From: s 22
To: s 22 s 47E (d)
Subject: RE: INC000001540151 RE: Reopening CRM case [SEC=OFFICIAL]
Date: Thursday, 29 June 2023 3:30:13 PM
Attachments: image001.png
image002.gif

Thanks s 22
Appreciate the update.
I've finalised remediation on the case and the case has now been closed.
Kind regards,
s 22
Business Engagement & Enquiries - Regulatory Systems
Operations Group
Australian Securities and Investments Commission
Level 5, 100 Market Street, Sydney NSW 2000
s 22
for any CRM related requests s 47E (d)

From: s 22
Sent: Thursday, 29 June 2023 3:24 PM
To: s 22 >; Ivanti Update s 47E (d) >
Subject: RE: INC000001540151 RE: Reopening CRM case [SEC=OFFICIAL]
Hi s 22
Thank you for your email below. CAS-94145-L0L9N2 has been finalised and no longer needs to be in remediation.
Thanks for your assistance.
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: Wednesday, 14 June 2023 9:03 AM
To: s 22 Ivanti Update <s 47E (d)
Subject: RE: INC000001540151 RE: Reopening CRM case [SEC=OFFICIAL]
Morning s 22
Just letting you know that we've migrated to the new Ivanti portal so for any updates regarding this incident to use s 47E (d) to reply.
For any future enquiries s 47E (d)
Kind regards,
s 22
Business Engagement & Enquiries - Regulatory Systems

Operations Group
Australian Securities and Investments Commission
Level 5, 100 Market Street, Sydney NSW 2000
s 22 [redacted]
for any CRM related requests email **– Regulatory Systems Requests**

From: s 22 [redacted]
Sent: Wednesday, 3 May 2023 9:49 AM
To: s 22 [redacted] Specialist Support Requests
s 47E (d) [redacted]
Subject: RE: INC000001540151 RE: Reopening CRM case [SEC=OFFICIAL]
Morning s 22 [redacted]
Thanks for giving me the update.
Kind regards,
s 22 [redacted]
s 22 [redacted] Business Engagement & Enquiries - Regulatory Systems
Operations Group
Australian Securities and Investments Commission
Level 5, 100 Market Street, Sydney NSW 2000
s 22 [redacted]
for any CRM related requests s 47E (d) [redacted]

From: s 22 [redacted]
Sent: Wednesday, 3 May 2023 9:18 AM
To: s 22 [redacted] Specialist Support Requests
s 47E (d) [redacted]
Subject: RE: INC000001540151 RE: Reopening CRM case [SEC=OFFICIAL]
Hi s 22 [redacted]
FYI – the matter has been adjourned to 23 June 2023. CAS-94145-L0L9N2 will still need to be in remediation.
Please let me know if you have any queries.
Regards,
s 22 [redacted] Small Business, Engagement & Compliance
Office of Enforcement
Australian Securities and Investments Commission
Level 5, 100 Market Street, Sydney, 2000
s 22 [redacted]

ASIC logo

From: s 22 [redacted]
Sent: Monday, 17 April 2023 11:52 AM
To: s 22 [redacted] Specialist Support Requests

s 47E (d) [redacted]

Subject: RE: INC000001540151 RE: Reopening CRM case [SEC=OFFICIAL]

Hi s 22 [redacted]

Thanks for the update.

I'll wait for your upcoming court appearance and wait to hear back from you.

Kind regards,

s 22 [redacted] usiness Engagement & Enquiries - Regulatory Systems
Operations Group
Australian Securities and Investments Commission
Level 5, 100 Market Street, Sydney NSW 2000
s 22 [redacted]
for any CRM related requests s 47E (d) [redacted]

From: s 22 [redacted]

Sent: Monday, 17 April 2023 10:56 AM

To: s 22 [redacted] Specialist Support Requests

s 47E (d) [redacted]

Subject: RE: INC000001540151 RE: Reopening CRM case [SEC=OFFICIAL]

Hi s 22 [redacted]

Thanks, I hope you had a great weekend too.

I confirm that CAS-94145-L0L9N2 still needs to be in remediation. There is a court appearance scheduled on 28 April 2023 for CAS-114240-G9R6W0. Hopefully I'll have more information after that day.

Let me know if you have any further queries.

Regards,

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

From: s 22 [redacted]

Sent: Monday, 17 April 2023 10:51 AM

To: s 22 [redacted] Specialist Support Requests

<s 47E (d) [redacted]

Subject: RE: INC000001540151 RE: Reopening CRM case [SEC=OFFICIAL]

Hi s 22 [redacted]

Hope you had a great weekend.

It's been a little while and I would like to see how the cases are going and if CAS-94145-L0L9N2 still needed to remain in remediation.

Kind regards,

s 22 [redacted] Business Engagement & Enquiries - Regulatory Systems

Operations Group
Australian Securities and Investments Commission
Level 5, 100 Market Street, Sydney NSW 2000
s 22 [redacted]
for any CRM related requests s 47E (d) [redacted]

From: s 22 [redacted]
Sent: Monday, 6 March 2023 12:04 PM
To: s 22 [redacted] Specialist Support Requests
s 47E (d) [redacted]
Subject: RE: INC000001540151 RE: Reopening CRM case [SEC=OFFICIAL]
Thanks s 22 [redacted]
Regards,
s 22 [redacted] Small Business, Engagement & Compliance
Office of Enforcement
Australian Securities and Investments Commission
Level 5, 100 Market Street, Sydney, 2000
s 22 [redacted]
ASIC logo

From: s 22 [redacted]
Sent: Monday, 6 March 2023 11:55 AM
To: Wendy Mai <s 22 [redacted] Specialist Support Requests
<s 47E (d) [redacted]
Subject: RE: INC000001540151 RE: Reopening CRM case [SEC=OFFICIAL]
Hi s 22 [redacted]
I've placed the case into remediation and reactivated the RC's and Assessments.
Please let me know if you need any further assistance and I'll check up on this each month to confirm the progress of the case.
Kind regards,
s 22 [redacted] Business Engagement & Enquiries - Regulatory Systems
Operations Group
Australian Securities and Investments Commission
Level 9, 100 Market Street, Sydney NSW 2000
s 22 [redacted]
for any CRM related requests s 47E (d) [redacted]

From: s 22 [redacted]
Sent: Monday, 6 March 2023 9:12 AM
To: s 22 [redacted] Specialist Support Requests

s 47E (d) [redacted]

Subject: RE: INC000001540151 RE: Reopening CRM case [SEC=OFFICIAL]

Hi s 22 [redacted]

Thank you, that would be great if you could place CAS-94145-L0L9N2 (the Case) into remediation.

The Case is linked to CAS-114240-G9R6W0 and it needs to remain open until CAS-114240-G9R6W0 is finalised. I'm expecting that to happen in April or May 2023. I'll let you know when I'm ready to complete the Case.

Thank you.

Regards,

s 22 [redacted] Small Business, Engagement & Compliance

Office of Enforcement

Australian Securities and Investments Commission

Level 5, 100 Market Street, Sydney, 2000

s 22 [redacted]

ASIC logo

From: s 22 [redacted]

Sent: Thursday, 2 March 2023 3:05 PM

To: s 22 [redacted] Specialist Support Requests <s 22 [redacted]

Subject: INC000001540151 RE: Reopening CRM case [SEC=OFFICIAL]

Hi s 22 [redacted]

Thanks for your email.

I can place the case into remediation and reactivate the RCs and assessment for you to continue working on the case.

This will allow you to make any amendments required and I can finalise the remediation process once you're complete which will retain the previous case completion date.

Note that if you 'Complete Case' again this will change the completion date of the case which will require IT to revert to the previous completion date.

Kind regards,

s 22 [redacted] Business Engagement & Enquiries - Regulatory Systems Operations Group

Australian Securities and Investments Commission

Level 9, 100 Market Street, Sydney NSW 2000

s 22 [redacted]

for any CRM related requests s 47E (d) [redacted]

From: s 22 [redacted]

Sent: Thursday, 2 March 2023 9:24 AM

To: Specialist Support Requests <s 47E (d) [redacted]

Subject: Reopening CRM case [SEC=OFFICIAL]

Hi

I have been advised that Specialist Support may be able to open a completed case in

CRM.
Can you please let me know if you can do this for this matter - Case: Case Form: MOUNT ROMMEL MINING LIMITED / General investigation - General Investigation - Dynamics 365 as it was marked as completed when it should still be active.
Please let me know if you require further information.

Regards,

s 22 [redacted] Small Business, Engagement & Compliance

Office of Enforcement

Australian Securities and Investments Commission

Level 5, 100 Market Street, Sydney, 2000

s 22 [redacted]

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From: s 22
To: s 22 ; s 47E (d)
Subject: RE: INC000001540151 RE: Reopening CRM case [SEC=OFFICIAL]
Date: Thursday, 29 June 2023 3:23:00 PM
Attachments: image001.png
image002.gif

Hi s 22 ,
Thank you for your email below. CAS-94145-L0L9N2 has been finalised and no longer needs to be in remediation.
Thanks for your assistance.

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

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Sent: Wednesday, 14 June 2023 9:03 AM
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for any CRM related requests s 47E (d) [redacted]

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ASIC logo

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Level 5, 100 Market Street, Sydney NSW 2000
s 22 [redacted]
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Australian Securities and Investments Commission
Level 5, 100 Market Street, Sydney, 2000
s 22 [redacted]

ASIC logo

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Australian Securities and Investments Commission
Level 5, 100 Market Street, Sydney NSW 2000
s 22 [redacted]
for any CRM related requests s 47E (d) [redacted]

From: s 22 [redacted]
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<s 47E (d) [redacted]
Subject: RE: INC000001540151 RE: Reopening CRM case [SEC=OFFICIAL]
Thanks s 22 [redacted]

Regards,

s 22 [redacted] Small Business, Engagement & Compliance
Office of Enforcement

Australian Securities and Investments Commission
Level 5, 100 Market Street, Sydney, 2000
s 22 [redacted]

ASIC logo

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Level 9, 100 Market Street, Sydney NSW 2000
s 22 [redacted]

for any CRM related requests s 47E (d) [redacted]

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Level 5, 100 Market Street, Sydney, 2000
s 22 [redacted]

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