

From: s 47F
To: s 22
Subject: RE: ASIC Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]
Date: Tuesday, 16 May 2023 7:38:31 AM
Attachments: ~WRD2950.jpg
image001.png

EXTERNAL EMAIL: Do not click any links or open any attachments unless you trust the sender and know the content is safe.

Hi s 22,

If you could send it to me copying s 47F that would be appreciated.

Kind regards



s 47F | s 47F
Macquarie Group Limited
Level 5, 1 Shelley Street, Sydney NSW 2000 Australia
M s 47F | E s 47F

From: s 22 @asic.gov.au>
Sent: Tuesday, 16 May 2023 9:28 AM
To: s 47F @macquarie.com>
Subject: RE: ASIC Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]

External Communication

Hello s 22

Thank you for confirming who the Notice should be issued to.

When the Notice is finalised, can you please confirm if I can send it to you via email or is there another email address the Notice should be sent to?

Regards

s 22
Analyst, Financial Advisers
Financial Services and Wealth
Australian Securities and Investments Commission
Level 20, 240 Queen Street, Brisbane, QLD 4000
Mob: s 22

@asic.gov.au

ASIC-Cobrand-ALT-Inline-Signature-02



From: s 47F [redacted]@macquarie.com>
Sent: Monday, 15 May 2023 5:31 PM
To: s 22 [redacted]@asic.gov.au>
Subject: RE: ASIC Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]

EXTERNAL EMAIL: Do not click any links or open any attachments unless you trust the sender and know the content is safe.

Hi s 22,

Following our earlier phone conversation I can confirm the Notice should be issued to Macquarie Investment Management Limited.

Kind regards



s 47F [redacted] | s 47F [redacted]
Macquarie Group Limited
Level 5, 1 Shelley Street, Sydney NSW 2000 Australia
M s 47F [redacted] | E s 47F [redacted]

From: s 22 [redacted]@asic.gov.au>
Sent: Monday, 15 May 2023 10:57 AM
To: s 47F [redacted]@macquarie.com>
Subject: ASIC Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]

External Communication

Hello s 47F [redacted]

I'm contacting you because your email is listed as the contact email address for the service of notices for Macquarie Investment Management Ltd.

I have a notice to issue, and I was wondering if you, or one of your colleagues could please contact me on s 22 [redacted] at your earliest convenience to discuss.

Regards

s 22 [redacted]

Analyst, Financial Advisers

Financial Services and Wealth

Australian Securities and Investments Commission

Level 20, 240 Queen Street, Brisbane, QLD 4000

Mob: s 22 [redacted]

[redacted]@asic.gov.au

ASIC-Cobrand-ALT-Inline-Signature-02

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From: s 47F
To: s 22
Cc: s 22, s 47F
Subject: RE: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]
Date: Wednesday, 17 May 2023 1:20:01 PM
Attachments: [image002.gif](#)
[image003.png](#)

EXTERNAL EMAIL: Do not click any links or open any attachments unless you trust the sender and know the content is safe.

Good afternoon s 22

Confirm receipt of request.

We can open the documents provided.

Regards,

s 47F

s 47F | s 47F
| Macquarie Bank Limited

1 Shelley Street, Sydney NSW 2000

M s 47F | E s 47F

www.macquarie.com

Macquarie Group



From: s 22 @asic.gov.au>

Sent: Wednesday, 17 May 2023 1:51 PM

To: s 47F @macquarie.com>

Cc: s 22 @asic.gov.au>; s 47F

Subject: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]

External Communication

Dear Ms s 47F

As discussed, I have attached a s912C notice issued to Macquarie Investment Management Ltd.

Can you please confirm you have received and can open the attachments by replying to this email.

Please don't hesitate to contact me (or s 22 copied into this email) if you have any questions.

Regards

s 22

Analyst, Financial Advisers

Financial Services and Wealth

Australian Securities and Investments Commission

Level 20, 240 Queen Street, Brisbane, QLD 4000

Mob: s 22

s22@asic.gov.au

ASIC-Cobrand-ALT-Inline-Signature-02



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From: s 22
To: s 47F
Cc: s 22 ; s 47F @macquarie.com"
Bcc: s 22
Subject: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]
Date: Wednesday, 17 May 2023 11:51:00 AM
Attachments: [image001.png](#)
[S912C\(1\) Notice NTC2317899 Macquarie Investment Management.pdf](#)
[s912C Attachment A.xlsx](#)

Dear s 47F

As discussed, I have attached a s912C notice issued to Macquarie Investment Management Ltd.

Can you please confirm you have received and can open the attachments by replying to this email.

Please don't hesitate to contact me (or s 22 copied into this email) if you have any questions.

Regards

s 22

Analyst, Financial Advisers

Financial Services and Wealth

Australian Securities and Investments Commission

Level 20, 240 Queen Street, Brisbane, QLD 4000

Mob: s 22

@asic.gov.au

ASIC-Cobrand-ALT-Inline-Signature-02



From: s 22
To: s 47F
Cc: s 22, s 47F, s 47F
Subject: RE: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]
Date: Monday, 29 May 2023 8:20:00 AM
Attachments: image001.png

Dear s 47F

I refer to Macquarie Investment Management Ltd's request for an extension of time to produce a written statement under ASIC's section 912C Notice NTC2317899 dated 17 May 2023.

ASIC will not take steps to enforce compliance with the Notice provided that the written statement is produced at the place and to the person specified in the notice by 4:00pm on 15 June 2023.

Regards

s 22

Analyst, Financial Advisers

Financial Services and Wealth

Australian Securities and Investments Commission

Level 20, 240 Queen Street, Brisbane, QLD 4000

Mob: s 22

@asic.gov.au

ASIC-Cobrand-ALT-Inline-Signature-02



From: s 47F @macquarie.com>

Sent: Thursday, 25 May 2023 4:02 PM

To: s 22 @asic.gov.au>

Cc: s 22 @asic.gov.au>; s 47F

@macquarie.com>; s 47F

@macquarie.com>

Subject: RE: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]

EXTERNAL EMAIL: Do not click any links or open any attachments unless you trust the sender and know the content is safe.

Hi s 22

Thank you for your time this morning. As discussed we would like to seek a two week extension to 4:00 pm on 15 June 2023, to respond to this notice to ensure we are able to extract the relevant information from our systems and conduct appropriate validations prior to submission to ASIC.

Where possible, we will aim to provide responses to parts of the notice in tranches at an earlier date.

Please reach out if you would like to discuss this request further. I will revert separately regarding the determining a suitable time to meet.

Kind Regards,



s 47F | s 47F
| Macquarie Group Limited
Level 3, 1 Shelley Street, Sydney NSW 2000 Australia
Ms s 47F | www.macquarie.com

From: s 22 <s22@asic.gov.au>

Sent: Wednesday, 17 May 2023 1:51 PM

To: s 47F <s47f@macquarie.com>

Cc: s 22 <s22@asic.gov.au>; s 47F

<s47f@macquarie.com>

Subject: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]

External Communication

Dear Ms s 47F

As discussed, I have attached a s912C notice issued to Macquarie Investment Management Ltd.

Can you please confirm you have received and can open the attachments by replying to this email.

Please don't hesitate to contact me (or s 22 copied into this email) if you have any questions.

Regards

s 22

Analyst, Financial Advisers

Financial Services and Wealth

Australian Securities and Investments Commission

Level 20, 240 Queen Street, Brisbane, QLD 4000

Mob: s 22

<s22@asic.gov.au>

ASIC-Cobrand-ALT-Inline-Signature-02



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From: s 47F
To: s 22
Cc: s 22; s 47F; s 47F
Subject: RE: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]
Date: Monday, 29 May 2023 10:15:06 AM
Attachments: image001.png

EXTERNAL EMAIL: Do not click any links or open any attachments unless you trust the sender and know the content is safe.

Thank you for confirming s 22. Regarding the separate point we discussed on the phone, I am confirming availabilities for a meeting and will share a few options shortly.

Regards,

s 47F

From: s 22 @asic.gov.au>
Sent: Monday, May 29, 2023 10:20 AM
To: s 47F @macquarie.com>
Cc: s 22 @asic.gov.au>; s 47F
@macquarie.com>; s 47F
@macquarie.com>
Subject: RE: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]

External Communication

Dear s 47F

I refer to Macquarie Investment Management Ltd's request for an extension of time to produce a written statement under ASIC's section 912C Notice NTC2317899 dated 17 May 2023.

ASIC will not take steps to enforce compliance with the Notice provided that the written statement is produced at the place and to the person specified in the notice by 4:00pm on 15 June 2023.

Regards

s 22

Analyst, Financial Advisers

Financial Services and Wealth

Australian Securities and Investments Commission

Level 20, 240 Queen Street, Brisbane, QLD 4000

Mob: s 22

@asic.gov.au

ASIC-Cobrand-ALT-Inline-Signature-02



From: s 47F @macquarie.com>
Sent: Thursday, 25 May 2023 4:02 PM

To: s 22 [REDACTED]@asic.gov.au>

Cc: s 22 [REDACTED]@asic.gov.au>; s 47F [REDACTED]

[REDACTED]@macquarie.com>; s 47F [REDACTED]

[REDACTED]@macquarie.com>

Subject: RE: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]

EXTERNAL EMAIL: Do not click any links or open any attachments unless you trust the sender and know the content is safe.

Hi s 22 [REDACTED]

Thank you for your time this morning. As discussed we would like to seek a two week extension to 4:00 pm on 15 June 2023, to respond to this notice to ensure we are able to extract the relevant information from our systems and conduct appropriate validations prior to submission to ASIC.

Where possible, we will aim to provide responses to parts of the notice in tranches at an earlier date.

Please reach out if you would like to discuss this request further. I will revert separately regarding the determining a suitable time to meet.

Kind Regards,



s 47F [REDACTED] | s 47F [REDACTED]

[REDACTED] | Macquarie Group Limited

Level 3, 1 Shelley Street, Sydney NSW 2000 Australia

M s 47F [REDACTED] | www.macquarie.com

From: s 47F [REDACTED]@asic.gov.au>

Sent: Wednesday, 17 May 2023 1:51 PM

To: s 47F [REDACTED]@macquarie.com>

Cc: s 22 [REDACTED]@asic.gov.au>; s 47F [REDACTED]

[REDACTED]@macquarie.com>

Subject: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]

External Communication

Dear Ms s 47F [REDACTED]

As discussed, I have attached a s912C notice issued to Macquarie Investment Management Ltd.

Can you please confirm you have received and can open the attachments by replying to this email.

Please don't hesitate to contact me (or s 22 [REDACTED] copied into this email) if you have any questions.

Regards

s 22

Analyst, Financial Advisers

Financial Services and Wealth

Australian Securities and Investments Commission

Level 20, 240 Queen Street, Brisbane, QLD 4000

Mob: s 22

s 22@asic.gov.au

ASIC-Cobrand-ALT-Inline-Signature-02



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From: s 47F
To: s 22
Cc: s 22; s 47F; s 47F
Subject: RE: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]
Date: Tuesday, 30 May 2023 2:34:13 PM
Attachments: [image001.png](#)

EXTERNAL EMAIL: Do not click any links or open any attachments unless you trust the sender and know the content is safe.

Hi s 22

Further to our discussion last week, we are available to meet this coming Thursday from 11.30 am – 12.30 pm or 2.30 – 4:00 pm.

s 47F

Could you confirm ASIC's availability/attendees for this Thursday. I'm happy to share a Zoom invite once confirmed.

Regards,
s 47F

From: s 22 @asic.gov.au>
Sent: Monday, May 29, 2023 10:20 AM
To: s 47F @macquarie.com>
Cc: s 22 @asic.gov.au>; s 47F
@macquarie.com>; s 47F
@macquarie.com>
Subject: RE: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]

External Communication

Dear s 47F

I refer to Macquarie Investment Management Ltd's request for an extension of time to produce a written statement under ASIC's section 912C Notice NTC2317899 dated 17 May 2023.

ASIC will not take steps to enforce compliance with the Notice provided that the written statement is produced at the place and to the person specified in the notice by 4:00pm on 15 June 2023.

Regards

s 22

Analyst, Financial Advisers

Financial Services and Wealth

Australian Securities and Investments Commission

Level 20, 240 Queen Street, Brisbane, QLD 4000

Mob: s 22

s 22 [REDACTED]@asic.gov.au

ASIC-Cobrand-ALT-Inline-Signature-02



From: s 47F [REDACTED]@macquarie.com>

Sent: Thursday, 25 May 2023 4:02 PM

To: s 22 [REDACTED]@asic.gov.au>

Cc: s 22 [REDACTED]@asic.gov.au>; s 47F [REDACTED]

[REDACTED]@macquarie.com>; s 47F [REDACTED]

[REDACTED]@macquarie.com>

Subject: RE: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]

EXTERNAL EMAIL: Do not click any links or open any attachments unless you trust the sender and know the content is safe.

Hi s 22 [REDACTED]

Thank you for your time this morning. As discussed we would like to seek a two week extension to 4:00 pm on 15 June 2023, to respond to this notice to ensure we are able to extract the relevant information from our systems and conduct appropriate validations prior to submission to ASIC.

Where possible, we will aim to provide responses to parts of the notice in tranches at an earlier date.

Please reach out if you would like to discuss this request further. I will revert separately regarding the determining a suitable time to meet.

Kind Regards,



s 47F [REDACTED]

s 47F [REDACTED]

[REDACTED] | Macquarie Group Limited

Level 3, 1 Shelley Street, Sydney NSW 2000 Australia

M s 47F [REDACTED] | www.macquarie.com

From: s 22 [REDACTED]@asic.gov.au>

Sent: Wednesday, 17 May 2023 1:51 PM

To: s 47F [REDACTED]@macquarie.com>

Cc: s 22 [REDACTED]@asic.gov.au>; s 47F [REDACTED]

[REDACTED]@macquarie.com>

Subject: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]

External Communication

Dear Ms s 47F [REDACTED]

As discussed, I have attached a s912C notice issued to Macquarie Investment Management Ltd.

Can you please confirm you have received and can open the attachments by replying to this email.

Please don't hesitate to contact me (or s 22 copied into this email) if you have any questions.

Regards

s 22

Analyst, Financial Advisers

Financial Services and Wealth

Australian Securities and Investments Commission

Level 20, 240 Queen Street, Brisbane, QLD 4000

Mob: s 22

@asic.gov.au

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From: s 47F
To: s 22
Cc: s 22 s 47F; s 47F s 22
Subject: RE: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]
Date: Wednesday, 31 May 2023 7:15:35 AM
Attachments: image001.png

EXTERNAL EMAIL: Do not click any links or open any attachments unless you trust the sender and know the content is safe.

Thanks s 22 I've just sent through the invite.

Regards,
s 47F

From: s 22 @asic.gov.au>
Sent: Wednesday, May 31, 2023 9:06 AM
To: s 47F @macquarie.com>
Cc: s 22 @asic.gov.au>; s 47F
@macquarie.com>; s 47F
@macquarie.com>; s 22 @asic.gov.au>
Subject: RE: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]

External Communication

Hello s 47F

Thank you for your email and I'm confirming we are available tomorrow at 11:30 am.

In addition to me, s 22 (copied into this email) will also be in attendance.

Can you please circulate the meeting meeting invites.

Regards

s 22

Analyst, Financial Advisers

Financial Services and Wealth

Australian Securities and Investments Commission

Level 20, 240 Queen Street, Brisbane, QLD 4000

Mob: s 22

@asic.gov.au

ASIC-Cobrand-ALT-Inline-Signature-02



From: s 47F @macquarie.com>
Sent: Tuesday, 30 May 2023 4:34 PM
To: s 22 @asic.gov.au>
Cc: s 22 @asic.gov.au>; s 47F

<s 47F [REDACTED]@macquarie.com>; s 47F [REDACTED]
[REDACTED]@macquarie.com>

Subject: RE: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]

EXTERNAL EMAIL: Do not click any links or open any attachments unless you trust the sender and know the content is safe.

Hi s 22 [REDACTED]

Further to our discussion last week, we are available to meet this coming Thursday from 11.30 am – 12.30 pm or 2.30 – 4:00 pm.

s 47F [REDACTED]
• [REDACTED]
• [REDACTED]

Could you confirm ASIC's availability/attendees for this Thursday. I'm happy to share a Zoom invite once confirmed.

Regards,

s 47F [REDACTED]

From: s 22 [REDACTED]@asic.gov.au>

Sent: Monday, May 29, 2023 10:20 AM

To: s 47F [REDACTED]@macquarie.com>

Cc: s 22 [REDACTED]@asic.gov.au>; s 47F [REDACTED]
[REDACTED]@macquarie.com>; s 47F [REDACTED]
[REDACTED]@macquarie.com>

Subject: RE: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]

External Communication

Dear s 47F [REDACTED]

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Regards

s 22 [REDACTED]

Analyst, Financial Advisers

Financial Services and Wealth

Australian Securities and Investments Commission

Level 20, 240 Queen Street, Brisbane, QLD 4000

Mob: s 22 [REDACTED]

[REDACTED]@asic.gov.au

ASIC-Cobrand-ALT-Inline-Signature-02



From: s 47F <[REDACTED]@macquarie.com>

Sent: Thursday, 25 May 2023 4:02 PM

To: s 22 <[REDACTED]@asic.gov.au>

Cc: s 22 <[REDACTED]@asic.gov.au>; s 47F <[REDACTED]@macquarie.com>; s 47F <[REDACTED]@macquarie.com>

Subject: RE: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]

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Kind Regards,



s 22 | s 47F
[REDACTED] | Macquarie Group Limited
Level 3, 1 Shelley Street, Sydney NSW 2000 Australia
Ms s 47F | www.macquarie.com

From: s 22 <[REDACTED]@asic.gov.au>

Sent: Wednesday, 17 May 2023 1:51 PM

To: s 47F <[REDACTED]@macquarie.com>

Cc: s 22 <[REDACTED]@asic.gov.au>; s 47F <[REDACTED]@macquarie.com>

Subject: Notice - Macquarie Investment Management Ltd [SEC=OFFICIAL]

External Communication

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Can you please confirm you have received and can open the attachments by replying to

this email.

Please don't hesitate to contact me (or **s 22** copied into this email) if you have any questions.

Regards

s 22

Analyst, Financial Advisers

Financial Services and Wealth

Australian Securities and Investments Commission

Level 20, 240 Queen Street, Brisbane, QLD 4000

Mob: **s 22**

@asic.gov.au

ASIC-Cobrand-ALT-Inline-Signature-02



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