



ASIC
Australian Securities &
Investments Commission

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RIGHTS OF REVIEW

Persons affected by certain decisions made by ASIC under the *Corporations Act 2001* and the other legislation administered by ASIC may have rights of review. ASIC has published Regulatory Guide 57 *Notification of rights of review (RG57)* and Information Sheet *ASIC decisions – your rights (INFO 9)* to assist you to determine whether you have a right of review. You can obtain a copy of these documents from the ASIC Digest, the ASIC website at www.asic.gov.au or from the Administrative Law Co-ordinator in the ASIC office with which you have been dealing.

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24-0209

**Australian Securities and Investments Commission
Corporations Act 2001 – Subsection 741(1)(b) – Declaration**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraph 741(1)(b) of the *Corporations Act 2001 (Act)*.

Title

2. This instrument is ASIC Instrument 24-0209.

Commencement

3. This instrument commences on the date it is signed.

Declaration

4. Chapter 6D of the Act applies to a person who holds CDIs of CleanTech, as if section 707 was modified or varied by omitting subsections 707(3) and 707(4) and substituting the following subsection:

- “(3) An offer of a body’s securities for sale within 12 months after their issue needs disclosure to investors under this Part if the body issued the securities:
- (a) without disclosure to investors under this Part; and
 - (b) with the purpose of the person to whom they were issued:
 - (i) selling or transferring them; or
 - (ii) granting, issuing or transferring interests in, or options or warrants, over, them;
- and section 708 and 708A does not say otherwise.”

Where this instrument applies

5. This instrument applies where a person who holds CDIs in CleanTech makes an offer of those CDIs for sale within 12 months of their issue where:
 - (a) the CDIs are in the same class as the CDIs offered under the Prospectus;
 - (b) the ordinary shares underlying the CDIs were issued by CleanTech without disclosure under Chapter 6D of the Act as a result of vesting and exercise (as applicable) of Options and Warrants; and
 - (c) a Prospectus in connection with the IPO describes:
 - (i) the Options and Warrants; and

(ii) the nature and effect of the relief in this instrument.

Interpretation

6. In this instrument:

ASX means ASX Limited ACN 008 624 691.

CDIs, in relation to ordinary shares of CleanTech, mean units of beneficial ownership in ordinary shares of CleanTech, that are issued for the purpose of enabling the ordinary shares to be recorded and transferred in accordance with the operating rules of ASX Settlement Pty Limited.

CleanTech means CleanTech Lithium Plc ARBN 669 610 137, a company incorporated in Jersey.

IPO means the initial public offer of securities in CleanTech that are to be quoted on the financial market operated by ASX.

Options means the options that were granted by CleanTech prior to the date of the Prospectus on the terms set out in the Prospectus.

Prospectus means a prospectus in relation to the IPO of CDIs in CleanTech, lodged with ASIC on or around 1 July 2024.

Warrants means the warrants that were granted by CleanTech prior to the date of the Prospectus on the terms described in the Prospectus.

Dated this 13th day of June 2024



Signed by Daniel Slupek
as a delegate of the Australian Securities and Investments Commission

24-0316

**Australian Securities and Investments Commission
Corporations Act 2001 Section 915B**

Notice of Cancellation of an Australian Financial Services Licence

TO: John Bing
ABN 54 322 469 496 ("the Licensee")
SE 15 L 3 150 Chestnut St
Cremorne VIC 3121

Pursuant to paragraph 915B(1)(e) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 246658 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 11 June 2024



Signed

Jacki Wang
A delegate of the Australian Securities and Investments Commission



ASIC
Australian Securities &
Investments Commission

**Australian Securities
and Investments Commission**

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Brisbane QLD 4001

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www.asic.gov.au

24-0381

**Australian Securities and Investments Commission
Corporations Act 2001 Section 915B**

Notice of Cancellation of an Australian Financial Services Licence

TO: Artemas Wealth Management Pty Limited
ACN 003 798 141 ("the Licensee")
Level 3, 31 Alfred Street
SYDNEY NSW 2000

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 527932 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 13 June 2024

Signed

Sharon Rodgers
A delegate of the Australian Securities and Investments Commission

24-0436

**Australian Securities and Investments Commission
Corporations Act 2001 – Subsection 926A(2)(a) – Exemption**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under section 926A(2)(a) of the *Corporations Act 2001 (Act)*.

Title

2. This instrument is ASIC Instrument 24-0436.

Commencement

3. This instrument commences on the day it is signed.

Exemption

4. ASIC exempts Liontrust Investment Partners LLP, a limited liability partnership incorporated in England and Wales (registered partnership number OC351668) and registered with the United Kingdom Financial Conduct Authority, reference number 518552, (the *body*), from the requirement to hold an Australian financial services (*AFS*) licence in the case referred to in Schedule A.

Cessation

5. The exemption in paragraph 4 ceases to have effect on the earlier of:
 - (a) the date specified in subsection 1(3) of Schedule 2 of the *ASIC Corporations (Repeal and Transitional) Instrument 2016/396* as amended from time to time; or
 - (b) the body failing to comply with any written notice given by ASIC directing the body to give to ASIC, within the time specified in the notice, a written statement containing specified information about the financial service business operated by the body in this jurisdiction; or
 - (c) the body being notified in writing by ASIC that it is excluded from relying on this instrument.

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Schedule A

1. The exemption in paragraph 4 applies where all of the following apply:
 - (a) the body has a current Part 4A Permission;
 - (aa) the body is either a body corporate incorporated in the United Kingdom (or in England and Wales) or a partnership formed in the United Kingdom (or in England and Wales);
 - (b) the body:
 - i. is registered under Division 2 of Part 5B.2 of the Act; or
 - ii. has an Agent at the time the body first purports to rely on this instrument and, from that time, has not failed to have an Agent for any consecutive period of 10 business days;
 - (c) the body's primary business is the provision of financial services;
 - (d) neither the body nor its Agent has been notified by ASIC that the body is excluded from relying on this instrument;
 - (e) if the body becomes aware or should reasonably have become aware of matters that give it reason to believe that it has failed, other than in an immaterial respect, to comply with a requirement set out in Schedule B:
 - i. 15 business days have not passed since the body became so aware or should reasonably have become so aware without the body providing full particulars of the failure to ASIC (to the extent that the body knows those particulars or would have known them if it had undertaken reasonable enquiries); and
 - ii. 30 business days have not passed from ASIC receiving those particulars from the body without ASIC notifying the body that it may continue to rely on this instrument; and
 - (f) the body has not notified ASIC that it will not rely on this instrument.
2. Where the body provides any of the following financial services (the *financial services*) in this jurisdiction to wholesale clients:
 - (a) providing financial product advice; or
 - (b) dealing in a financial product;in respect of any of the following financial products:
 - (c) eligible deposit products.

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- (d) derivatives;
 - (e) foreign exchange contracts;
 - (f) securities;
 - (g) debentures, stocks or bonds issued by a government;
 - (h) managed investment products; and
 - (i) interests in a managed investment scheme that is not required to be registered under Chapter 5C of the Act.
3. Where the body has provided ASIC with all of the following:
- (a) evidence that paragraph 1(a) of Schedule A is satisfied, and that ASIC has stated in writing that the Part 4A Permission is adequate;
 - (b) a notice that it will provide financial services in this jurisdiction in reliance on this instrument;
 - (c) a deed of the body for the benefit of and enforceable by ASIC and the other persons referred to in subsection 659B(1) of the Act that applies notwithstanding that the body may have ceased to rely, or never have relied, on this instrument, which deed provides that:
 - (i) the deed is irrevocable except with the prior written consent of ASIC; and
 - (ii) the body submits to the non-exclusive jurisdiction of the Australian courts in legal proceedings conducted by ASIC (including under section 50 of the ASIC Act) and, in relation to proceedings relating to a financial services law, by any person referred to in subsection 659B(1) of the Act and whether brought in the name of ASIC or the Crown or otherwise; and
 - (iii) the body covenants to comply with any order of an Australian court in respect of any matter relating to the provision of the financial services; and
 - (iv) if the body is not registered under Division 2 of Part 5B.2 of the Act, service of process on the body in relation to legal proceedings conducted by ASIC (including under section 50 of the ASIC Act) and, in relation to proceedings relating to a financial services law, by any person referred to in subsection 659B(1) of the Act and whether brought in the name of ASIC or the Crown or otherwise can be effected by service on the Agent; and
 - (v) the body covenants that, on written request of either the FCA or ASIC, it will give or vary written consent and take all other practicable steps

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to enable and assist the FCA to disclose to ASIC and ASIC to disclose to the FCA any information or document that FCA or ASIC has that relates to the body; and

- (d) written consents to the disclosure by the FCA to ASIC and ASIC to the FCA of any information or document that the FCA or ASIC has that relates to the body. The consents must be in such form (if any) as ASIC specifies in writing.

Schedule B

The body must:

1. provide each of the financial services in this jurisdiction in a manner which would comply, so far as is possible, with the United Kingdom regulatory requirements if the financial service were provided in the United Kingdom in like circumstances; and
2. notify ASIC, as soon as practicable and in any event within 15 business days after the body became aware or should reasonably have become aware, and in such form if any as ASIC may from time to time specify in writing, of the details of:
 - (a) each significant change to, including the termination of, the Part 4A Permission applying to the body relevant to the financial services the body provides or intends to provide in this jurisdiction; and
 - (b) each significant particular exemption or other relief which the body obtains from the United Kingdom regulatory requirements relevant to the financial services the body provides or intends to provide in this jurisdiction; and
 - (c) each action or investigation of the following kinds taken by the FCA, PRA or other overseas regulatory authority against the body in a foreign jurisdiction in relation to financial services provided in the foreign jurisdiction:
 - (i) significant enforcement action;
 - (ii) significant disciplinary action;
 - (iii) significant investigation (unless, after having taken reasonable steps to enable notification to be given to ASIC, the body is prohibited by law from giving such notification but only to the extent of the prohibition); and
3. provide written disclosure to all persons to whom the financial services are provided in this jurisdiction (before the financial services are provided) containing prominent statements to the following effect:
 - (a) the body is exempt from the requirement to hold an Australian financial services licence under the Act in respect of the financial services; and

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- (b) as applicable:
- (i) for a dual-regulated body—the body is authorised by the PRA and regulated by the FCA and PRA under United Kingdom laws, which differ from Australian laws;
 - (ii) otherwise—the body is authorised and regulated by the FCA under the United Kingdom’s laws, which differ from Australian laws; and
4. if ASIC gives the body a written notice directing the body to lodge with ASIC, within the time specified in the notice, a written statement containing specified information about any financial service provided by the body in this jurisdiction—comply with the notice.

Interpretation

In this instrument:

Act means the *Corporations Act 2001*;

address in relation to a company, means the address of the registered office of the company;

Agent means a natural person resident in this jurisdiction or a company, whose name and address were last notified to ASIC by the body for the purposes of this instrument, and who is authorised to accept on the body’s behalf, service of process from ASIC and, in relation to proceedings relating to a financial services law, from any person referred to in s659B(1) of the Act;

dealing has the meaning given by section 9 of the Act;

derivative has the meaning given by section 761D of the Act;

dual-regulated body means a body whose regulated activities in the United Kingdom include a PRA-regulated activity within section 22A of the FSM Act;

eligible deposit product means any deposit-taking facility that is not a deposit product as defined in section 9 of the Act;

FCA means the Financial Conduct Authority of the United Kingdom and, for the avoidance of doubt, includes the Financial Services Authority of the United Kingdom as it was previously known before 1 April 2013;

financial product has the meaning given by section 9 of the Act;

financial product advice has the meaning given by section 766B of the Act;

financial services law has the meaning given by section 761A of the Act;

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foreign exchange contract has the meaning given by section 9 of the Act;

FSM Act means the *Financial Services and Markets Act 2000* of the United Kingdom;

interest in a managed investment scheme has the meaning given by section 9 of the Act;

managed investment product has the meaning given by section 9 of the Act;

managed investment scheme has the meaning given by section 9 of the Act;

notice and *notified* mean, respectively, written notice and notified in writing;

overseas regulatory authority means a foreign regulatory authority (other than the FCA or PRA) which regulates financial services and which is established by or for the purposes of a foreign government or legislative body;

Part 4A Permission means a permission given under Part 4A of FSM Act or having effect as if so given under that Part;

PRA means the Prudential Regulation Authority of the United Kingdom;

securities has the meaning given by section 9 of the Act;

United Kingdom regulatory requirements means the rules that apply in relation to the financial services including any applicable legislation, instruments made under that legislation and any relevant policies or other documents (however described) issued by the FCA or PRA; and

wholesale client has the meaning given in section 9 of the Act.

Dated this 4th day of June 2024.



Signed by Laura Haracic
as a delegate of the Australian Securities and Investments Commission

24-0453

**Australian Securities and Investments Commission
Corporations Act 2001 – Paragraph 1020F(1)(b) – Exemption**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraph 1020F(1)(b) of the *Corporations Act 2001 (Act)*.

Title

2. This instrument is ASIC Instrument 24-0453.

Commencement

3. This instrument commences on the date it is signed.

Exemption

4. An ordinary share in the Company is exempt from subsection 1020B(2) of the Act.

Where the exemption applies

5. The exemption applies to an offer to sell Option Sale Shares by SaleCo to Applicants where all of the following are satisfied:
 - (a) the Selling Optionholders have, before the time any sale offer is made by SaleCo, offered to sell the Options to SaleCo under an Irrevocable Offer Deed;
 - (b) SaleCo has, before the time any sale offer is made by SaleCo, agreed to issue the Exercise Notice under an Irrevocable Offer Deed;
 - (c) the Company has offered to issue and SaleCo has offered to sell the Offer Shares to Applicants, conditional on settlement of the IPO occurring; and
 - (c) settlement of the IPO is conditional on the ASX indicating in writing that it will grant permission for the quotation of all of the Offer Shares on a conditional and deferred settlement trading basis.

Interpretation

6. In this instrument:

ASX means ASX Limited or the financial market it operates, known as the Australian Securities Exchange, as the context requires.

Applicants means applicants under the Prospectus.

24-0453

Company means Guzman y Gomez (Holdings) Limited ACN 125 554 743 (proposed to be renamed Guzman y Gomez Limited).

Exercise Notice means the notice issued by SaleCo under the Irrevocable Offer Deed to exercise the Options, conditional only on IPO settlement occurring.

Irrevocable Offer Deed means a deed under which:

- (a) the Selling Optionholders irrevocably offer to sell the Options to SaleCo;
- (b) subject to the formal transfer and acquisition of the Options by SaleCo under paragraph (a), SaleCo agrees to issue an irrevocable Exercise Notice and offer the Option Sale Shares for sale into the IPO;
- (c) the Company agrees to do all things necessary to give effect to (i) the sale of Options to SaleCo and (ii) offer the Option Sale Shares for sale into the IPO, in accordance with the terms of the Options; and
- (d) the proceeds received by SaleCo from the sale of Option Sale Shares will be used to satisfy payment of the exercise price of the respective Options sold as part of the IPO secondary selldown and any difference between the exercise price and the IPO offer price received by SaleCo will then be distributed to the Selling Optionholders,

conditional only on IPO settlement occurring.

Offer Shares means the Shares offered by the Company and SaleCo under the Prospectus, including the Option Sale Shares.

Options means options held by the Selling Optionholders that, when exercised, result in the issue of the Option Sale Shares.

Option Sale Shares means the Shares that SaleCo intends to irrevocably direct the Company to offer to Applicants under the IPO, being Shares that SaleCo will be entitled to receive when Options in the Company are sold by the Selling Optionholders and exercised by SaleCo under the Exercise Notice pursuant to the Irrevocable Offer Deed.

Prospectus means the prospectus lodged with ASIC on or about Friday, 7 June 2024 in relation to the IPO.

IPO means the initial public offering by the Company and SaleCo of the Shares under the Prospectus.

SaleCo means GYG SaleCo Limited ACN 677 361 581.

Selling Optionholders means holders of Options who have agreed to sell Options as part of the IPO secondary selldown under the Prospectus.

Shares means fully paid ordinary shares in the Company.

24-0453

Dated this 31st day of May 2024

A handwritten signature in blue ink, appearing to read 'S. Ferguson', is written over a faint, light blue circular watermark or seal.

Signed by Sean Ferguson
as a delegate of the Australian Securities and Investments Commission

24-0454

**Australian Securities and Investments Commission
Corporations Act 2001 – Paragraph 741(1)(b) – Declaration**

Enabling legislation

1. The Australian Securities and Investments Commission (ASIC) makes this instrument under paragraph 741(1)(b) of the *Corporations Act 2001* (the Act).

Title

2. This instrument is ASIC Instrument 24-0454.

Commencement

3. This instrument commences on the date it is signed.

Declaration

4. Chapter 6D of the Act applies to a shareholder of the Company who makes an offer of EOP Shares, as if section 707 was modified or varied by omitting subsections 707(3) and (4) and substituting the following subsection:

“(3) An offer of a body’s securities for sale within 12 months after their issue needs disclosure to investors under this Part if the body issued the securities:

- (a) without disclosure to investors under this Part; and
- (b) with the purpose of the person to whom they were issued selling or transferring the securities, or granting, issuing or transferring interests in, or options over, them;

and section 708 and 708A does not say otherwise.”

Where this instrument applies

5. The declaration in paragraph 4 applies where a shareholder of the Company makes an offer of EOP Shares for sale within 12 months of their issue and where:
 - (a) the EOP Shares were issued on exercise of the Options and where those Options were issued without disclosure under Chapter 6D of the Act and do not have the benefit of section 1100ZD of the Act;
 - (b) the EOP Shares are in the same class as the Shares described in the Prospectus;
 - (c) the Prospectus discloses the key terms of the Options and the nature and the effect of the relief in this instrument; and
 - (d) the issue of the EOP Shares on exercise of the Options does not involve any further offer of EOP Shares.

24-0454

Interpretation

6. In this instrument:

Company means Guzman y Gomez (Holdings) Limited ACN 125 554 743 (proposed to be renamed Guzman y Gomez Limited).

EOP Shares means any Shares issued on an exercise of the Options.

Prospectus means the prospectus lodged with ASIC on or about Friday, 7 June 2024 in relation to the initial public offering of the Shares.

Shares means fully paid ordinary shares of the Company.

Options means options over the Shares issued on or prior to the date of the Prospectus.

Dated this 31st day of May 2024

Signed by Sean Ferguson
as a delegate of the Australian Securities and Investments Commission

24-0455

NOTICE UNDER SECTION 920E OF THE CORPORATIONS ACT 2001

Notice is given under section 920E of the Corporations Act 2001 that the Australian Securities and Investments Commission has taken the action set out in the Notice below, which action took effect on 22 May 2024.

Australian Securities and Investments Commission**In the matter of Christopher David Nairn****Banning order under sections 920A and 920B
of the Corporations Act 2001**

To: Christopher David Nairn

Take notice that under s920A and 920B of the *Corporations Act 2001* the Australian Securities and Investments Commission prohibits Christopher David Nairn permanently from:

- (a) providing any financial services;
- (b) performing any function involved in the carrying on of a financial services business (including as an officer, manager, employee, contractor or in some other capacity);
and
- (c) controlling, whether alone or in concert with one or more other entities, an entity that carries on a financial services business.

Dated this 15th day of May 2024.

Signed:



Kate Dluzniak

As a delegate of the Australian Securities and Investments Commission

Your attention is drawn to s920C(2) of the *Corporations Act 2001* which provides that a person must not engage in conduct which breaches a banning order that has been made against the person. Contravention of s920C(2) is an offence.

24-0456

**Australian Securities and Investments Commission
Corporations Act 2001 Section 915B****Notice of Cancellation of an Australian Financial Services Licence**

TO: NEO FINANCIAL SOLUTIONS PTY LTD
ACN 141 607 098 ("the Licensee")
L 5 432 Murray St
Perth WA 6000

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 385845 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 3 June 2024

Signed 

Gerard Mithen
A delegate of the Australian Securities and Investments Commission



Australian Securities
and Investments Commission

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Melbourne VIC 3000

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Brisbane QLD 4001

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24-0458

**Australian Securities and Investments Commission
Corporations Act 2001 Section 915B**

Notice of Cancellation of an Australian Financial Services Licence

TO: AMAL Asset Management Limited
ACN 065 914 918 ("the Licensee")
Level 13, 20 Bond Street
Sydney NSW 2000

Pursuant to paragraph to s915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 339904 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated **4 June 2024**

Signed *J Dimitropoulos*.....

James Dimitropoulos
A delegate of the Australian Securities and Investments Commission

24-0461

NOTICE UNDER SECTION 915F OF THE CORPORATIONS ACT 2001

Notice is given under section 915F of the Corporations Act 2001 that the Australian Securities and Investments Commission has taken the action set out in the Notice below, which action took effect on 26 April 2024.

**Australian Securities and Investments Commission
Corporations Act 2001 section 915C****Notice of Cancellation of Australian Financial Services Licence**

To: XTrade.AU Pty Ltd (ACN 140 899 476)

Under s915C of the Corporations Act 2001 (**Act**) the Australian Securities and Investments Commission (**ASIC**) hereby cancels Australian financial services licence number 343628 held by XTrade.AU Pty Ltd (ACN 140 899 476) (**XTrade**).

Under s915H of the Act, ASIC specifies that the licence continues in effect as though the cancellation had not happened:

- (a) until 30 June 2024 for the purposes of Chapter 7 of the Act, but only in relation to the provision of financial services to enable clients of XTrade as at 26 April 2024 to effect the orderly closing out of open positions and the termination XTrade's arrangements with those clients; and
- (b) from 1 July 2024 to 31 December 2024 for the purposes of sections 901E, 912A(1)(g), 912B, 912C and 981M of the Act.

Dated this 26th April 2024



Signed
Andrew Stecher, a delegate of the Australian Securities and Investments Commission

24-0464

**Australian Securities and Investments Commission
Corporations Act 2001 – Subsection 655A(1)(a) – Exemption**

Enabling legislation

1. The Australian Securities and Investments Commission makes this exemption under subsection 655A(1)(a) of the *Corporations Act 2001* (the *Act*).

Title

2. This instrument is ASIC Instrument 24-0464.

Commencement

3. This instrument commences on the day it is signed.

Exemption

4. Genex Power Limited ACN 152 098 854 (**Genex**) does not have to comply with section 638 of the Act to the extent that subsection 638(1A) of the Act has the effect that a target's statement must contain information that is known to Mr Kenichi Seshimo, non-executive director of Genex (**Mr Seshimo**).

Where this instrument applies

5. The exemption in paragraph 4 applies where:
 - (a) Genex announced publicly on 12 April 2024 that Electric Power Development Co., Ltd (**J-POWER**), intends to acquire, directly or indirectly through a wholly-owned subsidiary of J-POWER, all of the ordinary shares that it (or, to the extent applicable, the directly or indirectly wholly-owned subsidiary of J-POWER) does not already own in Genex by way of an off-market takeover bid (**Offer**);
 - (b) Mr Seshimo is a non-executive director of Genex, representative and nominee to the board of directors of Genex of J-POWER and an employee of a member of the group comprising J-POWER and its subsidiaries;
 - (c) Genex has advised ASIC that Mr Seshimo has not at any time been involved in making decisions by or on behalf of Genex in relation to, or the consideration of Genex's response to, the Offer, and
 - (d) Genex has advised ASIC that it will include in the target's statement information about the reasons for, and effect of, this instrument.

Dated this 5th day of June 2024

Signed by Adam Prior
as a delegate of the Australian Securities and Investments Commission

**Australian Securities
and Investments Commission**Office address (inc. courier deliveries):
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Melbourne VIC 3000Mail address for Melbourne office:
GPO Box 9827,
Brisbane QLD 4001

Tel: +61 1300 935 075

Fax: +61 1300 729 000

www.asic.gov.au**24-0467****Australian Securities and Investments Commission
Corporations Act 2001 Section 915B****Notice of Cancellation of an Australian Financial Services Licence**TO: Four Points Financial Services Pty Ltd
ACN 122 428 139
Level 4, 14 Ventnor Avenue
WEST PERTH WA 6005

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 311396 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 6 June 2024

Signed *J. Dimitropoulos*James Dimitropoulos
A delegate of the Australian Securities and Investments Commission

24-0469

**Australian Securities and Investments Commission
Corporations Act 2001 – Paragraph 926A(2)(a) – Exemption**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraph 926A(2)(a) of the *Corporations Act 2001* (the *Act*).

Title

2. This instrument is ASIC Instrument 24-0469.

Commencement

3. This instrument commences on the day it is signed.

Exemption

4. ASIC exempts Metlife Investment Management Limited, a company incorporated in England and Wales and registered as a foreign company under Div 2 of Pt 5B.2 of the Act in Australia (the *body*) from the requirement to hold an Australian financial services licence (*AFS licence*) in the circumstances set out in Schedule A.

Cessation

5. The exemption in paragraph 4 ceases to have effect on the earlier of:
 - (a) sub-paragraph 1(1) of Schedule 2 of the *ASIC Corporations (Repeal and Transitional) Instrument 2016/396* ceasing to have effect in relation to the relief that was provided under ASIC Class Order [CO 03/1099] *UK regulated financial service providers*; or
 - (b) the body not complying with any written notice given by ASIC directing the body to give to ASIC, within the time specified in the notice, a written statement containing specified information about the financial service business operated by the body in this jurisdiction.

Schedule A

1. The exemption in paragraph 4 applies where all of the following apply:
 - (a) the body has a current Part 4A Permission;
 - (b) the body is either a body corporate incorporated or a partnership formed in England and Wales;
 - (c) the body:
 - (i) is registered under Div 2 of Pt 5B.2 of the Act; or

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- (ii) has an agent at the time the body first purports to rely on this instrument and, from that time, has not failed to have an agent for any consecutive period of 10 business days;
 - (d) the body's primary business is the provision of financial services;
 - (e) neither the body nor its agent has been notified by ASIC that the body is excluded from relying on this instrument;
 - (f) if the body becomes aware or should reasonably have become aware of matters that give it reason to believe that it has failed, other than in an immaterial respect, to comply with a requirement set out in Schedule B:
 - (i) 15 business days have not passed since the body became so aware or should reasonably have become so aware without the body providing full particulars of the failure to ASIC (to the extent that the body knows those particulars or would have known them if it had undertaken reasonable enquiries); and
 - (ii) 30 business days have not passed from ASIC receiving those particulars from the body without ASIC notifying the body that it may continue to rely on this instrument; and
 - (g) the body has not notified ASIC that it will not rely on this instrument.
- 2. Where the body provides any of the following financial services (the *financial services*) in this jurisdiction to wholesale clients:
 - (a) providing financial product advice;
 - (b) dealing in a financial product;
 - in respect of any of the following financial products:
 - (c) eligible deposit products;
 - (d) derivatives;
 - (e) foreign exchange contracts;
 - (f) securities;
 - (g) debentures, stocks or bonds issued by a government;
 - (h) managed investment products; and
 - (i) interests in a managed investment scheme that is not required to be registered under Chapter 5C of the Act.
- 3. Where the body has provided ASIC with all of the following:
 - (a) evidence that paragraph 1(a) of Schedule A is satisfied that ASIC has stated in writing is adequate;
 - (b) a notice that it will provide the financial services in this jurisdiction in reliance on this instrument;
 - (c) a deed of the body for the benefit of and enforceable by ASIC and the other persons referred to in s659B(1) of the Act that applies notwithstanding that the body may have ceased to rely, or never have relied, on this instrument, which deed provides that:

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- (A) the deed is irrevocable except with the prior written consent of ASIC; and
 - (B) the body submits to the non-exclusive jurisdiction of the Australian courts in legal proceedings conducted by ASIC (including under s50 of the ASIC Act) and, in relation to proceedings relating to a financial services law, by any person referred to in s659B(1) of the Act and whether brought in the name of ASIC or the Crown or otherwise; and
 - (C) the body covenants to comply with any order of an Australian court in respect of any matter relating to the provision of the financial services; and
 - (D) if the body is not registered under Div 2 of Pt 5B.2 of the Act, service of process on the body in relation to legal proceedings conducted by ASIC (including under section 50 of the ASIC Act) and, in relation to proceedings relating to a financial services law, by any person referred to in s659B(1) of the Act and whether brought in the name of ASIC or the Crown or otherwise can be effected by service on the agent; and
 - (E) the body covenants that, on written request of either the FCA or ASIC, it will give or vary written consent and take all other practicable steps to enable and assist the FCA to disclose to ASIC and ASIC to disclose to the FCA any information or document that the FCA or ASIC has that relates to the body;
- (d) written consents to the disclosure by the FCA to ASIC and ASIC to the FCA of any information or document that the FCA or ASIC has that relates to the body. The consents must be in such form (if any) as ASIC or the FCA (as applicable) specifies in writing.

Schedule B

1. The body must provide each of the financial services in this jurisdiction in a manner which would comply, so far as is possible, with the UK regulatory requirements if the financial service were provided in the United Kingdom in like circumstances.
2. The body must:
 - (a) notify ASIC, as soon as practicable and in any event within 15 business days after the body became aware or should reasonably have become aware, and in such form if any as ASIC may from time to time specify in writing, of the details of:
 - (i) each significant change to, including the termination of, the Part 4A Permission applying to the body relevant to the financial services the body provides or intends to provide in this jurisdiction; and
 - (ii) each significant particular exemption or other relief which the body may obtain from the UK regulatory requirements relevant to the financial services the body provides or intends to provide in this jurisdiction; and
 - (iii) each action or investigation of the following kinds taken by the FCA or other overseas regulatory authority against the body in a foreign jurisdiction in relation to financial services provided in the foreign jurisdiction:

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- (A) significant enforcement action;
 - (B) significant disciplinary action;
 - (C) significant investigation (unless, after having taken reasonable steps to enable notification to be given to ASIC, the body is prohibited by law from giving such notification but only to the extent of the prohibition); and
- (b) provide written disclosure to all persons to whom the financial services are provided in this jurisdiction (before the financial services are provided) containing prominent statements to the following effect:
- (i) the body is exempt from the requirement to hold an Australian financial services licence under the Act in respect of the financial services; and
 - (ii) the body is regulated by the FCA under UK laws, which differ from Australian laws; and
- (c) if ASIC gives the body a written notice directing the body to lodge with ASIC, within the time specified in the notice, a written statement containing specified information about any financial service provided by the body in this jurisdiction—comply with the notice.

Interpretation

6. In this instrument:

Act means the *Corporations Act 2001*;

address, in relation to a company, means the address of the registered office of the body;

agent means a natural person resident in this jurisdiction or a company, whose name and address were last notified to ASIC by the body for the purposes of this instrument, and who is authorised to accept on the body's behalf, service of process from ASIC and, in relation to proceedings relating to a financial services law, from any person referred to in s659B(1) of the Act;

ASIC Act means the *Australian Securities and Investments Commission Act 2001*;

FCA means the Financial Conduct Authority of the United Kingdom;

FSM Act means the *Financial Services and Markets Act 2000* of the United Kingdom;

financial product advice has the meaning given by section 766B of the Act;

financial services law has the meaning given by section 761A of the Act;

managed investment products has the meaning given by s764A(1)(ba);

notice and *notified* mean, respectively, written notice and notified in writing;

overseas regulatory authority means a foreign regulatory authority (other than the FCA) which regulates financial services and which is established by or for the purposes of a foreign government or legislative body;

Part 4A Permission means a permission given under Part 4A of FSM Act or having effect as if so given under that Part.

securities has the meaning given by section 761A of the Act;

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UK regulatory requirements means the rules that apply in relation to the financial services including any applicable legislation, instruments made under that legislation and any relevant policies or other documents (however described) issued by FCA; and *wholesale client* has the meaning given in section 761G of the Act.

Dated this 7th day of June 2024.



Signed by Penny Zeinos
as a delegate of the Australian Securities and Investments Commission



Australian Securities and Investments Commission

Office address (inc courier deliveries):
Level 7, 120 Collins Street,
Melbourne VIC 3000

Mail address for Melbourne office:
GPO Box 9827,
Brisbane QLD 4001

Tel: +61 1300 935 076
Fax: +61 1300 729 000

www.asic.gov.au

24-0472

**Australian Securities and Investments Commission
Corporations Act 2001 Section 915B**

Notice of Cancellation of an Australian Financial Services Licence

TO: E-Trans Group Pty Ltd
ACN 132 970 159 ("the Licensee")
Suite 801 Level 8
2 Queen Street
MELBOURNE VIC 3000

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 439303 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 11 June 2024

Signed *GP Mithen*.....


Gerard Mithen
A delegate of the Australian Securities and Investments Commission

**Australian Securities
and Investments Commission**Office address (no courier deliveries):
Level 7, 120 Collins Street,
Melbourne VIC 3000Mail address for Melbourne office:
GPO Box 9827,
Brisbane QLD 4001Tel: +61 1300 935 075
Fax: +61 1300 729 000www.asic.gov.au**24-0482****Australian Securities and Investments Commission
Corporations Act 2001 Section 915B****Notice of Cancellation of an Australian Financial Services Licence**

TO: Barnett Lilley & Associates Pty Ltd
ACN 074 689 599 ("the Licensee")
Canberra House, Level 10, 40 Marcus Clarke Street
CANBERRA ACT 2600

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 237915 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 12 June 2024

Signed 

Jedo Charles
A delegate of the Australian Securities and Investments Commission

24-0489

NOTICE UNDER SECTION 915F OF THE CORPORATIONS ACT 2001

Notice is given under s915F of the Corporations Act 2001 that the Australian Securities and Investments Commission has taken the action set out in the Notice below, which action took effect on 11 June 2024.

AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

CORPORATIONS ACT 2001 SECTION 915B

NOTICE OF SUSPENSION OF AUSTRALIAN FINANCIAL SERVICES LICENCE

To: Responsible Entity Services Limited ACN 116 489 420

TAKE NOTICE that under section 915B(3)(b) of the *Corporations Act 2001* (the Act), the Australian Securities and Investments Commission (ASIC) hereby suspends Australian financial services licence number 299024 held by Responsible Entity Services Limited ACN 116 489 420 (Licensee) until 11 June 2025.

Under s915H of the Act ASIC specifies that the licence continues in effect as though the suspension had not happened for the purposes of the provisions of the Act specified in Schedule A regarding the matters specified in Schedule B.

Schedule A

- (a) The provisions of Chapter 5C; and
- (b) The provisions of Chapter 7, other than the provisions in Parts 7.2, 7.3, 7.3A, 7.4, 7.5, 7.5A and 7.5B.

Schedule B

The provision by the Licensee of financial services which are reasonably necessary for, or incidental, to the transfer to a new responsible entity, investigating or preserving the assets and affairs of, or winding up of the:

1. RES Investment Fund ARSN 120 933 093; and
2. RES Fund ARSN 127 384 767.

Dated this 11th day of June 2024

Signed:



Peter Komorowski
Delegate of the Australian Securities and Investments Commission

24-0496

NOTICE UNDER SECTION 915F OF THE CORPORATIONS ACT 2001

Notice is given under section 915F of the Corporations Act 2001 that the Australian Securities and Investments Commission has taken the action set out in the Notice below, which action took effect on 7 June 2024.

Australian Securities and Investments Commission
Notice of cancellation of Australian financial services licence

To: Haywards Audit Pty Ltd
ACN 159 542 211

TAKE NOTICE that under s915B(3)(a) of the Corporations Act 2001, the Australian Securities and Investments Commission hereby cancels Australian financial services licence number 489231 held by Haywards Audit Pty Ltd ACN 159 542 211.

Dated this 29th day of May 2024



Signed

Cameron Walter
Delegate of the Australian Securities and Investments Commission

CORPORATIONS ACT 2001
Subsection 601PA(3)

ASIC may deregister the managed investment scheme(s) listed below two months after the publication of this notice, unless given acceptable reason not to proceed.

Dated this fourteenth day of June 2024

Name of Scheme

ARSN

IOOF BALANCED INVESTOR TRUST

165 464 228

CORPORATIONS ACT 2001
Subsection 601PB(2)

ASIC may deregister the managed investment schemes listed below two months after the publication of this notice, unless given acceptable reason not to proceed.

Dated this fourteenth day of June 2024

Name of Scheme	ARSN
ABRDN ABSOLUTE RETURN GLOBAL BOND STRATEGIES FUND	125 896 988
ABRDN SUSTAINABLE AUSTRALIAN EQUITY FUND	087 868 264
CHALLENGER GUARANTEED PENSION FUND	154 366 588
SG HISCOCK PREMIER PROPERTY OPPORTUNITIES FUND	090 850 445
SG HISCOCK PROFESSIONAL PROPERTY FUND	089 419 358
SG HISCOCK PROPERTY FUND	088 905 382
SG HISCOCK PROPERTY OPPORTUNITIES FUND	090 577 825
SG HISCOCK PROPERTY OPPORTUNITIES FUND (CLOSED)	090 790 873
WISEMANS SURF LODGE PROPERTY TRUST	645 432 211

CORPORATIONS ACT 2001
Section 601CC(3)

ASIC will strike the companies listed below off the register three months after the publication of this notice, unless given acceptable reason not to proceed.

Dated this fourteenth day of June 2024

Name of Company

ARBN

INTERNATIONAL ASSOCIATION OF PUBLIC PARTICIPATION-AUSTRALASIAN
CHAPTER INCORPORATED

159 611 211

CORPORATIONS ACT 2001
Subsection 601CC(4)

ASIC has struck the registered Australian bodies
listed below off the register.

Dated this fourteenth day of June 2024

Name of Company

ARBN

AUSTRALIAN STREET ROD FEDERATION INCORPORATED

636 671 068

BLISS SCIENCE AND INNOVATION INC

634 867 182

CORPORATIONS ACT 2001
Section 601CL(4)

ASIC will strike the foreign companies listed below off the register three months after the publication of this notice, unless given acceptable reason not to proceed.

Dated this fourteenth day of June 2024

Name of Company	ABN
CAVALIER BREMWORTH (AUSTRALIA) LIMITED	051 273 511
CFG GLOBAL LIMITED	161 753 359
EPICUREAN DAIRY AUSTRALIA LIMITED	654 496 205
ILLION DIGITAL TECH SOLUTIONS (AUS) LIMITED	104 192 841
INVESTMENT CUSTODIAL SERVICES LIMITED	096 738 117
LIQUI-BOX ASIA PACIFIC LIMITED	099 743 049
LITTLE ISLAND COCONUT CREAMERY LIMITED	620 422 460
MANCHESTER STREET HOLDINGS LIMITED	079 502 140
MODTEC INDUSTRIES AUSTRALIA PTY LIMITED	137 434 416
PANZTEL (AUSTRALIA) LIMITED	104 584 787
PRESTON WORTH PTY LIMITED	604 282 304
PROVENDER AUSTRALIA PTY LIMITED	149 992 807
REGAL FINE JEWELLERY WHOLESAL LIMITED	605 460 713
R HANNAH & CO LIMITED	089 594 963
STEAMTECH AUSTRALIA PTY LIMITED	149 619 474
THE HOUSE SITTING COMPANY AUSTRALIA LIMITED	611 594 622
TWO BLIND MICE CONSULTANTS LIMITED	168 855 865
VISION PLASTICS (NZ) LIMITED	606 532 790

CORPORATIONS ACT 2001
Section 601CL(5)

ASIC has struck the foreign companies listed
below off the register.

Dated this fourteenth day of June 2024

Name of Company

ARBN

ARCHAX LTD

651 519 096

SPLITIT PAYMENTS LTD

629 557 982

TIXTRACK, INC.

663 190 976

CORPORATIONS ACT 2001
Subsection 164(3)

Notice is hereby given that ASIC will alter the registration details of the following companies 1 month after the publication of this notice, unless an order by a court or Administrative Appeals Tribunal prevents it from doing so.

GENX RESOURCES LIMITED ACN 656 092 830 will change to a proprietary company limited by shares. The new name will be GENX RESOURCES PTY LTD ACN 656 092 830.

WYVERN HEALTH PTY LTD ACN 610 129 667 will change to a public company limited by shares. The new name will be WYVERN HEALTH LIMITED ACN 610 129 667.