

**Financial Services and Credit Panel**

**In the matter of** [REDACTED]

**Reprimand under s921T(1) of the Corporations Act 2001**

To:

[REDACTED]  
Representative number [REDACTED]

A Financial Services and Credit Panel convened by the Australian Securities and Investments Commission on 2 August 2023 under s139(1) of the *Australian Securities and Investments Commission Act 2001* to consider the conduct of relevant provider [REDACTED] (the **Sitting Panel**) reasonably believes that Mr [REDACTED] has contravened the following financial services laws under the *Corporations Act 2001* (**Corporations Act**):

(a) s911B(1) of the Corporations Act; and

(b) s921E(3) of the Corporations Act

in relation to personal advice given to a retail client in April 2022.

Pursuant to s921T(1)(b) of the Corporations Act, the Sitting Panel gives Mr [REDACTED] a written reprimand.



Signed: \_\_\_\_\_  
Kate Dluzniak, Panel Chair

Date: 7 September 2023