plan without disclosure to investors under Part 6D.2; and

(II) the notice is being given in accordance with this instrument; and

**26-0053**

(III) as at the date of the notice, the issuer has complied with its obligations under rule 1.15.2 of the listing rules of ASX Limited.”.

**Interpretation**

6. In this instrument:

*LI 2019/547* means *ASIC Corporations (Share and Interest Purchase Plans) Instrument 2019/547*;

*purchase plan* has the meaning given by *LI 2019/547*; and

*relevant market operators* means both ASX Limited and NZX Limited.

*New Zealand Time* means either NZDT or NZST, whichever is the prevailing time.

Dated this 27th day of January 2026



Signed by Mehar Singh  
as a delegate for the Australian Securities and Investments Commission

26-0056

## NOTICE UNDER SECTION 920E OF THE CORPORATIONS ACT 2001

Notice is given under s920E 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 22 January 2026.

Australian Securities and Investments Commission

In the matter of David Mario Valvo

## Banning order under sections 920A and 920B of the Corporations Act 2001

To: David Mario Valvo

Take notice that under sections 920A and 920B of the Corporations Act 2001, the Australian Securities and Investments Commission prohibits David Mario Valvo permanently from:

- (a) providing any financial services;
- (b) controlling, whether alone or in concert with one or more other entities, an entity that carries on a financial services business; and
- (c) performing any function involved in the carrying on of a financial services business (including as an officer, manager, employee, contractor or in some other capacity).

Dated this 8<sup>th</sup> day of December 2025

Signed: *Daniel Bartlett*

Daniel Bartlett  
Delegate of the Australian Securities and Investments Commission

Your attention is drawn to s920C(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 s920C(2) is an offence.

**CORPORATIONS ACT 2001****Subsection 601PA(3)**

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

Dated this thirtieth day of January 2026

**Name of Scheme****ARSN**

THB GLOBAL OPPORTUNITIES FUND

631 043 822

## 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 thirtieth day of January 2026

Name of Scheme	ARSN
DEXUS DEVELOPMENT FUND NO.2	125 786 227
PEET GREENVALE SYNDICATE	160 996 510

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 thirtieth day of January 2026

**Name of Company**

**ARBN**

ETHOCA TECHNOLOGIES INC.

626 428 304

ROCKET LAB GLOBAL SERVICES, LLC

630 894 978

CORPORATIONS ACT 2001  
Section 601CL(5)

ASIC has struck the foreign companies listed below off the register.

Dated this thirtieth day of January 2026

**Name of Company****ARBN**

MARBLE BAR ASSET MANAGEMENT LLP

625 616 775

## 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.

**IRONHAWK RESOURCES LIMITED**

ACN 659 032 952 will change to a proprietary company limited by shares. The new name will be IRONHAWK RESOURCES PTY LTD ACN 659 032 952.

**NBFI FUNDS PTY LTD**

ACN 662 270 564 will change to a public company limited by shares. The new name will be NBFI FUNDS LTD ACN 662 270 564.

**OPTEON GROUP HOLDINGS LIMITED**

ACN 616 574 755 will change to a proprietary company limited by shares. The new name will be OPTEON GROUP HOLDINGS PTY LTD ACN 616 574 755.

**WGA SHARE SPV PTY LTD** ACN 688 764 132 will change to a public company limited by shares. The new name will be WGA SHARE WAREHOUSE LIMITED ACN 688 764 132.

**LUX COPPER CORP. PTY LTD** ACN 682 515 304

will change to a public company limited by shares. The new name will be LUX COPPER CORP. LTD ACN 682 515 304.

**NORMANDY MINERALS PTY LTD**

ACN 693 252 578 will change to a public company limited by shares. The new name will be NORMANDY MINERALS LTD ACN 693 252 578.

**UASCI LIMITED** ACN 613 414 841 will change

to a proprietary company limited by shares. The new name will be UASCI PTY LTD ACN 613 414 841.