



ASIC
Australian Securities &
Investments Commission

Commonwealth of Australia Gazette
No. A18/24 Tuesday 30 April 2024

Published by ASIC

ASIC Gazette

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RIGHTS OF REVIEW

Persons affected by certain decisions made by ASIC under the *Corporations Act 2001* and the other legislation administered by ASIC may have rights of review. ASIC has published Regulatory Guide 57 *Notification of rights of review (RG57)* and Information Sheet *ASIC decisions – your rights (INFO 9)* to assist you to determine whether you have a right of review. You can obtain a copy of these documents from the ASIC Digest, the ASIC website at www.asic.gov.au or from the Administrative Law Co-ordinator in the ASIC office with which you have been dealing.

ISSN 1445-6060 (Online version)
ISSN 1445-6079 (CD-ROM version)

Available from www.asic.gov.au
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24-0231

**Australian Securities and Investments Commission
Corporations Act 2001 – Paragraph 601QA(1)(b) – Amendment**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraph 601QA(1)(b) of the *Corporations Act 2001* (the *Act*).

Title

2. This instrument is ASIC Instrument 24-0231.

Commencement

3. This instrument commences on the date it is signed.

Amendment

4. ASIC Instrument 23-0964 is amended as follows:
 - (a) in sub-sub-paragraph (6)(c)(iv), omit “; and” and substitute “;”;
 - (b) in sub-sub-paragraph (6)(c)(v), omit “.” and substitute “; and”;
 - (c) after sub-sub-paragraph (6)(c)(v), insert:

“(vi) HSBC in its capacity as custodian and operator of an IDPS.”; and
 - (d) in paragraph 7, after the definition of *Citicorp* and before the definition of *Macquarie*, insert:

“*HSBC* means HSBC Custody Nominees (Australia) Limited ACN 003 094 568 which holds units in the Fund in its capacity as custodian of an IDPS.”

Dated this 18th day of April 2024



Signed by Rachel Ting

as a delegate of the Australian Securities and Investments Commission

24-0251

**Australian Securities and Investments Commission
Corporations Act 2001 – Paragraph 926A(2)(a) – Exemption**

Enabling legislation

1. The Australian Securities and Investments Commission (ASIC) makes this instrument under paragraph 926A(2)(a) of the *Corporations Act 2001 (Act)*.

Title

2. This instrument is ASIC Instrument 24-0251.

Commencement

3. This instrument commences on the day it is signed.

Cessation

4. The exemption in paragraph 5 ceases to have effect on the earlier of:
 - (a) the expiration date specified in subitem 1(3) of Schedule 2 of the *ASIC Corporations (Repeal and Transitional) Instrument 2016/396* ceasing to have effect in relation to the relief that was provided under ASIC Class Order [CO 03/1100] *US SEC regulated financial service providers*; or
 - (b) Artist Capital LLC, a limited liability company formed under the laws of the state of Delaware under file number 5976663 and registered with the SEC under number 8-68598 (the **body**), not complying with any written notice given by ASIC directing the body to give to ASIC, within the time specified in the notice, a written statement containing specified information about the financial service business operated by the body in this jurisdiction; or
 - (c) The body being notified in writing by ASIC that it is excluded from relying on this instrument.

Exemption

5. ASIC exempts the body from the requirement to hold an Australian financial services (AFS) licence in the case referred to in Schedule A.

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Schedule A

1. Where all of the following apply:
 - (a) The body is:
 - (i) a registered broker dealer that is a member of the Securities Investor Protection Corporation established under the Securities Investor Protection Act 1970 (US) and that is a member of FINRA and FINRA is the body's examining authority; or
 - (ii) a registered broker dealer that is an OTC derivatives dealer within the meaning of Rule 3b-12 promulgated under the Exchange Act who is affiliated within the meaning of that Rule with a registered broker dealer who is a member of FINRA; or
 - (iii) a registered investment adviser;
 - (b) the body is either:
 - (i) a body corporate incorporated in the US or a State of the US; or
 - (ii) a partnership formed in the US or a State of the US;
 - (c) the body:
 - (i) is registered under Division 2 of Part 5B.2 of the Act; or
 - (ii) has an Agent at the time the body first purports to rely on this instrument and, from that time, has not failed to have an Agent for any consecutive period of 10 business days;
 - (d) the body's primary business is the provision of financial services;
 - (e) neither the body nor its Agent has been notified by ASIC that the body is excluded from relying on this instrument;
 - (f) if the body becomes aware or should reasonably have become aware of matters that give it reason to believe that it has failed, other than in an immaterial respect, to comply with a requirement set out in Schedule B;
 - (i) 15 business days have not passed since the body became so aware or should reasonably have become so aware without the body providing full particulars of the failure to ASIC (to the extent that the body

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knows those particulars or would have known them if it had undertaken reasonable enquiries); and

- (ii) 30 business days have not passed from ASIC receiving those particulars from the body without ASIC notifying the body that it may continue to rely on this instrument; and
 - (g) the body has not notified ASIC that it will not rely on this instrument.
2. Where the body provides any of the following financial services (the financial services) in this jurisdiction to wholesale clients who are institutional investors (and the body is authorised under US regulatory requirements to provide the financial service in the US):
- (a) dealing in a financial product;
- in respect of any of the following financial products:
- (b) managed investment products; and
 - (c) interests in a managed investment scheme that is not required to be registered under Ch 5C of the Act.
3. Where the body has provided ASIC with all of the following:
- (a) evidence and submissions that paragraphs 1(a) and 1(b) of Schedule A of this instrument is satisfied;
 - (b) a notice that it will provide financial services in this jurisdiction in reliance on this instrument;
 - (c) a deed of the body for the benefit of and enforceable by ASIC and the other persons referred to in subsection 659B(1) of the Act that applies notwithstanding that the body may have ceased to rely, or never have relied, on this instrument, which provides that:
 - (i) the deed is irrevocable except with the prior written consent of ASIC; and
 - (ii) the body submits to the non-exclusive jurisdiction of the Australian courts in legal proceedings conducted by ASIC (including under s50 of the ASIC Act) and, in relation to proceedings relating to a financial services law, by any person referred to in subsection 659B(1) of the

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Act and whether brought in the name of ASIC or the Crown or otherwise; and

- (iii) the body covenants to comply with any order of an Australian court in respect of any matter relating to the provision of the financial services; and
 - (iv) if the body is not registered under Div 2 of Pt 5B.2 of the Act, service of process on the body in relation to legal proceedings conducted by ASIC (including under section 50 of the ASIC Act) and, in relation to proceedings relating to a financial services law, by any person referred to in subsection 659B(1) of the Act and whether brought in the name of ASIC or the Crown or otherwise can be effected by service on the agent; and
 - (v) the body covenants that, on written request of either the SEC or ASIC, it will give or vary written consent and take all other practicable steps to enable and assist the SEC to disclose to ASIC and ASIC to disclose to the SEC any information or document that the SEC or ASIC has that relates to the body;
- (d) written consents to the disclosure by the SEC to ASIC and ASIC to the SEC of any information or document that the SEC or ASIC has that relates to the body (being consents in such form (if any) as ASIC specifies in writing).

Schedule B

The body must:

1. provide each of the financial services in this jurisdiction in a manner which would comply, so far as is possible, with the US regulatory requirements if the financial service were provided in the US in like circumstances; and
2. notify ASIC, as soon as practicable and in any event within 15 business days after the body became aware or should reasonably have become aware, and in such form if any as ASIC may from time to time specify in writing, of the details of:
 - (a) each significant change to, including the termination of, the registration as a registered investment adviser applying to the body relevant to the financial services the body provides or intends to provide in this jurisdiction; and
 - (b) each significant particular exemption or other relief which the body obtains from the US regulatory requirements relevant to the financial services the body provides or intends to provide in this jurisdiction; and

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- (c) each action or investigation of the following kinds taken by the SEC or other overseas regulatory authority against the body in a foreign jurisdiction in relation to financial services provided in the foreign jurisdiction:
 - (i) significant enforcement action;
 - (ii) significant disciplinary action;
 - (iii) significant investigation (unless, after having taken reasonable steps to enable notification to be given to ASIC, the body is prohibited by law from giving such notification but only to the extent of the prohibition); and
- 3. provide written disclosure to all persons to whom the financial services are provided in this jurisdiction (before the financial services are provided) containing prominent statements to the following effect:
 - (a) the body is exempt from the requirement to hold an Australian financial services licence under the Act in respect of the financial services; and
 - (b) the body is regulated by the SEC under US laws, which differ from Australian laws.

Interpretation

In this instrument:

Act means the *Corporations Act 2001*;

address, in relation to a company, means the address of the registered office of the company;

Agent means a natural person resident in this jurisdiction or a company, whose name and address were last notified to ASIC by the body for the purposes of this instrument, and who is authorised to accept on the body's behalf, service of process from ASIC and, in relation to proceedings relating to a financial services law, from any person referred to in subsection 659B(1) of the Act;

ASIC Act means the *Australian Securities and Investments Commission Act 2001*;

examining authority, in relation to a body, means a self-regulatory organisation to which the body belongs which has not been relieved of responsibility relating to the body under section 17(d)(1)(A) of the Exchange Act in any respect;

dealing has the meaning given by section 9 of the Act;

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Exchange Act means the Securities and Exchange Act of 1934 of the US;

financial product has the meaning given by section 9 of the Act;

financial product advice has the meaning given by section 766B of the Act;

financial services law has the meaning given by section 761A of the Act;

FINRA means the Financial Industry Regulation Authority;

institutional investors has the same meaning as *professional investor* as given by section 9 of the Act;

notice and *notified* mean, respectively, written notice and notified in writing;

overseas regulatory authority means a foreign regulatory authority (other than the SEC) which regulates financial services and which is established by or for the purposes of a foreign government or legislative body;

registered broker dealer means a broker or dealer registered under section 15(b) of the Exchange Act;

registered investment adviser means a body corporate or a partnership formed in the US or a State of the US registered under section 203(c) of the Investment Advisers Act of 1940 of the US;

SEC means the Securities and Exchange Commission of the US;

US means the United States of America;

US regulatory requirements means the rules that apply in relation to the financial services including:

- (a) any applicable legislation, instruments made under that legislation and any relevant policies or other documents (however described) issued by the SEC; and
- (b) if the body is covered by subparagraph 1(a)(i) of Schedule A but not subparagraphs (a)(ii) of that Schedule – any applicable rules, policies or other documents (however described) of FINRA; and

wholesale client has the meaning given in section 761G of the Act.

Dated this 22 day of April 2024.

Signed by Merrick Fox
as a delegate of the Australian Securities and Investments Commission

24-0264

**Australian Securities and Investments Commission
Corporations Act 2001 – Subsection 926A(2)(a) – Exemption**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under section 926A(2)(a) of the *Corporations Act 2001* (the *Act*).

Title

2. This instrument is ASIC Instrument 24-0264.

Commencement

3. This instrument commences on the day it is signed.

Exemption

4. ASIC exempts D. E. Shaw & Co. (Singapore) Pte. Ltd., a private company limited by shares incorporated in Singapore, registration number 202042115R (the *body*) from the requirement to hold an Australian financial services (AFS) licence in the case referred to in Schedule A.

Cessation

5. The exemption in paragraph 4 ceases to have effect on the earlier of:
 - (a) the sub-paragraph 1(1) of Schedule 2 of the *ASIC Corporations (Repeal and Transitional) Instrument 2016/396* ceasing to have effect in relation to the relief that was provided under ASIC Class Order [CO 03/1102] *Singapore MAS regulated financial service providers*; or
 - (b) the body not complying with any written notice given by ASIC directing the body to give to ASIC, within the time specified in the notice, a written statement containing specified information about the financial service business operated by the body in this jurisdiction.

24-0264

Schedule A

1. The exemption in paragraph 4 applies where all of the following apply:
 - (a) the body holds a current capital market services licence granted by the Monetary Authority of Singapore (*MAS*) under section 86 of the Securities and Futures Act;
 - (b) the body is either a body corporate incorporated or a partnership formed in Singapore;
 - (c) the body:
 - (i) is registered under Division 2 of Part 5B.2 of the Act; or
 - (ii) has an Agent at the time the body first purports to rely on this instrument and, from that time, has not failed to have an Agent for any consecutive period of 10 business days;
 - (d) the body's primary business is the provision of financial services;
 - (e) neither the body nor its agent has been notified by ASIC that the body is excluded from relying on this instrument;
 - (f) if the body becomes aware or should reasonably have become aware of matters that give it reason to believe that it has failed, other than in an immaterial respect, to comply with a requirement set out in Schedule B:
 - (i) 15 business days have not passed since the body became so aware or should reasonably have become so aware without the body providing full particulars of the failure to ASIC (to the extent that the body knows those particulars or would have known them if it had undertaken reasonable enquiries); and
 - (ii) 30 business days have not passed from ASIC receiving those particulars from the body without ASIC notifying the body that it may continue to rely on this instrument; and
 - (g) the body has not notified ASIC that it will not rely on this instrument.
2. Where the body provides any of the following financial services (the *financial services*) in this jurisdiction to wholesale clients:
 - (a) providing financial product advice;
 - (b) dealing in a financial product;in respect of any of the following financial products:
 - (c) derivatives;

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- (d) foreign exchange contracts;
 - (e) securities;
 - (f) debentures, stocks or bonds issued by a government;
 - (g) interests in a managed investment scheme that is not required to be registered under Chapter 5C of the Act; and
 - (h) managed investment products;
3. Where the body has provided ASIC with all of the following:
- (a) evidence that paragraph 1(a) of Schedule A is satisfied that ASIC has stated in writing is adequate;
 - (b) a notice that it will provide financial services in this jurisdiction in reliance on this instrument;
 - (c) a deed of the body for the benefit of and enforceable by ASIC and the other persons referred to in subsection 659B(1) of the Act that applies notwithstanding that the body may have ceased to rely, or never have relied, on this instrument, which deed provides that:
 - (A) the deed is irrevocable except with the prior written consent of ASIC; and
 - (B) the body submits to the non-exclusive jurisdiction of the Australian courts in legal proceedings conducted by ASIC (including under section 50 of the ASIC Act) and, in relation to proceedings relating to a financial services law, by any person referred to in subsection 659B(1) of the Act and whether brought in the name of ASIC or the Crown or otherwise; and
 - (C) the body covenants to comply with any order of an Australian court in respect of any matter relating to the provision of the financial services; and
 - (D) if the body is not registered under Division 2 of Part 5B.2 of the Act, service of process on the body in relation to legal proceedings conducted by ASIC (including under section 50 of the ASIC Act) and, in relation to proceedings relating to a financial services law, by any person referred to in subsection 659B(1) of the Act and whether brought in the name of ASIC or the Crown or otherwise can be effected by service on the Agent; and
 - (E) the body covenants that, on written request of either the MAS or ASIC, it will give or vary written consent and take all other practicable steps to enable and assist MAS to disclose to ASIC and

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ASIC to disclose to MAS any information or document MAS or ASIC has that relates to the body;

- (d) written consents to the disclosure by MAS to ASIC and ASIC to MAS of any information or document that MAS or ASIC has that relates to the body. The consents must be in such form (if any) as ASIC specifies in writing.

Schedule B

1. The body must provide each of the financial services in this jurisdiction in a manner which would comply, so far as is possible, with the Singaporean regulatory requirements if the financial service were provided in Singapore in like circumstances.
2. The body must:
 - (a) notify ASIC, as soon as practicable and in any event within 15 business days after the body became aware or should reasonably have become aware, and in such form if any as ASIC may from time to time specify in writing, of the details of:
 - (i) each significant change to, including the termination of the capital markets services licence applying to the body relevant to the financial services the body provides or intends to provide in this jurisdiction; and
 - (ii) each significant particular exemption or other relief which the body may obtain from the Singaporean regulatory requirements relevant to the financial services the body provides or intends to provide in this jurisdiction; and
 - (iii) each action or investigation of the following kinds taken by MAS or other overseas regulatory authority against the body in a foreign jurisdiction in relation to financial services provided in the foreign jurisdiction:
 - (A) significant enforcement action;
 - (B) significant disciplinary action;
 - (C) significant investigation (unless, after having taken reasonable steps to enable notification to be given to ASIC, the body is prohibited by law from giving such notification but only to the extent of the prohibition); and
 - (b) provide written disclosure to all persons to whom the financial services are provided in this jurisdiction (before the financial services are provided)

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containing prominent statements to the following effect:

- (i) the body is exempt from the requirement to hold an Australian financial services licence under the Act in respect of the financial services; and
 - (i) the body is regulated by MAS under Singaporean laws, which differ from Australian laws; and
- (c) if ASIC gives the body a written notice directing the body to lodge with ASIC, within the time specified in the notice, a written statement containing specified information about any financial service provided by the body in this jurisdiction – comply with the notice.

Interpretation

In this instrument:

Act means the *Corporations Act 2001*;

Address, in relation to a company, means the address of the registered office of the company;

Agent means a natural person resident in this jurisdiction or a company, whose name and address were last notified to ASIC by the body for the purposes of this instrument, and who is authorised to accept on the body's behalf, service of process from ASIC and, in relation to proceedings relating to a financial services law, from any person referred to in s659B(1) of the Act;

ASIC Act means the *Australian Securities and Investments Commission Act 2001*;

capital markets services licence means a capital markets services licence granted by MAS under section 86 of the Securities and Futures Act;

derivative has the meaning given by section 9 of the Act;

financial product advice has the meaning given by section 766B of the Act;

financial services law has the meaning given by section 761A of the Act;

foreign exchange contract has the meaning given by section 761A of the Act;

managed investment products has the meaning given by section 9 of the Act;

MAS means the Monetary Authority of Singapore;

notice and *notified* mean, respectively, written notice and notified in writing;

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overseas regulatory authority means a foreign regulatory authority (other than MAS) which regulates financial services and which is established by or for the purposes of a foreign government or legislative body;

securities has the meaning given by section 9 of the Act;

Securities and Futures Act means the *Securities and Futures Act 2001* of Singapore;

Singaporean regulatory requirements means the rules that apply in relation to the financial services including any applicable legislation, instruments made under that legislation and any relevant policies or other documents (however described) issued by MAS; and

wholesale client has the meaning given in section 761G of the Act.

Dated this 19th day of April 2024.



Signed by Laura Haracic
as a delegate of the Australian Securities and Investments Commission



ASIC
Australian Securities &
Investments Commission

**Australian Securities
and Investments Commission**

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www.asic.gov.au

24-0267

**Australian Securities and Investments Commission
Corporations Act 2001 Section 915B**

Notice of Cancellation of an Australian Financial Services Licence

TO: Commercial and General Insurance Brokers Pty. Ltd.
ACN 010 427 504 ("the Licensee")
498 Lutwyche Road
LUTWYCHE QLD 4030

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 241 196 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 22 April 2024

Signed *J. Dimitropoulos*.....

James Dimitropoulos
A delegate of the Australian Securities and Investments
Commission

**Australian Securities
and Investments Commission**

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Sydney NSW 2000

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www.asic.gov.au

24-0282**Australian Securities and Investments Commission
Corporations Act 2001 Section 915B****Notice of Cancellation of an Australian Financial Services Licence**

TO: Burling Adviser Services Pty Ltd
ACN: 645 813 985 ("the Licensee")
Level 4, 31-33 Elkhorn Avenue
Surfers Paradise QLD 4217

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 527516 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 24 April 2024

Signed 

Jedo Charles
A delegate of the Australian Securities and Investments
Commission

24-0286

NOTICE UNDER SECTION 920E OF THE CORPORATIONS ACT 2001

Notice is given under section 920E of the *Corporations Act 2001* that the Australian Securities and Investments Commission has made a banning order in the terms set out below, which order took effect on 18 April 2024.

AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

IN THE MATTER OF ADELE BAAINI

SECTIONS 920A AND 920B
OF THE CORPORATIONS ACT 2001

To: Ms Adele Baaini

TAKE NOTICE that under s920A and s920B of the *Corporations Act 2001* the Australian Securities and Investments Commission permanently prohibits Adele Baaini from:

- i. providing any financial services; and
- ii. controlling, whether alone or in concert with one or more other entities, an entity that carries on a financial services business; and
- iii. performing any function involved in the carrying on of a financial services business (including as an officer, manager, employee, contractor or in some other capacity).

Dated this 18th day of April 2024

Signed:



Lisa Lu
Delegate of the Australian Securities and Investments Commission

Your attention is drawn to s920C(2) of the *Corporations Act 2001* which provides that a person must not engage in conduct which breaches a banning order that has been made against the person. Contravention of s920C(2) is an offence.



ASIC
Australian Securities &
Investments Commission

**Australian Securities
and Investments Commission**

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24-0290

**Australian Securities and Investments Commission
Corporations Act 2001 Section 915B**

Notice of Cancellation of an Australian Financial Services Licence

TO: Mako APAC Pte. Ltd.
ARBN 620 949 564
Mako Trading Australia Pty Limited
Level 15, 347 Kent Street
SYDNEY NSW 2000

Pursuant to paragraph 915B(3)(d) of the **Corporations Act 2001**, the Australian Securities and Investments Commission hereby cancels Australian Financial Services Licence number 501224 held by the Licensee, with effect from the date on which this notice is given to the Licensee.

Dated 23 April 2024

Signed

Sharon Rodgers
A delegate of the Australian Securities and Investments Commission

24-0302

**Australian Securities and Investments Commission
Corporations Act 2001 – Subsection 655A(1) – Declaration**

Enabling legislation

1. The Australian Securities and Investments Commission (*ASIC*) makes this instrument under paragraph 655A(1)(b) of the *Corporations Act 2001* (the *Act*).

Title

2. This instrument is ASIC Instrument 24-0302.

Commencement

3. This instrument commences on the date it is signed.

Cessation

4. This instrument ceases to have effect on the date on which the Takeover Offer closes.

Declaration

5. Chapter 6 of the Act applies in respect of any increase in voting power or relevant interest of Boral or Boral Trustee in voting shares of Boral which arises in respect of the acquisition on-market in the ordinary course of trading on ASX and holding of up to 3,705,592 Boral Shares by Boral Trustee on trust for the benefit of beneficiaries of the Boral EST as if such increase in voting power or relevant interest did not constitute a relevant interest in such Boral Shares for the purposes of section 608.

24-0302

Interpretation

6. In this instrument:

Boral means Boral Limited ACN 008 421 761.*Boral EST* means the Boral employee share trust established under trust deed dated 1 December 2010.*Boral Shares* means Boral ordinary shares.*Boral Trustee* means Boral Corporate Services Pty Limited ACN 009 483 765 as trustee of the Boral EST.*Takeover Offer* means the takeover bid by Network Investment Holdings Pty Ltd ACN 078 448 512 for Boral.Date d 24th day of April 2024Signed by Adam Prior
as a delegate of the Australian Securities and Investments Commission

24-0303

**Australian Securities and Investments Commission
Corporations Act 2001 – Subsection 926A(2)(a) – Exemption**

Enabling legislation

1. The Australian Securities and Investments Commission (ASIC) makes this instrument under s926A(2)(a) of the *Corporations Act 2001*.

Title

2. This instrument is ASIC Instrument 24-0303.

Commencement

3. This instrument commences on the day it is signed.

Exemption

4. ASIC exempts Analyst Alpha Generation Limited, a limited company incorporated in England and Wales (registered company number 13734900) and registered with the Financial Conduct Authority, reference number 972969, **(the body)**, from the requirement to hold an Australian financial services licence in the case referred to in Schedule A.

Cessation

5. The exemption in paragraph 4 ceases to have effect on the earlier of:
 - (a) the date specified in sub-paragraph 1(3) of Schedule 2 of the *ASIC Corporations (Repeal and Transitional) Instrument 2016/396*; or
 - (b) the body failing to comply with any written notice given by ASIC directing the body to give to ASIC, within the time specified in the notice, a written statement containing specified information about the financial service business operated by the body in this jurisdiction; or
 - (c) the body being notified in writing by ASIC that it is excluded from relying on this instrument.

Schedule A

1. The exemption in paragraph 4 applies where all of the following apply:
 - (a) the body has a current Part 4A Permission;
 - (aa) the body is either a body corporate incorporated in the United Kingdom or a partnership formed in the United Kingdom;

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- (b) the body:
 - (i) is registered under Division 2 of Part 5B.2 of the Act; or
 - (ii) has an Agent at the time the body first purports to rely on this instrument and, from that time, has not failed to have an Agent for any consecutive period of 10 business days;
 - (c) the body's primary business is the provision of financial services;
 - (d) neither the body nor its Agent has been notified by ASIC that the body is excluded from relying on this instrument;
 - (e) if the body becomes aware or should reasonably have become aware of matters that give it reason to believe that it has failed, other than in an immaterial respect, to comply with a requirement set out in Schedule B:
 - (i) 15 business days have not passed since the body became so aware or should reasonably have become so aware without the body providing full particulars of the failure to ASIC (to the extent that the body knows those particulars or would have known them if it had undertaken reasonable enquiries); and
 - (ii) 30 business days have not passed from ASIC receiving those particulars from the body without ASIC notifying the body that it may continue to rely on this instrument; and
 - (f) the body has not notified ASIC that it will not rely on this instrument.
2. Where the body provides any of the following financial services (**the financial services**) in this jurisdiction to wholesale clients:
- (a) providing financial product advice
- in respect of any of the following financial products:
- (b) securities;
 - (c) managed investment products (excluding IDPS);
 - (d) derivatives; or
 - (e) foreign exchange contracts.
3. Where the body has provided ASIC with all of the following
- (a) evidence that paragraph 1(a) of Schedule A is satisfied that ASIC has stated in writing is adequate;

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- (b) a notice that it will provide financial services in this jurisdiction in reliance on this instrument;
- (c) a deed of the body for the benefit of and enforceable by ASIC and the other persons referred to in subsection 659B(1) of the Act that applies notwithstanding that the body may have ceased to rely, or never have relied, on this instrument, which provides that:
 - (i) the deed is irrevocable except with the prior written consent of ASIC; and
 - (ii) the body submits to the non-exclusive jurisdiction of the Australian courts in legal proceedings conducted by ASIC (including under section 50 of the ASIC Act) and, in relation to proceedings relating to a financial services law, by any person referred to in subsection 659B(1) of the Act and whether brought in the name of ASIC or the Crown or otherwise; and
 - (iii) the body covenants to comply with any order of an Australian court in respect of any matter relating to the provision of the financial services; and
 - (iv) if the body is not registered under Division 2 of Part 5B.2 of the Act, service of process on the body in relation to legal proceedings conducted by ASIC (including under section 50 of the ASIC Act) and, in relation to proceedings relating to a financial services law, by any person referred to in subsection 659B(1) of the Act and whether brought in the name of ASIC or the Crown or otherwise can be effected by service on the Agent; and
 - (v) the body covenants that, on written request of either the FCA or ASIC, it will give or vary written consent and take all other practicable steps to enable and assist the FCA to disclose to ASIC and ASIC to disclose to the FCA any information or document that FCA or ASIC has that relates to the body; and
- (d) written consents to the disclosure by the FCA to ASIC and ASIC to the FCA of any information or document that the FCA or ASIC has that relates to the body. The consents must be in such form (if any) as ASIC specifies in writing.

Schedule B

The body must:

1. provide each of the financial services in this jurisdiction in a manner which would comply, so far as is possible, with the United Kingdom regulatory requirements if the financial service were provided in the United Kingdom in like circumstances; and
2. notify ASIC, as soon as practicable and in any event within 15 business days after the body became aware or should reasonably have become aware, and in such form if any as ASIC may from time to time specify in writing, of the details of:

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- (a) each significant change to, including the termination of, the Part 4 A Permission applying to the body relevant to the financial services the body provides or intends to provide in this jurisdiction; and
 - (b) each significant particular exemption or other relief which the body obtains from the United Kingdom regulatory requirements relevant to the financial services the body provides or intends to provide in this jurisdiction; and
 - (c) each action or investigation of the following kinds taken by the FCA, PRA or other overseas regulatory authority against the body in a foreign jurisdiction in relation to financial services provided in the foreign jurisdiction:
 - (i) significant enforcement action;
 - (ii) significant disciplinary action;
 - (iii) significant investigation (unless, after having taken reasonable steps to enable notification to be given to ASIC, the body is prohibited by law from giving such notification but only to the extent of the prohibition); and
3. provide written disclosure to all persons to whom the financial services are provided in this jurisdiction (before the financial services are provided) containing prominent statements to the following effect:
- (a) the body is exempt from the requirement to hold an Australian financial services licence under the Act in respect of the financial services; and
 - (b) as applicable:
 - (i) for a dual-regulated body - the body is authorised by the PRA and regulated by the FCA and PRA under United Kingdom laws, which differ from Australian laws;
 - (ii) otherwise – the body is authorised and regulated by the FCA under the United Kingdom’s laws, which differ from Australian laws; and
4. if ASIC gives the body a written notice directing the body to lodge with ASIC, within the time specified in the notice, a written statement containing specified information about any financial service provided by the body in this jurisdiction—comply with the notice.

Interpretation

In this instrument:

Act means the *Corporations Act 2001*;

address in relation to a company, means the address of the registered office of the company;

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Agent means a natural person resident in this jurisdiction or a company, whose name and address were last notified to ASIC by the body for the purposes of this instrument, and who is authorised to accept on the body's behalf, service of process from ASIC and, in relation to proceedings relating to a financial services law, from any person referred to in s659B(1) of the Act;

ASIC Act means the *Australian Securities and Investments Commission Act 2001*;

dealing in a financial product has the meaning given by section 9 of the Act;

derivative has the meaning given by section 9 of the Act;

dual-regulated body means a body whose regulated activities in the United Kingdom include a PRA-regulated activity within section 22A of the FSM Act;

financial product has the meaning given by section 9 of the Act;

financial product advice has the meaning given by section 766B of the Act;

financial services law has the meaning given by section 761A of the Act;

FCA means the Financial Conduct Authority of the United Kingdom and, for the avoidance of doubt, includes the Financial Services Authority of the United Kingdom as it was previously known before 1 April 2013;

FSM Act means the Financial Services and Markets Act 2000 of the United Kingdom;

foreign exchange contract has the meaning given by section 761A of the Act;

IDPS means IDPS as defined in *ASIC Corporations (Investor Directed Portfolio Services) Instrument 2023/669*;

managed investment product has the meaning given by section 9 of the Act;

notice and notified mean, respectively, written notice and notified in writing;

overseas regulatory authority means a foreign regulatory authority (other than the FCA or PRA) which regulates financial services and which is established by or for the purposes of a foreign government or legislative body;

Part 4A Permission means a permission given under Part 4A of FSM Act or having effect as if so given under that Part;

PRA means the Prudential Regulation Authority of the United Kingdom;

securities has the meaning given by section 9 of the Act;

United Kingdom regulatory requirements means the rules that apply in relation to the financial services including any applicable legislation, instruments made under that

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legislation and any relevant policies or other documents (however described) issued by the FCA or PRA; and

wholesale client has the meaning given in section 9 of the Act.

Dated this 24th day of April 2024.



Signed by Nessa Foo

as a delegate of the Australian Securities and Investments Commission

CORPORATIONS ACT 2001
Section 601CL(4)

ASIC will strike the foreign companies listed below off the register three months after the publication of this notice, unless given acceptable reason not to proceed.

Dated this twenty-sixth day of April 2024

Name of Company

ARBN

SOUTHEASTERN ASSET MANAGEMENT, INC.

155 383 850

CORPORATIONS ACT 2001
Section 601CC(3)

ASIC will strike the companies listed below off the register three months after the publication of this notice, unless given acceptable reason not to proceed.

Dated this twenty-sixth day of April 2024

Name of Company

ARBN

INFANT MESSAGE AUSTRALIA INC.

096 367 109

CORPORATIONS ACT 2001
Subsection 601PB(2)

ASIC may deregister the managed investment schemes listed below two months after the publication of this notice, unless given acceptable reason not to proceed.

Dated this twenty-sixth day of April 2024

Name of Scheme

ARSN

FUTURE DIRECTIONS BALANCED FUND	095 787 885
FUTURE DIRECTIONS CONSERVATIVE FUND	103 660 608
FUTURE DIRECTIONS GROWTH FUND	099 391 269
FUTURE DIRECTIONS HIGH GROWTH FUND	103 722 569
FUTURE DIRECTIONS MODERATELY CONSERVATIVE FUND	103 660 715

CORPORATIONS ACT 2001
Subsection 164(3)

Notice is hereby given that ASIC will alter the registration details of the following companies 1 month after the publication of this notice, unless an order by a court or Administrative Appeals Tribunal prevents it from doing so.

AIRTRIP LTD ACN 622 782 156 will change to a proprietary company limited by shares. The new name will be AIRTRIP PTY LTD ACN 622 782 156.

PRIVATE SECURITIES PTY. LTD. ACN 674 666 589 will change to an unlimited proprietary company. The new name will be PRIVATE SECURITIES PROPRIETARY ACN 674 666 589.

TAMBORAN RESOURCES LIMITED ACN 135 299 062 will change to a proprietary company limited by shares. The new name will be TAMBORAN RESOURCES PTY LTD ACN 135 299 062.

ORVO LIMITED ACN 672 631 640 will change to a proprietary company limited by shares. The new name will be ORVO PTY LTD ACN 672 631 640.

RCI PLATFORM AUSTRALIA LTD. ACN 612 686 352 will change to a proprietary company limited by shares. The new name will be RCI PLATFORM AUSTRALIA PTY LTD ACN 612 686 352.

WHISPIR LIMITED ACN 097 654 656 will change to a proprietary company limited by shares. The new name will be WHISPIR PTY LTD ACN 097 654 656.