

Current Investigations - Enf

Type of Enquiry	Entity/Subject	Industry Sector	Suspected Misconduct
REDACTED - Confidential			
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	SWANN INSURANCE (AUST) PTY LTD, ALLIANZ AUSTRALIA INSURANCE LIMITED	Insurance - Sales practices	Financial Services and Products - Other financial services misconduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	AMARANTI SERGIO	Financial Advisers - Insurance advice	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
REDACTED - Confidential			
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	FERGUSON ANDREW JAMES	Funds management - Other	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	JAYAWEERA BEN, GROWTH PLUS FINANCIAL GROUP PTY LTD	Funds Management - Responsible Entities & schemes	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	AVIATION 3030 PTY LTD	Financial Advisers - Other	Financial Services and Products - Other financial services misconduct
REDACTED - Confidential			
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	COMMONWEALTH BANK OF AUSTRALIA	Market participant & OTC issuers - Major Aus and foreign banks	Financial Markets - Market manipulation
REDACTED - Confidential			
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	BUSTEED SARAH	Financial Advisers - Other	Corporations and their Officers - Action against directors
REDACTED - Confidential			
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	CHANNIC PTY LTD, CASH BROKERS PTY LTD, HULBERT COLIN WILLIAM	Credit - Credit intermediaries	Financial Services and Products - Credit
REDACTED - Confidential			
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	GLENN WILLIAM CONNOR	Financial Advisers - Other	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
REDACTED - Confidential			

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Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	DOVER FINANCIAL ADVISERS PTY LTD, MCMASTER TERRENCE , TEE FLORENCE	Financial Advisers - Other	Financial Services and Products - Other financial services misconduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	AUSTRALIA AND NEW ZEALAND BANKING GROUP LIMITED	Credit - ADI lending	Financial Services and Products - Credit
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	FINANCIAL CIRCLE PTY LTD, CGF ONE PTY LTD	Financial Advisers - Other	Financial Services and Products - Other financial services misconduct
REDACTED - Confidential			
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	GEM MANAGEMENT GROUP PTY LTD	Funds management - Responsible Entities & schemes	Financial Services and Products - Other financial services misconduct
REDACTED - Confidential			
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	DIVERSE CAPITAL MANAGEMENT PTY LTD, REFOCUS FINANCIAL GROUP PTY LTD, GORDON BRETT ANDREW	Financial Advisers - Other	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	GORE CRAIG KIRRIAN	Financial Advisers - Other	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	ANTONINO SALVATORE GUCCIARDI	Financial Advisers - Insurance advice	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
REDACTED - Confidential			
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	HOUGHTON KORESH	Financial Advisers - Other	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	JOHNSTON MAUREEN GAEL, JOHNSTON DOUGLAS GORDON	Funds management - Other	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	JARMAN BRODY GLENN	Financial Advisers - Insurance advice	Financial Services and Products - Misappropriation, theft, fraud
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	JJ GLOBAL NETWORK PTY LTD	Funds management - Responsible Entities & schemes	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
REDACTED - Confidential			
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	MALOUF GROUP ENTERPRISES PTY LTD, MALOUF JORDAN FRANCIS	Financial Advisers - Other	Financial Services and Products - Credit
REDACTED - Confidential			
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	ANNABELLE MARTINCIC	Financial Advisers - Other	Financial Services and Products - Credit
REDACTED - Confidential			

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Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	RAA INSURANCE LIMITED	Insurance - Sales practices	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	ORTH DAVID	Financial Advisers - Other	Financial Services and Products - Other financial services misconduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	SILVER BRADLEY KEITH	Funds management - Responsible Entities & schemes	Financial Services and Products - Credit
REDACTED - Confidential			
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	MA JUN, ZHAO XIAOYI	Credit - Credit intermediaries	Financial Services and Products - Credit
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	TAYLOR MICHAEL GORDON	Financial Advisers - Other	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	TESSA SAMUEL	Financial Advisers - Insurance advice	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
REDACTED - Confidential			
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	TIDSWELL FINANCIAL SERVICES LTD	Financial Advisers - Other	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
Other investigation	WILSONS ADVISORY AND STOCKBROKING LIMITED	Market participant & OTC issuers - All	Financial Markets - Other market misconduct

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Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	AMP FINANCIAL PLANNING PTY LIMITED	Financial Advisers - Insurance advice	Financial Services and Products - Other financial services misconduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	AMP FINANCIAL PLANNING PTY LIMITED	Financial Advisers - Compliance & supervision	Financial Services and Products - Other financial services misconduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	COWPER GRAEME ASHLEY	Financial Advisers - Other	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	AMP FINANCIAL PLANNING PTY LIMITED, CHARTER FINANCIAL PLANNING LIMITED, HILLROSS FINANCIAL SERVICES LIMITED	Financial Advisers - Compliance & supervision	Financial Services and Products - Other financial services misconduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	FONG DAVID MICHAEL	Financial Advisers - Insurance advice	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
REDACTED - Confidential			
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	TREVOR MARTIN	Financial Advisers - Other	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	BRENTON JOHN POYNTER	Financial Advisers - Other	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
REDACTED - Confidential			
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	AUSTRALIA AND NEW ZEALAND BANKING GROUP LIMITED	Funds management - Superannuation	Financial Services and Products - Other financial services misconduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	AUSTRALIA AND NEW ZEALAND BANKING GROUP LIMITED	Financial Advisers - Remediation	Financial Services and Products - Other financial services misconduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	RI ADVICE GROUP PTY LTD, BERNIE LEWIS FINANCIAL SOLUTIONS PTY LIMITED	Financial Advisers - Compliance & supervision	Financial Services and Products - Other financial services misconduct
REDACTED - Confidential			
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	HOLGATE KIMBERLEY RAE	Financial Advisers - Insurance advice	Financial Services and Products - Other financial services misconduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	COMMONWEALTH FINANCIAL PLANNING LIMITED	Financial Advisers - Bank advice	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	COUNT FINANCIAL LIMITED	Financial Advisers - Bank advice	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
REDACTED - Confidential			
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	COMMONWEALTH BANK OF AUSTRALIA	Funds management - Superannuation	Financial Services and Products - Other financial services misconduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	LANDAU MARK ALEXANDER, CAMPBELL MARCUS RODERICK	Financial Advisers - Other	Financial Services and Products - Other financial services misconduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	APOGEE FINANCIAL PLANNING LIMITED, GODFREY PEMBROKE LIMITED, GWM ADVISER SERVICES LIMITED	Financial Advisers - Bank advice	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct

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Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	NATIONAL AUSTRALIA BANK LIMITED	Financial Advisers - Bank advice	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	MAX KIATTISAK EUNG	Financial Advisers - Other	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	APOGEE FINANCIAL PLANNING LIMITED, GODFREY PEMBROKE LIMITED, GWM ADVISER SERVICES LIMITED, MERITUM FINANCIAL GROUP PTY LTD	Financial Advisers - Bank advice	Financial Services and Products - Other financial services misconduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	NATIONAL AUSTRALIA BANK LIMITED, GWM ADVISER SERVICES LIMITED, APOGEE FINANCIAL PLANNING LIMITED, NULIS NOMINEES (AUSTRALIA) LIMITED, NATIONAL WEALTH MANAGEMENT SERVICES LIMITED, MLC INVESTMENTS LIMITED	Financial Advisers - Remediation	Financial Services and Products - Other financial services misconduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	NULIS NOMINEES (AUSTRALIA) LIMITED, MLC NOMINEES PTY LTD	Financial Advisers - Bank Advice	Financial Services and Products - Other financial services misconduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	NULIS NOMINEES (AUSTRALIA) LIMITED, MLC INVESTMENTS LIMITED	Financial Advisers - Bank advice	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	TAYLOR GRANT	Financial Advisers - Other	Financial Services and Products - Misappropriation, theft, fraud
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	KHAN MUNEEER MAHMOOD	Financial Advisers - Other	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	WESTPAC SECURITIES ADMINISTRATION LIMITED, BT FUNDS MANAGEMENT LIMITED	Funds Management - Suuperannuation	Financial Services and Products - Other financial services misconduct
Formal investigation (an investigation commenced pursuant to s13 ASIC Act or s247 NCCP Act)	WORLD BINARY EXCHANGE PTY LTD	Funds management - Other	Financial Services and Products - Dishonest conduct, misleading statements, unconscionable conduct