

[illegible]

CAS-3P993-K7MBG4	REGAL FUNDS MANAGEMENT PTY LIMITED/General Investigation	27/05/2021	Investigation	<p>Suspected contravenors: (1041A, 1041B and 912A) Relevant period: 27 March 2018 to 2 July 2018 to 22 November 2019 (both dates inclusive).</p> <p>POCs: Regal Funds Management Pty Ltd [REDACTED] and Dylan Rands. Relevant Stocks: Clearview Wealth Management Limited (ASX:CVW), Galena Mining Limited (ASX:GLM) and Lithium Power International Limited (ASX:LPI).</p> <p>Investigation under section 13 of the Australian Securities and Investments Commission Act 2001 (the ASIC Act) into suspected contravenors of s 1041A, 1041B and 912A of the Corporations Act 2001 (Cth) in relation to trading in the Division 3 Financial Products of one or more of: a) Clearview Wealth Management Limited (ASX:CVW); b) Galena Mining Limited (ASX:GLM); and c) Lithium Power International Limited (ASX:LPI), on 27 March 2018 and during the period from 2 July 2018 to 2 November 2019 (inclusive).</p>	44155	No	N/A	Approved	0.00	0.00	0.00	Markets Enforcement	Markets Enforcement
CAS-3P993-K7MBG4	REGAL FUNDS MANAGEMENT PTY LIMITED/General Investigation	29/06/2021	Investigation	<p>Suspected contravenors: (1041A, 1041B and 912A) Relevant period: 27 March 2018 to 2 July 2018 to 22 November 2019 (both dates inclusive).</p> <p>POCs: Regal Funds Management Pty Ltd [REDACTED] and Dylan Rands. Relevant Stocks: Clearview Wealth Management Limited (ASX:CVW), Galena Mining Limited (ASX:GLM) and Lithium Power International Limited (ASX:LPI).</p> <p>Investigation under section 13 of the Australian Securities and Investments Commission Act 2001 (the ASIC Act) into suspected contravenors of s 1041A, 1041B and 912A of the Corporations Act 2001 (Cth) in relation to trading in the Division 3 Financial Products of one or more of: a) Clearview Wealth Management Limited (ASX:CVW); b) Galena Mining Limited (ASX:GLM); and c) Lithium Power International Limited (ASX:LPI), on 27 March 2018 and during the period from 2 July 2018 to 2 November 2019 (inclusive).</p>	44155	No	N/A	Approved	0.00	0.00	0.00	Markets Enforcement	Markets Enforcement
CAS-3P993-K7MBG4	REGAL FUNDS MANAGEMENT PTY LIMITED/General Investigation	30/07/2021	Investigation	<p>PRIORITY</p> <p>Suspected contravenors: (1041A, 1041B and 912A) Relevant period: 27 March 2018 to 2 July 2018 to 22 November 2019 (both dates inclusive).</p> <p>POCs: Regal Funds Management Pty Ltd [REDACTED] and Dylan Rands. Relevant Stocks: Clearview Wealth Management Limited (ASX:CVW), Galena Mining Limited (ASX:GLM) and Lithium Power International Limited (ASX:LPI).</p> <p>Investigation under section 13 of the Australian Securities and Investments Commission Act 2001 (the ASIC Act) into suspected contravenors of s 1041A, 1041B and 912A of the Corporations Act 2001 (Cth) in relation to trading in the Division 3 Financial Products of one or more of: a) Clearview Wealth Management Limited (ASX:CVW); b) Galena Mining Limited (ASX:GLM); and c) Lithium Power International Limited (ASX:LPI), on 27 March 2018 and during the period from 2 July 2018 to 2 November 2019 (inclusive).</p>	44155	No	Approved	0.00	0.00	0.00	Markets Enforcement	Markets Enforcement	
CAS-3P993-K7MBG4	REGAL FUNDS MANAGEMENT PTY LIMITED/General Investigation	31/08/2021	Investigation	<p>PRIORITY</p> <p>Suspected contravenors: (1041A, 1041B and 912A) Relevant period: 27 March 2018 to 2 July 2018 to 22 November 2019 (both dates inclusive).</p> <p>POCs: Regal Funds Management Pty Ltd [REDACTED] and Dylan Rands. Relevant Stocks: Clearview Wealth Management Limited (ASX:CVW), Galena Mining Limited (ASX:GLM) and Lithium Power International Limited (ASX:LPI).</p> <p>Investigation under section 13 of the Australian Securities and Investments Commission Act 2001 (the ASIC Act) into suspected contravenors of s 1041A, 1041B and 912A of the Corporations Act 2001 (Cth) in relation to trading in the Division 3 Financial Products of one or more of: a) Clearview Wealth Management Limited (ASX:CVW); b) Galena Mining Limited (ASX:GLM); and c) Lithium Power International Limited (ASX:LPI), on 27 March 2018 and during the period from 2 July 2018 to 2 November 2019 (inclusive).</p>		No	Approved	0.00	0.00	0.00	Markets Enforcement	Markets Enforcement	
CAS-3P993-K7MBG4	REGAL FUNDS MANAGEMENT PTY LIMITED/General Investigation	30/09/2021	Investigation	<p>PRIORITY</p> <p>Suspected contravenors: (1041A, 1041B and 912A) Relevant period: 27 March 2018 to 2 July 2018 to 22 November 2019 (both dates inclusive).</p> <p>POCs: Regal Funds Management Pty Ltd [REDACTED] and Dylan Rands. Relevant Stocks: Clearview Wealth Management Limited (ASX:CVW), Galena Mining Limited (ASX:GLM) and Lithium Power International Limited (ASX:LPI).</p> <p>Investigation under section 13 of the Australian Securities and Investments Commission Act 2001 (the ASIC Act) into suspected contravenors of s 1041A, 1041B and 912A of the Corporations Act 2001 (Cth) in relation to trading in the Division 3 Financial Products of one or more of: a) Clearview Wealth Management Limited (ASX:CVW); b) Galena Mining Limited (ASX:GLM); and c) Lithium Power International Limited (ASX:LPI), on 27 March 2018 and during the period from 2 July 2018 to 2 November 2019 (inclusive).</p>	44155	No	Approved	0.00	0.00	0.00	Markets Enforcement	Markets Enforcement	
CAS-3P993-K7MBG4	REGAL FUNDS MANAGEMENT PTY LIMITED/General Investigation	29/10/2021	Investigation	<p>PRIORITY</p> <p>Suspected contravenors: (1041A, 1041B and 912A) Relevant period: 27 March 2018 to 2 July 2018 to 22 November 2019 (both dates inclusive).</p> <p>POCs: Regal Funds Management Pty Ltd [REDACTED] and Dylan Rands. Relevant Stocks: Clearview Wealth Management Limited (ASX:CVW), Galena Mining Limited (ASX:GLM) and Lithium Power International Limited (ASX:LPI).</p> <p>Investigation under section 13 of the Australian Securities and Investments Commission Act 2001 (the ASIC Act) into suspected contravenors of s 1041A, 1041B and 912A of the Corporations Act 2001 (Cth) in relation to trading in the Division 3 Financial Products of one or more of: a) Clearview Wealth Management Limited (ASX:CVW); b) Galena Mining Limited (ASX:GLM); and c) Lithium Power International Limited (ASX:LPI), on 27 March 2018 and during the period from 2 July 2018 to 2 November 2019 (inclusive).</p>	44155	No	Approved	0.00	0.00	0.00	Markets Enforcement	Markets Enforcement	