



**ASIC**  
Australian Securities &  
Investments Commission

Commonwealth of Australia Gazette

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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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25-0178

**Australian Securities and Investments Commission  
Corporations Act 2001 — Subsection 601CK(7) — Declaration**

**Enabling legislation**

1. The Australian Securities and Investments Commission (*ASIC*) makes this declaration under subsection 601CK(7) of the *Corporations Act 2001* (the *Act*).

**Title**

2. This instrument is ASIC Instrument 25-0178.

**Commencement**

3. This instrument commences on gazettal.

**Declaration**

4. Section 601CK does not apply to GE Vernova International LLC ARBN 002 420 751 (*GEV International*), a registered foreign company incorporated in the State of Delaware in the United States of America in relation to a financial year ending on or after 31 December 2025 (each a *Relevant Financial Year*).

Note: ASIC may, by Gazette notice, declare that section 601CK does not apply to specified foreign companies: s601CK(7). Subsections 601CK(1) to (6), inclusive, do not apply in relation to a foreign company in relation to which a notice is in force under subsection 601CK(7): s601CK(8).

**Where this instrument applies**

5. This instrument applies in relation to a Relevant Financial Year where:
  - (a) GEV International is registered under Division 2 of Part 5B.2 of the Act;
  - (b) GEV International is not required by the law in the State of Delaware in the United States of America, being its place of incorporation or formation, to prepare:
    - (i) a balance sheet at the end of the relevant financial year; or
    - (ii) a profit and loss statement for the relevant financial year; or
    - (iii) a cash flow statement for the relevant financial year;
  - (c) GEV International is not required by the law of State of Delaware in the United States of America, being its place of incorporation or formation, to hold an annual general meeting each year;

Note: GEV International is not required to lodge a return under subsection 601CK(9) of the Act using ASIC Form 406 where it is not required by the law of its place of incorporation or formation to hold an annual general meeting.

25-0178

- (d) GEV International's ultimate holding company is GE Vernova Inc (*GE Vernova*), a company incorporated in the State of Delaware in the United States of America and listed on the New York Stock Exchange;
- (e) the Relevant Financial Year of GEV International and the corresponding financial year of GE Vernova end on the same date;
- (f) GEV International lodged with ASIC a Form 405 together with the following:
  - (i) Schedule of Financial Position;
  - (ii) Schedule of Operations;
  - (iii) Schedule of Cash Flows;
  - (iv) Schedule of Changes in Shareholders Equity; and
  - (v) Notes to each of the abovementioned schedules/ financial statements;

prepared in accordance with USGAAP in such form as approved by ASIC for each of the financial years and on the dates set out in Schedule A.

Note: GE International applied for relief from s601CK under s601CK(7) on 12 March 2019.

- (g) GEV International lodged with ASIC under a modified ASIC Form 405 *Statement to verify financial statements of a foreign company*, the following:
  - (i) Schedule of Financial Position;
  - (ii) Schedule of Operations;
  - (iii) Schedule of Cash Flows;
  - (iv) Schedule of Changes in Shareholders Equity; and
  - (v) Notes to each of the abovementioned schedules/ financial statements;

prepared in accordance with USGAAP together with:

- (vi) a statement that the schedules/financial statements are approved and authorised for issue by the GEV International's board and signed on its behalf; and
- (vii) a statement from the external auditors of GE Vernova that the abovementioned schedules and notes have been subjected to audit procedures performed in conjunction with the audit of the financial statements of GE Vernova and are fairly stated in all material aspects;

for the financial year ending 31 December 2024 in such form as is approved by ASIC on 3 November 2025.

25-0178

Note 1: For the financial year ending 31 December 2024, ASIC has approved each of the financial statement to not include comparative financial information for preceding financial year ending 31 December 2023.

- (h) GE Vernova lodges with the SEC a **Form 10-K** within 4 months after the end of GE Vernova's financial year which includes in relation to GE Vernova and its subsidiaries (including GEV International) in relation to its financial year corresponding with the Relevant Financial Year, the following:
- (i) a Consolidated Balance Sheet;
  - (ii) a Consolidated Statement of Income;
  - (iii) a Consolidated Statement of Comprehensive Income;
  - (iv) a Consolidated Statement of Equity; and
  - (v) a Consolidated Statement of Cash Flows;
- (i) GEV International lodges with ASIC within 9 months after the end of the Relevant Financial Year under a modified ASIC Form 405 *Statement to verify financial statements of a foreign company*, the following:
- (i) Schedule of Financial Position;
  - (ii) Schedule of Operations;
  - (iii) Schedule of Cash Flows;
  - (iv) Schedule of Changes in Shareholders Equity and
  - (v) Notes to each of the abovementioned schedules/ financial statements;

for the Relevant Financial Year prepared in accordance with USGAAP together with:

- (vi) a statement that the schedules/financial statements are approved and authorised for issue by the GEV International's board and signed on its behalf; and
- (vii) a statement from the external auditors of GE Vernova that the abovementioned schedules and notes have been subjected to audit procedures performed in conjunction with the audit of the financial statements of GE Vernova and are fairly stated in all material aspects;

in such form as is approved by ASIC.

Note: The modified ASIC Form 405 must replace references to s601CK with references to this instrument 25-0178 dated 19 November 2025.



25-0178

**Cessation**

6. This instrument ceases to apply on 30 November 2035 unless revoked earlier.

**Interpretation**

7. In this instrument

*SEC* means the Securities and Exchange Commission of the United States of America.

*USGAAP* means the Generally Accepted Accounting Principles adopted by the SEC.

Dated 19 November 2025

A handwritten signature in blue ink, appearing to be 'Kyle Wright', written over a faint circular stamp.

Signed by Kyle Wright  
as a delegate of the Australian Securities and Investments Commission

25-0178

**Schedule A**

<b>Financial year ended</b>	<b>Date lodged with ASIC</b>
31 December 2019	14 January 2021
31 December 2020	16 June 2022
31 December 2021	22 February 2023
31 December 2022	6 February 2024
31 December 2023	19 September 2025



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Australian Securities &  
Investments Commission

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**25-0579**

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

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

TO: The Directors  
ABN 11087650315 Limited  
Level 7 215-217 Clarence Street  
Sydney NSW 2000

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 240399 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 21 November 2025

Signed   
Sandra Holdaway  
A delegate of the Australian Securities and Investments  
Commission



ASIC

Australian Securities &amp; Investments Commission

25-0762

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

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

TO: Australian Unity Bank Limited  
ACN 087 652 079 ("the Licensee")  
271 Spring St  
Melbourne VIC 3000

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001** (the Act), the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 237994 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 21 November 2025

Signed *Christopher Green* .....

Christopher Green  
A delegate of the Australian Securities and Investments  
Commission



ASIC

Australian Securities &amp; Investments Commission

25-0763

**Australian Securities & Investments Commission  
National Consumer Credit Protection Act 2009 Section 54**

**Notice of Cancellation of an Australian Credit Licence**

TO: Australian Unity Bank Limited  
ACN 087 652 079 ("the Licensee")  
271 Spring St  
Melbourne VIC 3000

Pursuant to paragraph 54(1)(a) of the **National Consumer Credit Protection Act 2009**, the Australian Securities and Investments Commission hereby cancels Australian Credit Licence number 237994 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 21 November 2025

Signed *Christopher Green* .....

Christopher Green  
A delegate of the Australian Securities and Investments  
Commission



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Australian Securities &  
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and Investments Commission**

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**25-0766**

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

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

TO: Esi Financial Services Pty Ltd  
ACN 101 428 782 ("the Licensee")  
Level 10 123 Eagle Street,  
BRISBANE CITY QLD 4000

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 224952 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 24 November 2025

Signed

Cara Somerville  
A delegate of the Australian Securities and Investments Commission





ASIC

Australian Securities &amp; Investments Commission

25-0770

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

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

TO: Austbrokers RIS Pty Ltd  
ACN 094 825 859 ("the Licensee")  
13 Harold St  
PARRAMATTA NSW 2150

Pursuant to paragraph 915B(3)(d) of **the Corporations Act 2001** (the Act), the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 239291 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 30 October 2025

Signed

A handwritten signature in black ink, appearing to be 'C. Somerville'.

Cara Somerville  
A delegate of the Australian Securities and Investments  
Commission



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Australian Securities &  
Investments Commission

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**25-0789**

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

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

TO: Agri Advisors Pty Limited  
ACN 090 519 798 ("the Licensee")  
Bendigo and Adelaide Bank Limited  
The Bendigo Centre  
22 - 44 Bath Lane  
BENDIGO VIC 3550

Pursuant to paragraph 915B(3)(d) of the Corporations Act 2001, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 223409 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 26 November 2025

Signed *George Podaras*  
.....

George Podaras  
A delegate of the Australian Securities and Investments Commission

25-0795

**Australian Securities and Investments Commission  
Corporations Act 2001 – Paragraph 951B(1)(a) – Exemption**

**Enabling Legislation**

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraph 951B(1)(a) of the *Corporations Act 2001 (Act)*

**Title**

2. This instrument is ASIC Instrument 25-0795.

**Commencement**

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

**Definitions**

4. In this Instrument:

*Akumin* means Akumin Financial Planning Pty Limited (ABN 89 051 208 327, AFSL 232706)

*Charter* means Charter Financial Planning Limited (ABN 35 002 976 294, AFSL 234665)

*Existing Instrument* means ASIC Instrument 22-0761 as modified by ASIC Instrument 23-0264.

*Fortnum Advice* means Fortnum Advice Pty Ltd (ABN 52 634 060 709, AFSL 519190)

*Fortnum Private Wealth* means Fortnum Private Wealth Limited (ABN 54 139 889 535, AFSL 357306)

*Hillross* means Hillross Financial Services Limited (ABN 77 003 323 055, AFSL 232705)

*Personal Financial* means Personal Financial Services Ltd (ABN 26 098 725 145, AFSL 234459)

**Exemption**

5. The Existing Instrument is modified as follows:

- (1) Definitions:

- a. Omit the definition of AMP in full, insert:

**Entireti** means Entireti Limited (ABN 51 676 518 577).

- b. Omit the definition of AMP Group CAR in full, insert:

25-0795

**Entireti Group CAR** means a body corporate authorised representative of a financial services licensee in Entireti Group FSL appointed under section 916A of the Act.

- c. Omit the definition of AMP Group FSL in full, insert:

**Entireti Group FSL** means together and separately as the case requires:

- a) Akumin; and
- b) Charter; and
- c) Fortnum Advice; and
- d) Fortnum Private Wealth; and
- e) Hillross; and
- f) Personal Financial.

- d. Omit the definition of AMP Group IAR, insert:

**Entireti Group IAR** means a natural person authorised representative of an Entireti Group FSL or an Entireti Group CAR appointed under sections 916A or 916B of the Act.

- e. Omit the definition of single adviser practice, insert:

**single adviser practice** means a financial services business that has no more than one Entireti Group IAR to provide financial product advice to clients.

- (2) Paragraph (5):

- a. Omit the references to 'AMP Group FSL', substitute 'Entireti Group FSL'.
- b. Omit the references to 'AMP Group CAR', substitute 'Entireti Group CAR'.
- c. Omit the references to 'AMP Group IAR', substitute 'Entireti Group IAR'.

Dated this 24 November 2025



Signed by Rachel Adams  
as a delegate of the Australian Securities and Investments Commission



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**25-0814**

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

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

TO: Grioli and Company Pty Ltd  
ACN 621 402 882 ("the Licensee")  
62 Bellevue Boulevard,  
HILLSIDE VIC 3037

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 506003 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 21 November 2025

Signed

Cara Somerville  
A delegate of the Australian Securities and Investments Commission

25-0823

**Australian Securities and Investments Commission  
Corporations Act 2001 – Subsection 926A(2)(a) – Exemption**

**Enabling legislation**

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under s926A(2)(a) of the *Corporations Act 2001* (**Act**).

**Title**

2. This instrument is ASIC Instrument **25-0823**

**Commencement**

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

**Exemption**

4. ASIC exempts iCapital Advisors, LLC (the body), a body corporate formed in Delaware, US under file number 5542399 and registered with the US SEC under SEC #:801-106690, from the requirement to hold an Australian financial services (AFS) licence in the case specified in Schedule A.

**Cessation**

5. The exemption in paragraph 4 ceases to have effect on the earlier of:
  - (a) Subparagraph 1(1) of Schedule 2 of the *ASIC Corporations (Repeal and Transitional) Instrument 2016/396* ceasing to have effect in relation to the relief that was provided under ASIC Class Order [CO 03/1100] *US SEC regulated financial services providers*; or
  - (b) the body failing to comply 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.



25-0823

**Schedule A**

1. The exemption in paragraph 4 applies where all of the following apply:
  - (a) the body is:
    - (i) a registered investment adviser;
  - (aa) the body is a body corporate incorporated in the US or a State of the US;
  - (b) 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;
  - (c) the body's primary business is the provision of financial services;
  - (d) neither the body nor its Agent has been notified by ASIC that the body is excluded from relying on this instrument;
  - (e) 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
  - (f) 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; or
  - (b) dealing in a financial product;in respect of any of the following financial products:
  - (c) derivatives;
  - (d) foreign exchange contracts;
  - (e) securities;
  - (f) debentures, stocks or bonds issued by a government;
  - (g) managed investment products; or

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- (h) interests in a managed investment scheme that is not required to be registered under Chapter 5C of the Act.

3. Where the body has provided ASIC with all of the following

- (a) evidence that paragraph 1(a) of Schedule A is satisfied that ASIC has stated in writing is adequate;
- (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;
  - (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;
  - (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 the SEC or ASIC, it will give or vary written consent and take all other practicable steps to enable and assist the SEC to disclose to ASIC and ASIC to disclose to the SEC any information or document that SEC or ASIC has that relates to the body; and
- (d) written consents to the disclosure by the SEC to ASIC and ASIC to the SEC of any information or document that the SEC or ASIC has that relates to the body. The consents must be in such form (if any) as ASIC specifies in writing.

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**Schedule B**

The body must:

1. 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; and
2. 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:
  - (a) each significant change to, including the termination of, the registration as a registered investment adviser applying to the body relevant to the financial services the body provides or intends to provide in this jurisdiction; and
  - (b) 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
  - (c) each action or investigation of the following kinds taken by the SEC or other overseas regulatory authority against the body in a foreign jurisdiction in relation to financial services provided in the foreign jurisdiction:
    - (i) significant enforcement action;
    - (ii) significant disciplinary action;
    - (iii) 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
3. 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:
  - (a) the body is exempt from the requirement to hold an AFS licence under the Act in respect of the financial services; and
  - (b) the body is regulated by the SEC under US laws, which differ from Australian laws; and
4. 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.

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**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;

*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;

*dealing* has the meaning given by s9 of the Act;

*derivatives* has the meaning given by s9 of the Act;

*financial product* has the meaning given by s9 of the Act; financial product advice has the meaning given by s9 of the Act;

*financial services law* has the meaning given by s9 of the Act;

*foreign exchange contract* has the meaning given by s9 of the Act;

*managed investment product* has the meaning given by s9 of the Act;

*managed investment scheme* has the meaning given by s9 of the Act;

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

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

*registered investment adviser* means a body corporate or a partnership formed in the US or a State of the US registered under s203(c) of the Investment Advisers Act 1940 (US); SEC means the Securities and Exchange Commission of the US;

*SEC* means the Securities and Exchange Commission of the US;

*securities* has the meaning given by s9 of the Act;

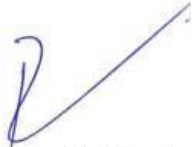
*US* means the United States of America;

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*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 SEC; and

*wholesale client* has the meaning given in s9 of the Act.

Dated this 24<sup>th</sup> day of November 2025



Signed by Timothy O'Neill  
as a delegate of the Australian Securities and Investments Commission



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**25-0827**

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

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

TO: Knights Guard Pty. Limited  
ACN 003 084 311 ("the Licensee")  
15 Cliffside Lane  
CANNING VALE WA 6155

Pursuant to paragraph 915B(3)(d) of the Corporations Act 2001, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 253197 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 24 November 2025

Signed George Podaras

George Podaras  
A delegate of the Australian Securities and Investments Commission



25-0828

## 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 19 November 2025.

**Australian Securities and Investments Commission****In the matter of Andrew John Spira****Banning order under sections 920A and 920B of the Corporations Act 2001**

To: Andrew John Spira

Take notice that under sections 920A and 920B of the *Corporations Act 2001*, the Australian Securities and Investments Commission prohibits Andrew John Spira 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 13<sup>th</sup> day of November 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.

25-0833

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

**Enabling legislation**

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

**Title**

2. This instrument is ASIC Instrument 25-0833.

**Commencement**

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

**Declaration**

4. Chapter 6D of the Act applies to a person who holds securities in the Company, as if section 707 was modified or varied by omitting subsection 707(3) and subsection 707(4) and substituting the following subsection:  
  
“(3) An offer of a body’s securities for sale within 12 months after their issue needs disclosure to investors under this Part if the body issued the securities:  
  
(a) without disclosure to investors under this Part; and  
  
(b) with the purpose of the person to whom they were issued:  
  
(i) selling or transferring them; or  
  
(ii) granting, issuing or transferring interests in, or options or warrants, over, them;  
  
and section 708 or 708A does not say otherwise.”

**Where this instrument applies**

5. This instrument applies where a person who holds Shares in the Company makes an offer of Shares for sale within 12 months of their issue where:  
  
(a) the Shares were issued on the exercise of Options issued by the Company on or around 22 November 2023 without disclosure under Chapter 6D of the Act;  
  
(b) the terms of the Options were amended such that the Options became part of the same class as securities issued by the Company under, and were disclosed pursuant to, a prospectus lodged with ASIC on or around 8 December 2023;  
  
(c) the supplementary notice of meeting sent to shareholders of the Company in connection with the annual general meeting of the Company held on or around 20

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November 2025 contained a statement describing the need for, and effect of, the relief contained in this instrument; and

(d) the issue of Shares on conversion of the Options did not involve any further offer.

**Interpretation**

6. In this instrument:

*Company* means Tivan Limited ACN 000 817 023.

*Options* means options to acquire Shares.

*Shares* means fully paid ordinary shares in the Company.

Dated this 24<sup>th</sup> day of November 2025



Signed by Samuel Wong  
as a delegate of the Australian Securities and Investments Commission

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25-0842

Australian Securities and Investments Commission  
Corporations Act 2001 - Subsection 601QA(1) - Declaration and Exemption

**Enabling legislation**

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under subsection 601QA(1) of the *Corporations Act 2001* (the *Act*).

**Title**

2. This instrument is ASIC Instrument 25-842.

**Commencement**

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

**Declaration**

4. Chapter 5C of the Act applies to Elanor Funds Management Limited ACN 125 903 031 (*EFML*) in its capacity as the responsible entity of Elanor Investment Fund ARSN 169 450 926 (*EIF*) as if Chapter 5C of the Act were modified or varied as follows:

- (a) insert after subsection 601GA(4) of the Act:

“(4A) Subsection (4) does not apply to a right to withdraw from a registered scheme under an arrangement for the responsible entity to selectively acquire interests in the scheme from a member (*off-market buy-back*) if:

- (a) the responsible entity has power to make the off-market buy-back under the constitution;
    - (b) the off-market buy-back has been approved by a special resolution of the members of the scheme passed at a general meeting of members of the scheme, with no votes being cast in favour of the resolution by any person whose interests in the scheme are proposed to be acquired;
    - (c) the off-market buy-back is made for nominal consideration and accordingly does not materially prejudice the responsible entity’s ability to pay its creditors in relation to liabilities incurred by it as responsible entity of the scheme; and
    - (d) where the interest in the scheme is a component of a stapled security, the responsible entity only buys an interest under the off-market buy-back concurrently with the cancellation of a share forming part of a stapled security.

(4B) For the purposes of subsection (4A), *stapled security* means two financial products comprising an interest in a registered scheme and a share in a company where:

- (a) under the terms on which each of the financial products are to be traded, the entity must not cancel, buy back or redeem one of the financial products without correspondingly cancelling, buying back or redeeming the other financial product; and
    - (b) there are no financial products in the same class as those financial products which may be transferred separately.”; and

- (b) insert after section 601GA of the Act:

“601GAAA Responsible entity to cancel interests

Immediately after registration of the transfer to the responsible entity of the interests acquired under an off market buy-back in accordance with subsection 601GA(4A), the responsible entity must cancel the interests it has bought.”.

#### Exemption

5. EFML in its capacity as the responsible entity of EIF does not have to comply with paragraph 601FC(1)(d) and Part 5C.6 of the Act in the case of a withdrawal in accordance with subsection 601GA(4A) of the Act, as notionally inserted.

#### Where this instrument applies

6. This instrument applies where:

- (a) interests in EIF are components of ENN Stapled Securities which are admitted to the official list of the ASX;
- (b) one or more offers are made by ENN Group to acquire 7,903,398 ENN Stapled Securities held by Challenger, the EIF interest component of which may be bought back (the *Selective EIF Buy-back Offers*) and the EIL share component of which may be cancelled (the *EIL Share Cancellations*), as contemplated by the Unwind Deed;
- (c) the Selective EIF Buy-back Offers are approved in accordance with a special resolution passed at a meeting of holders of ENN Stapled Securities on or about 27 February 2026, with no votes being cast in favour of the resolution by Challenger or its associates;
- (d) the notice of meeting for the meeting referred to in paragraph (c) (the *Notice of Meeting*) outlines all information that is material to the decision of a holder of ENN Stapled Securities on how to vote on the special resolution, including but not limited to:
  - (i) outlines all information that is material to the decision of a holder of ENN Stapled Securities on how to vote on the special resolution, including but not limited to:
    - (A) details of the Unwind Agreement;
    - (B) how the Selective EIF Buy-back Offers and related EIL Share Cancellations may affect control of ENN Stapled Securities;
    - (C) the particulars of the terms of the Selective EIF Buy-back Offers (including, the dollar amount of the consideration that will be paid to Challenger to acquire the interests and timing for acquisition of the interests);
    - (D) what factors the holders of ENN Stapled Securities should consider in voting on the resolution; and
    - (E) the advantages and disadvantages of the Selective EIF Buy-back Offers;
  - (ii) the Notice of Meeting is substantially the same as the draft of the Notice of Meeting provided to ASIC on 27 November 2025;

- (e) before the Notice of Meeting is sent to holders of ENN Stapled Securities, EFML lodges with ASIC:
  - (i) the Notice of Meeting; and
  - (ii) any document relating to the Selective EIF Buy-back Offers that will accompany the Notice of Meeting; and
- (f) all of the interests in EIF acquired under the Selective EIF Buy-back Offers are cancelled by EFML as soon as reasonably practicable after they are acquired.

**Cessation**

7. This instrument ceases to apply on 31 December 2026.

**Interpretation**

8. In this instrument:

*ASX* means ASX Limited ACN 008 624 691.

*Challenger* means Challenger Limited ACN 106 842 371 or its wholly-owned subsidiary who holds the ENN Stapled Securities.

*EIL* means Elanor Investors Limited ACN 169 308 187.

*ENN Group* means EFML as responsible entity of EIF and EIL.

*ENN Stapled Securities* means a fully-paid interest in EIF and a fully-paid ordinary share in EIL, where:

- (a) under the terms on which each of the financial products are to be traded, they must be transferred together; and
- (b) there are no financial products in the same class as those financial products that can be transferred separately.

*Unwind Deed* means the binding deed entered into by EIL, EFML as responsible entity of EIF, Challenger and others, under which a strategic partnership and related investment management arrangements will be unwound.

Dated this 27th day of November 2025.



Signed by Jeanette McKee  
as a delegate of the Australian Securities and Investments Commission



25-0845

**Australian Securities and Investments Commission  
Corporations Act 2001 – s 926A(2)(a) – Exemption**

**Enabling legislation**

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under s926A(2)(a) of the *Corporations Act 2001* (the *Act*).

**Title**

2. This instrument is ASIC Instrument **25-0845**.

**Commencement**

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

**Exemption**

4. ASIC exempts iCapital Registered Fund Adviser LLC (the body), a body corporate formed in Delaware, US under file number 3467869 and registered with the US SEC under SEC #801-119679, from the requirement to hold an Australian financial services (*AFS*) licence in the case specified in Schedule A.

**Cessation**

5. The exemption in paragraph 4 ceases to have effect on the earlier of:
  - (a) Subparagraph 1(1) of Schedule 2 of the *ASIC Corporations (Repeal and Transitional) Instrument 2016/396* ceasing to have effect in relation to the relief that was provided under ASIC Class Order [CO 03/1100] US SEC regulated financial services 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 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.

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**Schedule A**

1. The exemption in paragraph 4 of this instrument applies where all of the following apply:
  - (a) the body is a registered investment adviser;
  - (b) the body is a body corporate incorporated in the US or a State of the US;
  - (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
    - (i) 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
  - (f) 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; or
  - (b) dealing in a financial product;in respect of any of the following financial products:
  - (c) derivatives;
  - (d) foreign exchange contracts;
  - (e) securities;
  - (f) debentures, stocks or bonds issued by a government;

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- (g) managed investment products; or
- (h) interests in a managed investment scheme that is not required to be registered under Chapter 5C of the Act.

3. Where the body has provided ASIC with all of the following:

- (a) evidence that paragraph 1(a) of Schedule A is satisfied that ASIC has stated in writing is adequate;
- (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 s659B(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;
  - (ii) the body submits to the non-exclusive jurisdiction of the Australian courts in legal proceedings conducted by ASIC (including under s50 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;
  - (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;
  - (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 s50 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 the SEC or ASIC, it will give or vary written consent and take all other practicable steps to enable and assist the SEC to disclose to ASIC and ASIC to disclose to the SEC any information or document that the SEC or ASIC has that relates to the body; and
- (d) written consents to the disclosure by the SEC to ASIC and ASIC to the SEC of any information or document that the SEC or ASIC has that relates to the body. The consents must be in such form (if any) as ASIC specifies in writing.

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**Schedule B**

The body must:

1. 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. 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:
  - (a) each significant change to, including the termination of, the registration as a registered investment adviser applying to the body relevant to the financial services the body provides or intends to provide in this jurisdiction; and
  - (b) 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
  - (c) each action or investigation of the following kinds taken by the SEC or other overseas regulatory authority against the body in a foreign jurisdiction in relation to financial services provided in the foreign jurisdiction:
    - (i) significant enforcement action;
    - (ii) significant disciplinary action;
    - (iii) 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
3. 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:
  - (a) the body is exempt from the requirement to hold an AFS licence under the Act in respect of the financial services; and
  - (b) the body is regulated by the SEC under US laws, which differ from Australian laws; and
4. 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.

25-0845

**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;

*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*;

*dealing* has the meaning given by s9 of the Act;

*derivatives* has the meaning given by s9 of the Act;

*financial product* has the meaning given by s9 of the Act;

*financial product advice* has the meaning given by s9 of the Act;

*financial services law* has the meaning given by s9 of the Act;

*foreign exchange contract* has the meaning given by s9 of the Act;

*managed investment product* has the meaning given by s9 of the Act;

*managed investment scheme* has the meaning given by s9 of the Act;

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

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

*registered investment adviser* means a body corporate or a partnership formed in the US or a State of the US registered under s203(c) of the Investment Advisers Act 1940 (US);

*SEC* means the Securities and Exchange Commission of the US;

*securities* has the meaning given by s9 of the Act;

*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 SEC; and

*wholesale client* has the meaning given in s9 of the Act.

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Dated this 28<sup>th</sup> day of November 2025

Signed by Denise Dawson

as a delegate of the Australian Securities and Investments Commission

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 twenty-eighth day of November 2025

**Name of Scheme**

**ARSN**

AUSTRALIAN CORE RETAIL TRUST

103 738 727



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 twenty-eighth day of November 2025

**Name of Company**

**ARBN**

CARNE INTERNATIONAL FINANCIAL SERVICES (UK) LIMITED

648 201 610

CENTAMIN LIMITED

157 979 961

NOMINET UK

645 059 123

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.

**CERETAS PTY LTD** ACN 681 662 224 will change to a public company limited by shares. The new name will be CERETAS LIMITED ACN 681 662 224.

**MOUNT BURGESS MINING N.L.**  
ACN 009 067 476 will change to a public company limited by shares. The new name will be TALONX RESOURCES LIMITED ACN 009 067 476.