

Haydar Tuncer

From: s 22
Sent: Sunday, 13 November 2022 5:27 PM
To: s 22
Subject: Re: AFS licence suspension brief - FTX Australia Pty Ltd (AFS licence number 323193) [SEC=OFFICIAL:Sensitive]

Thanks s 22 will do.

s 22
Senior Manager
Retail Complex Products and Investor Protection
Market Conduct, Market Supervision
Australian Securities and Investments Commission
Level 5, 100 Market Street, Sydney, 2000
Tel: s 22
Mob: s 22
asic.gov.au



I acknowledge the traditional owners of the land on which I work, the Gadigal people of the Eora nation.

From: s 22 @asic.gov.au>
Sent: Sunday, November 13, 2022 5:26:05 PM
To: s 22 @asic.gov.au>
Subject: Re: AFS licence suspension brief - FTX Australia Pty Ltd (AFS licence number 323193) [SEC=OFFICIAL:Sensitive]

EXTERNAL EMAIL: Do not click any links or open any attachments unless you trust the sender and know the content is safe.

Hi s 22
Yes, please share the proposed suspension conditions with John by email first thing so we can get a response and move to a decision.

Thanks

s 22

From: s 22 @asic.gov.au>
Sent: Sunday, November 13, 2022 4:36:17 PM
To: s 22 @asic.gov.au>
Subject: Re: AFS licence suspension brief - FTX Australia Pty Ltd (AFS licence number 323193) [SEC=OFFICIAL:Sensitive]

EXTERNAL EMAIL: Do not click any links or open any attachments unless you trust the sender and know the content is safe.

Hi s 22 did you want us to check in with KM about this first thing Monday, rather than wait until our 11am meeting with them?

Cheers,

s 22

Senior Manager

Retail Complex Products and Investor Protection

Market Conduct, Market Supervision

Australian Securities and Investments Commission

Level 5, 100 Market Street, Sydney, 2000

Tel: s 22

Mob: s 22

asic.gov.au*I acknowledge the traditional owners of the land on which I work, the Gadigal people of the Eora nation.***From:** s 22 @asic.gov.au>**Sent:** Friday, November 11, 2022 8:40:00 PM**To:** s 22 @asic.gov.au>; s 22 @asic.gov.au>**Cc:** s 22 @asic.gov.au>; s 22 @asic.gov.au>; s 22 @asic.gov.au>**Subject:** Re: AFS licence suspension brief - FTX Australia Pty Ltd (AFS licence number 323193) [SEC=OFFICIAL:Sensitive]**EXTERNAL EMAIL:** Do not click any links or open any attachments unless you trust the sender and know the content is safe.

Good evening s 22

We flagged with the administrators in our call earlier today that we were minded to seek a suspension of the licence, including because the EXAD companies do not control the trading platform, and asked if they had any objection. They did not object, but foresaw a possible need to deal with assets to ameliorate risks to assets and requested that we keep them updated.

The company's authorisations are limited, and the proposed conditions would allow for dealings with clients to terminate arrangements/derivatives with clients, but I will seek further instructions for you for Monday.

Kind regards

s 22

From: s 22 @asic.gov.au>**Sent:** Friday, November 11, 2022 6:25:58 PM**To:** s 22 @asic.gov.au>; s 22 @asic.gov.au>**Cc:** s 22 @asic.gov.au>; s 22 @asic.gov.au>**Subject:** Re: AFS licence suspension brief - FTX Australia Pty Ltd (AFS licence number 323193) [SEC=OFFICIAL:Sensitive]**EXTERNAL EMAIL:** Do not click any links or open any attachments unless you trust the sender and know the content is safe.

Dear s 22

Have you been in contact with the administrators to ask whether they need any special conditions on the licence suspension? My understanding is that it's usual to contact them but if you have made a considered decision not to do so, that's not a problem - just let me know.

Kind regards

s 22

Chief Hearing Delegate, Chief Legal Office

Australian Securities and Investments Commission

Level 5, 100 Market Street, Sydney, 2000

Tel: s 22 | s 22
@asic.gov.au

EA: s 22 | Tel: s 22
@asic.gov.au

From: s 22 @asic.gov.au>

Sent: Friday, November 11, 2022 2:01:05 PM

To: s 22 @asic.gov.au>; s 22 @asic.gov.au>

Cc: s 22 @asic.gov.au>; s 22 @asic.gov.au>

Subject: RE: AFS licence suspension brief - FTX Australia Pty Ltd (AFS licence number 323193) [SEC=OFFICIAL:Sensitive]

Good afternoon s 22

Thank you for being available to consider this matter with the team today. (Why do these situations seem to always land on a Friday?!?)

I'm available on s 22 or s 22 if you would like to discuss any aspect of the brief and recommendations.

Kind regards

s 22

s 22

Group Senior Manager (Market Conduct), Market Supervision

Australian Securities and Investments Commission

Level 9, 120 Collins Street, Melbourne, 3001

Tel: s 22
Mob: s 22
@asic.gov.au



ASIC

From: s 22 @asic.gov.au>

Sent: Friday, 11 November 2022 4:54 PM

To: s 22 @asic.gov.au>

Cc: s 22 @asic.gov.au>; s 22 @asic.gov.au>; s 22 @asic.gov.au>

Subject: AFS licence suspension brief - FTX Australia Pty Ltd (AFS licence number 323193) [SEC=OFFICIAL:Sensitive]

Good afternoon s 22

I hope you are well.

I understand s 22 has reached out to you regarding this matter. As such please find attached a brief for the suspension of FTX Australia Pty Ltd's AFS Licence under s915B(3)(b), including associated documents referred to in the brief.

Our Group Senior Manager, s 22 is happy to be contacted or involved in any meetings relating to FTX.

If you have any questions please let us know.

Hope you enjoy your weekend.

Kind regards

s 22

s 22

Analyst – Retail Complex Products and Investor Protection

Australian Securities and Investments Commission

Level 7, 120 Collins Street, Melbourne, 3000

Tel: s 22

[@asic.gov.au](mailto:s22@asic.gov.au)



ASIC