



**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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**ASIC**

Australian Securities &amp; Investments Commission

**22-0338****Australian Securities and Investments Commission  
Corporations Act 2001 Section 915B****Notice of Cancellation of an Australian Financial Services Licence**

TO: Professional Forex Services Pty Ltd  
ACN: 163 481 472 ("the Licensee")  
1 St Georges Ave  
Templestowe VIC 3106

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 440947 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 15 June 2022

Signed *Gerard Mithen* .....

Gerard Mithen  
A delegate of the Australian Securities and Investments Commission

22-0405


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

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

TO: Capricorn02 Pty Ltd  
ACN 006 080 226 ("the Licensee")  
PO Box 1839  
Newtown VIC 3220

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 246247 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 15 June 2022

Signed  .....

Jedo Charles  
A delegate of the Australian Securities and Investments Commission

22-0507

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

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

TO: DEMASI & COMPANY SERVICES PTY LIMITED  
ACN 002 635 538 ("the Licensee")  
PO Box 131  
Liverpool NSW 1871

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 474678 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 15 June 2022

Signed *N Vonarx* .....

Nicholas Vonarx  
A delegate of the Australian Securities and Investments Commission

**ASIC**

Australian Securities &amp; Investments Commission

22-0509

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

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

TO: CHANCELLOR PORTFOLIO SERVICES PTY LTD  
ACN: 079 006 367 ("the Licensee")  
GPO BOX 7090  
SYDNEY NSW 2001

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 241429 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 9 June 2022

Signed

Handwritten signature of Gerard Mithen in black ink.

Gerard Mithen  
A delegate of the Australian Securities and Investments Commission

**ASIC**

Australian Securities &amp; Investments Commission

22-0511

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

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

TO: ASSET SCIENCE LICENSING PTY LTD  
ACN: 613 456 965 ("the Licensee")  
85 Davies Rd  
Ashgrove QLD 4060

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 490140 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 14 June 2022

Signed *J.P. Mithen* .....

Gerard Mithen  
A delegate of the Australian Securities and Investments Commission

22-0514

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

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

TO: Boroughs Advisory Pty Limited  
ACN 119 217 935 ("the Licensee")  
Level 6 77 Castlereagh 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 486130 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 14 June 2022

Signed *GP Mithen* .....

Gerard Mithen  
A delegate of the Australian Securities and Investments Commission

22-0515

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

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

TO: Phillip Anthony Financial Services Pty Ltd  
ACN 122 441 169 ("the Licensee")  
SE 21 431 St Kilda Road  
MELBOURNE VIC 3004

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 483530 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 14 June 2022

Signed *Gerard Mithen* .....

Gerard Mithen  
A delegate of the Australian Securities and Investments Commission



22-0517

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

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

TO: RKN Analysis Pty Ltd  
ACN 127 573 942 ("the Licensee")  
122 Summerhill Road  
GLEN IRIS VIC 3146

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 331076 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 14 June 2022

Signed  .....

Gerard Mithen  
A delegate of the Australian Securities and Investments Commission

22-0526

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

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

TO: Harbert Fund Advisors (Australia) Pty Ltd  
ACN 133 595 605 ("the Licensee")  
47 Alfred Road  
GLEN IRIS VIC 3146

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 334845 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 14 June 2022

Signed *Gerard Mithen*.....

Gerard Mithen  
A delegate of the Australian Securities and Investments Commission

22-0528

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

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

TO: Corvette 1954 Pty Ltd  
ACN 059 491 333 ("the Licensee")  
PO Box 231W  
BALLARAT WEST 3350

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 244261 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 14 June 2022

Signed *Gerard Mithen* .....

Gerard Mithen  
A delegate of the Australian Securities and Investments Commission

22-0530

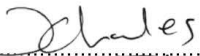
**Australian Securities and Investments Commission  
Corporations Act 2001 Section 915B**

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

TO: Symple Loans Pty Limited  
ACN 624 150 849 ("the Licensee")  
800 Collins St  
Docklands VIC 3008

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 509222 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 15 June 2022

Signed  .....

Jedo Charles  
A delegate of the Australian Securities and Investments Commission

22-0531


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

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

TO: Janet Gough and Associates Pty Ltd  
ACN 148 811 607 ("the Licensee")  
49 Woodbine Street  
North Balgowlah  
NSW 2093

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 485883 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 15 June 2022

Signed  .....

Jedo Charles  
A delegate of the Australian Securities and Investments Commission

22-0532

**Australian Securities and Investments Commission**  
**Corporations Act 2001 — Subsections 601QA(1), 741(1), 911A(2), 992B(1),**  
**and 1020F(1) — Exemptions**

**Enabling legislation**

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under subsections 601QA(1), 741(1), 911A(2), 992B(1) and 1020F(1) of the *Corporations Act 2001* (the *Act*).

**Title**

2. This instrument is ASIC Instrument 22-0532.

**Commencement**

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

**Nature of this instrument**

4. This instrument is an individual relief instrument, as referred to in paragraphs 28A to 28D of ASIC Class Order [CO 14/1000].

**Disclosure relief***Offers made under an employee incentive scheme*

5. A Specified Person that makes an offer under an employee incentive scheme covered by this instrument does not have to comply with Part 6D.2, Part 6D.3 or Part 7.9 of the Act in relation to the offer.

*Subsequent sale offers*

6. A person that makes a sale offer of an underlying eligible product within 12 months after the issue of the product does not have to comply with Part 6D.2, Part 6D.3 or Part 7.9 of the Act in relation to the sale offer where:
  - (a) the product was issued or otherwise granted:
    - (i) to an eligible participant under an employee incentive scheme; or
    - (ii) to a FCPE or a trustee in connection with an employee incentive scheme; and
  - (b) the person has no reason to believe the employee incentive scheme is not covered by this instrument.
7. A person that makes a sale offer of a financial product within 12 months after the issue of the product does not have to comply with Part 6D.2, Part 6D.3 or Part 7.9 of the Act in relation to the sale offer where:

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- (a) the product was issued by reason of the exercise or vesting of an eligible product issued or otherwise granted to:
  - (i) an eligible participant under an employee incentive scheme; or
  - (ii) to a FCPE or a trustee in connection with an employee incentive scheme; and
- (b) the person has no reason to believe the employee incentive scheme is not covered by this instrument.

**Licensing and other incidental relief***General advice*

8. A Specified Person that makes an offer under an employee incentive scheme covered by this instrument and, in relation to the offer, provides a financial service consisting of general advice in connection with the offer, does not have to comply with subsection 911A(1) of the Act in relation to the advice.

*Dealing*

9. A Specified Person that provides any of the following financial services in relation to an offer in connection with an employee incentive scheme covered by this instrument does not have to comply with subsection 911A(1) of the Act in relation to the financial service:
- (a) issuing the eligible product;
  - (b) dealing in the eligible product where any acquisition by purchase or disposal of the eligible product by the Company or a related body corporate occurs either:
    - (i) through a financial services licensee; or
    - (ii) outside this jurisdiction and through a person which is licensed or otherwise authorised to deal in financial products of that kind in the relevant place;
  - (c) dealing in an interest in a managed investment scheme covered by paragraph 13 of this instrument or paragraph 28C of ASIC Class Order [CO 14/1000].

*Custodial or depository services*

10. A Specified Person that provides any of the following financial services in connection with an employee incentive scheme covered by this instrument does not have to comply with subsection 911A(1) of the Act in relation to the financial service:

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- (a) a custodial or depository service in relation to the eligible product where the Specified Person performs their duties in good faith and has sufficient resources to perform those duties;
- (b) dealing in the eligible product in the course of providing a custodial or depository service covered by paragraph (a).

*Hawking*

- 11. A Specified Person that makes an offer of an eligible product to an eligible participant in the course of, or because of, an unsolicited meeting or telephone call held or made in connection with an employee incentive scheme covered by this instrument does not have to comply with section 736, 992A or 992AA of the Act.

*Advertising*

- 12. A Specified Person that advertises, or publishes a statement that is reasonably likely to induce eligible participants to acquire, an eligible product under an employee incentive scheme covered by this instrument does not have to comply with section 1018A of the Act in relation to the advertisement or publication.

*Incidental managed investment scheme*

- 13. A Specified Person that operates a managed investment scheme only by reason of making eligible products available under an employee incentive scheme covered by this instrument or operating a contribution plan in connection with an employee incentive scheme covered by this instrument does not have to comply with section 601ED of the Act in relation to the operation of that managed investment scheme.

**Conditions***Notice of reliance*

- 14. A Specified Person making an offer in connection with a particular employee incentive scheme covered by this instrument must give ASIC a notice of reliance.

Note: A notice of reliance can cover a particular employee incentive scheme that is intended to operate for many years. A new notice of reliance will be required to be given to ASIC if the Company or a related body corporate establishes a new employee incentive scheme.

- 15. The Company or a related body corporate may give ASIC the notice of reliance at any time before the Specified Person first relies on this instrument in relation to the particular employee incentive scheme but, in any event, must give ASIC the notice of reliance no later than 1 month after the day the Specified Person first relies on this instrument in relation to the particular employee incentive scheme.

*Disclosure*



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16. A Specified Person that makes an offer under an employee incentive scheme covered by this instrument must ensure that the offer is made in, or is accompanied by, an offer document.

*Offers of overlying eligible products*

17. If a Specified Person makes an offer of an overlying eligible product under an employee incentive scheme, the Specified Person must ensure that, if the overlying eligible product is not able to be traded on an eligible financial market, the offer is for no more than nominal monetary consideration.

Note: This paragraph 17 does not prohibit an offer for more than nominal monetary consideration of an underlying eligible product held or to be held by a trustee under a trust in relation to which the eligible participant acquires or will acquire a unit in the underlying eligible product because it is or will be held by the trustee under the trust.

*5% issue limit*

18. A Specified Person that makes an offer covered by this instrument must, at the time of making the offer, have reasonable grounds to believe that the number of underlying eligible products in a class of underlying eligible products that form part of the issued capital of the Company that have been or may be issued in any of the circumstances covered by the following paragraphs will not exceed 5% of the total number of underlying eligible products in that class on issue:
- (a) underlying eligible products that may be issued under the offer;
  - (b) underlying eligible products issued or that may be issued as a result of offers made at any time during the previous 3 year period under:
    - (i) an employee incentive scheme or like scheme of the Company or a related body corporate, where offers were covered by this instrument or an individual instrument made by ASIC in terms similar to this instrument; or
    - (ii) an employee incentive scheme or employee share scheme of the Company or a related body corporate, where the offers were covered by ASIC Class Order [CO 14/1000] or an individual instrument made by ASIC in terms similar to that class order.

*FCPE structure*

19. The Company must take all reasonable steps to ensure that:
- (a) the Manager maintains written records on the administration of the FCPE including written records that identify the underlying eligible products held on an allocated basis for the specified eligible participant;
  - (b) the Manager and the Custodian do not levy any fees or charges for administering the FCPE that are payable directly by any eligible participant or out of the assets of the FCPE, other than reasonable disbursements

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including brokerage and tax levied or incurred in connection with the FCPE or fees and charges, as otherwise provided for in the Rules, or as the Company reasonably believes are authorised under the laws of France;

- (c) the Manager does not, at its own discretion, exercise any voting rights attaching to any of the underlying eligible products held in the FCPE;
- (d) the FCPE does not hold more than 5% of the voting shares or voting interests in the Company where such holdings relate to employee incentive schemes of the Company or a related body corporate in reliance on this instrument;
- (e) the FCPE and an employee incentive scheme covered by this instrument, at all times, are approved and regulated by the Relevant Agency; and
- (f) the Custodian complies with the laws of France.

*Regulation*

- 20. The Specified Person must, at all times, comply with the Rules.
- 21. The Manager must, at all times, be approved by the Relevant Agency.
- 22. The Rules must not be modified or varied in any material respect that would adversely affect the rights and interests of eligible participants, unless:
  - (a) the Company reasonably believes that such modification or variation is required by the laws of France; or
  - (b) ASIC gives prior written notice to the Company that it does not object to the modification or variation.
- 23. The Company must notify ASIC as soon as practicable, and in any event, within 15 business days from the date it knew, or should reasonably have known, of the following notifiable matters:
  - (a) any significant change to the authorisation granted by the Relevant Agency relating to the operation of the FCPE, including any exemptions or other relief granted to any of the Specified Person; and
  - (b) the details of each significant investigation, disciplinary or enforcement action against any of the Specified Persons.

*FCPE annual financial statements*

- 24. The FCPE annual financial statements must be audited annually.
- 25. If requested by an eligible participant at any time during the period the eligible participant is participating in an employee incentive scheme covered by this instrument, the Company must provide and make available at the registered office or principal place of business of Australian Company, during normal business hours or such other time as is agreed with the eligible participant:
  - (a) the most recent FCPE annual financial statements and accompanying auditors' report;

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- (b) a copy of the Rules;
- (c) a copy of the offer document; and
- (d) a response to any other reasonable request for information.

*Redemption of eligible products*

26. The Australian Company must accept notices, correspondence and service of process on behalf of each of the Specified Person at its registered office or principal place of business.
27. The Australian Company must forward any notice received from an eligible participant in connection with an employee incentive scheme, including a notice relating to the buy-back or redemption of eligible products as provided for in the Rules, to the Manager without delay.
28. The Company must notify ASIC within 5 business days of:
  - (a) suspension or termination of the buy-back arrangements or redemption facilities of eligible products in the FCPE; or
  - (b) suspension of the quotation of the underlying eligible products of the Company on the eligible financial market.
29. The Company must maintain, at the registered office or principal place of business of the Australian Company, a register of eligible participants who are participating in an employee incentive scheme covered by this instrument that includes details of:
  - (a) the names and addresses of each eligible participant;
  - (b) the extent of the holding of each eligible participant;
  - (c) the date at which the name of each eligible participant was entered in the register; and
  - (d) the date at which any eligible participant's interest ceased.

**ASIC power to request documents**

30. A Specified Person must, if requested by ASIC and in accordance with the request, make available to ASIC the offer document and all other accompanying information or documents given to eligible participants in connection with the offer made in reliance on this instrument:
  - (a) records relating to the issue or sale of and the buy-back or redemption of eligible products in the FCPE to or from eligible participants; and
  - (b) if any document is not in English, a translation of that document into English which must be a certified translation if requested by ASIC.

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**Interpretation**

31. In this instrument:

- (1) *able to be traded* has the meaning given by section 761A of the Act;

*Australian Company* means each of Arkema Pty Ltd ACN 000 330 772 and Bostik Australia Pty Ltd ACN 003 893 838;

*casual employee*, in relation to the Company or a related body corporate, means an individual who is, or might reasonably be expected to be, engaged to work the number of hours that are the pro-rata equivalent of 40% or more of a comparable full-time position with the body;

*Company* means Arkema SA, a body registered in France and listed on the eligible financial market;

*contractor*, in relation to the Company or a related body corporate, means:

- (a) an individual with whom the body has entered into a contract for the provision of services under which the individual performs work for the body; or
- (b) a company with whom the body has entered into a contract for the provision of services under which an individual, who is a director of the company or their spouse, performs work for the body;

where the individual who performs the work under or in relation to the contract is, or might reasonably be expected to be, engaged to work the number of hours that are the pro-rata equivalent of 40% or more of a comparable full-time position with the body;

*Custodian* means the custodian of the FCPE from time to time (presently Caceis Bank France, a body registered in France), which, by way of contract, acts for or on behalf of the Company in connection with an offer to an eligible participant under an employee incentive scheme;

*contribution*, in relation to a contribution plan, does not include:

- (a) nominal monetary consideration; or
- (b) a monetary contribution as consideration for an issue, transfer or grant of an eligible product to the eligible participant without undue delay (including a monetary contribution made to exercise an eligible product or cause an eligible product to vest);

*contribution plan* means a plan under which an eligible participant may make monetary contributions to acquire eligible products, whether made before or after the acquisition, from one or more of the following:

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- (a) gross (before-tax) wages or salary;
- (b) net (after-tax) wages or salary;
- (c) other monies;

*eligible financial market* means the financial market operated by Euronext Paris and, unless a contrary intention appears, is limited to the main board of that market;

*eligible participant*, in relation to the Company or a related body corporate, means a person specified in column 2 of Table A;

*eligible product*, in relation to the Company, means a financial product specified in column 1 of Table A;

*employee incentive scheme* means an arrangement under which eligible products of the Company are offered to eligible participants;

*FCPE* means a collective employee investment vehicle known as a Fonds Commun de Placement d'Entreprise approved by the Relevant Agency and including any successor FCPEs that are formed on a temporary basis in order to make offers of eligible products to eligible participants;

*FCPE annual financial statement* means the books of account maintained in respect of the activities of the FCPE (including the statement of assets and liabilities, balance sheet, income statement, together with the related notes) prepared in accordance with French accounting standards and the laws of France;

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

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

*incentive right* means a conditional right:

- (a) to acquire underlying eligible products;
- (b) to be paid a cash amount that is ultimately determined by reference to (wholly or in part):
  - (i) the price or value at a given time of the underlying eligible product to which the right relates;
  - (ii) a change in the price or value over a given period of the underlying eligible product to which the right relates;
  - (iii) the amount or value of dividends or distributions paid or payable in relation to the underlying eligible product to which the right

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relates; or

- (iv) a change in the amount or value over a given period of time of dividends or distributions paid or payable in relation to the underlying eligible product to which the right relates; or
- (c) to acquire or to be paid a combination of underlying eligible products and a cash amount as determined in accordance with paragraph (b);

**Manager** means the independent management company of the FCPE from time to time (presently Amundi Asset Management) which, by way of contract with the Company, acts for or on behalf of the Company in connection with an offer to an eligible participant under an employee incentive scheme;

**nominal monetary consideration** means monetary consideration of a token or trivial amount;

**notice of reliance**, in relation to a particular employee incentive scheme, means a written notice in a form approved in writing by ASIC for the purposes of ASIC Class Order CO 14/1000;

**offer**, in relation to an eligible product, has a meaning affected by sections 700, 702 and 1010C of the Act and includes:

- (a) an offer to issue the eligible product;
- (b) an issue or grant of the eligible product;
- (c) an offer to transfer the eligible product;
- (d) a transfer of the eligible product;
- (e) an offer to arrange for the issue or transfer of the eligible product;

but does not include an issue, grant or transfer of an underlying eligible product made by reason of the exercise or vesting of an overlying eligible product in circumstances where an offer to issue or transfer the overlying eligible product had been previously made.

**offer document**, in relation to an offer of eligible products under an employee incentive scheme, means a document which includes, or is accompanied by, the following information, statements and explanations worded and presented in a clear, concise and effective manner:

- (a) prominent statements to the effect that:
  - (i) any advice given by any Specified Person in relation to eligible products offered under the employee incentive scheme does not take into account an eligible participant's objectives, financial

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- situation and needs;
  - (ii) eligible participants should consider obtaining their own financial product advice from a person who is licensed by ASIC to give such advice; and
  - (iii) the FCPE and the employee incentive scheme are regulated by the laws of France, and those laws differ from Australian laws;
- (b) either:
- (i) a copy of the Rules; or
  - (ii) a summary of the Rules together with a statement that, on request and at no charge and within a reasonable time, the Company will provide an eligible participant with a copy of the Rules;
- (c) general information about the risks of acquiring and holding an eligible product being offered under the employee incentive scheme;
- (iii) as the FCPE and employee incentive schemes are regulated by the laws of France, a brief description of the legal and practical effect (if any) this may have on the rights and ability of an eligible participant domiciled in Australia to make any claim or enforce any right arising out of or in connection with the offer of an eligible product;
  - (iv) an explanation of the nature of any special risks associated with cross-border investing, such as risks arising from foreign taxation requirements, foreign currency or time differences;
  - (v) details of how the Rules provide for any fees or charges for administering the FCPE that are payable directly by any eligible participant or out of the assets of the FCPE;
  - (vi) the acquisition price of the eligible products in Australian dollars or, where the acquisition price is to be worked out in the future under a formula, an explanation of how an eligible participant could calculate the acquisition price of the eligible products in Australian dollars were that formula applied at the date of the offer; and
  - (vii) an explanation of how an eligible participant could, from time to time, ascertain the market price of an underlying eligible product in Australian dollars;

***overlying eligible product*** means an eligible product specified in any of paragraphs (g) to (i) in column 1 of Table A;

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*prospective participant*, in relation to an offer of an eligible product under an employee incentive scheme, means a person to whom the offer is made but who can only accept the offer if an arrangement has been entered into that will result in the person becoming covered by one of the paragraphs (a) to (d) of column 2 of Table A;

*related body corporate* has the meaning given in section 50 of the Act;

*Rules* means the rules of an employee incentive scheme, the rules of the FCPE and the rules of any successor FCPEs that are formed on a temporary basis, each as approved by the Relevant Agency and as amended from time to time;

*Specified Person* means:

- (a) the Company;
- (b) the related bodies corporate of the Company;
- (c) the Custodian;
- (d) the Manager; and
- (e) any person who, by way of contract between the person and the Company, acts for or on behalf of the Company in connection with an offer of an eligible product to an eligible participant under an employee incentive scheme;

*stapled security* means two or more eligible products which, under the terms on which each is traded, must be transferred together;

*trustee* means a body that holds or will hold underlying eligible products on trust for the following persons in connection with an employee incentive scheme:

- (a) eligible participants generally on an unallocated basis; or
- (b) one or more specified eligible participants on an allocated basis;

*underlying eligible product* means an eligible product specified in any of paragraphs (a) to (f) in column 1 of Table A;

- (2) if the Company is a registered scheme:
  - (i) the conferral of relief on the Company is taken to be the conferral of relief on the responsible entity of the scheme;
  - (ii) a requirement imposed on the Company is taken to be a requirement imposed on the responsible entity of the scheme;
  - (iii) a reference to occupying a position or role with the Company is taken to be a reference to occupying a position or role with the responsible entity of the scheme;



## 22-0532

- (3) an offer of eligible products to an eligible participant under an employee incentive scheme on terms that the eligible participant may renounce the offer in favour of a person covered by one of the following subparagraphs is to be treated as an offer of eligible products to the eligible participant:
- (i) an immediate family member of the eligible participant;
  - (ii) a company whose members comprise no persons other than the eligible participant or immediate family members of the participant;
  - (iii) a corporate trustee of a self-managed superannuation fund (within the meaning of the *Superannuation Industry (Supervision) Act 1993*) where the eligible participant is a director of the trustee;
- (4) an employee incentive scheme, employee share scheme, or like scheme, is **covered by** an instrument to the extent that offers are made, or other conduct is carried out, in reliance on the instrument;
- (5) for the avoidance of doubt, a document or other writing to be given in connection with this instrument may be given by electronic means (including, in the case of a document or other writing to be given by the Company or a related body corporate in reliance on this instrument, by way of making it available on a website and notifying the intended recipient that it is available on the website).

Dated this 14<sup>th</sup> day of June 2022



signed by Daniel Slupek  
as a delegate of the Australian Securities and Investments Commission

22-0532

Table A

Column 1 Eligible product	Column 2 Eligible participant
<p>(a) a fully paid share of the Company that is in a class of shares able to be traded on an eligible financial market;</p> <p>(b) a beneficial interest in a fully paid share of the Company where the interest is in a class of interests that is able to be traded on an eligible financial market;</p> <p>(c) a fully paid share of the Company in relation to which both of the following apply:</p> <p style="padding-left: 20px;">(i) a beneficial interest in a share of that class are in a class of interests that is able to be traded on an eligible financial market;</p> <p style="padding-left: 20px;">(ii) the share is convertible into the beneficial interest without charge or for a nominal fee;</p> <p>(d) a beneficial interest in a fully paid share of the Company in relation to which both of the following apply:</p> <p style="padding-left: 20px;">(i) the fully paid share is in a class of shares that is able to be traded on an eligible financial market;</p> <p style="padding-left: 20px;">(ii) the beneficial interest is convertible into the share without charge or for a nominal fee;</p> <p>(e) a fully paid stapled security of the Company that is in a class</p>	<p>(a) a full-time or part-time employee (including an executive director);</p> <p>(b) a non-executive director;</p> <p>(c) a contractor;</p> <p>(d) a casual employee;</p> <p>(e) a prospective participant.</p>

22-0532

Column 1 <b>Eligible product</b>	Column 2 <b>Eligible participant</b>
<p>of stapled securities that is able to be traded on ASX;</p> <p>(f) where the Company is a registered scheme—an interest in the Company that is in a class of interests that is able to be traded on ASX;</p> <p>(g) a unit in a financial product mentioned in paragraphs (a) to (f);</p> <p>(h) an option to acquire, by way of issue or transfer, a financial product mentioned in paragraphs (a) to (f);</p> <p>(i) an incentive right granted in relation to a financial product mentioned in paragraphs (a) to (f).</p>	

22-0536

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

Notice is given under section 920E 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 3 August 2021.

**AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION****IN THE MATTER OF DAVID NOEL RUTHENBERG****BANNING ORDER UNDER SECTIONS 920A AND 920B  
OF THE CORPORATIONS ACT 2001**

To: David Noel Ruthenberg

Take notice that under sections 920A and 920B of the *Corporations Act 2001* the Australian Securities and Investments Commission prohibits David Noel Ruthenberg from:

- (a) providing any financial services for a period of three years; and
- (b) performing, from 30 August 2021 until expiry of the period in paragraph (a), the following specified functions involved in the carrying on of a financial services business (including as an officer, manager, employee, contractor or in some other capacity):
  - (i) managing, supervising or auditing the provision of financial services; and
  - (ii) the provision of training about financial services or financial products.

Dated this 2<sup>nd</sup> day of August 2021

Signed: 

Christine Craft  
Delegate of the Australian Securities and Investments Commission

Your attention is drawn to section 920C(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 section 920C(2) is an offence.

22-0548

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

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

TO: HBAE FINANCIAL SOLUTIONS PTY LTD  
ABN 29 159 516 079 ("the Licensee")  
'CAPITAL ONE'  
SE 10 L 1 9 Capital PI  
BIRTINYA QLD 4575

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 485991 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 16 June 2022

Signed *N Vonarx* .....

Nicholas Vonarx  
A delegate of the Australian Securities and Investments Commission

22-0550

**Australian Securities and Investments Commission  
Corporations Act 2001 – Subsection 340(1) – Order**

**Enabling legislation**

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under subsection 340(1) of the *Corporations Act 2001 (Act)*.

**Title**

2. This instrument is ASIC Instrument 22-0550.

**Commencement**

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

**Order**

4. Evans Petroleum Gippsland Pty Ltd ACN 007 455 192 (*Company*) does not have to comply with any of the following in relation to the Company's financial reports:
  - (a) subsection 301(1) of the Act;
  - (b) subparagraph 314(1)(a)(iii) of the Act;
  - (c) paragraph 314(1)(b) of the Act to the extent that a concise report required to be given under that paragraph must include:
    - i. a statement by an auditor referred to in paragraph 314(2)(c) of the Act; or
    - ii. a statement that the auditor's report will be sent to a member free of charge if the member asks for it;
  - (d) subsection 316(2) of the Act to the extent it requires the Company to send a member an auditor's report on its financial report.
5. The auditor (if any) of the Company does not have to comply with subsection 314(3) of the Act in relation to the Company's financial report.

**Where this instrument applies**

6. This instrument applies where the Company would be able to rely on the relief in *ASIC Corporations (Audit Relief) Instrument 2016/784 (Instrument 2016/784)* except for the fact that the Company is unable to satisfy the requirements in paragraph 6(d) of Instrument 2016/784.

22-0550

**Conditions**

7. The Company and the auditor of the Company (if any) can only rely on the relief in paragraphs 4 and 5 of this instrument if the Company satisfies all requirements in section 6 (other than the requirements in paragraph 6(d)) and complies with all conditions in section 7 of Instrument 2016/784.

Dated this 16<sup>th</sup> day of June 2022



Signed by Genevieve Lai  
as a delegate of the Australian Securities and Investments Commission

22-0559

**Australian Securities and Investments Commission  
Corporations Act 2001 – Paragraphs 601QA(1)(a), 926A(2)(a) and 1020F(1)(a) –  
Exemptions**

**Enabling legislation**

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraphs 601QA(1)(a), 926A(2)(a) and 1020F(1)(a) of the *Corporations Act 2001* (the *Act*).

**Title**

2. This instrument is ASIC Instrument 22-0559.

**Commencement**

3. This instrument commences on gazettal.

**Exemptions**

4. Iluka does not have to comply with:
  - (a) section 601ED of the Act in relation to the Sale Facility; and
  - (b) Divisions 2 to 5 of Part 7.9 of the Act in relation to an interest in the Sale Facility; and
  - (c) the requirements to hold an Australian financial services licence for the provision of the following financial services:
    - (1) dealing in an interest in the Sale Facility; and
    - (2) the provision of general advice in relation to an interest in the Sale Facility.
5. To avoid doubt, to the extent Iluka invites a person to make an offer to sell Sierra Rutile Shares through the Sale Facility, Iluka does not have to comply with Division 5A of Part 7.9 of the Act.

**Where exemptions apply**

6. The exemptions in paragraphs 4 and 5 apply in relation to the Sale Facility only where that facility satisfies all of the following:
  - (a) the financial products that may be sold through the Sale Facility are Sierra Rutile Shares that will be admitted to quotation on the licensed market operated by ASX;
  - (b) under the terms of the Sale Facility;



22-0559

- (1) the Sierra Rutile Shares of Participating Holders to be sold through the facility are pooled; and
- (2) a broker sells the Sierra Rutile Shares in the ordinary course of trading on the licensed market operated by ASX; and
- (3) the proceeds of the sale net of expenses (to the extent (if any) that they are not met by Iluka) are distributed to Participating Holders; and
- (4) each Participating Holder is paid their proportion of the proceeds of sale as soon as practicable and, in any event, within 8 weeks after the Sierra Rutile Trading Commencement Date.

**Conditions for relief**

7. In order to rely on the exemptions in subparagraphs 4(a) or (b) or paragraph 5, Iluka must include the following information in the Demerger Booklet:
  - (a) information about the minimum and maximum number (if any) of Sierra Rutile Shares a Participating Holder can sell through the Sale Facility; and
  - (b) information about any expenses relating to the sale or purchase of Sierra Rutile Shares that will be paid by the Participating Holders; and
  - (c) information about how the proceeds of sale of Sierra Rutile Shares sold through the Sale Facility will be allocated between Participating Holders; and
  - (d) information about any other significant characteristics or features of the Sale Facility or of the rights and obligations of persons who elect to participate in the Sale Facility.

**Exclusion from reliance**

8. Iluka is excluded from relying on paragraph 4(c) of this instrument if it becomes aware of matters that give it reason to believe that it has failed in a material respect to comply with a condition of this instrument and does not give full particulars of failure to ASIC in writing within 15 business days after becoming so aware.

**Interpretation**

9. In this instrument:

*ASX* means ASX Limited ACN 008 624 691.

*broker* means a participant of the licensed market operated by ASX with whom, or with whose related body corporate, Iluka has entered arrangements for the operation of the Sale Facility.

*Demerger* means the proposed in-specie distribution of Sierra Rutile Shares which is substantially in the same form as set out in the Demerger Booklet.

22-0559

*Demerger Booklet* means the explanatory statement relating to the Demerger, which is in substantially the same form as the explanatory statement (and accompanying notice of meeting) provided to ASIC on 16 June 2022.

*facility* has a meaning affected by section 762C of the Act.

*Iluka* means Iluka Resources Limited ACN 008 675 018.

*Ineligible Overseas Shareholder* has the meaning in the Demerger Booklet.

*licensed market* has the meaning given by section 761A of the Act.

*Participating Holder* means a person who:

- (a) is entitled to a Sierra Rutile Share should the Demerger be implemented; and
- (b) has elected to participate in the Sale Facility or is an Ineligible Overseas Shareholder.

*Sale Facility* means a facility operated by Iluka through which a Participating Holder can sell a Sierra Rutile Share in accordance with the terms set out in the Demerger Booklet.

*Sierra Rutile* means Sierra Rutile Holdings Limited ACN 613 822 165.

*Sierra Rutile Share* means a fully paid ordinary share in the capital of Sierra Rutile.

*Sierra Rutile Trading Commencement Date* means the date Sierra Rutile Shares commence trading on the ASX on a deferred settlement basis.

Dated this 17<sup>th</sup> day of June 2022



Signed by Genevieve Lai  
as a delegate of the Australian Securities and Investments Commission

22-0560

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

**Enabling legislation**

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

**Title**

2. This instrument is ASIC Instrument 22-0560.

**Commencement**

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

**Exemption**

4. Iluka Resources Limited ACN 008 675 018 (*Iluka*) does not have to comply with Parts 6D.2 and 6D.3 of the Act for an offer of securities in Sierra Rutile Holdings Limited ACN 613 822 165 (*Sierra Rutile*) (*Shares*) to shareholders of Iluka.

**Declaration**

5. Chapter 6D of the Act applies to each holder of Shares as if section 707 was modified or varied by omitting subsections 707(3), (4), (5) and (6).

**Where this instrument applies**

6. The exemption in paragraph 4 applies to invitations by Iluka to its shareholders to vote at a general meeting on a capital reduction of Iluka that will be effected and satisfied, together with a dividend, by an in-specie distribution of Shares to the shareholders of Iluka (*Demerger Proposal*), in accordance with a notice of meeting that:
  - (a) is in substantially the same form as the draft Demerger Booklet given to ASIC on 16 June 2022; and
  - (b) includes a statement:
    - (i) describing the need for, and effect of, the relief contained in this instrument as it applies to shareholders; and
    - (ii) that the Demerger Booklet is in substantially the same form as the draft notice of meeting given to ASIC on 16 June 2022.

22-0560

7. The declaration in paragraph 5 applies where:
- (a) a Sierra Rutile shareholder makes an offer of their Shares for sale;
  - (b) the Shares were transferred to a holder of ordinary shares in Iluka or to a Sale Agent (or its related body corporate) pursuant to the Demerger Proposal referred to in paragraph 6 within the previous 12 months; and
  - (c) the offer is not made within 12 months of a sale or transfer of the Shares by a person, other than Iluka, who:
    - (i) controls Sierra Rutile;
    - (ii) would have been required by subsection 707(2) of the Act to give disclosure to investors under Part 6D.2 of the Act but for section 708 or 708A of the Act; and
    - (iii) did not give disclosure to investors under Part 6D.2 of the Act because of section 708 or 708A of the Act.

#### Interpretation

8. In this instrument:

*Demerger Booklet* means the explanatory statement relating to the Demerger Proposal, which is in substantially the same form as the explanatory statement provided to ASIC on 16 June 2022.

*Sale Agent* means a participant of the financial market operated by ASX Limited ACN 008 624 691 with whom, or with whose related body corporate, Iluka has entered, or enters, into arrangements for the operation of the Sale Facility.

*Sale Facility* has the meaning given in the Demerger Booklet.

Dated this 17<sup>th</sup> day of June 2022



Signed by Genevieve Lai  
as a delegate of the Australian Securities and Investments Commission

CORPORATIONS ACT 2001  
Section 601CL(5)

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

Dated this seventeenth day of June 2022

**Name of Company**

**ARBN**

NORTHERN TRUST SECURITIES, INC.

613 576 953

CORPORATIONS ACT 2001  
Subsection 601CC(4)

ASIC has struck the registered Australian bodies listed below off the register.

Dated this seventeenth day of June 2022

**Name of Company**

**ARBN**

THE CENTRE FOR SYSTEMIC CHANGE CO-OPERATIVE LIMITED

620 035 529

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 seventeenth day of June 2022

<b>Name of Company</b>	<b>ARBN</b>
AMJ LOGISTICS, INC.	628 283 563
HOCHTIEF ENGINEERING GMBH	639 230 121
SPORTS DISPATCH INC.	622 164 309
TFCF CORPORATION	111 480 561
TK AIRPORT SOLUTIONS, S.A.	620 404 506

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.

**AUTHIUM PTY LTD** ACN 653 683 286 will change to a public company limited by shares. The new name will be AUTHIUM LTD ACN 653 683 286.

**CONSOLIDATED POTASH CORPORATION LTD** ACN 121 561 457 will change to a proprietary company limited by shares. The new name will be CONSOLIDATED POTASH CORPORATION PTY LTD ACN 121 561 457.

**MEMBERS EQUITY BANK LIMITED** ACN 070 887 679 will change to a proprietary company limited by shares. The new name will be MEMBERS EQUITY PROPRIETARY LIMITED ACN 070 887 679.

**QUANTA HOLDING CO PTY LTD** ACN 601 712 707 will change to a public company limited by shares. The new name will be QUANTA HOLDING CO LTD ACN 601 712 707.

**TOLL HOLDINGS LIMITED** ACN 006 592 089 will change to a proprietary company limited by shares. The new name will be TOLL HOLDINGS PTY LIMITED ACN 006 592 089.

**BRIDGEPORT ENERGY LIMITED** ACN 137 446 952 will change to a proprietary company limited by shares. The new name will be BRIDGEPORT ENERGY PTY LIMITED ACN 137 446 952.

**GASCOYNE MINING PTY LTD** ACN 641 588 230 will change to a public company limited by shares. The new name will be GASCOYNE MINING LIMITED ACN 641 588 230.

**NEXT GENERATION ADVICE LTD** ACN 120 066 113 will change to a proprietary company limited by shares. The new name will be NEXT GENERATION ADVICE PTY LTD ACN 120 066 113.

**SATTERLEY BEACHAM ROAD LIMITED** ACN 135 140 868 will change to a proprietary company limited by shares. The new name will be SATTERLEY BEACHAM ROAD PTY LTD ACN 135 140 868.

**TORRENS MINING LIMITED** ACN 168 295 092 will change to a proprietary company limited by shares. The new name will be TORRENS MINING PTY LTD ACN 168 295 092.