

Haydar Tuncer

From: Legal and Policy Team Inbox
Sent: Thursday, 7 April 2022 10:56 AM
To: s 22; Legal and Policy Team Inbox
Cc: s 22
Subject: RE: FTX Australia Pty Ltd_s912C Notice - for review and sign off [SEC=OFFICIAL:Sensitive]

Hi s 22

I've made some further tweaks and comments for you to consider.

I note that there have been changes in paragraph numbers, so you'll need to double-check the cross references. I've noted these where I can, but there might be others.

Kind regards

s 22
Lawyer, Market Integrity Group – Legal & Policy
Australian Securities and Investments Commission
Level 5, 100 Market Street, Sydney, 2000
Tel: s 22
asic.gov.au



From: s 22 @asic.gov.au>
Sent: Tuesday, 5 April 2022 9:31 AM
To: Legal and Policy Team Inbox <legal.and.policy.team.inbox@asic.gov.au>
Cc: s 22 @asic.gov.au>
Subject: RE: FTX Australia Pty Ltd_s912C Notice - for review and sign off [SEC=OFFICIAL:Sensitive]

Hi s 22

I've tweaked the notice for FTX.

If you can jump in and let me know your thoughts that would be great.

Any questions, please let me know.

Thanks

s 22

From: Legal and Policy Team Inbox <legal.and.policy.team.inbox@asic.gov.au>
Sent: Thursday, 31 March 2022 4:38 PM
To: s 22 @asic.gov.au>; Legal and Policy Team Inbox <legal.and.policy.team.inbox@asic.gov.au>
Cc: s 22 @asic.gov.au>
Subject: RE: FTX Australia Pty Ltd_s912C Notice - for review and sign off [SEC=OFFICIAL:Sensitive]

Hi s 22

Thanks for sending this through and apologies for my delay in coming back. I have made some mark-ups and suggestions for you to consider in the sharepoint link.

This is just a suggestion, which is why I haven't included in the notice itself.

s 22

Lawyer, Market Integrity Group – Legal & Policy

Australian Securities and Investments Commission

Level 5, 100 Market Street, Sydney, 2000

Tel: s 22

asic.gov.au



ASIC

From: s 22 @asic.gov.au>

Sent: Thursday, 24 March 2022 4:37 PM

To: Legal and Policy Team Inbox <legal.and.policy.team.inbox@asic.gov.au>

Cc: s 22 @asic.gov.au>

Subject: FTX Australia Pty Ltd_s912C Notice - for review and sign off [SEC=OFFICIAL:Sensitive]

FTX Australia Pty Ltd_s912C Notice

<<https://crmapp.asic.gov.au/ASIC/main.aspx?etc=10110&extraqs=formid%3d649533c9-3d1e-46f0-8884-85752eedc918&id=%7b40955C46-31AA-EC11-815F-005056A80606%7d&pagetype=entityrecord>>

Hi team

Please see above link to a draft s912C Notice for FTX Australia Pty Ltd.

FTX Australia Pty Ltd has recently undergone a change of control with the new owner establishing (or seeking to establish) a crypto related platform/exchange. I have attached various email chains which describe the background to the reasons for this notice. Senior management including Commission were concerned when a recent Fin Review article on FTX was published which saw the new owner describe offering investors the chance to invest 20 to 1 over crypto tokens. This led to a review of their website and disclosure documents also, raising further questions to be asked of the licensee. In addition we have asked a range of change of control type questions to gain an understanding of the current org structure and fin services being provided.

Any queries please let me know.

In terms of time frame- we are hoping to get this out as soon as possible.

Thanks

s 22