From: 22 @asic.gov.au
Sent on: Tuesday, December 13, 2016 5:35:56 AM
To: 22 @asic.gov.au
BCC: 22 @aexp.com; @aexp.com; @anz.com; @boq.com.au; @bankwest.com.au; @bendigoadelaide.com.au; @citi.com; @cba.com.au; @hsbc.com.au; l @hsbc.com.au; @jpmorgan.com; @nab.com.au; @nab.com.au; @nab.com. @westpac.com.au; @anz.com; @anz.com; @anz.com; @anz.com; @anz.com; @anz.com
Subject: COLD CALLING SCAM: ROCK SMITH OPTIONS LIMITED and IMPERIAL TRADE MANAGEMENTLTD (Treat as In Confidence) [DLM=Sensitive]

Dear Sir / Madam,

COLD CALLING SCAM: ROCK SMITH OPTIONS LIMITED and IMPERIAL TRADE MANAGEMENT LTD

The Australian Securities & Investments Commission (ASIC) has received information concerning a cold calling scam operating under the names of Rock Smith Options Limited and Imperial Trade Management Limited. After conducting further inquiries, ASIC confirms that Rock Smith Options Limited and Imperial Trade Management Limited are unlicensed foreign entities that have made unsolicited calls to Australian victims to convince them to invest in non-existent financial products. Victims are then directed to deposit funds into an identified foreign bank account. Details of the bank accounts are listed below.

Beneficiary Name:	Dupont Fraser
Beneficiary Address:	233 South Wacker Dr Chicago Illinois 60606 USA
Account Number:	072881828065133
Beneficiary Bank Name:	Industrial and Commercial Bank of China (Asia) Ltd
Bank Address:	122-126 Queens Road Cental Hong Kong
BIC Code:	UBHKHKHH

ASIC has formed the view that Rock Smith Options Limited and Imperial Trade Management Limited's operations constitute a cold-calling scam. ASIC is aware that Australian investors have been induced to provide funds by the convincing telephone calls and associated websites used by the operators of these scams.

ASIC has added the details of Rock Smith Options Limited and Imperial Trade Management Limited to its public list of "unlicensed overseas callers and fake regulators" located at www.moneysmart.gov.au. You may access this list at the following address: http://www.moneysmart.gov.au/scams/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

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from falling victim to these operators, ASIC recommends that your financial institution establish a process whereby any future fund transfer requests to the account identified above are immediately detected and blocked.

Further, and importantly, you may wish to undertake internal searches to identify any clients that may have transferred funds into the above bank account and contact them directly, to bring to their attention the issues raised above and notify them that ASIC considers Rock Smith Options Limited and Imperial Trade Management Limited to be part of an international scam and that no further funds should be forwarded to the account.

In the event that your clients have further queries regarding these cold calling scams, please direct them to contact ASIC's Infoline on 1300 300 630. 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
In your capital city

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

Yours sincerely