

Financial Services and Credit Panel

In the matter of [REDACTED]

Written direction pursuant to s921L(1)(a)(i) of the Corporations Act 2001

To:

[REDACTED]
Representative number [REDACTED]

Pursuant to s921K(1) and s921L(1)(a)(i) of the *Corporations Act 2001*, a Financial Services and Credit Panel convened by the Australian Securities and Investments Commission (**ASIC**) on 16 December 2025 to consider the conduct of [REDACTED] Representative number [REDACTED] (the **relevant provider**), directs the relevant provider to undertake the training specified in Schedule A.

Schedule A

The relevant provider must, in the 3 months after this direction is made, undertake at least three hours of continuing professional education (the **Required Professional Education**) covering the subjects of:

- a. ongoing fee arrangements and advice; and
- b. compliance with the quality process standards of the Financial Planners and Advisers Code of Ethics 2019.

The Required Professional Education must:

- a. be capable of being objectively verified by a competent source;
- b. not be provided by the relevant provider's licensee;
- c. be undertaken as part of the relevant provider's existing continuing professional education obligations; and
- d. be approved by ASIC before it is undertaken.

Signed:



Caroline Jefferies, Chair of the Sitting Panel

Date:

20 April 2026