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Investments Commission

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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 or from the Administrative Law Co-ordinator in the ASIC office with which you have been dealing.

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24-0714

**Australian CS Facility Licence (FinClear Pty Ltd) 2024***Corporations Act 2001*

I, Amanda Zeller, Senior Executive Leader, Australian Securities and Investments Commission grant this Licence under subsection 824B(1) of the *Corporations Act 2001* (the Act) and impose conditions on this Licence under subsection 825A(1) of the Act.

Dated 11 September 2024

A handwritten signature in black ink, appearing to read "A Zeller".

Signed

as a delegate of the Minister under section 1101J of the Act

1. Name

This Licence is the *Australian CS Facility Licence (FinClear Pty Ltd) 2024*.

Note: This instrument should be read in conjunction with the Corporations (FinClear Pty Ltd) CS Facility Exemption Notice 2024.

2. Commencement

This Licence commences when it is granted.

3. Definitions

In this Licence, unless the contrary intention appears, terms defined in the Act have the same meaning in this Licence and:

Act means the *Corporations Act 2001*.

Business Day means a day other than a Saturday, Sunday, New Year's Day, Good Friday, Easter Monday, Christmas Day or Boxing Day.

Client Money means money paid to the Licensee in the circumstances specified in subsection 981A(1) of the Act (subject to subsections 981A(2), (3) and (4)), regardless of whether the Licensee is a financial services licensee.

Client Money Account means an account maintained for the purposes of section 981B of the Act, including such an account maintained because of subcondition 13(1).

Client Money Conditions means the conditions referred to in conditions 13, 14, 15, 16, and 17 of this Licence.

Client Money Requirements means the following:

- (a) sections 981A, 981B, 981C, 981E, 981F and 981H of the Act;
- (b) regulations 7.8.01, 7.8.02, 7.8.03 and 7.8.04 of the Regulations.

Facility means the clearing and settlement facility that the Licensee is authorised to operate under this Licence that effects the settlement of FCX market transactions.

FCX market means the financial market the Licensee is authorised to operate under the Australian Market Licence (FinClear Pty Ltd) 2024 Licence.

FCX market transaction means a transaction to acquire or dispose of financial products entered on or through the FCX market.

Licensee means FinClear Pty Ltd ACN 607 164 714.

Regulations means the *Corporations Regulations 2001*.

reporting period means each period of 3 months, or part thereof, during which the Facility is operated in Australia, ending on 31 March, 30 June, 30 September, or 31 December.

retail client: a person is a *retail client* in relation to the FCX market if a financial service provided to the person in relation to the trading or proposed trading of a financial product by the person on the FCX market is or would be provided to the person as a retail client (within the meaning of sections 761G and 761GA of the Act).

retail participant means a participant that is a retail client in relation to the FCX market.

wholesale client: a person is a *wholesale client* in relation to the FCX market if the person is not a retail client in relation to the FCX market.

wholesale participant means a participant that is a wholesale client in relation to the FCX market.

Note: the following terms are defined in the Act:

- (a) ASIC;
- (b) clearing and settlement facility;
- (c) deal;
- (d) licensed market;
- (e) financial market;
- (f) financial product;
- (g) financial service;
- (h) financial services licensee;
- (i) participant;
- (j) trade.

4. Grant of Licence

This Licence is granted to the Licensee under subsection 824B(1) of the Act and authorises the Licensee to operate a facility that effects the settlement of FCX market transactions.

Note: This Licence does not authorise the provision of central counterparty services.

5. Classes of financial products

The classes of financial products in respect of which the Licensee may operate the Facility under this Licence are:

- (a) shares in a company; and
- (b) interests in a managed investment scheme that is structured as a unit trust;

other than shares or interests that are able to be traded on a licensed market other than the FCX market.

6. Services

The Licensee may operate the Facility under this Licence only in respect of the financial products referred to in condition 5 of this Licence and in respect of trades that are entered into through the FCX market.

7. Participants

It is a condition of this Licence that the Licensee must not allow a person to participate in the Facility unless the person is a participant in the FCX market, and:

- (a) the person is a wholesale participant that only deals in the FCX market on their own behalf; or
- (b) the person is a retail participant that only deals on the FCX market on their own behalf and only participates in the FCX market to dispose of their financial products through the FCX market, but does not acquire any financial products through the FCX market.

8. Conditions which must be satisfied before the Licensee begins to operate the Facility

- (1) The Licensee must not commence operating the Facility unless 14 days have elapsed since the day on which the conditions in subsections (2) to (4) are all satisfied.
- (2) The Licensee must give ASIC written confirmation by one or more persons approved in writing by ASIC and engaged on terms and conditions acceptable to ASIC, including as to the scope of the person's work:
 - (a) of the adequacy of the Licensee's governance framework for testing technology systems; and
 - (b) of the adequacy and results of the Licensee's testing of its technology systems, including testing of all necessary external connections which the Licensee needs to have in place to operate the Facility, according to the governance framework; and
 - (c) of the adequacy of the Licensee's resources (including financial, technological, and human resources) and arrangements for managing and overseeing cyber security risks; and
 - (d) that is dated no more than 30 days before it is given to ASIC.
- (3) The Licensee must confirm to ASIC in writing that it has employed or engaged all necessary people in all of the positions described in its application under subsection 824A(1) of the Act, and that as a result, it has sufficient human resources to operate the Facility properly in accordance with paragraph 821A(1)(d) of the Act.

- (4) The Licensee must give to ASIC an attestation in writing on behalf of the Board of Directors of the Licensee that is dated no more than 30 days before it is given to ASIC confirming that:
- (a) the Licensee has sufficient resources (including financial, technological, and human resources) to operate the Facility in compliance with Part 7.3 of the Act and this Licence; and
 - (b) the Licensee is ready to commence operating the Facility in compliance with Part 7.3 of the Act and this Licence.

9. Disclosure of information about the operation of the Facility

- (1) It is a condition of this Licence that the Licensee must ensure that a person who is a potential participant in the Facility does not participate in the Facility unless the Licensee has made available to the person in writing, at the time of admitting the participant to the Facility:
- (a) a copy of the operating rules and procedures; and
 - (b) an information guide that describes the operation of the Facility and includes information relating to the finality of settlement of FCX market transactions settled through the Facility, and any risks that may impact settlement finality.
- (2) The Licensee must at all times make available to participants the information set out under subsection (1), including updated information, about the operation of the Facility (including, without limitation, via the Licensee's website).

10. Quarterly Notifications

It is a condition of this Licence that the Licensee must notify ASIC of the details of the following matters, within 30 days after the end of each reporting period:

- (a) details of any new class of financial service provided by the Licensee that is incidental to the operation of the Facility; and
- (b) details of any kind of disciplinary action taken by the Licensee against a participant, including the participant's name and the reason for and nature of the action taken.

11. Record keeping

It is a condition of this Licence that the Licensee must:

- (1) have adequate arrangements in place for the recording of trades that are settled through the Facility; and
- (2) keep for a period of at least 7 years the records of trades that are settled through the Facility.

12. Facility ceases to operate

It is a condition of this Licence that, where the Licensee intends to cease operating the Facility, the Licensee must:

- (a) establish, document and implement adequate arrangements for ensuring, as applicable, the orderly cessation of the Facility;
- (b) notify ASIC:
 - (i) that the Licensee intends to cease operating the Facility in this jurisdiction, as soon as reasonably practicable;
 - (ii) of the arrangements referred to in paragraph (a), at least 4 weeks before ceasing to operate the Facility; and
 - (iii) of any changes to the arrangements referred to in paragraph (a) following the notification in subparagraph (ii), as soon as reasonably practicable after making those changes.

13. Client money obligations

- (1) It is a condition of this Licence that if the Licensee is not a financial services licensee or, but for this condition, the Client Money Requirements would otherwise not apply in relation to Client Money paid to the Licensee, the Licensee must comply with the Client Money Requirements and use its best endeavours to ensure that the Client Money Requirements apply in relation to Client Money as if:
 - (a) the Licensee were an Australian financial services licensee; and
 - (b) Client Money were money to which Subdivision A of Division 2 of Part 7.8 of the Act applied; and
 - (c) the circumstances in which regulation 7.8.03 of the Regulations applies included the following:
 - (i) the Licensee ceasing to be a CS facility licensee;
 - (ii) the Licensee's CS facility licensee's licence being suspended or cancelled.
- Note: For example, the Licensee must use its best endeavours to ensure that Client Money is held on trust for the relevant client in the circumstances specified in subsection 981H(1) of the Act.
- (2) It is a condition of this Licence that the Licensee must at all times keep accurate records of the amount of Client Money it has received from, on behalf of, or for the benefit of a person and is required under the Client Money Requirements or subcondition (1) to hold in a Client Money Account for that person.
 - (3) It is a condition of this Licence that the Licensee must at all times keep accurate records of the total amount of Client Money it has received from, on behalf of, or for the benefit of all persons and is required under the Client Money Requirements or subcondition (1) to hold in a Client Money Account for those persons.
 - (4) It is a condition of this Licence that the Licensee must retain records made under subconditions (2) and (3) for at least 7 years from the date the record is made.

14. Reconciliation requirements

- (1) It is a condition of this Licence that the Licensee must perform an accurate reconciliation (*Daily Reconciliation*) as at the end of each Business Day of:
 - (a) the amount of Client Money held in the Client Money Account for each person and the amount recorded in the Licensee's records for each person, as required by subcondition 13(2); and
 - (b) the total amount of Client Money held in the Client Money Account for all persons and the total amount recorded in the Licensee's records for all persons, as required by subcondition 13(3).

The Daily Reconciliation must be performed by 7.00pm on the next Business Day.

- (2) It is a condition of this Licence that the Licensee must perform an accurate reconciliation (*Monthly Reconciliation*) as at end of each calendar month of:
 - (a) the amount of Client Money held in the Client Money Account for each person and the amount recorded in the Licensee's records for each person, as required by subcondition 13(2); and
 - (b) the total amount of Client Money held in the Client Money Account for all persons and the total amount recorded in the Licensee's records for all persons, as required by subcondition 13(3).

The Monthly Reconciliation must be performed by 7.00pm on the first Business Day of the following month.

- (3) It is a condition of this Licence that the Monthly Reconciliation required by subcondition (2) must include a statement signed by a director of the Licensee, or a person authorised by a director of the Licensee, stating that the signatory believes, and has no reason not to believe, that the reconciliation is accurate in all respects.
- (4) It is a condition of this Licence that the Licensee must retain a written record of the Daily Reconciliation required by subcondition (1) and the Monthly Reconciliation required by subcondition (2) for at least 7 years from the date the record is made.

15. Schedule of client money amounts

It is a condition of this Licence that the Licensee must prepare a schedule showing the total amounts held in each Client Money Account maintained by the Licensee as at the end of each reporting period (*Client Money Schedule*) by no later than five Business Days after the end of the reporting period. The Client Money Schedule must include the names of each person for whom the Licensee holds money in the Client Money Account and the relevant amount held in the Client Money Account for that person.

16. Reporting requirements

It is a condition of this Licence that the Licensee must notify ASIC in writing within two Business Days if:

- (a) the Licensee fails to perform a reconciliation as required by condition 1414; or
- (b) a reconciliation performed under condition 14 identifies a deficiency between the amount held in a Client Money Account and the amount recorded in the Licensee's records; or
- (c) the Licensee fails to prepare a Client Money Schedule as required by condition 15.

17. Annual declarations—Directors and auditors

(1) It is a condition of this Licence that for each financial year ending after 30 June 2024, the Licensee must prepare and give to ASIC within three calendar months of the end of the financial year of the Licensee:

- (a) a directors' declaration that states whether, in the directors' opinion, the Licensee has complied with the Client Money Conditions during the financial year; and
- (b) an external auditor's report which:
 - (i) states whether, subject to any relevant qualifications, the Licensee maintained, in all material respects during the financial year, suitably designed and effective internal controls to comply with the requirements of the Client Money Conditions; and
 - (ii) is signed by a partner or director of the auditor.

(2) For the purpose of subcondition (1)(a), the declaration must:

- (a) be made in accordance with a resolution of the directors;
- (b) specify the date on which the declaration is made; and
- (c) be signed by a director.

18. Integrity of register

It is a condition of this Licence that in operating the Facility the Licensee has adequate arrangements to ensure that:

- (a) there is no unauthorised creation or deletion of shares in a company or interests in a managed investment scheme in the register maintained by the Licensee in connection with the operation of the Facility; and
- (b) the register maintained by the Licensee in connection with the operation of the Facility is a complete and accurate record of the shares in a company or

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interests in a managed investment scheme to which a person has legal or beneficial entitlement.

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1



Corporations (FinClear Pty Ltd) CS Facility Exemption Notice 2024

Corporations Act 2001

I, Amanda Zeller, Senior Executive Leader, Australian Securities and Investments Commission make this notice under subsection 820C(1) of the *Corporations Act 2001* (the Act).

Dated 11 September 2024

A handwritten signature in black ink, appearing to read 'A Zeller', is written over a horizontal line.

Signed

as a delegate of the Minister under section 1101J of the Act

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2

1. Name

This is the *Corporations (FinClear Pty Ltd) CS Facility Exemption Notice 2024*.

Note: This instrument should be read in conjunction with the *Australian CS Facility Licence (FinClear Pty Ltd) 2024*.

2. Authority

This instrument is made under subsection 820C(1) of the *Corporations Act 2001*.

3. Commencement

This instrument commences on the later of:

- (a) commencement of the *Australian CS Facility Licence (FinClear Pty Ltd) 2024*; and
- (b) the date this instrument is made.

4. Definitions

Act means the *Corporations Act 2001*.

Regulations means the *Corporations Regulations 2001*.

Licensee means FinClear Pty Ltd ACN 607 164 714.

Facility means the clearing and settlement facility operated by the Licensee under the *Australian CS Facility Licence (FinClear Pty Ltd) 2024*.

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5. Exemption - Notifications to ASIC

The Licensee does not have to comply with any of the following provisions of the Act in relation to the Facility:

- (a) paragraph 821B(2)(a) (notifying ASIC of a new class of financial service incidental to the operation of the Facility);
- (b) paragraph 821B(2)(b) (notifying ASIC of disciplinary action taken against a participant).

6. Exemption – Content of written procedures

The Licensee does not have to comply with paragraph 7.3.06(d) of the Regulations (requirement for written procedures relating to the exchange of information in relation to the Facility).

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24-0717

**Australian Market Licence (FinClear Pty Ltd) 2024***Corporations Act 2001*

I, Amanda Zeller, Senior Executive Leader, Australian Securities and Investments Commission grant this Licence under subsection 795B(1) of the *Corporations Act 2001* (the Act) and impose conditions on this Licence under subsection 796A(1) of the Act.

Dated 11 September 2024

A handwritten signature in black ink, appearing to read "A Zeller".

Signed

as a delegate of the Minister under section 1101J of the Act

1. Name

This Licence is the *Australian Market Licence (FinClear Pty Ltd) 2024*.

Note: This instrument should be read in conjunction with the Corporations (FinClear Pty Ltd) Exemption Notice 2024.

2. Commencement

This Licence commences when it is granted.

3. Definitions

In this Licence, unless the contrary intention appears, terms defined in the Act have the same meaning in this Licence and:

Act means the *Corporations Act 2001*.

continuous trading market means a financial market where orders are processed immediately upon receipt and are able to be matched continuously throughout the trading session.

FCX operating rules means rules made by the Licensee pursuant to section 793A of the Act.

Licensee means FinClear Pty Ltd ACN 607 164 714.

Market means the financial market, known as FCX Liquidity Venue as at the date the Licence is granted.

reporting period means each period of 3 months, or part thereof, during which the Market is operated ending on 31 March, 30 June, 30 September, or 31 December.

retail client a person is a *retail client* in relation to the Market if a financial service provided to the person in relation to the trading or proposed trading of a financial product by the person on the Market is or would be provided to the person as a retail client (within the meaning of sections 761G and 761GA of the Act).

retail participant means a participant that is a retail client in relation to the Market.

wholesale client: a person is a *wholesale client* in relation to the Market if the person is not a retail client in relation to the Market.

wholesale participant means a participant that is a wholesale client in relation to the Market.

Note: the following terms are defined in the Act:

- (a) ASIC;
- (b) CS facility licensee;
- (c) deal;
- (d) financial product;
- (e) financial market;
- (f) financial service;

(g) licensed market;

(h) participant.

4. Grant of Licence

This Licence is granted to the Licensee under section 795B of the Act and authorises the Licensee to operate the Market.

5. Classes of financial products

The classes of financial products that can be traded on the Market are:

(a) shares in a company; and

(b) interests in a managed investment scheme that is structured as a unit trust;

other than shares or interests that are able to be traded on a licensed market other than the Market.

6. Participants

It is a condition of this Licence that the Licensee must ensure that:

(a) a wholesale participant only deals on the Market on their own behalf; and

(b) a retail participant:

(i) only deals on the Market on their own behalf; and

(ii) does not acquire any financial products through the Market, but only participates in the Market to dispose of financial products.

7. Conditions which must be satisfied before the Licensee begins to operate the Market

(1) The Licensee must not commence operating the Market unless 14 days have elapsed since the day on which the conditions in subsections (2) to (4) are all satisfied.

(2) The Licensee must give ASIC written confirmation by a person approved by ASIC and engaged on terms and conditions acceptable to ASIC, including as to the scope of the person's work:

(a) of the adequacy of the Licensee's governance framework for testing technology systems; and

(b) of the adequacy and results of the Licensee's testing of its technology systems, including testing of all necessary external connections which the Licensee needs to have in place to operate the Market, according to the governance framework;

- (c) of the adequacy of the Licensee's resources (including financial, technological, and human resources) and arrangements for managing and overseeing cyber security risks; and
 - (d) that is dated no more than 30 days before it is given to ASIC.
- (3) The Licensee must confirm to ASIC in writing that it has employed or engaged all necessary people in all of the positions described in its application under subsection 795A(1) of the Act, and that as a result, it has sufficient human resources to operate the Market properly in accordance with its obligations under paragraph 792A(1)(d) of the Act.
- (4) The Licensee must give to ASIC an attestation in writing on behalf of the Board of Directors of the Licensee that is dated no more than 30 days before it is given to ASIC confirming that:
- (a) the Licensee has sufficient resources (including financial, technological, and human resources) to operate the Market in compliance with Part 7.2 of the Act and this Licence; and
 - (b) the Licensee is ready to commence operating the Market in compliance with Part 7.2 of the Act and this Licence.

8. Market not to be a continuous trading market

It is a condition of this Licence that the Market does not operate as a continuous trading market.

9. Market not to receive money from retail participants

It is a condition of this Licence that the Licensee does not receive money from retail participants in relation to the operation of the Market, except fees charged for the disposal of financial products on the Market.

10. External dispute resolution

It is a condition of this Licence that the Licensee:

- (a) must be a member of an external dispute resolution scheme for the handling of complaints made by retail participants in relation to the operation of the Market; and
- (b) disclose information about how to access the external dispute resolution scheme to retail participants;

11. Disclosure to participants

It is a condition of this Licence that the Licensee must, before admitting a participant, provide written notice to the participant of the following:

- (a) that Part 7.5 compensation arrangements do not apply in relation to the Market; and
- (b) entities that are subject to continuous disclosure pursuant to section 675 of the Act may have their financial products admitted to trading on the Market.

12. Clearing and settlement arrangements

It is a condition of this Licence that the Licensee must have arrangements in place for the settlement of all transactions effected through the Market with:

- (a) FinClear Pty Ltd, provided that FinClear Pty Ltd is a CS facility licensee; or
- (b) any other CS facility licensee approved for the purpose by the Minister.

13. Quarterly notifications

It is a condition of this Licence that the Licensee must notify ASIC of the details of the following matters, within 30 days after the end of each reporting period:

- (a) details of any new class of financial services provided by the Licensee that is incidental to the operation of the Market;
- (b) details of any kind of disciplinary action taken by the Licensee against a participant, including the participant's name and the reason for and nature of the action taken;
- (c) details of any complaints received in respect of the operation of the Market;
- (d) the total number of transactions effected through the Market during the reporting period;
- (e) the total number of transactions and their total value during the reporting period by each participant, identifying each participant by their registered name and their wholesale/retail status;
- (f) a list of the following:
 - (i) trading windows that took place;

- (ii) trading windows that did not complete;
- (iii) list of all contra transactions requested, initiated and completed; and
- (iv) any other information required by ASIC.

14. Record keeping

It is a condition of this Licence that the Licensee must:

- (a) have adequate arrangements in place for the recording of order information and trades entered into through the Market; and
- (b) keep for a period of at least 7 years records of order information and trades entered into through the Market.

15. Other notifications

The Licensee must, as soon as practicable after the Licensee becomes aware, notify ASIC in writing of the details of failure to comply with any of the conditions in this Licence.

16. Market ceases to operate

It is a condition of this Licence that, where the Licensee intends to cease operating the Market the Licensee must:

- (a) establish, document, and implement adequate arrangements for ensuring the orderly cessation of the Market; and
- (b) notify ASIC:
 - (i) as soon as reasonably practicable that the Licensee intends to cease operating the Market;
 - (ii) of the arrangements referred to in paragraph (a), at least 4 weeks before ceasing to operate the Market in this jurisdiction; and
 - (iii) of any changes to the arrangements referred to in paragraph (a) following the notification in subparagraph (ii), as soon as reasonably practicable after making those changes.



Corporations (FinClear Pty Ltd) Exemption Notice 2024

Corporations Act 2001

I, Amanda Zeller, Senior Executive Leader, Australian Securities and Investments Commission make this notice under subsection 791C(1) of the *Corporations Act 2001* (the Act).

Dated 11 September 2024

A handwritten signature in black ink, appearing to read 'A Zeller', is written over a horizontal line.

Signed

as a delegate of the Minister under section 1101J of the Act

1. Name

This is the *Corporations (FinClearPty Ltd) Exemption Notice 2024*.

Note: This instrument should be read in conjunction with the *Australian Market Licence (FinClearPty Ltd) 2024*.

2. Authority

This instrument is made under subsection 791C(1) of the *Corporations Act 2001*.

3. Commencement

This instrument commences on the later of:

- (a) commencement of the Australian Market Licence (FinClear) 2024; and
- (b) the date this instrument is made.

4. Definitions

Act means the *Corporations Act 2001*.

Licensee means FinClear Pty Ltd ACN 607 164 714.

Market means the financial market operated by the Licensee under the *Australian Market Licence (FinClearPty Ltd) 2024*.

Regulations means the *Corporations Regulations 2001*.

5. Exemption—Notifications to ASIC

The Licensee does not have to comply with any of the following provisions of the Act in relation to the Market:

- (a) paragraph 792B(2)(a) - notifying ASIC of a new class of financial service incidental to the operation of the Market;
- (b) paragraph 792B(2)(b) - notifying ASIC of disciplinary action taken against a participant;
- (c) paragraph 792B(3)(a) - notifying ASIC of a matter that has (or may) adversely affect the ability of a participant, who is a financial services licensee, to meet the participant's obligations as a financial services licensee; and
- (d) paragraph 792B(3)(b) - notifying ASIC of a matter concerning a participant who is a financial services licensee, of a kind prescribed by the regulations made for the purposes of paragraph 792B(3)(b).

Note: See regulation 7.2.01 of the Regulations for the matters prescribed for the purposes of paragraph 792B(3)(b).

6. Exemption—Content of operating rules

The Licensee does not have to comply with any of the following provisions of the Regulations in relation to the Market:

- (a) paragraph 7.2.07(h) – operating rules that deal with mechanisms for settling market-related disputes between participants;
- (b) paragraph 7.2.07(i) – operating rules that deal with assessment and investigation of market-related disputes between participants; and
- (c) paragraph 7.2.07(j) – operating rules that deal with obligations on participants and listed entities that are necessary to ensure the licensee is able to comply with s792A(1)(c)(i) and regulations made under s798E of the Act.

7. Exemption—Content of written procedures

The Licensee does not have to comply with either of the following provisions of the Regulations in relation to the Market:

- (a) paragraph 7.2.08(a) – having written procedures for the exchange of certain information; and
- (b) paragraph 7.2.08(d) – having written procedures for the assessment, investigation and settlement of market-related disputes between participants.



ASIC
Australian Securities &
Investments Commission

**Australian Securities
and Investments Commission**

Office address (inc. courier deliveries):
Level 7, 120 Collins Street,
Melbourne VIC 3000

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GPO Box 9627,
Brisbane QLD 4001

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Fax: +61 1300 729 000

www.asic.gov.au

24-0720

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

Notice of Cancellation of an Australian Financial Services Licence

TO: Michael Todd
ABN 87 955 425 721 ("the Licensee")
PO Box 181
West Ryde NSW 1685

Pursuant to paragraph 915B(1)(e) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 239197 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 3 September 2024

Signed *Gerard Mithen*.....

Gerard Mithen
A delegate of the Australian Securities and Investments Commission

24-0745

NOTICE UNDER SECTION 915F OF THE CORPORATIONS ACT 2001

Notice is given under s915F of the Corporations Act 2001 that the Australian Securities and Investments Commission has taken the action set out in the Notice below, which action took effect on 5 September 2024.

AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

CORPORATIONS ACT 2001 SECTION 915B

NOTICE OF SUSPENSION OF AUSTRALIAN FINANCIAL SERVICES LICENCE

To: Olritz Financial Group Pty Ltd ACN 083 376 578

Under s915B(3) of the Corporations Act 2001, the Australian Securities and Investments Commission hereby suspends Australian financial services licence number 244539 held by Olritz Financial Group Pty Ltd ACN 083 376 578 until 5 March 2025.

Dated this 5th day of September 2024

Signed:



Cameron Walter
Delegate of the Australian Securities and Investments Commission

24-0747

NOTICE UNDER SECTION 915F OF THE CORPORATIONS ACT 2001

Notice is given under section 915F of the *Corporations Act 2001* that the Australian Securities and Investments Commission has taken the action set out in the Notice below, which action took effect on 10 September 2024.

**Australian Securities and Investments Commission
Corporations Act 2001 – Section 915E****Notice of Revocation of Suspension of Australian Financial Services Licence**

To: Airrails Pty Ltd ACN 643 591 244

Under section 915E of the *Corporations Act 2001* the Australian Securities and Investments Commission revokes the suspension of Australian financial services licence number 526878 held by Airrails Pty Ltd ACN 643 591 244.

Dated this 10th day of September 2024.

Signed: 

Peter Komarowski
Delegate of the Australian Securities and Investments Commission

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 thirteenth day of September 2024

Name of Scheme

ARSN

GMO EMERGING MARKETS TRUST

089 054 446

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 thirteenth day of September 2024

Name of Company

ARBN

FILO (CANADA) CORP.

677 889 888

GOODMAN US FINANCE FIVE, LLC

621 919 168

CORPORATIONS ACT 2001
Section 601CL(5)

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

Dated this thirteenth day of September 2024

Name of Company	ARBN
FULLY CROWN INVESTMENTS LIMITED	606 862 775
GUBBA PRODUCTS LIMITED	147 650 717
HAUTERE HOLDINGS (2023) PTY LIMITED	630 166 451
ICEBREAKER NEW ZEALAND LIMITED	163 241 370
ILYS LIMITED	162 382 970
IMAGINATION TELEVISION LIMITED	122 161 157
ITICKET.CO.NZ LIMITED	160 384 403
KAF PARTNERS LIMITED	130 250 449
KATHAYDAL INVESTMENTS LIMITED	602 036 911
KB SEAFOOD COMPANY NZ LIMITED	609 979 651
MICROBIAL TECHNOLOGIES LIMITED	075 895 457
MOBICO SOLUTIONS PTY LIMITED	162 429 638
MORGO CONFERENCES LIMITED	615 425 619
NUTRIENT SOLUTIONS LIMITED	152 471 406
OJJ AMUSEMENT LIMITED	161 771 213
ORION HEALTH GROUP LIMITED	602 424 386
OSTRALOS LIMITED	600 389 320
P G C T LIMITED	147 770 563
PIONEER GROUP 2012 LIMITED	622 328 223
PPO PTY LIMITED	142 805 883
PRONTO PARTNERS LP	167 912 156

RAMSEY VENTURES LIMITED	616 116 146
RANDOM FASHIONS LIMITED	612 806 149
REDNI LIMITED	608 974 223
REPUBLIC ADVERTISING LIMITED	167 040 968
RESEARCH RESEARCH LIMITED	150 150 673
RIVTEC AUSTRALIA PTY LIMITED	146 766 734
SHEPHERD INTERNATIONAL LIMITED	167 709 551
SIMON BEIRNE LIMITED	612 368 895
SLEEPCENTER BEDS NEW ZEALAND LIMITED	613 601 531
SMARTBOX STORAGE PTY LIMITED	139 467 842
STOANZ AUSTRALIA LIMITED	147 615 058
SURF QUEST DESIGN LIMITED	627 710 463
SYNERGY HEALTH INTERNATIONAL LIMITED	607 340 787
TABRITA LIMITED	113 795 805
TEROTEK (NZ) LIMITED	135 144 919
TRADESTO CORPORATION	616 567 698
USING TECHNOLOGY BETTER NZ LIMITED	618 197 434
VESTA ECOMMERCE LIMITED	613 356 979
WASHINGTONS EXPLORATION LIMITED	616 592 664

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.

EPIC PROPERTY INVESTMENTS LTD

ACN 085 244 168 will change to a proprietary company limited by shares. The new name will be EPIC PROPERTY INVESTMENTS PTY LTD ACN 085 244 168.

PAYTON CAPITAL LTD ACN 163 122 478 will change to a proprietary company limited by shares. The new name will be PAYTON CAPITAL PTY LTD ACN 163 122 478.

STAR RANGE RESOURCES LTD ACN 624 688 651 will change to a proprietary company limited by shares. The new name will be STAR RANGE RESOURCES PTY LTD ACN 624 688 651.

SYMAL GROUP PTY LTD ACN 615 255 466 will change to a public company limited by shares. The new name will be SYMAL GROUP LIMITED ACN 615 255 466.

WOLF MINING PTY LTD ACN 672 056 414 will change to a public company limited by shares. The new name will be WOLFE ENERGY LIMITED ACN 672 056 414.

LAGOM HOLDINGS PTY LTD ACN 678 129 756 will change to a public company limited by shares. The new name will be LAGOM HOLDINGS LIMITED ACN 678 129 756.

PZM LTD ACN 630 730 415 will change to a proprietary company limited by shares. The new name will be PZM PTY LTD ACN 630 730 415.

SUSTAINABLE FASHION VENTURES PTY. LIMITED ACN 664 855 476 will change to a public company limited by shares. The new name will be SUSTAINABLE FASHION VENTURES LIMITED ACN 664 855 476.

VIMG AUSTRALIA PROPERTIES GROUP HOLDINGS LIMITED ACN 612 924 106 will change to a proprietary company limited by shares. The new name will be VIMG AUSTRALIA PTY LTD ACN 612 924 106.

ZIRCO RESOURCES LTD ACN 151 932 517 will change to a proprietary company limited by shares. The new name will be ZIRCO RESOURCES PTY LTD ACN 151 932 517.