



**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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23-0220

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

**Enabling legislation**

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraph 926A(2)(a) of the Act.

**Title**

2. This instrument is ASIC Instrument 23-0220.

**Commencement**

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

**Exemption**

4. Canvas Digital Pty Ltd ACN 648 707 706, (the *company*) does not have to comply with subsection 911A(1) of the Act for the provision of financial services in relation to dealing or arranging to deal in a financial product as part of the company's use case platform in the CBDC Pilot.

**Where the exemption applies**

5. The exemption in paragraph 4 applies where all of the following matters in this paragraph 5 are satisfied.

*Information to be given to wholesale clients participating in the use case platform*

- (a) Before allowing a wholesale client to access the use case platform for the first time, the company must notify the wholesale client in writing that the company:
  - (i) has been provided an exemption under subsection 926A(2) of the Act from the requirement to hold a licence under subsection 911A(1) of the Act for the purposes of the use case platform in the CBDC Pilot; and
  - (ii) is not subject to the general licensing obligations under subsection 912A(1) to do all things necessary to ensure that the financial services covered by the licence are provided efficiently honestly and fairly.

*Participants in the use case platform are wholesale clients*

23-0220

- (b) The company must ensure that a person carrying on business in this jurisdiction does not directly participate in the use case platform unless the person:
- (i) is a wholesale client, or is a branch or office of an entity that is a wholesale client; and
  - (ii) only deals on the use case platform on their own behalf or on behalf of a wholesale client.

#### *Assistance to ASIC*

6. The company must inform ASIC, by notice in writing, of any material change to the operation of the use case platform a least 5 business days before the change occurs.
7. If ASIC gives the company a written notice directing the company to lodge with ASIC, within the time specified in the notice, a written statement containing specified information about the company's use case platform, then the company must comply with the notice.

#### **Cessation**

8. The exemption in paragraph 4 ceases to have effect at the end of 31 May 2023.

#### **Interpretation**

9. In this instrument:

*Act* means the *Corporations Act 2001*.

*CBDC Pilot* means the central bank digital currency pilot project administered by the Reserve Bank of Australia and the Digital Finance Cooperative Research Centre.

*deal* has the same meaning under section 766C of the Act.

*financial product* has the same meaning given by Part 7.1 Division 3 of the Act.

*participants* are those selected by the company to participate in its use case platform as part of the CBDC pilot.

*use case platform* means, in relation to the company, the facility operated by the company in the CBDC Pilot.

*wholesale client* has the same meaning under section 761G of the Act.

Dated this day on 3 April 2023

23-0220



Signed by Jacqueline Cochrane

as a delegate of the Australian Securities and Investment Commission.



**ASIC**  
Australian Securities &  
Investments Commission

**Australian Securities  
and Investments Commission**

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**23-0230**

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

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

TO: Latitude Partners Pty. Ltd.  
ACN 604 772 483 ("the Licensee")  
24 Eckersley Hts  
Winthrop WA 6150

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 478415 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 6 April 2023

Signed   
Jedo Charles  
a delegate of the Australian Securities and Investments Commission

23-0239

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

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

TO: GI Asset Management Limited  
ACN 161 434 779 ("the Licensee")  
GI Asset Management Limited  
HQ Robina' Suite 14 Level 1  
58 Riverwalk Avenue  
Robina QLD 42261

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 432510 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 6 April 2023

Signed  .....

Jedo Charles  
a delegate of the Australian Securities and Investments Commission

23-0243

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

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

TO: Brougham & Vaux (Aust.) Pty Ltd  
ACN 147 788 216 ("The Licensee")  
'BDO Centre'  
Level 7  
420 King William Street  
ADELAIDE SA 5000

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 394795 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 6 April 2023

Signed  .....

Jedo Charles  
a delegate of the Australian Securities and Investments Commission

23-0258

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

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

TO: Oztures Trading Pty Ltd  
ACN 142 898 324 ("the Licensee")  
Level 28, 161 Castlereagh Street  
Sydney NSW 2000

1. 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 425165 held by the Licensee, with effect from the date on which this notice is given to the Licensee.
2. Pursuant to section 915H of the Act, the Australian Financial Services Licence continues in effect while cancelled, as though the cancellation had not happened for the purposes of:
  - a. paragraph 912A(1)(g) of the Act up to and including 8 April 2024;
  - b. section 912B of the Act up to and including 8 April 2024;
  - c. s912C of the Act up to and including 8 April 2024;
  - d. Chapter 7 of the Act regarding the provision of a financial service up to and including 13 April 2023 to a person as a retail client or wholesale client if that person was a client of the Licensee prior to 6 April 2023;
  - e. Chapter 7 of the Act regarding the provision of a financial service up to and including 21 April 2023 to a person as a retail client or wholesale client if that person was a client of the Licensee prior to 6 April 2023 if the financial service concerns the disposal of a financial product to allow the client to close out their position.

Dated 6 April 2023

Signed *N Vonarx*  
.....

Nicholas Vonarx  
A delegate of the Australian Securities and Investments Commission



23-0259

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

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

TO: Australian Executor Trustees Limited  
ACN 007 869 794 ("the Licensee")  
Level 1 800 Bourke Street  
Docklands VIC 3008

Pursuant to paragraph 54 of the **National Consumer Credit Protection Act 2009**, the Australian Securities and Investments Commission hereby cancels Australian Credit Licence number 240023 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 11 April 2023

Signed   
.....  
Jim Lau  
A delegate of the Australian Securities and Investments Commission

22-0261

## NOTICE UNDER SECTION 915F OF THE CORPORATIONS ACT 2001

Notice is given under section 915F of the *Corporations Act 2001* that the Australian Securities and Investments Commission has taken the action set out in the Notice below, which action took effect on 5 April 2023.

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


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

To Dixon Advisory & Superannuation Services Pty Ltd ACN 103 071 665

Under section 915B(3) of the *Corporations Act 2001* (the Act), the Australian Securities and Investments Commission (ASIC) hereby cancels Australian financial services licence number 231143 (the Licence) held by Dixon Advisory & Superannuation Services Pty Ltd ACN 103 071 665 (DASS).

Under section 915H of the Act, ASIC specifies that the Licence continues in effect until 8 April 2024, while cancelled, as though the cancellation had not happened for the purposes sections 912A(1)(g) and 912A(2)(c) of the Act insofar as the provisions require DASS to be a member of the AFCA scheme.

Dated this 4<sup>th</sup> day of April 2023

Signed:..........

Christine Croft  
Delegate of the Australian Securities and Investments Commission

23-0265

**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 23-0265.

**Commencement**

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

**Exemption**

4. ASIC exempts GC Advisors LLC, a limited liability company incorporated under the laws of the US, and registered with the US Securities and Exchange Commission under file number 801-70448, (the *body*), from the requirement to hold an Australian financial services (*AFS*) licence, in the case specified in Schedule A, on the conditions specified in Schedule B.

**Cessation**

5. The exemption in paragraph 4 ceases to have effect on the earlier of:
  - (a) the date specified in subsection 1(3) of Schedule 2 of the *ASIC Corporations (Repeal and Transitional) Instrument 2016/396* as amended by *ASIC Corporations (Amendment) Instrument 2022/623*; 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.

23-0265

## Schedule A

1. The body where all of the following apply:
  - (a) the body is:
    - (i) a registered broker dealer that is a member of the Securities Investor Protection Corporation established under the Securities Investor Protection Act of 1970 of the US and that is a member of FINRA and FINRA is the body's examining authority; or
    - (ii) a registered broker dealer that is an OTC derivatives dealer within the meaning of Rule 3b-12 promulgated under the Exchange Act who is affiliated within the meaning of that Rule with a registered broker dealer who is a member of FINRA; or
    - (iii) a registered investment adviser;
  - (aa) the body is:
    - (i) a body corporate incorporated in the US or a State of the US; or
    - (ii) a partnership formed in the US or a State of the US;
  - (b) the body:
    - (i) is registered under Division 2 of Part 5B.2 of the Act; or
    - (ii) has an Agent at the time the body first purports to rely on this instrument and, from that time, has not failed to have an Agent for any consecutive period of 10 business days;
  - (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 C:
    - (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.

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**Schedule B**

Where:

1. the body provides any of the following financial services (the *financial services*) in this jurisdiction to wholesale clients:
  - (a) providing financial product advice;
  - (b) dealing in a financial product;in respect of any of the following financial products (and the body is authorised under US regulatory requirements to provide the financial services in the US):
  - (c) derivatives;
  - (d) foreign exchange contracts;
  - (e) securities;
  - (f) debentures, stocks or bonds issued by a government;
  - (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; and
2. the body has provided ASIC with all of the following:
  - (a) evidence and submissions 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;
    - (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

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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 C**

1. The body must provide each of the financial services in this jurisdiction in a manner which would comply, so far as is possible, with the US regulatory requirements if the financial service were provided in the US in like circumstances.
2. The body must:
  - (a) notify ASIC, as soon as practicable and in any event within 15 business days after the body became aware or should reasonably have become aware, and in such form if any as ASIC may from time to time specify in writing, of the details of:
    - (i) each significant change to, including the termination of, the registration as a registered broker dealer or a registered investment adviser applying to the body relevant to the financial services the body provides or intends to provide in this jurisdiction; and
    - (ii) each significant particular exemption or other relief which the body obtains from the US regulatory requirements relevant to the financial services the body provides or intends to provide in this jurisdiction; and
    - (iii) each action or investigation of the following kinds taken by the SEC or other overseas regulatory authority against the body in a foreign jurisdiction in relation to financial services provided in the foreign jurisdiction:
      - (A) significant enforcement action;
      - (B) significant disciplinary action;
      - (C) significant investigation (unless, after having taken reasonable steps to enable notification to be given to ASIC, the body is prohibited by law from giving such notification but only to the extent of the prohibition); and
  - (b) provide written disclosure to all persons to whom the financial services are provided in this jurisdiction (before the financial services are provided) containing prominent statements to the following effect:
    - (i) the body is exempt from the requirement to hold an Australian financial services licence under the Act in respect of the financial services; and
    - (ii) the body is regulated by the SEC under US laws, which differ from Australian laws; and
  - (c) if ASIC gives the body a written notice directing the body to lodge with ASIC, within the time specified in the notice, a written statement containing specified information about any financial service provided by the body in this jurisdiction—comply with the notice.

**Interpretation**

In this instrument:

**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,



**23-0265**

and who is authorised to accept on the body's behalf, service of process from ASIC and, in relation to proceedings relating to a financial services law, from any person referred to in subsection 659B(1) of the Act;

*custodial or depository service* has the meaning given by section 766E of the Act;

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

*examining authority*, in relation to a body, means a self-regulatory organisation to which the body belongs which has not been relieved of responsibility relating to the body under section 17(d)(1)(A) of the Exchange Act in any respect;

*Exchange Act* means the Securities and Exchange Act of 1934 of the US;

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

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

*FINRA* means the Financial Industry Regulation Authority;

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

*making a market* has the meaning given by section 766D 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 broker dealer* means a broker or dealer registered under section 15(b) of the Exchange Act;

*registered investment adviser* means a body corporate or a partnership formed in the US or a State of the US registered under section 203(c) of the Investment Advisers Act of 1940 of the US;

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

*securities* has the meaning given by section 761A 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:

(a) any applicable legislation, instruments made under that legislation and any relevant policies or other documents (however described) issued by the SEC; and

(b) if the body is covered by subparagraph (a)(i) of Schedule A but not subparagraphs (a)(ii) or (iii) of that Schedule—any applicable rules, policies or other documents (however described) of FINRA; and

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

Dated this 12th day of April 2023.



Signed by Jacob Sims  
as a delegate of the Australian Securities and Investments Commission



23-0268

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 11 April 2023

**AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION****IN THE MATTER OF KRISTOFER PAUL GORDON RIDGWAY****Banning order under sections 920A and 920B****of the *Corporations Act 2001***

To: Mr Kristofer Ridgway

Take notice that under sections 920A and 920B of the *Corporations Act 2001* the Australian Securities and Investments Commission prohibits Kristofer Paul Gordon Ridgway permanently, from:

- (a) providing any financial services; and
- (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 6<sup>th</sup> day of April 2023.

Signed:



Myra Poon

Delegate of the Australian Securities and Investments Commission

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

CORPORATIONS ACT 2001  
Section 601CC(3)

ASIC will strike the companies listed below off the register three months after the publication of this notice, unless given acceptable reason not to proceed.

Dated this fourteenth day of April 2023

**Name of Company**

**ARBN**

THE ESSENTIAL FOUNDATION INCORPORATED

649 719 513

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 fourteenth day of April 2023

**Name of Company**

**ARBN**

EXENSOR TECHNOLOGY AKTIEBOLAG

613 247 439

IRON MOUNTAIN INCORPORATED

608 766 918

CORPORATIONS ACT 2001  
Subsection 601CC(4)

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

Dated this fourteenth day of April 2023

**Name of Company**

**ARBN**

AUSTRALIA LIGHT FOUNDATION INC.

155 632 929

BALLINA AERO CLUB INC

613 315 647

CORPORATIONS ACT 2001  
Section 601CL(5)

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

Dated this fourteenth day of April 2023

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

B8 SYSTEMS LIMITED	628 349 502
ELAVON FINANCIAL SERVICES DESIGNATED ACTIVITY COMPANY	141 660 308
G & V HALE TRUSTEES LIMITED	128 617 327
GARDNER DENVER, INC.	112 234 652
INTOLL INTERNATIONAL LIMITED	112 684 885
INTOLL TORONTO ROADS LIMITED	147 217 696
JGC HOLDINGS CORPORATION	009 474 042
KYOSAN ELECTRIC MANUFACTURING CO., LTD.	644 545 442
MOBILE ZAP LIMITED	168 715 348
NEXJ SYSTEMS INC.	602 480 151
NZAA ASSETS LIMITED	148 004 899
PERLE BLEUE ENTERPRISES	647 824 637
SOCIETY OF MOTION PICTURE AND TELEVISION ENGINEERS, INC.	064 699 805
STANTEC NEW ZEALAND INTERNATIONAL	145 052 991
TCW INVESTMENT MANAGEMENT COMPANY LLC	137 553 630
TOMTOM SALES B.V.	117 652 712

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.

**AMP SUPERANNUATION LIMITED**

ACN 008 414 104 will change to a proprietary company limited by shares. The new name will be AMP SUPERANNUATION PTY LIMITED ACN 008 414 104.

**PARIO GAMES GROUP PTY LTD**

ACN 664 960 365 will change to a public company limited by shares. The new name will be PARIO GAMES GROUP LTD ACN 664 960 365.

**WEST RESOURCE VENTURES PTY LTD**

ACN 613 382 273 will change to a public company limited by shares. The new name will be ELECTRA MINERALS LTD ACN 613 382 273.

**MINOTAUR EXPLORATION LTD**

ACN 108 483 601 will change to a proprietary company limited by shares. The new name will be MINOTAUR EXPLORATION PTY LTD ACN 108 483 601.

**PENINSULA RESOURCES LIMITED**

ACN 125 415 189 will change to a proprietary company limited by shares. The new name will be PENINSULA RESOURCES PTY LTD ACN 125 415 189.