From: s 22
To: s 22
Subject: FW: Mount Rommel Mining Limited - CAS-94145-L0L9N2 - Case update/CRM case [SEC=OFFICIAL]
Date: Thursday, 2 March 2023 9:04:00 AM
Attachments: s 22
image001.png
image002.png
image003.png
image004.gif

Hi s 22
The Mount Rommel matter has been handed over to me from s 22
FYI, even though the Criminal Litigation case for this matter is active, s 22 seems to have completed the General Investigation case for this matter on CRM:
s 22
I'll speak to s 22 to check if she knows if there's any way to re-open the matter, otherwise I won't be able to submit any new progress reports.
s 22 also attached recent correspondence from Mr Koci, the reporter, (see email attached) where he states that he has been "advised by another holder in Mount Rommel Mining Ltd that ASIC has started actions against the current Directors. I ask would I be able to kept informed regarding this matter as this brings into serious doubt if the meeting in December 2021 and decisions made regarding dealing with the main undertaking of the company should have ever happened...I also email to ask if ASIC made any enquiries to the company regarding the financial statements in the 2018,2019 and 2020 years"
s 47E (d)
.
The last update that Mr Koci received from s 22 was back in September 2022 when she advised him that a brief of evidence has been referred to ASIC's internal prosecutions team for review and the respective Prosecutor will decide how to proceed. s 47E (d)

Regards,

s 22 Small Business, Engagement & Compliance
Office of Enforcement
Australian Securities and Investments Commission
Level 5, 100 Market Street, Sydney, 2000
s 22
ASIC logo

From: s 22
Sent: Monday, 27 February 2023 11:50 AM
To: s 22
Subject: FW: Mount Rommel Mining Limited - CAS-94145-L0L9N2 - Case update/CRM case [SEC=OFFICIAL]

s 22 Small Business Engagement & Compliance
Australian Securities and Investments Commission
Level 5, 100 Market Street, Sydney, 2000
s 22
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From: s 22
Sent: Monday, 27 February 2023 11:17 AM
To: s 22
Subject: Mount Rommel Mining Limited - CAS-94145-L0L9N2 - Case update/CRM case [SEC=OFFICIAL]
Hi s 22
My general investigation case has not been re-allocated back to me from s 22 so I am unable to prepare a progress report for this matter.
Please see the below update for your reference and feel free to pass the below to the new case officer:

Contact with Reporter

- Mr Stephon Koci (Mr Koci) provided a witness statement for the brief prepared for this matter
- s 47E (d) .
- On 27 February 2022, I received the attached email from Mr Koci requesting to be kept informed of any updates regarding ASIC's actions against the Company. The email from Mr Koci is saved in the project mailstore and has been sent to evidence services to upload in Ringtail.

To do:

- Please respond to the email received from Mr Koci on 27 February 2023. s 47E (d)
- Await outcome of the below.

Charges issued

Based on the criminal litigation case, it appears that charges were issued on 16 December 2022 for:

- s319 x4 (2018, 2019, 2020, 2021);
- s320 x3 (2018, 2019, 2020);
- s250N x4 (2018, 2019, 2020, 2021).

s 42

Kind regards

s 22 Small Business Engagement & Compliance
Australian Securities and Investments Commission
Level 5, 100 Market Street, Sydney, 2000
s 22
ASIC logo