

Financial Services and Credit Panel

In the matter of [REDACTED]

Written direction under s 921L(1)(a)(i) of the *Corporations Act 2001*

Pursuant to s 921K(1) and s 921L(1)(a)(i) of the *Corporations Act 2001*, the Financial Services and Credit Panel convened by the Australian Securities and Investments Commission (**ASIC**) on 25 November 2025 to consider the conduct of [REDACTED], representative number [REDACTED] (the **relevant provider**) directs the relevant provider to undertake the training specified in Schedule A.

Schedule A

1. The relevant provider must, in the three months after this direction is made, undertake at least six hours of continuing professional education covering professionalism and ethics (the **required professional education**). The required professional education must:
 - a. be capable of being objectively verified by a competent source;
 - b. not be provided by the relevant provider's licensee;
 - c. be undertaken in addition to the relevant provider's existing continuing professional education obligations; and
 - d. be approved by ASIC before it is undertaken.
2. Within 30 days of completing the required professional education, the relevant provider must provide to ASIC documentation evidencing the successful completion of the required professional education.

Signed



Phillip Mines, Panel Chair

8 April 2026