From: 22 @asic.gov.au
Sent on: Thursday, January 29, 2015 7:03:12 AM
To: 22 @asic.gov.au
BCC: 22 @aexp.com; 22 @aexp.com; 22 @anz.com; @boq.com.au; @bankwest.com.au; @bendigoadelaide.com.au; @citi.com; @cba.com.au; @hsbc.com.au; @hsbc.com.au; @jpmorgan.com; @nab.com.au; @suncorp.com.au; @westpac.com.au
Subject: URGENT - COLD CALLING SCAM: DFA Management Limited (Treat as In Confidence) [DLM=Sensitive]

Dear Sir / Madam,

The Australian Securities & Investments Commission (**ASIC**) has received information concerning a cold calling scam operating =under the name of **DFA Managem=ent Limited.** After conducting further inquiries,= ASIC confirms that DFA Manageme=nt Limited is an unlicensed fore=ign entity that has made unsolicited calls to Australian victims to convince them to invest in non-exis=tent financial products. Victims are then directed to deposit funds int=o an identified foreign bank account. Details of the bank accounts used= are listed below.

Beneficiary name RGT Limited
=Beneficiary address 2 Exchange Square, =8 Connaught Place, Central, Hong Kong, China
Account number 813753472838
=Bank name HSBC Bank Hong Kong <=br>Bank address 1 Queens Road, Central, H=ong Kong
BIC Code HSBCHKHHHKH

Beneficiary name SMD Partnership Limite=d
Beneficiary address 604 Tower A, New Tre Plaza, 6 On Ping Street, Shatin, Hong Kong
Account number 701530026662
=Bank name ICBC (Asia) Ltd
Bank address 1/F, No 9 Queen's Road, C=entral, Hong Kong
BIC Code UBHKHKHH

ASIC has formed the view that DFA Management Limited's operation=s constitute a cold-calling scam. ASIC is aware that Australian investo=rs have been induced to provide funds by the convincing telephone calls= and associated websites used by the operators of these scams. <=br>
ASIC has added the details of DF=A Management Limited to its publ=ic list of "unlicensed overseas callers and fake regulators" =located at =www.moneysmart.gov=.au. You may access this= list at the following specific address:
http://www.moneysmart.gov.au/sc=ams/companies-you-should-not-deal-with

Action Required

ASIC is seeking to prevent further transfers being made to these scams =by Australian investors. To prevent further clients from falling =victim to these operators, ASIC recommends that your financial institut=ion establish a process whereby any future fund transfer requests to th=e accounts identified above are immediately detected and blocked.

Further, and importantly, you may wish to undertake internal searches t=o identify any clients that may have transferred funds into the above b=ank accounts and contact them directly, to bring to their attention the= issues raised above and notify them that ASIC considers DFA Management Limited/RGT Limited/SMD Partner=ship Limited to be part of an in=ternational scam and that no further funds should be forwarded to the alounts.

In the event that your clients have further queries regarding these col=d calling scams, please direct them to contact ASIC's Infoline on 1300 00 630. Alternatively, they may wish to lodge a confidential report of= misconduct via ASIC's website or in writing to:

Misconduct & Breach Reporting
ASIC
GPO Box 9827
Brisbane QLD 4001

Should you have any queries or would like further information regarding= this matter, please contact me.

Yours sincerely

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