Haydar Tuncer

From: s 22
Sent: Friday, 9 July 2021 5:46 PM
To: s 22 ; Enforcement FS - SELs and GSMs; s 22 ; Danielle Press; s 22
Cc: s 22

Subject: RE: ASIC media release: ASIC and Dixon Advisory enter conditional agreement to resolve ASIC civil penalty action [SEC=OFFICIAL]

Dear all

I would really like to add my congratulations too.

This is a fantastic outcome and I know it has been a lot of work by many people especially in FA, FSE and CLO. Thank you to you all.

Kind regards
s 22

s 22
Executive Director, Financial Services & Wealth
Australian Securities and Investments Commission
Level 5, 100 Market Street, Sydney, 2000
Tel: s 22
@asic.gov.au
EA: s 22

From: s 22 @asic.gov.au>
Sent: Friday, 9 July 2021 5:32 PM
To: Enforcement FS - SELs and GSMs <EnforcemenFsSELsandGSMs@asic.gov.au>; s 22
Cc: s 22

Subject: FW: ASIC media release: ASIC and Dixon Advisory enter conditional agreement to resolve ASIC civil penalty action [SEC=OFFICIAL]

Dear All,

A very big congratulations to the Dixon team for achieving a settlement of this matter, subject to approval of the Court. As outlined below, Dixon has agreed to pay $7.2m in penalties plus $1m for ASIC's investigation and litigation costs.

This matter sends a strong deterrence message to vertically integrated businesses regarding appropriate advice and management of conflicts when acting in clients' best interests.

Well done to the following staff who worked on this matter. It was a real team effort and took lots of resilience to get this one over the line. Thank you!

s 22 [redacted]

Best regards
s 22 [redacted]

From: ASIC Media <media@newsletters.asic.gov.au>
Sent: Friday, 9 July 2021 9:10 AM
To: s 22 [redacted] @asic.gov.au>
Subject: ASIC media release: ASIC and Dixon Advisory enter conditional agreement to resolve ASIC civil penalty action

No images? Click here

The following information has been released by the Australian Securities and Investments Commission (ASIC):

21-167MR ASIC and Dixon Advisory enter conditional agreement to resolve ASIC civil penalty action

On 8 July 2021, ASIC and Dixon Advisory & Superannuation Services Limited entered into a heads of agreement to resolve civil penalty proceedings

commenced by ASIC against Dixon Advisory in the Federal Court in September 2020.

FOI 088-2023

View 21-167MR.

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