



**ASIC**  
Australian Securities &  
Investments Commission

Commonwealth of Australia Gazette  
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# ASIC Gazette

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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](http://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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21-0134

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

**Enabling legislation**

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

**Title**

2. This instrument is ASIC Instrument 21-0134.

**Commencement**

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

**Exemption**

4. ListCo does not have to comply with Parts 6D.2 and 6D.3 of the Act for an offer to issue securities in ListCo to existing security holders of Legacy.

**Declaration**

5. Chapter 6D of the Act applies to security holders of ListCo as if section 707 were modified or varied by omitting subsections 707(3), 707(4), 707(5) and 707(6).

**Where this instrument applies**

6. The exemption in paragraph 4 applies to offers by ListCo to issue securities in the Company to existing security holders of Legacy pursuant to the Proposed Transaction, in accordance with a circulating shareholders' resolution (*Circulating Shareholders' Resolution*) that:
  - (a) is in substantially the same form as the draft circulating shareholders' resolution provided to ASIC on 6 May 2021; and
  - (b) includes a statement:
    - (i) describing the need for, and effect of, the relief contained in this instrument as it applies to shareholders; and
    - (ii) that the circulating shareholders' resolution is in substantially the same form as the draft circulating shareholders' resolution provided to ASIC on 6 May 2021.
7. The declaration in paragraph 5 applies where:

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- (c) a security holder of ListCo makes an offer of their ordinary shares in ListCo (*Shares*) for sale;
- (d) the Shares were issued to the ListCo security holder pursuant to the Proposed Transaction referred to in paragraph 6; and
- (e) the offer is not made within 12 months of a sale or transfer of the Shares by a person, other than Legacy, who:
  - (i) controls ListCo;
  - (ii) would have been required by subsection 707(2) of the Act to give disclosure to investors under Part 6D.2 of the Act but for section 708 or 708A of the Act; and
  - (iii) did not give disclosure to investors under Part 6D.2 of the Act because of section 708 or 708A of the Act.

**Interpretation**

## 8. In this instrument:

*ListCo* means the proposed holding company of Legacy to be incorporated to act as the listing vehicle, subject to shareholder approval sought and received via the Circulating Shareholders' Resolution;

*Legacy* means Legacy Minerals Pty Ltd ACN 622 746 187; and

*Proposed Transaction* means the proposed 'top hatting' restructure of Legacy where:

- (a) ListCo will be incorporated;
- (b) immediately prior to the incorporation of ListCo, the existing security holders of Legacy will 'swap' their securities in Legacy for equivalent securities in ListCo in the same proportion and form in which they hold their securities in Legacy immediately prior to ListCo's incorporation; and
- (c) Legacy will become a wholly-owned subsidiary of ListCo.

Dated this 14<sup>th</sup> day of May 2021



Signed by Terence Kouts  
as a delegate for the Australian Securities and Investments Commission

21-0298

**AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION*****Superannuation Industry (Supervision) Act 1993*  
Subsection 130F(2)****DISQUALIFICATION ORDER**

To: Mr Gordon Victor Shrubsole

Approved SMSF auditor registration number 100130354.

Under s130F(2) of the *Superannuation Industry (Supervision) Act 1993* the Australian Securities and Investments Commission disqualifies Gordon Shrubsole from being an approved SMSF auditor with effect from 28 April 2021.

Dated this 21st day of April 2021



Signed: .....

Craig Angove

Delegate of the Australian Securities and Investments Commission

21-0390

**Australian Securities and Investments Commission**  
*Corporations Act 2001 – Subsections 601QA(1), 741(1), 926A(2), 992B(1), and 1020F(1) – Exemptions*

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**Enabling legislation**

1. The Australian Securities and Investments Commission (ASIC) makes this instrument under subsections 601QA(1), 741(1), 926A(2), 992B(1) and 1020F(1) of the *Corporations Act 2001* (the *Act*).

**Title**

2. This instrument is ASIC Instrument 21-0390.

**Commencement**

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

**Nature of this instrument**

4. This instrument is an individual relief instrument, as referred to in paragraphs 28A to 28D of ASIC Class Order [CO 14/1000].

**Disclosure relief***Offers made under an employee incentive scheme*

5. A Specified Person that makes an offer under an employee incentive scheme covered by this instrument does not have to comply with Part 6D.2, Part 6D.3 or Part 7.9 of the Act in relation to the offer.

*Subsequent sale offers*

6. A person that makes a sale offer of an underlying eligible product within 12 months after the issue of the product does not have to comply with Part 6D.2, Part 6D.3 or Part 7.9 of the Act in relation to the sale offer where:
  - (a) the product was issued or otherwise granted:
    - (i) to an eligible participant under an employee incentive scheme; or
    - (ii) to a FCPE or a trustee in connection with an employee incentive scheme; and
  - (b) the person has no reason to believe the employee incentive scheme is not covered by this instrument.
7. A person that makes a sale offer of a financial product within 12 months after the issue of the product does not have to comply with Part 6D.2, 6D.3 or Part 7.9 of the Act in relation to the sale offer where:
  - (a) the product was issued by reason of the exercise or vesting of an eligible product issued or otherwise granted to:
    - (i) an eligible participant under an employee incentive scheme; or
    - (ii) to a FCPE or a trustee in connection with an employee incentive scheme; and

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- (b) the person has no reason to believe the employee incentive scheme is not covered by this instrument.

**Licensing, hawking and other incidental relief***General advice*

8. A Specified Person that makes an offer under an employee incentive scheme covered by this instrument and, in relation to the offer, provides a financial service consisting of general advice in connection with the offer, does not have to comply with subsection 911A(1) of the Act in relation to the advice.

*Dealing*

9. A Specified Person that provides any of the following financial services in relation to an offer in connection with an employee incentive scheme covered by this instrument does not have to comply with subsection 911A(1) of the Act in relation to the financial service:
- (a) issuing the eligible product;
  - (b) dealing in the eligible product where any acquisition by purchase or disposal of the eligible product by the Company or a related body corporate occurs either:
    - (i) through a financial services licensee; or
    - (ii) outside this jurisdiction and through a person which is licensed or otherwise authorised to deal in financial products of that kind in the relevant place; and
  - (c) dealing in an interest in a managed investment scheme covered by paragraph 13 of this instrument or paragraph 28C of ASIC Class Order [CO 14/1000].

*Custodial or depository services*

10. A Specified Person that provides any of the following financial services in connection with an employee incentive scheme covered by this instrument does not have to comply with subsection 911A(1) of the Act in relation to the financial services:
- (a) a custodial or depository service in relation to the eligible product where the Specified Person performs their duties in good faith and has sufficient resources to perform those duties; and
  - (b) dealing in the eligible product in the course of providing a custodial or depository service covered by paragraph (a).

*Hawking*

11. A Specified Person that makes an offer of an eligible product to an eligible participant in the course of, or because of, an unsolicited meeting or telephone call held or made in connection with an employee incentive scheme covered by this instrument does not have to comply with sections 736, 992A or 992AA of the Act.

*Advertising*

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12. A Specified Person that advertises, or publishes a statement that is reasonably likely to induce eligible participants to acquire, an eligible product under an employee incentive scheme covered by this instrument does not have to comply with section 1018A of the Act in relation to an advertisement or publication.

*Incidental managed investment scheme*

13. A Specified Person that operates a managed investment scheme only by reason of making eligible products available under an employee incentive scheme covered by this instrument or operating a contribution plan in connection with an employee incentive scheme covered by this instrument does not have to comply with section 601ED of the Act in relation to the operation of that managed investment scheme.

**Conditions***Notice of reliance*

14. A Specified Person making an offer in connection with a particular employee incentive scheme covered by this instrument must give ASIC a notice of reliance.

Note: A notice of reliance can cover a particular employee incentive scheme that is intended to operate for many years. A new notice of reliance will be required to be given to ASIC if the Company or a related body corporate establishes a new employee incentive scheme.

15. The Company or a related body corporate may give ASIC the notice of reliance at any time before the Specified Person first relies on this instrument in relation to the particular employee incentive scheme but, in any event, must give ASIC the notice of reliance no later than 1 month after the day the Specified Person first relies on this instrument in relation to the particular employee incentive scheme.

*Disclosure*

16. A Specified Person that makes an offer under an employee incentive scheme covered by this instrument must ensure that the offer is made in, or is accompanied by, an offer document.

*5% issue limit*

17. A Specified Person that makes an offer covered by this instrument must, at the time of making the offer, have reasonable grounds to believe that the number of underlying eligible products in a class of underlying eligible products that form part of the issued capital of the Company that have been or may be issued in any of the circumstances covered by the following paragraphs will not exceed 5% of the total number of underlying eligible products in that class on issue:
- (a) underlying eligible products that may be issued under the offer;
  - (b) underlying eligible products issued or that may be issued as a result of offers made at any time during the previous 3 year period under:
    - (i) an employee incentive scheme or like scheme of the Company or a related body corporate, where offers were covered by this instrument or an individual instrument made by ASIC on terms similar to this instrument; or

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- (ii) an employee incentive scheme or employee share scheme of the Company or a related body corporate, where the offers were covered by ASIC Class Order [CO 03/184] or an individual instrument made by ASIC on terms similar to that class order.

*FCPE structure*

18. The Company must take all reasonable steps to ensure that:
- (a) the Manager maintains written records on the administration of the FCPE including written records that identify the underlying eligible products held on an allocated basis for the specified eligible participant;
  - (b) the Manager and the Custodian do not levy any fees or charges for administering the FCPE that are payable directly by any eligible participant or out of the assets of the FCPE, other than reasonable disbursements including brokerage and tax levied or incurred in connection with the FCPE or fees and charges, as otherwise provided for in the Rules, or as the Company reasonably believes are authorised under the laws of France;
  - (c) the Manager does not, at its own discretion, exercise any voting rights attaching to any of the underlying eligible products held in the FCPE;
  - (d) the FCPE does not hold more than 5% of the voting shares or voting interests in the Company where such holdings relate to employee incentive schemes of the Company or a related body corporate in reliance on this instrument;
  - (e) the FCPE and an employee incentive scheme covered by this instrument, at all times, are approved and regulated by the Relevant Agency; and
  - (f) the Custodian complies with the laws of France.

*Regulation*

19. The Specified Person must, at all times, comply with the Rules.
20. The Manager must, at all times, be approved by the Relevant Agency.
21. The Rules must not be modified or varied in any material respect that would adversely affect the rights and interests of eligible participants, unless:
- (a) the Company reasonably believes that such modification or variation is required by the laws of France; or
  - (b) ASIC gives prior written notice to the Company that it does not object to the modification or variation.
22. The Company must notify ASIC as soon as practicable, and in any event, within 15 business days from the date it knew, or should reasonably have known, of the following notifiable matters:
- (a) any significant change to the authorisation granted by the Relevant Agency relating to the operation of the FCPE, including any exemptions or other relief granted to any of the Specified Person; and
  - (b) the details of each significant investigation, disciplinary or enforcement action against any of the Specified Persons.



**21-0390***FCPE annual financial statements*

23. The FCPE annual financial statements must be audited annually.
24. If requested by an eligible participant at any time during the period the eligible participant is participating in an employee incentive scheme covered by this instrument, the Company must provide and make available at the registered office or principal place of business of Australian Company, during normal business hours or such other time as is agreed with the eligible participant:
  - (a) the most recent FCPE annual financial statements and accompanying auditors' report;
  - (b) a copy of the Rules;
  - (c) a copy of the offer document; and
  - (d) a response to any other reasonable request for information.

*Redemption of eligible products*

25. The Australian Company must accept notices, correspondence and service of process on behalf of each of the Specified Person at its registered office or principal place of business.
26. The Australian Company must forward any notice received from an eligible participant in connection with an employee incentive scheme, including a notice relating to the buy-back or redemption of eligible products as provided for in the Rules, to the Manager without delay.
27. The Company must notify ASIC within 5 business days of:
  - (a) suspension or termination of the buy-back arrangements or redemption facilities of eligible products in the FCPE; or
  - (b) suspension of the quotation of the underlying eligible products of the Company on the eligible financial market.
28. The Company must maintain, at the registered office or principal place of business of the Australian Company, a register of eligible participants who are participating in an employee incentive scheme covered by this instrument that includes details of:
  - (a) the names and addresses of each eligible participant;
  - (b) the extent of the holding of each eligible participant;
  - (c) the date at which the name of each eligible participant was entered in the register; and
  - (d) the date at which any eligible participant's interest ceased.

**ASIC power to request documents**

29. A Specified Person must, if requested by ASIC and in accordance with the request, make available to ASIC the offer document and all other accompanying information or documents given to eligible participants in connection with an offer that is made in reliance on this instrument, including:
  - (a) records relating to the issue or sale of and the buy-back or redemption of eligible products in the FCPE to or from eligible participants; and

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- (b) if any document is not in English, a translation of that document into English which must be a certified translation if requested by ASIC.

### Interpretation

30. In this instrument:

- (a) *able to be traded* has the meaning given by section 761A of the Act;

*Australian Company* means one or more of the following entities: Sanofi-Aventis Australia Pty Ltd ACN 008 558 807 and Sanofi-Aventis Healthcare Pty Limited ACN 076 651 959;

*casual employee*, in relation to the Company or a related body corporate, means an individual who is, or might reasonably be expected to be, engaged to work the number of hours that are the pro-rata equivalent of 40% or more of a comparable full-time position with the body;

*Company* means Sanofi, a body registered in France and listed in the eligible financial market;

*Custodian* means the custodian of the FCPE from time to time (presently CACEIS BANK, a body registered in France), which, by way of contract, acts for or on behalf of the Company in connection with an offer to an eligible participant under an employee incentive scheme;

*contribution*, in relation to a contribution plan, does not include:

- (i) nominal monetary consideration; or
- (ii) a monetary contribution as consideration for an issue, transfer or grant of an eligible product to the eligible participant without undue delay (including a monetary contribution made to exercise an eligible product or cause an eligible product to vest);

*contribution plan* means a plan under which an eligible participant may make monetary contributions to acquire eligible products, whether made before or after the acquisition, from one or more of the following:

- (i) gross (before-tax) wages or salary;
- (ii) net (after-tax) wages or salary;
- (iii) other monies;

*eligible financial market* means the financial market operated by Euronext Paris and, unless a contrary intention appears, is limited to the main board of that market;

*eligible participant* means, in relation to the Company or a related body corporate, a person specified in column 2 of Table A who is a resident in this jurisdiction;

*eligible product* means, in relation to the Company, means a financial product specified in column 1 of Table A;

*employee incentive scheme* means an arrangement under which eligible products of or relating to the Company are offered to eligible participants through a FCPE (or in connection with a FCPE), and which is designed to

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support interdependence between the Company and its related bodies corporate and those participants for their long-term mutual benefit;

*FCPE* means a collective employee investment vehicle known as a Fonds Commun de Placement d'Entreprise approved by the Relevant Agency and including any successor FCPEs that are formed on a temporary basis in order to make offers of eligible products to eligible participants;

*FCPE annual financial statement* means the books of account maintained in respect of the activities of the FCPE (including the statement of assets and liabilities, balance sheet, income statement, together with the related notes) prepared in accordance with French accounting standards and the laws of France;

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

*general advice* has the meaning given by section 766B of the Act;

*Manager* means the independent management company of the FCPE from time to time (presently Amundi Asset Management) which, by way of contract with the Company, acts for or on behalf of the Company in connection with an offer to an eligible participant under an employee incentive scheme;

*nominal monetary consideration* means monetary consideration of a token or trivial amount;

*notice of reliance*, in relation to a particular employee incentive scheme, means a written notice in a form approved in writing by ASIC;

*offer*, in relation to an eligible product, has a meaning affected by sections 700, 702 and 1010C of the Act and includes:

- (i) an offer to issue the eligible product;
- (ii) an issue or grant of the eligible product;
- (iii) an offer to transfer the eligible product;
- (iv) a transfer of the eligible product; and
- (v) an offer to arrange for the issue or transfer of the eligible product;

*offer document*, in relation to an offer of eligible products under an employee incentive scheme, means a document which includes, or is accompanied by, the following information, statements and explanations worded and presented in a clear, concise and effective manner:

- (i) prominent statements to the effect that:
  - a. any advice given by any Specified Person in relation to eligible products offered under the employee incentive scheme does not take into account an eligible participant's objectives, financial situation and needs;
  - b. eligible participants should consider obtaining their own financial product advice from a person who is licensed by ASIC to give such advice; and

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- c. the FCPE and the employee incentive scheme are regulated by the laws of France, and those laws differ from Australian laws;
- (ii) either:
- a. a copy of the Rules; or
  - b. a summary of the Rules together with a statement that, on request and at no charge and within a reasonable time, the Company will provide an eligible participant with a copy of the Rules;
- (iii) general information about the risks of acquiring and holding an eligible product being offered under the employee incentive scheme;
- (iv) as the FCPE and employee incentive schemes are regulated by the laws of France, a brief description of the legal and practical effect (if any) this may have on the rights and ability of an eligible participant domiciled in Australia to make any claim or enforce any right arising out of or in connection with the offer of an eligible product;
- (v) an explanation of the nature of any special risks associated with cross-border investing, such as risks arising from foreign taxation requirements, foreign currency or time differences;
- (vi) details of how the Rules provide for any fees or charges for administering the FCPE that are payable directly by any eligible participant or out of the assets of the FCPE;
- (vii) the acquisition price of the eligible products in Australian dollars or, where the acquisition price is to be worked out in the future under a formula, an explanation of how an eligible participant could calculate the acquisition price of the eligible products in Australian dollars were that formula applied at the date of the offer; and
- (viii) an explanation of how an eligible participant could, from time to time, ascertain the market price of an underlying eligible product in Australian dollars;

**prospective participant**, in relation to an offer of an eligible product under an employee incentive scheme, means a person to whom the offer is made but who can only accept the offer if an arrangement has been entered into that will result in the person becoming covered by one of paragraphs (a) to (c) of column 2 of Table A;

**related body corporate** has the meaning given in section 50 of the Act;

**Relevant Agency** means the Autorité des Marchés Financiers, the French Market Authority;

**Rules** means the rules of an employee incentive scheme, the rules of the FCPE and the rules of any successor FCPEs that are formed on a temporary basis, each as approved by the Relevant Agency and as amended from time to time;

**Specified Person** means:

- (i) the Company;

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- (ii) the related bodies corporate of the Company;
- (iii) the Custodian;
- (iv) the Manager; and
- (v) any person who, by way of contract between the person and the Company, acts for or on behalf of the Company in connection with an offer of an eligible product to an eligible participant under an employee incentive scheme;

**underlying eligible product** means an eligible product specified in any of paragraphs (a) to (b) in column 1 of Table A;

- (b) an offer of eligible products to an eligible participant under an employee incentive scheme on terms that the eligible participant may renounce the offer in favour of a person covered by one of the following paragraphs is to be treated as an offer of eligible products to the eligible participant:
  - (i) an immediate family member of the eligible participant;
  - (ii) a company whose members comprise no persons other than the eligible participant or immediate family members of the participant; and
  - (iii) a corporate trustee of a self-managed superannuation fund (within the meaning of the *Superannuation Industry (Supervision) Act 1993*) where the eligible participant is a director of the trustee; and
- (c) an employee incentive scheme, employee share scheme, or like scheme is covered by an instrument to the extent that offers are made, or other conduct is carried out, in reliance on this instrument; and
- (d) for the avoidance of doubt, a document or other writing to be given in connection with this instrument may be given by electronic means (including, in the case of a document or other writing to be given by a Specified Person in relation on this instrument, by way of making it available on a website and notifying the intended recipient that it is available on the website).

Dated this 10<sup>th</sup> day of May 2021



Signed by Jessica Reid

as a delegate of the Australian Securities and Investments Commission

21-0390

**Table A**

<b>Column 1</b> <b>Eligible product</b>	<b>Column 2</b> <b>Eligible participant</b>
<p>(a) a fully paid share of the Company that is in a class of shares able to be traded on an eligible financial market;</p> <p>(b) a unit in a financial product mentioned in paragraph (a);</p> <p>(c) a financial product that relates to a financial product mentioned in paragraph (a) including a conditional right to acquire by way of issue or transfer a financial product mentioned in paragraph (a);</p>	<p>(a) a full-time or part-time employee (including an executive director);</p> <p>(b) a non-executive director;</p> <p>(c) a casual employee;</p> <p>(d) a prospective participant.</p>
<p>where in each case in relation to a product mentioned in paragraph (a):</p>	
<p>(d) the share is in the same class as financial products which were able to be traded on the relevant financial market at all times in the 3 months before the day the offer document is first given to an eligible participant; and</p>	
<p>(e) the class of class of shares were not suspended for more than a total of 5 days during the shorter of the period during which the class of products were able to be traded, and the period of 12 months before the day the offer document is first given to an eligible participant.</p>	

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

**Notice of Cancellation of an Australian Financial Services Licence**

TO: TALBOT PARTNERS PTY LTD A.C.N. 062 793 444 (the "Licensee")  
58 COBDEN STREET, SOUTH MELBOURNE, VICTORIA 3205

Pursuant to paragraph 915B(3)(d) of the Corporations Act 2001 the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 246225 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated this 20<sup>th</sup> day of May, 2021

Signed *N Vonarx* .....

Nicholas Vonarx

A delegate of the Australian Securities and Investments Commission

21-0402

**Australian Securities and Investments Commission  
Corporations Act 2001 – Subsections 601QA(1), 741(1), 926A(2),  
992B(1) and 1020F(1) – Exemptions**

**Enabling legislation**

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under subsections 601QA(1), 741(1), 926A(2), 992B(1) and 1020F(1) of the *Corporations Act 2001* (the *Act*).

**Title**

2. This instrument is ASIC Instrument 21-0402.

**Commencement**

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

**Nature of this instrument**

4. This instrument is an individual relief instrument, as referred to paragraphs 28A to 28D of ASIC Class Order [CO 14/1000].

**Disclosure relief***Offers made under an employee incentive scheme*

5. The Company or a related body corporate that makes an offer under an employee incentive scheme covered by this instrument does not have to comply with Part 6D.2, 6D.3 or Part 7.9 of the Act in relation to the offer.

*Subsequent sale offers*

6. A person that makes a sale offer of an underlying eligible product within 12 months after the issue of the product does not have to comply with Part 6D.2, 6D.3 or Part 7.9 of the Act in relation to the sale offer where:
  - (a) the product was issued or otherwise granted:
    - (i) to an eligible participant under an employee incentive scheme; or
    - (ii) to a trustee in connection with an employee incentive scheme; and
  - (b) the person has no reason to believe the employee incentive scheme is not covered by this instrument.



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7. A person that makes a sale offer of a financial product within 12 months after the issue of the product does not have to comply with Part 6D.2, 6D.3 or Part 7.9 of the Act in relation to the sale offer where:
- (a) the product was issued by reason of the exercise or vesting of an eligible product issued or otherwise granted to:
    - (i) an eligible participant under an employee incentive scheme; or
    - (ii) to a trustee in connection with an employee incentive scheme; and
  - (b) the person has no reason to believe the employee incentive scheme is not covered by this instrument.

**Licensing, hawking and other incidental relief***General advice*

8. The Company or a related body corporate that makes an offer under an employee incentive scheme covered by this instrument and, in relation to the offer, provides a financial service consisting of general advice in connection with the offer, does not have to comply with subsection 911A(1) of the Act in relation to the advice.

*Dealing*

9. The Company or a related body corporate that provides any of the following financial services in relation to an offer in connection with an employee incentive scheme covered by this instrument does not have to comply with subsection 911A(1) of the Act in relation to the financial service:
- (a) issuing the eligible product;
  - (b) dealing in the eligible product where any acquisition by purchase or disposal of the eligible product by the Company or a related body corporate occurs either:
    - (i) through a financial services licensee; or
    - (ii) outside this jurisdiction and through a person which is licensed or otherwise authorised to deal in financial products of that kind in the relevant place;
  - (c) dealing in an interest in a managed investment scheme covered by paragraph 13 of this instrument or paragraph 28C of ASIC Class Order [CO 14/1000].

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*Custodial or depository services*

10. The Company or a related body corporate that provides any of the following financial services in connection with an employee incentive scheme covered by this instrument does not have to comply with subsection 911A(1) of the Act in relation to the financial service:
  - (a) a custodial or depository service in relation to the eligible product where the body performs their duties in good faith and has sufficient resources to perform those duties;
  - (b) dealing in the eligible product in the course of providing a custodial or depository service covered by paragraph (a).

*Hawking*

11. The Company or a related body corporate that makes an offer of an eligible product to an eligible participant in the course of, or because of, an unsolicited meeting or telephone call held or made in connection with an employee incentive scheme covered by this instrument does not have to comply with section 736, 992A or 992AA of the Act.

*Advertising*

12. The Company or a related body corporate that advertises, or publishes a statement that is reasonably likely to induce eligible participants to acquire, an eligible product under an employee incentive scheme covered by this instrument does not have to comply with section 1018A of the Act in relation to the advertisement or publication.

*Incidental managed investment scheme*

13. The Company or a related body corporate that operates a managed investment scheme only by reason of operating a contribution plan in connection with an employee incentive scheme covered by this instrument does not have to comply with section 601ED of the Act in relation to the operation of that managed investment scheme.

**Conditions***Notice of reliance*

14. The Company or a related body corporate making an offer in connection with a particular employee incentive scheme must give ASIC a notice of reliance.

Note: A notice of reliance can cover a particular employee incentive scheme that is intended to

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operate for many years. A new notice of reliance will be required to be given to ASIC if the Company or a related body corporate establishes a new employee incentive scheme.

15. The Company or a related body corporate may give ASIC the notice of reliance at any time before the body first relies on this instrument in relation to the particular employee incentive scheme but, in any event, must give ASIC the notice of reliance no later than 1 month after the day the body first relies on this instrument in relation to the particular employee incentive scheme.

*Disclosure*

16. The Company or a related body corporate that makes an offer under an employee incentive scheme must ensure that the offer is made in, or is accompanied by, an offer document.

*Offers must be conditional on quotation*

- 16A. The Company or a related body corporate that makes an offer under an employee incentive scheme in reliance on this instrument must ensure that any offers to eligible participants are:
  - (a) made on or after the day the Prospectus has been lodged with the SEC and while the offers of securities that have been made under the Prospectus are still open for acceptance; and
  - (b) conditional on the quotation of the Company's shares on the eligible financial market.

*Offers of overlying eligible products*

17. If the Company, a related body corporate or a trustee makes an offer of an overlying eligible product under an employee incentive scheme, the Company or the related body corporate must ensure that, if the overlying eligible product is not able to be traded on an eligible financial market, the offer is for no more than nominal monetary consideration.

Note: This paragraph 17 does not prohibit an offer for more than nominal monetary consideration of an underlying eligible product held or to be held by a trustee under a trust in relation to which the eligible participant acquires or will acquire a unit in the underlying eligible product because it is or will be held by the trustee under the trust.

*5% issue limit*

18. The Company or a related body corporate that makes an offer covered by this instrument must, at the time of making the offer, have reasonable grounds to believe that the number of underlying eligible products in a class of underlying eligible products that form part of the issued capital of the Company that have been or may

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be issued in any of the circumstances covered by the following paragraphs will not exceed 5% of the total number of underlying eligible products in that class on issue:

- (a) underlying eligible products that may be issued under the offer;
- (b) underlying eligible products issued or that may be issued as a result of offers made at any time during the previous 3 year period under:
  - (i) an employee incentive scheme or like scheme of the Company or a related body corporate, where offers were covered by this instrument or an individual instrument made by ASIC in terms similar to this instrument; or
  - (ii) an employee incentive scheme or employee share scheme of the Company or a related body corporate, where the offers were covered by ASIC Class Order [CO 14/1000] or an individual instrument made by ASIC in terms similar to that class order.

#### *Trusts*

19. The Company or a related body corporate that makes an offer of an underlying eligible product under an employee incentive scheme in relation to which a trustee holds or will hold the underlying eligible products must ensure:
- (a) the activities of the trustee of the trust in that capacity are limited to employee incentive schemes of the Company or the related body corporate (whether or not the other employee incentive schemes are covered by this instrument);
  - (b) the trustee maintains written records on the administration of the trust including, in the case of underlying eligible products being held for a specified eligible participant on an allocated basis, written records that identify the underlying eligible products held on an allocated basis for the specified eligible participant;  

Note: The written records in relation to underlying eligible products held on an allocated basis may take the form of a sub-register administered by or on behalf of the trustee.
  - (c) the trustee does not levy any fees or charges for administering the trust that are payable directly by any eligible participant or out of the assets of the trust, other than reasonable disbursements including brokerage and tax levied or incurred in connection with the trust;
  - (d) if the trustee is the Company or an associate of the Company —the trustee does not, at its own discretion, exercise any voting rights attaching to any of the underlying eligible products that it holds on trust; and

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- (e) the trustee, either alone or together with one or more other trustees, does not hold more than 5% of the voting shares or voting interests in the Company calculated by reference to all employee incentive schemes or like schemes of the Company or a related body corporate in relation to which offers were covered by this instrument, ASIC Class Order [CO 14/1000] or an individual instrument made, on or after the commencement of this instrument, by ASIC in terms similar to this instrument.

*Contribution plans*

20. The Company or a related body corporate that makes an offer under an employee incentive scheme that involves a contribution plan:
- (a) must not allow an eligible participant to participate in the contribution plan unless the eligible participant has agreed in writing to the terms of the contribution plan;
  - (b) must not allow an eligible participant to participate in the contribution plan to acquire an overlying eligible product that is not able to be traded on an eligible financial market;

Note: This subparagraph (b) does not prohibit an eligible participant from participating in a contribution plan to acquire an underlying eligible product held or to be held by a trustee under a trust in relation to which the eligible participant acquires or will acquire a unit in the underlying eligible product because it is or will be held by the trustee under the trust.

- (c) must ensure that any contributions (other than contributions in the form of future gross (before-tax) salary or wages or from a loan from the Company or a related body corporate to an eligible participant) under the terms of the contribution plan which are to be used but have not yet been used to acquire underlying eligible products are held by or on behalf of the Company or a related body corporate on trust for eligible participants, in an account with an Australian ADI that is used solely in connection with employee incentive schemes of the Company or a related body corporate (whether or not the other employee incentive schemes are covered by this instrument), whether the account is maintained in this jurisdiction or elsewhere;
- (d) must ensure that if underlying eligible products have been acquired by the trustee for a specified eligible participant on an allocated basis using contributions made by the eligible participant under a contribution plan, the eligible participant has the right to:
  - (i) exercise, or to direct the trustee of the underlying eligible products to exercise on their behalf, any voting rights attaching to the underlying eligible products; and

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- (ii) receive income deriving from the underlying eligible products, including dividends and distributions;

Note: The right to receive dividends or distributions may be subject to terms that the dividends or distributions are to be applied to repay a loan from the Company or a related body corporate to the eligible participant in connection with the employee incentive scheme.

- (e) unless the eligible participant (or a person covered by one of the subparagraphs in subparagraph 23(3)) has already acquired the eligible products under the employee incentive scheme— must ensure that an eligible participant may, by giving a notice to the Company or a related body corporate, discontinue their participation in the contribution plan, the discontinuance to take effect no more than 45 days after the giving of the notice; and
- (f) must ensure that if an eligible participant has discontinued their participation in the contribution plan, any contributions (other than contributions in the form of future gross (before-tax) salary or wages or from a loan from the Company or a related body corporate to an eligible participant) under the terms of the contribution plan that have not been used to acquire underlying eligible products, are repaid to or as directed by the participant as soon as practicable after the participant has discontinued their participation in the contribution plan (such repayment including any accumulated interest (if any), less any tax).

#### *Loans*

21. The Company or a related body corporate making an offer of an eligible product under an employee incentive scheme that involves a loan from the Company or a related body corporate to an eligible participant to acquire the product:
  - (a) must ensure that the loan is not provided to acquire options or incentive rights; and
  - (b) must ensure that under the terms of the loan:
    - (i) no fees or interest is payable; and
    - (ii) either:
      - (A) the lender has no recourse against the participant in relation to the repayment of the loan; or
      - (B) the recourse of the lender against the participant in relation to the

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repayment of the loan is limited to forfeiture of the eligible products issued or transferred to, or held on behalf of, the participant in connection with the scheme.

#### **ASIC power to request documents**

22. The Company or a related body corporate must, if requested by ASIC and in accordance with the request, make available to ASIC the offer document and all other accompanying information or documents given to eligible participants in connection with the offer made in reliance on this instrument.

#### **Interpretation**

23. In this instrument:

- (1) *able to be traded* has the meaning given by section 761A of the Act;

*associate* has the meaning given by Division 2 of Part 1.2 of the Act (except sections 12 and 16);

*ASX* means the financial market operated by ASX Limited ACN 008 624 691;

*casual employee*, in relation to the Company or a related body corporate, means an individual who is, or might reasonably be expected to be, engaged to work the number of hours that are the pro-rata equivalent of 40% or more of a comparable full-time position with the body;

*Company* means Procure Technologies, Inc., a company incorporated under the laws of the State of Delaware, United States of America;

*contractor*, in relation to the Company or a related body corporate, means:

- (a) an individual with whom the body has entered into a contract for the provision of services under which the individual performs work for the body; or
- (b) a company with whom the body has entered into a contract for the provision of services under which an individual, who is a director of the company or their spouse, performs work for the body;

where the individual who performs the work under or in relation to the contract is, or might reasonably be expected to be, engaged to work the number of hours that are the pro-rata equivalent of 40% or more of a comparable full-time position with the body;

*contribution*, in relation to a contribution plan, does not include:

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- (a) nominal monetary consideration; or
- (b) a monetary contribution as consideration for an issue, transfer or grant of an eligible product to the eligible participant without undue delay (including a monetary contribution made to exercise an eligible product or cause an eligible product to vest);

**contribution plan** means a plan under which an eligible participant may make monetary contributions to acquire eligible products, whether made before or after the acquisition, from one or more of the following:

- (a) gross (before-tax) wages or salary;
- (b) net (after-tax) wages or salary;
- (c) other monies;

**eligible financial market** means a financial market specified in column 1 of Table A and, unless a contrary intention appears, is limited to the main board of that market;

**eligible participant**, in relation to the Company or a related body corporate, means a person specified in column 3 of Table A;

**eligible product**, in relation to the Company, means a financial product specified in column 2 of Table A;

**employee incentive scheme** means an arrangement under which eligible products of the Company are offered to eligible participants;

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

**general advice** has the meaning given by section 766B of the Act;

**incentive right** means a conditional right:

- (a) to acquire underlying eligible products;
- (b) to be paid a cash amount that is ultimately determined by reference to (wholly or in part):
  - (i) the price or value at a given time of the underlying eligible product to which the right relates;
  - (ii) a change in the price or value over a given period of the



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underlying eligible product to which the right relates;

(iii) the amount or value of dividends or distributions paid or payable in relation to the underlying eligible product to which the right relates; or

(iv) a change in the amount or value over a given period of time of dividends or distributions paid or payable in relation to the underlying eligible product to which the right relates; or

(c) to acquire or to be paid a combination of underlying eligible products and a cash amount as determined in accordance with paragraph (b);

**nominal monetary consideration means** monetary consideration of a token or trivial amount;

**notice of reliance**, in relation to a particular employee incentive scheme, means a written notice in a form approved in writing by ASIC for the purposes of ASIC Class Order [CO 14/1000];

**offer**, in relation to an eligible product, has a meaning affected by sections 700, 702 and 1010C of the Act and includes:

- (a) an offer to issue the eligible product;
- (b) an issue or grant of the eligible product;
- (c) an offer to transfer the eligible product;
- (d) a transfer of the eligible product;
- (e) an offer to arrange for the issue or transfer of the eligible product;

but does not include an issue, grant or transfer of an underlying eligible product made by reason of the exercise or vesting of an overlying eligible product in circumstances where an offer to issue or transfer the overlying eligible product had been previously made.

**offer document**, in relation to an offer of eligible products under an employee incentive scheme, means a document which includes, or is accompanied by, the following information, statements and explanations worded and presented in a clear, concise and effective manner:

- (a) prominent statements to the effect that:
  - (i) any advice given by the Company in relation to eligible products

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offered under the employee incentive scheme does not take into account an eligible participant's objectives, financial situation and needs;

- (ii) eligible participants should consider obtaining their own financial product advice from a person who is licensed by ASIC to give such advice;
  - (iii) the Company will provide a hard copy of the Prospectus to eligible participants on request (and how eligible participants can access an electronic version of the Prospectus);
  - (iv) the offer is conditional on quotation of the Company's shares on the eligible financial market; and
  - (v) the Company and the employee incentive scheme are regulated by the laws of the United States of America, and those laws differ from Australian laws;
- (b) either:
- (i) a copy of the terms of the employee incentive scheme; or
  - (ii) a summary of the terms of the scheme together with a statement that, on request and at no charge and within a reasonable time, the Company will provide an eligible participant with a copy of the terms of the scheme;
- (c) general information about the risks of acquiring and holding an eligible product being offered under the employee incentive scheme;
- (d) if a trustee will hold underlying eligible products for specified eligible participants on an allocated basis in connection with the employee incentive scheme and those eligible participants will have the right to:
- (i) exercise, or direct the trustee to exercise on their behalf, any rights (including voting rights) attaching to the underlying eligible products; or
  - (ii) receive income deriving from the underlying eligible products, including dividends or distributions,

then either — a copy of the trust deed or a summary of the terms of the trust deed together with a statement that, on request and at no charge and within a reasonable time, the Company will provide an eligible

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participant with a copy of the trust deed;

- (e) if the employee incentive scheme involves a contribution plan—either:
  - (i) a copy of the contribution plan; or
  - (ii) a summary of the terms of the contribution plan together with a statement that, on request and at no charge and within a reasonable time, the Company will provide an eligible participant with a copy of the terms of the contribution plan;
- (f) if the employee incentive scheme involves a loan from the Company or a related body corporate to an eligible participant to acquire the product—a copy of the terms of the loan;
- (g) the acquisition price of the eligible products in Australian dollars or, where the acquisition price is to be worked out in the future under a formula, an explanation of how an eligible participant could calculate the acquisition price of the eligible products in Australian dollars were that formula applied at the date of the offer;
- (h) an explanation of how an eligible participant could, from time to time, ascertain the market price of the underlying eligible products in Australian dollars;

**overlying eligible product** means an eligible product specified in any of paragraphs (g) to (i) in column 2 of Table A;

**prospective participant**, in relation to an offer of an eligible product under an employee incentive scheme, means a person to whom the offer is made but who can only accept the offer if an arrangement has been entered into that will result in the person becoming covered by one of paragraphs (a) to (d) of column 3 of Table A;

**Prospectus** means the disclosure documents lodged by the Company under Rule 424(b) of the U.S. Securities Act of 1933, as amended for an initial public offer and listing on the New York Stock Exchange;

**related body corporate** has the meaning given in section 50 of the Act;

**SEC** means the United States Securities and Exchange Commission;

**stapled security** means two or more eligible products which, under the terms on which each is traded, must be transferred together;

**trustee** means a body that holds or will hold underlying eligible products on

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trust for the following persons in connection with an employee incentive scheme:

- (a) eligible participants generally on an unallocated basis; or
- (b) one or more specified eligible participants on an allocated basis;

***underlying eligible product*** means an eligible product specified in any of paragraphs (a) to (f) in column 2 of Table A;

- (2) if the Company is a registered scheme:
  - (i) the conferral of relief on the Company is taken to be the conferral of relief on the responsible entity of the scheme;
  - (ii) a requirement imposed on the Company is taken to be a requirement imposed on the responsible entity of the scheme;
  - (iii) a reference to occupying a position or role with the Company is taken to be a reference to occupying a position or role with the responsible entity of the scheme;
- (3) an offer of eligible products to an eligible participant under an employee incentive scheme on terms that the eligible participant may renounce the offer in favour of a person covered by one of the following sub-subparagraphs is to be treated as an offer of eligible products to the eligible participant:
  - (i) an immediate family member of the eligible participant;
  - (ii) a company whose members comprise no persons other than the eligible participant or immediate family members of the participant;
  - (iii) a corporate trustee of a self-managed superannuation fund (within the meaning of the *Superannuation Industry (Supervision) Act 1993*) where the eligible participant is a director of the trustee;
- (4) an employee incentive scheme, employee share scheme, or like scheme, is ***covered by*** an instrument to the extent that offers are made, or other conduct is carried out, in reliance on the instrument;
- (5) unless specified to the contrary, a document or other writing to be given in connection with this instrument may be given by electronic means (including, in the case of a document or other writing to be given by the Company or a related body corporate in reliance on this instrument, by way of making it available on a website and notifying the intended recipient that it is available on the website).

21-0402

Dated this 17<sup>th</sup> day of May 2021

A handwritten signature in black ink, appearing to read 'Daniel Slupek', written in a cursive style.

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

21-0402

Table A

Column 1 Eligible financial market	Column 2 Eligible product	Column 3 Eligible participant
<p>(a) ASX (also known as the Australian Securities Exchange);</p> <p>(b) an approved foreign market (see section 9 of the Act).</p> <p>Note: the definition of approved foreign market is notionally inserted by ASIC Corporations (Definition of Approved Foreign Market) Instrument 2017/669</p>	<p>(a) a fully paid share of the Company that is in a class of shares able to be traded on an eligible financial market;</p> <p>(b) a beneficial interest in a fully paid share of the Company where the interest is in a class of interests that is able to be traded on an eligible financial market;</p> <p>(c) a fully paid share of the Company in relation to which both of the following apply:</p> <p>(i) a beneficial interest in a share of that class are in a class of interests that is able to be traded on an eligible financial market;</p> <p>(ii) the share is convertible into the beneficial interest without charge or for a nominal fee;</p> <p>(d) a beneficial interest in a fully paid share of the Company in relation to which both of the following apply:</p> <p>(i) the fully paid share is in a class of shares that is able to be traded on an eligible financial market;</p> <p>(ii) the beneficial interest is convertible into the share without charge or for a nominal fee;</p> <p>(e) a fully paid stapled security of the Company that is in a class of stapled securities that is able to be traded on ASX;</p> <p>(f) where the Company is a registered</p>	<p>(a) a full-time or part-time employee (including an executive director);</p> <p>(b) a non-executive director;</p> <p>(c) a contractor;</p> <p>(d) a casual employee;</p> <p>(e) a prospective participant.</p>

21-0402

Column 1 <b>Eligible financial market</b>	Column 2 <b>Eligible product</b>	Column 3 <b>Eligible participant</b>
	<p>scheme—an interest in the Company that is in a class of interests that is able to be traded on ASX;</p> <p>(g) a unit in a financial product mentioned in paragraphs (a) to (f);</p> <p>(h) an option to acquire, by way of issue or transfer, a financial product mentioned in paragraphs (a) to (f);</p> <p>(i) an incentive right granted in relation to a financial product mentioned in paragraphs (a) to (f).</p>	

21-0407

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

**Enabling legislation**

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

**Title**

2. This instrument is ASIC Instrument 21-0407.

**Commencement**

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

**Declaration**

4. Part 7.9 of the Act applies in relation to section 1020B products under or in connection with a public offer of BMC Minerals Ltd ARBN 647 860 124 as if:
  - (a) sub-paragraph 1020B(7C)(a)(ii) of the Act (as notionally inserted by *ASIC Corporations (Short Selling) Instrument 2018/745*) were modified by inserting “(or agreement to pay)” after “including payment of”; and
  - (b) sub-paragraph 1020B(7D)(a)(iii) of the Act (as notionally inserted by *ASIC Corporations (Short Selling) Instrument 2018/745*) were modified by inserting “(or agreement to pay)” after “including payment of”.

Dated 12 May 2021



Signed by Kyle Wright  
as 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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Fax: +61 1300 729 000

[www.asic.gov.au](http://www.asic.gov.au)

**21-0412**

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

**Notice of Cancellation of an Australian Financial Services Licence**

TO: Aracon Superannuation Pty Ltd  
ABN 13 133 547 396 ("the Licensee")  
L12, 500 Collins St  
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 507184 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 17<sup>th</sup> day of May 2021

Signed *J. Charles*.....

Jedo Charles  
A delegate of the Australian Securities and Investments  
Commission

21-0416

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

**Notice of Cancellation of an Australian Financial Services Licence**

TO: Columbus Direct Travel Insurance Pty Limited  
ACN: 107 050 582 ("the Licensee")  
Level 13  
124 Walker Street  
NORTH SYDNEY NSW 2060

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 246636 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 18 May 2021

Signed



Margaret Stone  
A delegate of the Australian Securities and Investments Commission

21-0427

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

**Notice of Cancellation of an Australian Financial Services Licence**

TO: Arafura Accounting Pty Ltd  
ACN 117 486 227 ("the Licensee")  
Level 1  
11 Marlow Road  
BERIMAH NT 0828

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 484868 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 19 May 2021

Signed



Margaret Stone  
A delegate of the Australian Securities and Investments Commission

21-0432

**Australian Securities and Investments Commission  
Corporations Act 2001 – Subsection 601CK(7) – Declaration**

**Enabling legislation**

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under subsection 601CK(7) of the *Corporations Act 2001* (the *Act*).

**Title**

2. This instrument is ASIC Instrument 21-0432

**Commencement**

3. This instrument commences on gazettal.

**Declaration**

4. Section 601CK of the Act does not apply to Keypath Education International, Inc. ARBN 649 711 026, a company incorporated in the State of Delaware, United States (the *Company*) in relation to:
  - (a) its financial year ending 30 June 2021 (a *relevant financial year*); and
  - (b) each of its subsequent financial years (a *relevant financial year*) when they arise.

**Where this instrument applies**

5. This instrument applies to the Company for so long as it:
  - (a) is registered under Division 2 of Part 5B.2 of the Act; and
  - (b) is included in the official list of the financial market operated by ASX Limited;
  - (c) is not required under the law of the place of its incorporation to prepare a balance-sheet, a cash flow statement or a profit and loss statement; and
  - (d) is not a reporting company;

and where:

- (e) the Company gave ASX Limited the information set out in Appendix 4E (preliminary final report) in relation to the Company's financial year ending on 30 June 2021 in compliance with ASX Listing Rule 4.3A;

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- (f) the Company has complied with:
- (i) the condition in section 6 in relation to the Company's financial year that ending 30 June 2021; and
  - (ii) the conditions in section 7 in relation to any subsequent relevant financial year ending after 30 June 2021.

**Conditions**

6. For the purposes of obtaining the relief available under section 4 in relation to the Company's financial year ending on 30 June 2021 – the Company must have lodged with ASIC its Key Financial Statements for the financial year ending 30 June 2021 on or before 30 September 2021.
7. For the purposes of obtaining the relief available under section 4 in relation to any subsequent relevant financial year of the Company ending after 31 December 2021 – the Company must:
- (a) have lodged with ASIC its Key Financial Statements for the relevant financial year within 3 months after the end of the relevant financial year; and

Note: The requirement to lodge the Key Financial Statements with ASIC within 3 months after the end of the relevant financial year is consistent with the lodgement deadlines for a disclosing entity under s319(3) of the Act.

- (b) if ASIC requested a Reconciliation Report in relation to the Company's Key Financial Statements for a previous relevant financial year – the Company must have provided the Reconciliation Report in relation to the Company's Key Financial Statement for the previous relevant financial year to ASIC within 1 month after having received the request or within such additional time as ASIC may have allowed by notice to the Company in writing.

Note: This condition is a condition precedent to relief for a relevant financial year. Failure to provide a Reconciliation Report in relation to a previous relevant financial year within the time required will result in the relief under section 4 being unavailable for the relevant financial year and future relevant financial years but will not affect relief that was relied on for any previous relevant financial year. The request may be in relation to any previous relevant financial year that is not necessarily immediately preceding the relevant financial year.

**Interpretation**

8. In this instrument:

*AIFRS* means the Australian International Financial Reporting Standards.

*Exchange Act* means Securities Exchange Act of 1934 of the US.

**21-0432**

**Key Financial Statements** means the Company's balance-sheet, a cash flow statement and a profit and loss statement for the relevant financial year, in such form and containing such particulars as the Company would be required to prepare if it were a reporting company, together with:

- (i) a statement in writing by a director of the Company certifying that to the best of their knowledge and belief, the Key Financial Statements were prepared in conformance with the requirements of US GAAP; and
- (ii) a statement in writing using ASIC Form 405 verifying that the copies of the Key Financial Statements are true copies of the documents.

Note: ASIC Corporations (Electronic Lodgement of Financial Reports) Instrument 2016/181 does not apply to lodgement of Key Financial Statements with ASIC. The Company must also lodge a Form 406 Annual return of a foreign company each year within 1 month after the date to which it is made up.

**Reconciliation Report** means a report that provides a summary of the material differences between:

- (i) the Key Financial Statements for the relevant financial year prepared in conformance with US GAAP; and
- (ii) the Key Financial Statements for the relevant financial year if they were prepared in conformance with AIFRS.

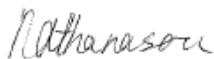
**reporting company** means an issuer incorporated in the US or a State of the US that is subject to the provisions of sections 12(b), 12(g) or 15(d) of the Exchange Act and which is required to file reports periodically with the SEC as required under sections 13 or 15(d) of the Exchange Act.

**SEC** means the Securities Exchange Commission of the US.

**US** means the United States of America.

**US GAAP** means generally accepted accounting principles of the US.

Dated this 19th day of May 2021



Signed by Nicholas Athanasou  
as a delegate of the Australian Securities and Investments Commission

21-0434

## AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

PART 9.4AA OF THE CORPORATIONS ACT 2001  
INFRINGEMENT NOTICE

**To:** Regional Express Holdings Limited ACN 099 547 270  
81-83 Baxter Road  
Mascot NSW 2020

**TAKE NOTICE:** The Australian Securities and Investments Commission (**ASIC**) hereby issues an Infringement Notice to Regional Express Holdings Limited ACN 099 547 270 (**REX**) under subsection 1317DAC(1) of the *Corporations Act 2001* (the **Act**). This Infringement Notice requires REX to:

- (i) pay a penalty to ASIC, on behalf of the Commonwealth, in the sum of \$66,000 (the **Penalty**).

This Infringement Notice is issued on 20 April 2021.

**DETAILS OF THE ALLEGED CONTRAVENTION****The Facts**

REX conducts business in the aviation industry and, relevantly, operates a formerly regional, now regional and domestic, airline.

REX was admitted to the official list of the ASX Limited (**ASX**) on 7 November 2005 and official quotation of its securities commenced on or after that date. REX has been listed since that time.

By at least 24 April 2020, REX had commenced work on a proposal for it to expand into domestic operations in addition to regional operations (the **Proposal**).

By 3 May 2020, a concept plan had been developed which provided further details of the Proposal and an implementation timetable in relation to the Proposal.

On 4 May 2020, REX contacted the Australian Financial Review (the **AFR**) to schedule a discussion later that week.

On 8 May 2020, REX scheduled an interview with the AFR on 11 May 2020 (the **AFR Interview**).

On 9 May 2020, consideration was given by REX to what could be discussed about the Proposal at the AFR Interview.

The AFR Interview took place on 11 May 2020, from shortly after 10:30am to around 11:30am, during which details of the Proposal were disclosed.

At 12:00am on 12 May 2020, the AFR published an article entitled "REX takes fight to Qantas and Virgin" (the **Article**) on its website which included details of the Proposal.

Accordingly, by 11 May 2020, REX was aware of the following information: that it was considering the feasibility of commencing domestic operations in addition to its regional operations (the **Information**).

On 12 May 2020, following the release of the Article, ASX contacted REX regarding the Article and REX requested to be placed in trading halt. Later that day, REX disclosed to ASX that the REX board was considering the feasibility of commencing domestic operations.

On 13 May 2020, an announcement by REX entitled "REX Responds to Recent News Article" was released by the ASX confirming that the REX Board was considering the feasibility of commencing domestic operations in addition to its regional operations. Following the release of the announcement, the trading halt was lifted and REX resumed trading.

Following the announcement on 13 May 2020: REX shares opened at \$1.26, rising as high as \$1.31 and closed at \$1.19, up 32% from the previous closing price of \$0.90 on 11 May 2020; and 1,358,568 REX shares were traded, up 1,192% from 11 May 2020 when 113,928 REX shares were traded.

#### **The Contravention**

This Infringement Notice has been issued because ASIC has reasonable grounds to believe that REX contravened subsection 674(2) of the Act in the period from 11 May 2020 to 12 May 2020, in that:

- (a) REX was an entity to which subsection 674(2) of the Act applied.
- (b) On 11 May 2020, REX was aware of the Information.
- (c) The Information was information that a reasonable person would expect, if it were generally available, to have a material effect on the price or value of securities of REX because information that REX was considering the feasibility of commencing domestic operations in addition to its regional operations was significant information which would, or would be likely to, influence persons who commonly invest in securities in deciding whether to acquire or dispose of REX shares.
- (d) ASX Listing Rule 3.1 required REX to tell ASX of the Information on 11 May 2020.
- (e) ASX Listing Rule 3.1A (the exception to ASX Listing Rule 3.1) did not apply to the Information from shortly after 10:30am on 11 May 2020 because the Information ceased to be confidential and a reasonable person would have expected the Information to be disclosed to the ASX.
- (f) The Information was not generally available prior to 12 May 2020.

#### **Compliance with the Infringement Notice**

REX may choose to comply with this Infringement Notice by paying the Penalty within the compliance period.

The compliance period for this Infringement Notice begins on 21 April 2021 and expires on 18 May 2021: subsection 1317DAH(1) of the Act. ASIC may extend the compliance period for this Infringement Notice once, by up to 28 days: subsection 1317DAH(3) of the Act. If this occurs, ASIC will notify REX in writing.



**Effect of issue and compliance with the Infringement Notice**

The issue of this Infringement Notice, and subsequent compliance with it, is not an admission of liability by REX and cannot be regarded as a finding that REX has contravened subsection 674(2) of the Act for any other purpose: subsection 1317DAF(4) of the Act.

ASIC cannot take civil or criminal proceedings against REX for the alleged contravention specified in this Infringement Notice, either during the compliance period or after the Infringement Notice is complied with: subsection 1317DAF(5) of the Act. However, certain proceedings may be commenced or continued against REX by third parties or by ASIC on behalf of third parties: subsection 1317DAF(6) of the Act.

**Effect of failure to comply with the Infringement Notice**

ASIC cannot enforce compliance with this Infringement Notice: section 1317DAF of the Act. However, if this Infringement Notice is not withdrawn in accordance with section 1317DAI of the Act, it is open to ASIC to take the following action against REX:

- (a) ASIC may begin civil penalty proceedings against the entity under Part 9.4B of the Act seeking a declaration that REX breached the provision specified in this Infringement Notice and a pecuniary penalty order. The size of the pecuniary penalty is not limited to the amount specified in the Infringement Notice. The Court may under Part 9.4B impose a maximum penalty in relation to the alleged contravention as determined by section 1317G of the Act.

Note: Under subsections 1317G(2) and (4) of the Act, the maximum pecuniary penalty is the greatest of:

- (a) 50,000 penalty units; and
  - (b) if the Court can determine the benefit derived and detriment avoided because of the contravention—that amount multiplied by 3; and
  - (c) either:
    - (i) 10% of the annual turnover of REX for the 12-month period ending at the end of the month in which REX contravened, or began to contravene, the civil penalty provision; or
    - (ii) if the amount worked out under subparagraph (i) is greater than an amount equal to 2.5 million penalty units—2.5 million penalty units.
- (b) ASIC may (if applicable) begin proceedings under section 1324B of the Act seeking an order that specified information be disclosed in the manner required by this Infringement Notice;
- (c) ASIC may (if applicable) make an order under section 91 of the *Australian Securities and Investments Commission Act* (the **ASIC Act**) for recovery of expenses of its investigation into the breach specified in this Infringement Notice. ASIC can also bring proceedings to enforce that order; and
- (d) ASIC can make a determination under subsections 1012DA(2) or 1013FA(3) of the Act, or accept an enforceable undertaking under section 93AA of the ASIC Act and bring proceedings to enforce the undertaking: section 1317DAG of the Act.

Certain other proceedings may also be commenced or continued against REX by third parties or by ASIC on behalf of third parties: subsection 1317DAG(4) of the Act.

**Withdrawal of infringement notice**

ASIC may withdraw this Infringement Notice at any time prior to compliance if it considers it appropriate to do so. If this Infringement Notice is withdrawn, any enforcement action may be taken by ASIC against REX, including:

- (a) civil proceedings under Part 9.4B of the Act; or
- (b) a prosecution for an offence based on the provision specified in the notice.

REX may seek the withdrawal of this Infringement Notice by making a written representation to ASIC: subsections 1317DAI(1) of the Act. Material provided to ASIC in such a representation is not admissible in evidence in proceedings against REX or a representative of the company: subsections 1317DAI(2) of the Act.

**Publication**

If REX complies with this Infringement Notice ASIC may publish details of REX's compliance in the manner set out in subsections 1317DAJ(2) or (3) of the Act: subsection 1317DAJ(1) of the Act.



Christine Croft  
Delegate  
Australian Securities and Investments Commission

21-0438

**Australian Securities and Investments Commission  
Corporations Act 2001 – Subsections 601QA(1)(b) Declaration**

**Enabling legislation**

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under subsections 601QA(1)(b) of the *Corporations Act 2001 (Act)*.

**Title**

2. This instrument is ASIC Instrument 21-0438.

**Commencement**

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

**Declaration**

4. Chapter 5C of the Act applies to Magellan Asset Management Limited ACN 120 593 946 (*Responsible Entity*) as responsible entity of Magellan FuturePay ARSN 649 688 693 (*Scheme*) as if the definition of *scheme property* in section 9 of the Act were modified or varied by, at the end of paragraph (e), omitting “.” and substituting:

”; and

- (f) for the avoidance of doubt, includes any chose in action held by the responsible entity in relation to a discretionary trust as a result of the responsible entity being an object or beneficiary of the discretionary trust.”.

**Where this declaration applies**

5. The declaration in paragraph 4 applies where the Responsible Entity has entered into a Deed Poll which is substantively similar to the form of Appendix A, which is irrevocable without the prior consent of ASIC.

Dated this 22<sup>nd</sup> day of May 2021



Signed by David Halperin  
as a delegate of the Australian Securities and Investments Commission

21-0438

## APPENDIX A

**THIS DEED POLL** is made on [X] day of [month] 2021.

**BY** Magellan Asset Management Limited ACN 120 593 946 as responsible entity of Magellan FuturePay (Grantor or Responsible Entity).

**FOR THE BENEFIT OF**

- (A) All members of Magellan FuturePay from time to time, a managed investment scheme registered under Part 5C.1 of the Act on or about the date of this document (Scheme); and
- (B) the Australian Securities and Investments Commission (ASIC), each a Beneficiary.

**RECITALS**

- (A) The Responsible Entity is the responsible entity of the Scheme.
- (B) ASIC has issued ASIC Instrument [21-XXXX] in relation to the Scheme, to which the form of this Deed Poll forms Appendix A.

**THE GRANTOR DECLARES AS FOLLOWS:**1. **INTERPRETATION**1.1 **Definitions**

The following definitions apply in this document:

**Act** means Corporations Act 2001 (Cth).

**Chose In Action** has the definition given to it in the Constitution.

**Constitution** means the constitution of the Scheme lodged with ASIC.

**Excess Return per Unit** has the definition given to it in the Constitution.

**Index Unit Price** has the definition given to it in the Constitution.

**Magellan Group Entity** means Magellan Financial Group Limited ABN 59 108 437 592 and any related body corporate of Magellan Financial Group Limited in their personal capacity.

**NAV** means net asset value.

**Portfolio Value** has the definition given to it in the Constitution.

**Product Disclosure Statement** means the Product Disclosure Statement issued by the Responsible Entity in relation to the offer of interests in the Scheme from time to time.

**Provision Fund** means the discretionary trust named the "FuturePay Support Fund" established under the Provision Fund Trust Deed.

**Provision Fund Trust Deed** means the trust deed dated 21 May 2020 made by MRTF Pty Limited ACN 620 990 918.

**Provision Fund Trustee** means the trustee of the Provision Fund.

**Support Payment** means the distributions of corpus to be made from the assets of the Provision Fund to the Scheme, consistent with the objects of the Provision Fund as expressed in the Provision Fund Trust Deed.

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**Unit** means a fully paid ordinary unit in the Scheme.

**Website** means the website [www.magellangroup.com.au](http://www.magellangroup.com.au) or any other domain or related subdomains maintained by or on behalf the Responsible Entity in respect of the Scheme.

## 1.2 Rules for interpreting this document

Headings are for convenience only, and do not affect interpretation. The following rules also apply in interpreting this document, except where the context makes it clear that a rule is not intended to apply.

- (a) A reference to:
  - (i) a legislative provision or legislation (including subordinate legislation) is to that provision or legislation as amended, re enacted or replaced, and includes any subordinate legislation issued under it;
  - (ii) a document (including this document) or agreement, or a provision of a document (including this document) or agreement, is to that document, agreement or provision as amended, supplemented, replaced or novated;
  - (iii) a party to this document or to any other document or agreement includes a successor in title, permitted substitute or a permitted assign of that party;
  - (iv) a person includes any type of entity or body of persons, whether or not it is incorporated or has a separate legal identity, and any executor, administrator or successor in law of the person;
  - (v) a reference to a particular entity includes a reference to any subsequent replacement registered name of that entity; and
  - (vi) anything (including a right, obligation or concept) includes each part of it.
- (b) A singular word includes the plural, and vice versa.
- (c) A word which suggests one gender includes the other genders.
- (d) If a word or phrase is defined, any other grammatical form of that word or phrase has a corresponding meaning.
- (e) If an example is given of anything (including a right, obligation or concept), such as by saying it includes something else, the example does not limit the scope of that thing.

## 2. APPLICATION

This document is a deed poll intended to operate for the benefit of and enforceable by each Beneficiary.

## 3. COVENANTS

The Grantor:

- (a) undertakes to include relevant financial information about the Provision Fund in the annual audited financial statements for the Scheme as required by the Act;
- (b) will ensure that the compliance plan for the Scheme sets out adequate measures that the Responsible Entity is to apply in operating the

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Scheme to ensure compliance with the Act in relation to the rights in relation to the Provision Fund, including the arrangements for:

- (i) ensuring that the assets of the Provision Fund are valued at regular intervals using a methodology consistent with ordinary commercial practice for that type of asset;
  - (ii) ensuring that the assets of the Provision Fund are held separately from the property of the Provision Fund Trustee and the property of any other scheme;
  - (iii) other than for expenses of operating the Provision Fund or as expressly permitted by the terms of the Provision Fund Trust Deed, ensuring the corpus of the Provision Fund is paid as Support Payments to the Responsible Entity in its capacity as responsible entity of the Scheme in accordance with the Product Disclosure Statement to support the financial objectives of the Scheme for the benefit of the members of the Scheme;
  - (iv) appropriate procedures for dealing with Support Payments from the Provision Fund to the Scheme;
  - (v) taking all reasonable steps to ensure that the Provision Fund Trustee administers the Provision Fund in compliance with the Provision Fund Trust Deed; and
  - (vi) ensuring the winding up of the Provision Fund on the winding up of the Scheme is carried out in accordance with the terms of the Provision Fund Trust Deed;
- (c) will include in the unit pricing policy for the Scheme a description of the valuation methodology which applies to the Chose In Action and ensures that the Chose In Action is valued in accordance with that unit pricing policy;
- (d) undertakes that if the Responsible Entity or the Provision Fund Trustee is to have any rights to be paid fees out of the Provision Fund or to be indemnified out of the assets of the Provision Fund for liabilities or expenses incurred in relation to the performance of the Responsible Entity's or the Provision Fund Trustee's duties (as applicable), those rights:
- (i) must be specified in the Constitution or the Provision Fund Trust Deed (as applicable); and
  - (ii) must be available only in relation to the proper performance of those duties;
- (e) undertakes to procure that the only distributions from the Provision Fund made to Magellan Group Entities are those permitted under the terms of the Provision Fund Trust Deed;
- (f) undertakes that the Constitution will contain provisions to the effect that:
- (i) payment of amounts from the Scheme into the Provision Fund will be limited to:



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- (F) the complete history of the Scheme's NAV, valuation of the Chose In Action per Unit of the Scheme and the Index Unit Price;
- (iii) in all marketing materials that refer to the target distributions for the Scheme, that the Responsible Entity makes no guarantee on the value of the Scheme or that the target distribution will be met;
- (i) undertakes that future Product Disclosure Statements issued in relation to the Scheme contain the information required under paragraph 3(h)(i) above and otherwise contain substantially the same level of detail as the disclosures in the first Product Disclosure Statement for the Scheme lodged with ASIC under section 1015B of the Act;
- (j) undertakes to procure that the Provision Fund Trustee will only invest assets of the Provision Fund in assets that would be permitted investments under the Responsible Entity's Australian Financial Services License if the Provision Fund were a registered managed investment scheme;
- (k) undertakes not to modify, or repeal and replace, the Constitution under paragraph 601GC(1)(b) of the Act if the change would, or would have the potential to, affect the operation of this document; and
- (l) undertakes to procure that the Provision Fund Trust Deed will not be modified, or repealed and replaced, without the prior approval of members of the Scheme by special resolution if the change would, or would have the potential to, affect the operation of this document.

**4. EFFECTIVE DATE**

This document takes effect on the date which is the later of the date that ASIC Instrument [21-XXXX] takes effect and the date of registration of the Scheme.

**5. AMENDMENT AND ASSIGNMENT**

This document can only be amended or replaced by another document executed by the Responsible Entity, with the prior written consent of ASIC.

**6. GOVERNING LAW**

- 6.1 This document is governed by the laws of the State of New South Wales within the Commonwealth of Australia.
- 6.2 Any dispute arising out of or in connection with this document will be subject to the exclusive jurisdiction of the courts of that State and courts of appeal from them.



21-0439

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

**Notice of Cancellation of an Australian Financial Services Licence**

TO: Altrove Capital Funds Management Pty Ltd  
ACN 158 242 347 ("the Licensee")  
Level 14  
5 Martin Place  
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 427576 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 19 May 2021

Signed 

Margaret Stone  
A delegate of the Australian Securities and Investments Commission

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

**Notice of Cancellation of an Australian Financial Services Licence**

TO: TSQ PTY LTD A.C.N. 077 924 399 (the "Licensee")

1198 TOORAK ROAD CAMBERWELL VICTORIA 3124

Pursuant to paragraph 915B(3)(d) of the Corporations Act 2001 the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 246738 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated this 20<sup>th</sup> day of May, 2021

Signed *N Vonarx*  
.....

Nicholas Vonarx

A delegate of the Australian Securities and Investments Commission

CORPORATIONS ACT 2001  
Section 601CL(5)

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

Dated this twenty-first day of May 2021

Rosanne Bell  
DELEGATE OF  
THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

**Name of Company**

**ARBN**

ALFRED H. KNIGHT INTERNATIONAL LIMITED

155 673 171

HSB ENGINEERING INSURANCE LIMITED

076 158 962

I AM ENOUGH, LLC

629 059 963

SHINE RUI CO., LIMITED

630 821 411

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 twenty-first day of May 2021

Rosanne Bell  
DELEGATE OF  
THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

<b>Name of Company</b>	<b>ARBN</b>
FORMICA HOLDINGS B.V.	613 315 665
MARKETPRIZM B.V.	163 287 321
PANDAC INTELLECTUAL PROPERTY LIMITED	112 258 205

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 twenty-first day of May 2021

Rosanne Bell  
DELEGATE OF  
THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

<b>Name of Scheme</b>	<b>ARSN</b>
AXA IM GLOBAL DYNAMIC EQUITY PLUS	626 465 503
BNY MELLON GLOBAL BOND FUND	153 023 664
COMMON FUND NO.1(MORTGAGE INCOME FUND)	092 615 506
REDGATE CASH FUND	612 886 638
STOCKLAND DIRECT RETAIL TRUST NO. 1	121 832 086
TEMPLETON GLOBAL BOND PLUS FUND	127 316 250

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 twenty-first day of May 2021

Rosanne Bell  
DELEGATE OF  
THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

**Name of Scheme**

**ARSN**

CONTACT HIGH CONVICTION FUND

641 334 830

INFIGEN ENERGY TRUST

116 244 118

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.

**ASTUTE ONE LIMITED** ACN 614 185 438 will change to a proprietary company limited by shares. The new name will be **ASTUTE ONE PTY LTD** ACN 614 185 438.

**HAIGSLEA FINANCE GROUP AUSTRALIA LIMITED** ACN 144 847 307 will change to a proprietary company limited by shares. The new name will be **HAIGSLEA FINANCE GROUP AUSTRALIA PTY LTD** ACN 144 847 307.

**INVESTEC AUSTRALIA LIMITED** ACN 140 381 184 will change to a proprietary company limited by shares. The new name will be **INVESTEC AUSTRALIA PTY LTD** ACN 140 381 184.

**LAVO HYDROGEN TECHNOLOGY LTD** ACN 642 632 308 will change to a proprietary company limited by shares. The new name will be **LAVO HYDROGEN TECHNOLOGY PTY LTD** ACN 642 632 308.

**PATRIOT LITHIUM PTY LTD** ACN 647 470 415 will change to a public company limited by shares. The new name will be **PATRIOT LITHIUM LIMITED** ACN 647 470 415.

**SANTONIAN RESOURCES PTY. LTD.** ACN 627 611 563 will change to a public company limited by shares. The new name will be **SANTONIAN RESOURCES LIMITED** ACN 627 611 563.

**TEN SIXTY FOUR PTY LTD** ACN 614 771 407 will change to a public company limited by shares. The new name will be **TEN SIXTY FOUR LIMITED** ACN 614 771 407.

**CONCENTRATED LEADERS FUND LIMITED** ACN 003 236 173 will change to a proprietary company limited by shares. The new name will be **CONCENTRATED LEADERS FUND PTY LIMITED** ACN 003 236 173.

**HAIGSLEA RESIDENTIAL LIMITED** ACN 168 101 479 will change to a proprietary company limited by shares. The new name will be **HAIGSLEA RESIDENTIAL PTY LTD** ACN 168 101 479.

**INVESTEC HOLDINGS AUSTRALIA LTD** ACN 071 292 567 will change to a proprietary company limited by shares. The new name will be **INVESTEC HOLDINGS AUSTRALIA PTY LTD** ACN 071 292 567.

**PARABELLUM RESOURCES PTY LTD** ACN 645 149 211 will change to a public company limited by shares. The new name will be **PARABELLUM RESOURCES LIMITED** ACN 645 149 211.

**REDCLIFFE PROJECT LTD** ACN 119 494 772 will change to a proprietary company limited by shares. The new name will be **REDCLIFFE PROJECT PTY LTD** ACN 119 494 772.

**SEMPER GROUP HOLDINGS LIMITED** ACN 633 201 206 will change to a proprietary company limited by shares. The new name will be **SEMPER GROUP HOLDINGS PTY LTD** ACN 633 201 206.