Telephone attendance with person reporting misconduct

FINALISED

Details

Asctec Activity ID	9614/17	**Notes Activity ID**	ROM/17/4ARN/00025
Epsom File		**Epsom Title**	
Security	In Confidence		
Date Created	20/03/2017	**Created By**	s 22 [redacted]
Name of person contacted	s 22 [redacted]	**Phone Number**	s 22 [redacted]
		Mobile Phone Number	

First phone contact attempt	s 22 [redacted]	Date contact attempted	21/03/2017 04:56 PM
Second phone contact attempt		Date contact attempted	
Contact Made	s 22 [redacted]	Date Time of contact	22/03/2017 09:45 AM
Unable to contact - no telephone details provided		Date Time	

* Details

21/03/2017 - Message left for s 22 [redacted] to return call.
22/03/2017 - Contact received from s 22 [redacted]

Introduced myself, Confirm concerns relate to possible disclosure issues surrounding the lease arrangements relating to MIS.

Reporter stated:
- Confirmed that a seminar is being held in Perth next week which they will attend and will provide any documents and information obtained about the leases.
- Reporter referred to the issue of the website that shows a house for sale for $220,000 however he believes this relates to a lease and is not an actual sale
- feel that its not being represented appropriately
- will be asking how secure the asset is and what the guarantees are
- concern that people will enter into these leases and not be aware that their nest egg is being eroded until its too late and 15 years into the future.

I confirmed that
- we will make an assessment of the concerns to determine whether ASIC needs to take any action as a regulator.
- We will contact you once we have made and assessment, usually within 28 days and advise you of the outcome.
- We cannot make comment on any current operations.
- explained that brochure 'how ASIC deals with reports of misconduct' can be accessed form our website and explained how to view it.

Provided my email address so that information can be sent though when obtained.

Introduce yourself and your role	y
Offer to send link to "How ASIC deals with reports of misconduct" brochure (or explain how to access it)	y
Explain how their report will be handled	y
Confirm misconduct reporter's concern(s)	y
Confirm that we will undertake an assessment of the issues to determine whether further action warranted.	y
Advise we are unable to comment about the action we are taking on some matters and reasons	y
Point Reporter to any relevant info sheet/ information to assist them	y
Determine whether the Reporter required confirmation in writing and note that ASIC's prefers to correspond by email (confirm email address if required).	y
Offer to send links to relevant information	y
Confirm that once ASIC has reached a decision, we will be in contact	y

Additional Readers
Document Activity