

Financial Services and Credit Panel

In the matter of [REDACTED]

Reprimand under s921T(1) of the Corporations Act 2001

To: [REDACTED] (Relevant Provider)
Representative number [REDACTED]

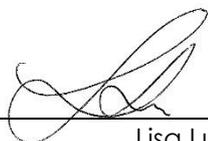
A Financial Services and Credit Panel convened by Australian Securities and Investments Commission on 3 November 2025 under s139(1) of the *Australian Securities and Investments Commission Act 2001* to consider the conduct of the Relevant Provider (Sitting Panel) reasonably believes that the Relevant Provider has contravened the following financial services laws under the *Corporations Act 2001* (Corporations Act):

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

in relation to personal advice provided to retail clients between February 2023 to April 2024.

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

Signed: _____



Lisa Lu, Panel Chair

Date: 9 March 2026