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REPORTING OF DISCIPLINARY ACTION TO THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION (ASIC)

It has come to the attention of the SFE that not all Participants are aware of the Exchange's statutory requirements under Section 792B(2) of the Corporations Act 2001 (Cth) (the Act). Under paragraph (b) of this section of the Act, the SFE (as a market licensee) is required to give notice to ASIC of any kind of disciplinary action taken against a Participant. Therefore, imposition of a Reprimand or a financial penalty by the Business Conduct Committee, the Market Practices Committee or the Board of the SFE on a Participant will result in the notification of the findings and penalty against the Participant being notified by SFE to ASIC. Please note that this notification to ASIC occurs after the Participant has been given an opportunity to request a hearing and this hearing has been completed and the findings and penalty are imposed.

Participants should note that, in accordance with the Exchange's standard operating procedure, all notifications to ASIC are copied to the contact person at the relevant Participant.

Should you have any queries please contact Michelle Wagner on 9256-0580 or mwagner@sfe.com.au

A handwritten signature in black ink, appearing to read 'Michelle Wagner', is positioned above the typed name.

Michelle Wagner
Manager, Compliance & Surveillance

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