

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 Australian Securities and Investments Commission on 26 May 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 [REDACTED] has contravened the following financial services laws under the *Corporations Act 2001* (Corporations Act):

- (a) s961B(1);
- (b) s961G;
- (c) s961J(1); and
- (d) s921E(3),

in relation to personal advice provided to retail clients in January 2022 and March 2022.

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

Signed: _____

Lisa Lu, Panel Chair

Date: 7 August 2023