

Haydar Tuncer

From: Eric Alexiades
Sent: Tuesday, 28 January 2020 4:33 PM
To: Kevin Truong
Cc: Adriana Bianchi
Subject: RE: Correspondence from Mr Pratt regarding his CDDA application [DLM=Sensitive]

Okay, Thanks Kevin

Yours Sincerely

Eric Alexiades

Manager Professional Standards Unit | Chief Legal Office | Melbourne
Australian Securities and Investments Commission

Level 7, 120 Collins Street, Melbourne, 3000

Tel: s 22

s 22



From: Kevin Truong s 22 >
Sent: Tuesday, 28 January 2020 4:32 PM
To: Eric Alexiades s 22 >
Cc: Adriana Bianchi s 22 >
Subject: RE: Correspondence from Mr Pratt regarding his CDDA application [DLM=Sensitive]

Hi Eric

No, I don't have a copy.

Yes, I'm mindful of the application of the Guidelines. I'm proposing to include a bit on them in the response.

Thanks

Kevin Truong

Lawyer, Chief Legal Office

Australian Securities and Investments Commission

Level 5, 100 Market Street, Sydney, 2001

Tel: s 22

s 22



From: Eric Alexiades s 22 >
Sent: Tuesday, 28 January 2020 3:45 PM
To: Kevin Truong s 22 >
Cc: Adriana Bianchi s 22 >
Subject: RE: Correspondence from Mr Pratt regarding his CDDA application [DLM=Sensitive]

Hi Kevin, do we have a copy of the DOF letter he is referring to? FOI 291-2021

Also, it may be worth mentioning that the Guidelines he was referring to were draft guidelines and never settled or approved or released (as evidence by comments inserts) and the way it has been described in the disclosure log. (see below)

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21 December 2015

Request for documents concerning an application made to ASIC under the CDDA scheme

Draft ASIC guide for assessing claims for compensation under the CDDA scheme.

Released in full

To access the document please email foirequest@asic.gov.au

Yours Sincerely

Eric Alexiades

Manager Professional Standards Unit | Chief Legal Office | Melbourne

Australian Securities and Investments Commission

Level 7, 120 Collins Street, Melbourne, 3000

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ASIC

From: Kevin Truong s 22 >

Sent: Tuesday, 28 January 2020 3:23 PM

To: Adriana Bianchi s 22 >; Caroline Jefferies s 22

Cc: Eric Alexiades s 22

Subject: RE: Correspondence from Mr Pratt regarding his CDDA application [DLM=Sensitive]

Hi Adriana

Thanks for forwarding those emails.

Happy for you to let him know that we are considering his letter and will shortly revert back to him. In terms of an alternative contact from next week can we perhaps put down the generic Complaints email?

Thanks

Kevin Truong

Lawyer, Chief Legal Office

Australian Securities and Investments Commission

Level 5, 100 Market Street, Sydney, 2001

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ASIC

From: Adriana Bianchi s 22 > FOI 251-2021
Sent: Tuesday, 28 January 2020 3:17 PM
To: Kevin Truong s 22 >; Caroline Jefferies s 22 >
Cc: Eric Alexiades s 22
Subject: Correspondence from Mr Pratt regarding his CDDA application [DLM=Sensitive]

Dear Kevin and Caroline

Please see attached correspondence from Mr Pratt regarding his CDDA application. Notwithstanding he appears to have been advised that ASIC is not subject to the CDDA Scheme, his opinion is that we are and he would like to know certain things, including whether I have referred his matter to Commission Counsel for consideration.

Please note that I will be on leave from the end of this week for three weeks. We will need to advise Mr Pratt of an alternative contact if possible.

Please let me know if you wish me to do anything further in relation to this matter.

Thanks
Adriana