

Financial Services and Credit Panel

In the matter of [REDACTED]

Reprimand under s 921T(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 15 March 2024 under s139(1) of the *Australian Securities and Investments Commission Act 2001* (**the Sitting Panel**) to consider the conduct of [REDACTED] (**the relevant provider**), reasonably believes that the relevant provider has contravened the following financial services laws under the *Corporations Act 2001* (**the Act**):

(a) s 1041H; and

(b) s 921E(3),

in relation to personal advice provided to a retail client between June 2022 and October 2022 inclusive.

Pursuant to s 921T(1)(b) of the Act, the Sitting Panel hereby gives the relevant provider a written reprimand.

Signed: 

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Myra Poon, Panel Chair

Date: 13 May 2024