

**Financial Services and Credit Panel**

**In the matter of** [REDACTED]

**Warning under s921T(1)(b) of the Corporations Act 2001**

To: [REDACTED]  
Representative number [REDACTED]

A Financial Services and Credit Panel convened by the Australian Securities and Investments Commission on 10 April 2024 under s139(1) of the *Australian Securities and Investments Commission Act 2001* (the **Sitting Panel**) to consider the conduct of relevant provider [REDACTED] (**Relevant Provider**) reasonably believes that the Relevant Provider has contravened s946A(1) of the *Corporations Act 2001* (**Corporations Act**) in relation to personal advice given to retail clients between February 2022 and November 2022.

Pursuant to s921T(1)(b) of the Corporations Act, the Sitting Panel gives the Relevant Provider a written warning.



Signed: \_\_\_\_\_  
Kate Dluzniak, Chair of the Sitting Panel

Date: 5 August 2024