

**Financial Services and Credit Panel**

**In the matter of** [REDACTED]

**Reprimand under s921T(1) of the *Corporations Act 2001***

To:

[REDACTED]  
Representative number [REDACTED]

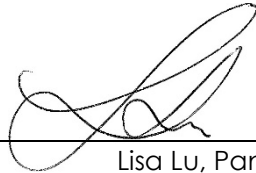
A Financial Services and Credit Panel convened by Australian Securities and Investments Commission on 17 January 2024 under s139(1) of the *Australian Securities and Investments Commission Act 2001* to consider the conduct of relevant provider [REDACTED] (the Sitting Panel) reasonably believes that Ms [REDACTED] has contravened the following financial services laws under the *Corporations Act 2001* (Corporations Act):

- (a) s946A(1); and
- (b) s921E(3),

in relation to personal advice provided to retail clients between June 2022 to August 2022.

Pursuant to s921T(1)(b) of the Corporations Act, the Sitting Panel hereby gives Ms [REDACTED] a written reprimand.

Signed: \_\_\_\_\_



Lisa Lu, Panel Chair

Date: 7 March 2024