

Financial Services and Credit Panel

In the matter of [REDACTED]

Warning under s921T(1)(b) of the Corporations Act 2001

To: [REDACTED]
Representative number [REDACTED]

A Financial Services and Credit Panel convened by the Australian Securities and Investments Commission on 9 August 2023 under s139(1) of the *Australian Securities and Investments Commission Act 2001* to consider the conduct of relevant provider [REDACTED] (the **Sitting Panel**) reasonably believes that [REDACTED] has contravened the following financial services laws under the *Corporations Act 2001* (**Corporations Act**):

- (a) s946A of the Corporations Act;
- (b) s947D(2)(a)(iii) of the Corporations Act; and
- (c) s921E(3) of the Corporations Act

in relation to personal advice given to retail clients in February 2022 and March 2022.

Pursuant to s921T(1)(b) of the Corporations Act, the Sitting Panel gives [REDACTED] a written warning.



Signed: _____
Kate Dluzniak, Chair of the Sitting Panel

Date: 21 September 2023