

**Financial Services and Credit Panel**

**In the matter of** [REDACTED]

**Written direction under s921L(1)(a)(iv) of the Corporations Act 2001**

To: [REDACTED]  
Representative number [REDACTED]

Pursuant to s921K(1) and s921L(1)(a)(iv) of the *Corporations Act 2001*, the Financial Services and Credit Panel convened by the Australian Securities and Investments Commission (ASIC) on 28 February 2023 to consider the conduct of [REDACTED] Representative number [REDACTED] (the Panel) directs [REDACTED] to:

- (a) report specified matters to ASIC, such specified matters being a copy of three successive compliance audits undertaken by his licensee in relation to personal advice he has given to retail clients, with a minimum of 12 months between each successive audit, commencing in 2023, within 30 days of 30 June of the relevant year.



Signed: \_\_\_\_\_  
Kate Dluzniak, Panel Chair

Date: 29 May 2023