

Change of details for an Australian financial services licence

If there is insufficient space in any section of the form, you may photocopy the relevant page(s) and submit as part of this lodgement

AFS licence details

AFS licence number

230846

ABN (if no ABN assigned, provide ACN or ARBN)

58 097 703 047

AFS licence name

TAG ASSET CONSULTING GROUP PTY LTD

Lodgement details

Who should ASIC contact if there is a query about this form?

ASIC registered agent number (if applicable)

Firm/organisation

ATCHISON (TAG ASSET CONSULTING GROUP)

Contact name/position description

KEVIN TOOHEY - DIRECTOR

Telephone number (during business hours)

(03) 9642 3835

Email address (optional)

KEVIN.TOOHEY@ATCHISON.COM.AU

Postal address

LV4/125 FLINDERS LANE

Suburb/City

MELBOURNE

State/Territory

VIC

Postcode

3001

1 AFS licensee details

Tick appropriate box

Do you wish to change the AFS licensee address, business name or controlling entity details?

☐ Yes ☒ No

If Yes, commence at 1.1 and provide only that information that has changed. If No, go to 2

1.1 Principal business address

Office, unit, level

Street number and Street name

Suburb/City

State/Territory

Postcode

1 Continued... AFS licensee details

1.2 Address for service of notices

Office, unit, level

Street number and Street name

Suburb/City

State/Territory

Postcode

1.3 Remove a business name under which the AFS licensee trades.

If the business name was registered before 28 May 2012, the business registration number and the State/Territory of registration is required.

Business name

Registered business name number

State/Territory of registration

Business name

Registered business name number

State/Territory of registration

If insufficient space, provide details of business names to be added or removed on an attached annexure.

1.4 Add a business name under which the AFS licensee trades:

If the business name was registered before 28 May 2012, the business registration number and the State/Territory of registration is required.

Business name

Registered business name number

State/Territory of registration

Business name

Registered business name number

State/Territory of registration

For non-corporate entities only:

1.5 Name

ABN

1.6 Effective date of change

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>
[D]	[D]		[M]	[M]		[Y]	[Y]

1 Continued... AFS licensee details

1.7 Do you wish to change the licensee controlling entity details?

☐ Yes ☐ No

If Yes commence at 1.7.1, if No go to 2.

You are required to provide us with a list of the person or persons who control the licensee. Person includes both natural persons and body corporates. The definition of control is set out in Corporations Regulation 7.6.04(2).

Control is determined by:

- voting power of more than 50% of voting shares;
- shareholding(directly or indirectly) of more than 50% of the issued capital (excluding preference shares);
- capacity to control the composition of the board of the licensee; and
- capacity to determine the outcome of decisions about financial and operating policies of the licensee.

A person controls a licensee if the person, either alone or together with its associates, controls the licensee. The person or an associate could be an individual or a body corporate. Further, as control can exist as a matter of law or as a matter of fact, two or more persons may control the licensee even in circumstances where such persons are not associates.

For more information go to www.asic.gov.au/afs-change-control

1.7.1 Details of new controlling entities

Controlling entity ABN (if applicable)	Controlling entity name	Effective date
		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]
		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]
		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]
		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]
		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]
		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]

1.7.2 Details of ceased controlling entities

Controlling entity ABN (if applicable)	Controlling entity name	Effective date
		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]
		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]
		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]
		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]
		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]
		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]

1.7.3 If there are no persons who control the licensee, you must provide an explanation with reference to the definition of control as set out in Corporations Regulation 7.6.04(2)

2 Contact details

ASIC will use the email address of the ongoing contact person to send correspondence (including invoices) relating to lodgements by the licensee under the *Corporations Act 2001* concerning the maintenance of the licence, and the appointment and maintenance of the licensee's authorised representatives and financial advisers (if any)

Do you wish to change the contact details for this AFS licence?

☒ Yes ☐ No

If Yes, commence at 2.1 and provide only that information that has changed. If No go to 3.

2.1 Full name

KEVIN TOOHEY

2.2 Relationship to applicant

☒ Licensee (including officers & staff) ☐ External service provider

2.3 Email address

KEVIN.TOOHEY@ATCHISON.COM.AU

2.4 Telephone number

(03) 9642 3835

2.5 Facsimile number

N/A

Postal address

2.6 Office, unit, level

LV4 125 FLINDERS LANE

Street number and Street name

125 FLINDERS LANE

Suburb/City

MELBOURNE

State/Territory

VIC

Postcode

3001

2.7 Effective date of change

09/12/22
[D] [D] [M] [M] [Y] [Y]

3 Responsible managers

Do you wish to change your responsible managers?

☒ Yes

☐ No

If Yes, commence at 3.1. If No go to 4.

3.1 Do you wish to remove one or more responsible managers?

☒ Yes

☐ No

If Yes, go to 3.1.1. If No go to 3.2.

If insufficient space, provide the details of responsible managers to be removed on an attached annexure.

3.1.1 Provide the following details for the responsible managers you wish to remove.

Full Name (Given names, family name)

Date of birth

KENNETH JOHN ATCHISON

21/06/1947

If you are removing a key person, you must also lodge a variation application (FS03) to apply for the key person condition to be varied or removed.

3.1.2 Effective date of change

09/12/22
[D] [D] [M] [M] [Y] [Y]

If you are adding or amending more than one responsible manager attach completed copies of pages 5 and 6 of this form as annexures to the FS20.

3.2 Do you wish to add or amend the details of one or more responsible managers?

☒ Yes

☐ No

If Yes, go to 3.2.1. If No go to 4.

3.2.1 Provide the following details for each responsible manager you wish to add or whose details you wish to amend.

Given names

KEVIN THOMAS

Family name

TOOHEY

Date of birth

16/11/82
[D] [D] [M] [M] [Y] [Y]

Place of birth

City/Town

EAST MELBOURNE

Country

AUSTRALIA

☒ New responsible manager

☐ Existing responsible manager

Personal details

3 Continued... Responsible managers

Personal details

The service you select must be authorised under your AFS licence or be a subset of your authorisation.

What is the relationship of this person to the entity that will hold this AFS licence?

☐ An employee/officer ☒ Owner/partner ☐ An external service provider

What best describes this person's role for your organisation?

☐ Accountant ☐ Asset Specialist
☐ Chief Executive Officer ☐ Chief Investment Officer
☐ Company Secretary ☐ Compliance Manager
☐ Compliance Officer ☐ Communications Platform Officer
☒ Director ☐ Distribution Manager
☐ Financial Controller ☐ General Manager
☐ Human Resource Manager ☐ Information Technology Officer
☐ Legal Adviser ☐ Marketing Manager
☐ Operations Manager ☐ Partner/Proprietor
☐ Professional Adviser ☐ Trustee

What financial services will this person be a responsible manager for?

☒ Provide financial product advice ☒ Provide class of product advice
☐ Deal in a financial product ☐ Make a market for a financial product
☐ Operate a registered scheme ☐ Provide custodial or depository service
☐ Provide traditional trustee company services ☐ Operate the business and conduct the affairs of a retail CCIV
☐ Provide a crowd-funding service ☐ Operate the business and conduct the affairs of a wholesale CCIV

On average, how many days will this person spend on duties related to the provision of financial services by the applicant or its related body corporate?

☐ Less than 1 day per month ☐ Less than 1 day per week
☐ 1 to 3 days per week ☒ More than 3 days per week

What industry category(ies) best describes this person's area of experience?

☐ Accounting ☒ Asset Specialist
☐ Banking or like services ☐ Communications Platforms
☐ Crowd-Funding Services ☐ Custodial / Depository
☒ Derivatives ☒ Financial/Investment Advising
☐ Foreign Exchange ☒ Funds Management/Investment Management
☐ General Insurance ☒ Information Technology Officer
☐ Law Firm/Legal ☐ Life Insurance
☒ Management ☐ Margin Lending
☐ Securities Dealing ☐ Stockbroking
☒ Superannuation ☐ Technical Adviser
☐ Trustee ☐ Underwriting

What best describes the overall type of experience they have?

☒ Management – small entity ☐ Management – medium to large entity
☐ Technical adviser ☐ Employee/representative – small entity
☐ Employee/representative – medium to large entity

Which of the following best describes the length of their relevant industry experience?

☐ At least 3 years experience in the last 5 years ☒ At least 5 years experience in the last 8 years
☐ Neither of the above

Where was this experience predominantly obtained?

☒ Australia ☐ Overseas country (please specify)

Which of the five options for demonstrating knowledge and skills do they meet?

☐ Meets widely adopted and relevant industry standard, or relevant standard set by APRA; or
☐ Has been individually assessed by an authorised assessor as having relevant knowledge equivalent to a diploma; or
☐ Holds a university degree in a relevant discipline and has completed a relevant short industry course; or
☒ Holds a relevant industry or product-specific qualification equivalent to a diploma or higher; or
☐ Other demonstration of knowledge and skills.

3.3 Effective date of change

09/12/22
 [D] [M] [Y]

If adding or amending more than one responsible manager, include additional details as an annexure. A Statement of Personal Information must also be completed and included as an annexure for each responsible manager added, refer Appendix A of this form.

3 Responsible managers

Do you wish to change your responsible managers?

☐ Yes

☐ No

If Yes, commence at 3.1. If No go to 4.

3.1 Do you wish to remove one or more responsible managers?

☐ Yes

☐ No

If Yes, go to 3.1.1. If No go to 3.2.

3.1.1 Provide the following details for the responsible managers you wish to remove.

Full Name (Given names, family name)

Date of birth

If insufficient space, provide the details of responsible managers to be removed on an attached annexure.

If you are removing a key person, you must also lodge a variation application (FS03) to apply for the key person condition to be varied or removed.

3.1.2 Effective date of change

☐ ☐ ☐ / ☐ ☐ ☐ ☐
[D] [D] [M] [M] [Y] [Y]

If you are adding or amending more than one responsible manager attach completed copies of pages 5 and 6 of this form as annexures to the FS20.

3.2 Do you wish to add or amend the details of one or more responsible managers?

☒ Yes

☐ No

If Yes, go to 3.2.1. If No go to 4.

3.2.1 Provide the following details for each responsible manager you wish to add or whose details you wish to amend.

Given names

DREW

Family name

MELEDITH

Date of birth

2 1 1 / 1 8 2
[D] [D] [M] [M] [Y] [Y]

Place of birth

City/Town

MELBOURNE

Country

AUSTRALIA

☒

New responsible manager

☐

Existing responsible manager

Personal details

2nd Addition:

3 Continued... Responsible managers

Personal details

The service you select must be authorised under your AFS licence or be a subset of your authorisation.

What is the relationship of this person to the entity that will hold this AFS licence?

- ☐ An employee/officer ☒ Owner/partner ☐ An external service provider

What best describes this person's role for your organisation?

- | | |
|--|--|
| <input type="checkbox"/> Accountant | <input type="checkbox"/> Asset Specialist |
| <input type="checkbox"/> Chief Executive Officer | <input type="checkbox"/> Chief Investment Officer |
| <input type="checkbox"/> Company Secretary | <input type="checkbox"/> Compliance Manager |
| <input type="checkbox"/> Compliance Officer | <input type="checkbox"/> Communications Platform Officer |
| <input checked="" type="checkbox"/> Director | <input type="checkbox"/> Distribution Manager |
| <input type="checkbox"/> Financial Controller | <input type="checkbox"/> General Manager |
| <input type="checkbox"/> Human Resource Manager | <input type="checkbox"/> Information Technology Officer |
| <input type="checkbox"/> Legal Adviser | <input type="checkbox"/> Marketing Manager |
| <input type="checkbox"/> Operations Manager | <input type="checkbox"/> Partner/Proprietor |
| <input type="checkbox"/> Professional Adviser | <input type="checkbox"/> Trustee |

What financial services will this person be a responsible manager for?

- | | |
|---|---|
| <input checked="" type="checkbox"/> Provide financial product advice | <input checked="" type="checkbox"/> Provide class of product advice |
| <input type="checkbox"/> Deal in a financial product | <input type="checkbox"/> Make a market for a financial product |
| <input type="checkbox"/> Operate a registered scheme | <input type="checkbox"/> Provide custodial or depository service |
| <input type="checkbox"/> Provide traditional trustee company services | <input type="checkbox"/> Operate the business and conduct the affairs of a retail CCIV |
| <input type="checkbox"/> Provide a crowd-funding service | <input type="checkbox"/> Operate the business and conduct the affairs of a wholesale CCIV |

On average, how many days will this person spend on duties related to the provision of financial services by the applicant or its related body corporate?

- | | |
|--|--|
| <input type="checkbox"/> Less than 1 day per month | <input type="checkbox"/> Less than 1 day per week |
| <input checked="" type="checkbox"/> 1 to 3 days per week | <input type="checkbox"/> More than 3 days per week |

What industry category(ies) best describes this person's area of experience?

- | | |
|--|---|
| <input type="checkbox"/> Accounting | <input type="checkbox"/> Asset Specialist |
| <input type="checkbox"/> Banking or like services | <input type="checkbox"/> Communications Platforms |
| <input type="checkbox"/> Crowd-Funding Services | <input type="checkbox"/> Custodial / Depository |
| <input type="checkbox"/> Derivatives | <input checked="" type="checkbox"/> Financial/Investment Advising |
| <input type="checkbox"/> Foreign Exchange | <input type="checkbox"/> Funds Management/Investment Management |
| <input type="checkbox"/> General Insurance | <input type="checkbox"/> Information Technology Officer |
| <input type="checkbox"/> Law Firm/Legal | <input checked="" type="checkbox"/> Life Insurance |
| <input checked="" type="checkbox"/> Management | <input checked="" type="checkbox"/> Margin Lending |
| <input checked="" type="checkbox"/> Securities Dealing | <input type="checkbox"/> Stockbroking |
| <input checked="" type="checkbox"/> Superannuation | <input type="checkbox"/> Technical Adviser |
| <input type="checkbox"/> Trustee | <input type="checkbox"/> Underwriting |

What best describes the overall type of experience they have?

- | | |
|---|---|
| <input checked="" type="checkbox"/> Management – small entity | <input type="checkbox"/> Management – medium to large entity |
| <input type="checkbox"/> Technical adviser | <input type="checkbox"/> Employee/representative – small entity |
| <input type="checkbox"/> Employee/representative – medium to large entity | |

Which of the following best describes the length of their relevant industry experience?

- | | |
|--|---|
| <input type="checkbox"/> At least 3 years experience in the last 5 years | <input checked="" type="checkbox"/> At least 5 years experience in the last 8 years |
| <input type="checkbox"/> Neither of the above | |

Where was this experience predominantly obtained?

- ☒ Australia ☐ Overseas country (please specify)

The five options are explained in Section C of RG105

Which of the five options for demonstrating knowledge and skills do they meet?

- | |
|--|
| <input type="checkbox"/> Meets widely adopted and relevant industry standard, or relevant standard set by APRA; or |
| <input type="checkbox"/> Has been individually assessed by an authorised assessor as having relevant knowledge equivalent to a diploma; or |
| <input type="checkbox"/> Holds a university degree in a relevant discipline and has completed a relevant short industry course; or |
| <input checked="" type="checkbox"/> Holds a relevant industry or product-specific qualification equivalent to a diploma or higher; or |
| <input type="checkbox"/> Other demonstration of knowledge and skills. |

3.3 Effective date of change

09/12/22
[D] [M] [Y]

If adding or amending more than one responsible manager, include additional details as an annexure. A Statement of Personal Information must also be completed and included as an annexure for each responsible manager added, refer Appendix A of this form.

3 Responsible managers

Do you wish to change your responsible managers?

☐ Yes

☐ No

If Yes, commence at 3.1. If No go to 4.

3.1 Do you wish to remove one or more responsible managers?

☐ Yes

☐ No

If Yes, go to 3.1.1. If No go to 3.2.

3.1.1 Provide the following details for the responsible managers you wish to remove.

Full Name (Given names, family name)

Date of birth

If insufficient space, provide the details of responsible managers to be removed on an attached annexure.

If you are removing a key person, you must also lodge a variation application (FS03) to apply for the key person condition to be varied or removed.

3.1.2 Effective date of change

☐ ☐ / ☐ ☐ / ☐ ☐
[D] [D] [M] [M] [Y] [Y]

If you are adding or amending more than one responsible manager attach completed copies of pages 5 and 6 of this form as annexures to the FS20.

3.2 Do you wish to add or amend the details of one or more responsible managers?

☒ Yes

☐ No

If Yes, go to 3.2.1. If No go to 4.

3.2.1 Provide the following details for each responsible manager you wish to add or whose details you wish to amend.

Given names

JAMIE

Family name

NEMTSAS

Date of birth

/ /
[D] [D] [M] [M] [Y] [Y]

Place of birth

City/Town

MILDURA

Country

AUSTRALIA

☒ New responsible manager

☐ Existing responsible manager

Personal details

3rd Addition:

3 Continued... Responsible managers

Personal details

The service you select must be authorised under your AFS licence or be a subset of your authorisation.

What is the relationship of this person to the entity that will hold this AFS licence?

☐ An employee/officer

☒ Owner/partner

☐ An external service provider

What best describes this person's role for your organisation?

☐ Accountant

☐ Chief Executive Officer

☐ Company Secretary

☐ Compliance Officer

☒ Director

☐ Financial Controller

☐ Human Resource Manager

☐ Legal Adviser

☐ Operations Manager

☐ Professional Adviser

☐ Asset Specialist

☐ Chief Investment Officer

☐ Compliance Manager

☐ Communications Platform Officer

☐ Distribution Manager

☐ General Manager

☐ Information Technology Officer

☐ Marketing Manager

☐ Partner/Proprietor

☐ Trustee

What financial services will this person be a responsible manager for?

☒ Provide financial product advice

☐ Deal in a financial product

☐ Operate a registered scheme

☐ Provide traditional trustee company services

☐ Provide a crowd-funding service

☒ Provide class of product advice

☐ Make a market for a financial product

☐ Provide custodial or depository service

☐ Operate the business and conduct the affairs of a retail CCIV

☐ Operate the business and conduct the affairs of a wholesale CCIV

On average, how many days will this person spend on duties related to the provision of financial services by the applicant or its related body corporate?

☐ Less than 1 day per month

☒ 1 to 3 days per week

☐ Less than 1 day per week

☐ More than 3 days per week

What industry category(ies) best describes this person's area of experience?

☐ Accounting

☐ Banking or like services

☐ Crowd-Funding Services

☐ Derivatives

☐ Foreign Exchange

☐ General Insurance

☐ Law Firm/Legal

☒ Management

☒ Securities Dealing

☒ Superannuation

☐ Trustee

☐ Asset Specialist

☐ Communications Platforms

☐ Custodial / Depository

☒ Financial/Investment Advising

☐ Funds Management/Investment Management

☐ Information Technology Officer

☒ Life Insurance

☒ Margin Lending

☐ Stockbroking

☐ Technical Adviser

☐ Underwriting

What best describes the overall type of experience they have?

☒ Management – small entity

☐ Technical adviser

☐ Employee/representative – medium to large entity

☐ Management – medium to large entity

☐ Employee/representative – small entity

Which of the following best describes the length of their relevant industry experience?

☐ At least 3 years experience in the last 5 years

☐ Neither of the above

☒ At least 5 years experience in the last 8 years

Where was this experience predominantly obtained?

☒ Australia

☐ Overseas country

(please specify)

The five options are explained in Section C of RG105

Which of the five options for demonstrating knowledge and skills do they meet?

☐ Meets widely adopted and relevant industry standard, or relevant standard set by APRA, or

☐ Has been individually assessed by an authorised assessor as having relevant knowledge equivalent to a diploma; or

☐ Holds a university degree in a relevant discipline and has completed a relevant short industry course; or

☒ Holds a relevant industry or product-specific qualification equivalent to a diploma or higher; or

☐ Other demonstration of knowledge and skills.

3.3 Effective date of change

09/12/22
[D] [M] [Y]

If adding or amending more than one responsible manager, include additional details as an annexure. A Statement of Personal Information must also be completed and included as an annexure for each responsible manager added, refer Appendix A of this form.

4 Dispute resolution

This question applies to AFS licensees that service retail clients only.

Do you wish to change your external dispute resolution details?

☐ Yes

☒ No

If Yes commence at 4.1 and provide only that information that has changed. If No go to 5.

4.1 What best describes the role of the person in your organisation with responsibility for external dispute resolution.

☐ Chief Executive Officer

☐ Complaints Manager

☐ Compliance Manager

☐ Compliance Officer

☐ Customer Services Manager

☐ Director

☐ General Manager

☐ Operations Manager

☐ Partner/Proprietor

4.2 Please provide the details of membership of the Australian Financial Complaints Authority (AFCA).

Membership Number

Commencement date

 / /

[D] [D] [M] [M] [Y] [Y]

Scheme details

5 Compensation arrangements

This question applies to AFS licensees that service retail clients, operate a registered scheme or operate an IDPS only.

5.1 Do you wish to change your security bond details?

☐ Yes

☒ No

If Yes go to 5.1.1

5.1.1 Provide details of new bond

Name of the financial institution that issued bond

Amount of bond (Bond amounts can only be \$10,000 or \$20,000)

5.1.2 Effective date of change

 / /

[D] [D] [M] [M] [Y] [Y]

5.2 Are you seeking to discharge your bond?

☐ Yes

☐ No

6 Continuing professional development (CPD) year

This question applies to AFS licensees that can authorise relevant providers (known as financial advisers) to provide personal advice to retail clients in relation to relevant financial products

If you are notifying us of your CPD year for the first time

OR

If you are changing your CPD year

6.1 The start date of the CPD year applying to providers of personal advice to retail clients in relation to relevant financial products:

 /

[D] [D] [M] [M]

6.2 Current CPD year start date

 /

[D] [D] [M] [M]

Change to new CPD year start date

 /

[D] [D] [M] [M]

Date decision to change CPD year was made

 / /

[D] [D] [M] [M] [Y] [Y] [Y] [Y]

Annexures

Provide the following details for all annexures that are attached to this document.

Please note that all annexures must be clearly marked with the AFS licence number, annexure number and the number of pages.

Total number of annexures

Annexure Number	Annexure Detail (eg additional business name, Statement of Personal Information for xxx, etc...)

Declarations and Certifications

General Declaration and Consent

The AFS licensee declares that, to the best of its knowledge, the information supplied in, and with, this document is complete and accurate.

The AFS licensee declares that it will comply with its obligations as a financial services licensee.

The AFS licensee acknowledges that the Australian Securities and Investments Commission may take action to verify that the statements and certifications made in relation to this document were not false or misleading.

Certifications

I certify that as at the date of this application to the best of my knowledge the following is true:

- new responsible managers named in this document have completed the statement of personal information and the applicant believes the responsible managers are of good fame and character
- new responsible managers named in this document have the relevant knowledge, skills and experience to perform their particular roles within this business.

ASIC Privacy Policy:

ASIC will store the information you have provided and may use this information to contact you. Please refer to our privacy policy (www.asic.gov.au/privacy) for information about how we handle your personal information, your rights to seek access to and correct personal information, and to complain about breaches of your privacy.

☒ I have read and understood the ASIC privacy policy.

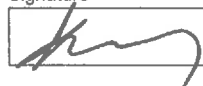
Signature

Refer to Guide for details on eligible signatories.

Name

KEVIN TOOHEY

Signature



Capacity

DIRECTOR

Entity name (if entity acting as agent)

N/A

Date signed

30/11/22
[D] [D] [M] [M] [Y] [Y]

Lodgement

Send completed and signed forms to:
AFS Licence Applications
Australian Securities and Investments Commission
PO Box 4000
Gippsland Mail Centre VIC 3841

Or lodge the form online at www.asic.gov.au

For more information

Web www.asic.gov.au
Need help? www.asic.gov.au/question
Telephone 1300 300 630

Guide: Change of details for an Australian financial services licence

This guide does not form part of the form. It is included by ASIC to assist you in completing and lodging the Form FS20.

Signature

This form must be signed by the person authorised by the Australian financial services (AFS) licensee.

Entity	Signatory
Partnership comprised of individuals	Any one of the individual partners
Partnership comprised of both individuals and companies	Any one of the individual partners or a director or secretary of one of the companies
Multiple trustees	Any one of the trustees, or where the trustee is a body, a director or secretary of the body
Company	Director or secretary, or the director or secretary of the corporate director, if the company is a CCIV
Foreign company	Director or secretary or local agent
Individual	The individual

Lodgement period

10 business days for changes to responsible managers and principal business address details.

10 business days for changes to controlling entity details for licensees other than body corporate licensees as defined by s910A of the *Corporations Act 2001*.

30 business days for changes to controlling entity details for licensees who are body corporate licensees as defined by s910A of the *Corporations Act 2001*.

30 business days from the day the licence is granted or the day the licensee decides to change the CPD year.

Lodgement fees

A lodgement fee may apply to this form.

For information on fees refer to www.asic.gov.au/forms.

Late fees

Late fees may apply if you notify a change outside of the lodgement period.

For information on fees refer to www.asic.gov.au/forms.

Lodge this form online

You can also apply to change the details for an AFS licence online www.asic.gov.au.

The AFS licensee portal provides:

- a tailored process that will lead you through each relevant step
- pre-filled data wherever possible
- fewer errors – the system will check that you have completed each applicable question and automatically verify some answers
- faster processing – we will not have to enter information

Key points to note

Some questions have been designed so that you provide ASIC with your base information and then only those details that have changed. However, if any required fields are incomplete or contain invalid data types ASIC staff will be unable to process this form.

If appropriate, ASIC will contact you by telephone for clarification or, if the incomplete or invalid data is significant, the FS20 will not be accepted for lodgement and will be returned to you unprocessed.

Proofs and evidences

Where changes have been made in the following areas the relevant proofs and evidences must be included as annexures to the FS20. Refer to the AFS Licensing Kit for further details.

1. Responsible Managers - *A Statement of Personal Information* for each responsible manager added
2. Compensation arrangements - *Compensation Capacity Statement*.

Privacy

The information provided to ASIC in this form may include personal information. Please refer to our privacy policy (www.asic.gov.au/privacy) for information about how we handle your personal information, your rights to seek access to and correct personal information, and to complain about breaches of your privacy.

Warning

It is an offence under the *Corporations Act 2001* to provide false or misleading information to ASIC.

How to provide additional information

Annexures

If there is insufficient space in any section of the form, you may submit annexures as part of this lodgement.

To make any annexure conform to the regulations, you must

1. use A4 size paper of white or light pastel colour with a margin of at least 10mm on all sides
2. show the AFS licence number
3. number the pages consecutively
4. print or type in BLOCK letters in dark blue or black ink so that the document is clearly legible when photocopied
5. mark the annexure with an identifying letter or symbol (e.g. a,b,c or 1,2,3 etc.)
6. endorse the annexure with the words:
This annexure (mark) of (number) pages referred to in form (form number and title)
7. sign and date the annexure

The annexure must be signed by the same person(s) who signed the form.

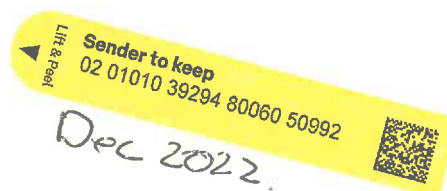
Lodgement

Send completed and signed forms to:
AFS Licence Applications
Australian Securities and Investments Commission
PO Box 4000
Gippsland Mail Centre VIC 3841

For more information

Web www.asic.gov.au
Need help? www.asic.gov.au/question
Telephone 1300 300 630

Or lodge the form online at www.asic.gov.au



24 Jan Reg. - 48hr
1-53044832458
Kathy

Form FS20

Corporations Act 2001

922HA

Corporations Regulations 2001

7.6.04(1)(b), 7.6.04(1)(i), 7.6.04(2),

7.6.05(1)(a), 7.6.05(1)(b),

7.6.05(1)(e), 7.6.05(1)(g)

Appendix A: Change of details for an Australian financial services licence

Statement of Personal Information

To obtain an AFS licence, an applicant must show that they have the experience and expertise to ensure that the financial services to be covered by the AFS licence will be provided efficiently, honestly and fairly.

You have been nominated as a Responsible Manager for this application.

To demonstrate that you have the necessary experience, expertise and are of good fame and character, please respond to all of the following questions.

When signed, this Statement becomes an attachment to the change of details for an AFS licence that will be forwarded to the Australian Securities and Investments Commission (ASIC) by the AFS licensee.

PRIVACY NOTICE

ASIC is authorised to collect the information under the *Corporations Act 2001* and *Corporations Regulations 2001*. We will not use it for any other purpose nor will we disclose it unless we have obtained your consent or the use or disclosure is permitted under the *Privacy Act 1988* (Cth).

For more details, see the Privacy Statement on our website www.asic.gov.au.

Statement of Personal Information for:

KEVIN THOMAS TOOHEY

For Australian financial services licence number:

230846

Within the last 10 years, within Australia and/or overseas:

1. Have you been refused the right, or been restricted in the right, to carry on any trade, business or profession for which a licence, registration or other authority is required by law?
☐ Yes ☒ No
2. Have you been a member, or partner in a member firm, of any securities, stock, futures, commodities or other exchange?
☐ Yes ☒ No
3. Have you been suspended from membership of, or disciplined by, any securities, stock, futures, commodities or other exchange?
☐ Yes ☒ No
4. Have you been refused membership of any securities, stock, futures, commodities or other exchange?
☐ Yes ☒ No
5. Have you been removed from membership of, or disciplined by, any professional body or external dispute resolution scheme?
☐ Yes ☒ No
6. Have you carried on business under any name other than the name or names shown in this application?
☐ Yes ☒ No
7. Have you been known by any name other than the name or names shown in this application?
☐ Yes ☒ No
8. Have you been the subject of any findings, judgment or current proceeding, including findings, in relation to fraud, misrepresentation or dishonesty, in any administrative, civil or criminal proceedings in any country?
☐ Yes ☒ No
9. Are you, or have you ever been, declared bankrupt or insolvent under administration?
☐ Yes ☒ No
10. Have you been engaged in the management of any companies/businesses that have had an external administrator appointed?
☐ Yes ☒ No
11. Have you been engaged in the management of any companies/businesses that were declared insolvent?
☐ Yes ☒ No

12. Have you been engaged in the management of any companies/businesses that carry on a trade, business or profession for which a licence, registration or other authority is required by law?
☐ Yes ☒ No
13. Have you been engaged in the management of any companies/businesses that have been the subject of any investigations or proceedings that are current or pending and which may result in disciplinary action being taken in relation to any such authorisation?
☐ Yes ☒ No
14. Have you been engaged in the management of any companies/businesses that have failed to comply with a determination from an external dispute resolution scheme?
☐ Yes ☒ No
15. Have you been engaged in the management of any companies/businesses that were declared the equivalent of insolvent under the law of an external territory or country other than Australia?
☐ Yes ☒ No
16. Have you ever been engaged in the management of any company that has had an instrument of approval under the Superannuation Industry (Supervision) Act 1993 revoked?
☐ Yes ☒ No
17. Have you ever been engaged in the management of any companies/businesses that have had a *Corporations Act 2001* (or previous corresponding laws) licence or *National Consumer Credit Protection Act 2009* licence or *Insurance Agents and Brokers Act 1984* registration revoked or suspended?
☐ Yes ☒ No

Attachments

A. If you have answered Yes to any question, please provide a separate attachment that includes individual details. In addition, please provide the following:

Question 8 the judgment and if it has been satisfied

Question 9 to 15 For a declaration of bankruptcy or insolvency:

☐ date of the declaration and district in which it was made

☐ bankruptcy number

For a deed of arrangement, assignment or where creditors have accepted a composition under Part X of the *Bankruptcy Act 1966*:

☐ date of the deed of arrangement, assignment or the special resolution accepting composition and the district in which it was made

☐ name and address of the trustee of the deed of arrangement, assignment or of the composition

☐ identifying number used in relation to the deed of arrangement or assignment or the composition in the office of the Registrar in Bankruptcy

B. You must provide the following details of your educational qualifications relevant to your responsibilities for this AFS licence. If insufficient space, attach an annexure. If any of your qualifications are foreign qualifications, please provide details about how the qualification has been approved by the National Office of Overseas Skills Recognition (NOOSR) in Canberra - for example, the letter verifying the qualification provided to you by NOOSR and what Australian short courses you have completed.

Institution

KAPLAN PROFESSIONAL

Course Name

MASTER OF APPLIED FINANCE

Year of completion

2011

Institution

LA TROBE UNIVERSITY

Course Name

BACHELOR OF COMPUTER SCIENCE

Year of completion

2008

Institution

Course Name

Year of completion

Institution

Course Name

Year of completion

C. You must provide the following details on your organisational experience for each of the financial services you are responsible for. If insufficient space, attach an annexure.

Financial service

GENERAL PRODUCT ADVICE TO RETAIL & WHOLESALE CLIENTS ACROSS CLASSES OF PRODUCT

Relevant qualifications

MASTER OF APPLIED FINANCE

Relevant experience

Acting under an authorized representative of the TAA licence, have authored ~~over~~ many product reviews and rating reports for clients. Products reviewed have gone across Equities, Property, Infrastructure, Fixed Interest, CASH, Structured Products / Derivatives, Currency, Multi-asset Strategies. Experience includes products across Superannuation, non-super, Pension & Life Insurance.

Financial service

PRODUCT ADVICE TO WHOLESALE CLIENTS ONLY ACROSS CLASS OF PRODUCT

Relevant qualifications

MASTER OF APPLIED FINANCE

Relevant experience

HAVE BEEN LEAD CONSULTANT FOR APPROXIMATELY 30-40% OF ATCHISON'S CLIENTS FOR OVER 10 YEARS. IN THIS CAPACITY HAVE REPORTED TO TRUSTEES AND INVESTMENT COMMITTEES OF SUPER FUNDS, CHARITIES, NOT-FOR-PROFIT, ~~THE~~ GOVERNMENT, INSURANCE COMPANIES AND FINANCIAL SERVICES BUSINESSES ON INVESTMENT POLICY.

Financial service

Relevant qualifications

Relevant experience

D. The following documents must be provided to support your Statement. If the licensee is a body regulated by APRA, you only need to provide the documents described in 1.

1. Copies of your relevant qualification certificates.
2. A copy of a criminal history check on you not more than 12 months old (also called a police check).
3. A copy of a bankruptcy check on you not more than 12 months old.
4. Copies of two business references not more than 12 months old (at least one of these should be from someone external to your current organisation).

Even if you have previously given these documents to us as part of an earlier licence application or notification, you must still provide them. Further details regarding these documents can be found in Part 2 of the AFS Licensing Kit.

Declaration

I, KEVIN TOOHEY agree to be a Responsible Manager for
TAG ASSET CONSULTING GROUP PTY LTD (58 097703 047) as defined by the Corporations Act 2001.
(Name and ABN, ACN or ARBN of AFS licensee)

I certify that the information in this Statement and all attachments are true and correct.

Signature



Role

DIRECTOR

Date signed

08/12/22
[D] [D] [M] [M] [Y] [Y]

Witness

Name

RACHANA SAN

Signature



Address

32 FROMHOLD DVE
DONCASTER VIC 3108

Date signed

08/12/22
[D] [D] [M] [M] [Y] [Y]

Lodgement

Send completed and signed forms to:
AFS Licence Applications
Australian Securities and Investments Commission
PO Box 4000
Gippsland Mail Centre VIC 3841

Or lodge the form online at www.asic.gov.au

For more information

Web www.asic.gov.au
Need help? www.asic.gov.au/question
Telephone 1300 300 630

Appendix A: Change of details for an Australian financial services licence

Form FS20

Corporations Act 2001

922HA

Corporations Regulations 2001

7.6.04(1)(b), 7.6.04(1)(i), 7.6.04(2),

7.6.05(1)(a), 7.6.05(1)(b),

7.6.05(1)(e), 7.6.05(1)(g)

Statement of Personal Information

To obtain an AFS licence, an applicant must show that they have the experience and expertise to ensure that the financial services to be covered by the AFS licence will be provided efficiently, honestly and fairly.

You have been nominated as a Responsible Manager for this application.

To demonstrate that you have the necessary experience, expertise and are of good fame and character, please respond to all of the following questions.

When signed, this Statement becomes an attachment to the change of details for an AFS licence that will be forwarded to the Australian Securities and Investments Commission (ASIC) by the AFS licensee.

PRIVACY NOTICE

ASIC is authorised to collect the information under the *Corporations Act 2001* and *Corporations Regulations 2001*. We will not use it for any other purpose nor will we disclose it unless we have obtained your consent or the use or disclosure is permitted under the *Privacy Act 1988* (Cth).

For more details, see the Privacy Statement on our website www.asic.gov.au.

Statement of Personal Information for:

SAMIE NEMTSAS

For Australian financial services licence number:

230 846

Within the last 10 years, within Australia and/or overseas:

1. Have you been refused the right, or been restricted in the right, to carry on any trade, business or profession for which a licence, registration or other authority is required by law?
☐ Yes ☒ No
2. Have you been a member, or partner in a member firm, of any securities, stock, futures, commodities or other exchange?
☐ Yes ☒ No
3. Have you been suspended from membership of, or disciplined by, any securities, stock, futures, commodities or other exchange?
☐ Yes ☒ No
4. Have you been refused membership of any securities, stock, futures, commodities or other exchange?
☐ Yes ☒ No
5. Have you been removed from membership of, or disciplined by, any professional body or external dispute resolution scheme?
☐ Yes ☒ No
6. Have you carried on business under any name other than the name or names shown in this application?
☐ Yes ☒ No
7. Have you been known by any name other than the name or names shown in this application?
☐ Yes ☒ No
8. Have you been the subject of any findings, judgment or current proceeding, including findings, in relation to fraud, misrepresentation or dishonesty, in any administrative, civil or criminal proceedings in any country?
☐ Yes ☒ No
9. Are you, or have you ever been, declared bankrupt or insolvent under administration?
☐ Yes ☒ No
10. Have you been engaged in the management of any companies/businesses that have had an external administrator appointed?
☐ Yes ☒ No
11. Have you been engaged in the management of any companies/businesses that were declared insolvent?
☐ Yes ☒ No

12. Have you been engaged in the management of any companies/businesses that carry on a trade, business or profession for which a licence, registration or other authority is required by law?
☒ Yes ☐ No
13. Have you been engaged in the management of any companies/businesses that have been the subject of any investigations or proceedings that are current or pending and which may result in disciplinary action being taken in relation to any such authorisation?
☐ Yes ☒ No
14. Have you been engaged in the management of any companies/businesses that have failed to comply with a determination from an external dispute resolution scheme?
☐ Yes ☒ No
15. Have you been engaged in the management of any companies/businesses that were declared the equivalent of insolvent under the law of an external territory or country other than Australia?
☐ Yes ☒ No
16. Have you ever been engaged in the management of any company that has had an instrument of approval under the Superannuation Industry (Supervision) Act 1993 revoked?
☐ Yes ☒ No
17. Have you ever been engaged in the management of any companies/businesses that have had a *Corporations Act 2001* (or previous corresponding laws) licence or *National Consumer Credit Protection Act 2009* licence or Insurance Agents and Brokers Act 1984 registration revoked or suspended?
☐ Yes ☒ No

Attachments

A. If you have answered Yes to any question, please provide a separate attachment that includes individual details. In addition, please provide the following:

- Question 8 the judgment and if it has been satisfied
- Question 9 to 15 For a declaration of bankruptcy or insolvency:
- ▯ date of the declaration and district in which it was made
 - ▯ bankruptcy number
- For a deed of arrangement, assignment or where creditors have accepted a composition under Part X of the *Bankruptcy Act 1966*:
- ▯ date of the deed of arrangement, assignment or the special resolution accepting composition and the district in which it was made
 - ▯ name and address of the trustee of the deed of arrangement, assignment or of the composition
 - ▯ identifying number used in relation to the deed of arrangement or assignment or the composition in the office of the Registrar in Bankruptcy

B. You must provide the following details of your educational qualifications relevant to your responsibilities for this AFS licence. If insufficient space, attach an annexure. If any of your qualifications are foreign qualifications, please provide details about how the qualification has been approved by the National Office of Overseas Skills Recognition (NOOSR) in Canberra - for example, the letter verifying the qualification provided to you by NOOSR and what Australian short courses you have completed.

Institution

UNIVERSITY OF SOUTH AUSTRALIA

Course Name

BACHELOR OF BUSINESS

Year of completion

1998

Institution

SECURITIES INSTITUTE

Course Name

ASSOCIATE SECURITIES INSTITUTE OF AUSTRALIA

Year of completion

2001

Institution

FINANCIAL PLANNING ASSOCIATION OF AUSTRALIA

Course Name

CERTIFIED FINANCIAL PLANNER

Year of completion

2006

Institution

SELF MANAGED SUPER FUND ASSOCIATION

Course Name

SMSF SPECIALIST ADVISOR

Year of completion

2018

C. You must provide the following details on your organisational experience for each of the financial services you are responsible for. If insufficient space, attach an annexure.

Financial service

General PRODUCT ADVICE TO RETAIL AND WHOLESALE CLIENTS ACROSS CLASSES OF PRODUCTS

Relevant qualifications

BACH. OF BUSINESS, ASS. SECURITIES INSTITUTE, CERTIFIED FINANCIAL PLANNER

Relevant experience

Jamie has been a practicing financial planner for over 20 years. He has provided general advice of both securities and managed investment schemes across the full breadth of asset classes. Jamie presents at many industry forums and provides commentary with public media. Jamie prepares general market advice utilized by both retail and wholesale client.

Financial service

PRODUCT ADVICE TO WHOLESALE ONLY CLIENTS ACROSS CLASSES OF PRODUCT

Relevant qualifications

BACH. OF BUSINESS, ASS. SECURITIES INSTITUTE, CERTIFIED FINANCIAL PLANNER.

Relevant experience

Jamie has multiple decades of experience providing advisory services to wholesale investors. Jamie's experience covers direct securities, private equity investments, agricultural assets as well as managed investment schemes across both super & non-super environments.

Financial service

Relevant qualifications

Relevant experience

D. The following documents must be provided to support your Statement. If the licensee is a body regulated by APRA, you only need to provide the documents described in 1.

1. Copies of your relevant qualification certificates.
2. A copy of a criminal history check on you not more than 12 months old (also called a police check).
3. A copy of a bankruptcy check on you not more than 12 months old.
4. Copies of two business references not more than 12 months old (at least one of these should be from someone external to your current organisation).

Even if you have previously given these documents to us as part of an earlier licence application or notification, you must still provide them. Further details regarding these documents can be found in Part 2 of the AFS Licensing Kit.

Declaration

I, SAMIE NEMTSAS agree to be a Responsible Manager for
TAG ASSET CONSULTING GROUP PTY LTD (58097703047) as defined by the Corporations Act 2001.
(Name and ABN, ACN or ARBN of AFS licensee)

I certify that the information in this Statement and all attachments are true and correct.

Signature



Role

DIRECTOR

Date signed

08/12/22
[D] [D] [M] [M] [Y] [Y]

Witness

Name

RACHANA SAN

Signature



Address

32 FROMHOLD DVE
DONCASTER VIC 3108

Date signed

08/12/22
[D] [D] [M] [M] [Y] [Y]

Lodgement

Send completed and signed forms to:
AFS Licence Applications
Australian Securities and Investments Commission
PO Box 4000
Gippsland Mail Centre VIC 3841

Or lodge the form online at www.asic.gov.au

For more information

Web www.asic.gov.au
Need help? www.asic.gov.au/question
Telephone 1300 300 630

Guide: Change of details for an Australian financial services licence

This guide does not form part of the form. It is included by ASIC to assist you in completing and lodging the Form FS20.

Signature	This form must be signed by the person authorised by the Australian financial services (AFS) licensee.	
	Entity	Signatory
	Partnership comprised of individuals	Any one of the individual partners
	Partnership comprised of both individuals and companies	Any one of the individual partners or a director or secretary of one of the companies
	Multiple trustees	Any one of the trustees, or where the trustee is a body, a director or secretary of the body
	Company	Director or secretary, or the director or secretary of the corporate director, if the company is a CCIV
	Foreign company	Director or secretary or local agent
Lodgement period	Individual	
	The individual	
	10 business days for changes to responsible managers and principal business address details.	
	10 business days for changes to controlling entity details for licensees other than body corporate licensees as defined by s910A of the <i>Corporations Act 2001</i> .	
Lodgement fees	30 business days for changes to controlling entity details for licensees who are body corporate licensees as defined by s910A of the <i>Corporations Act 2001</i> .	
	30 business days from the day the licence is granted or the day the licensee decides to change the CPD year.	
Late fees	A lodgement fee may apply to this form.	
	For information on fees refer to www.asic.gov.au/forms .	
Lodge this form online	Late fees may apply if you notify a change outside of the lodgement period.	
	For information on fees refer to www.asic.gov.au/forms .	
Key points to note	You can also apply to change the details for an AFS licence online www.asic.gov.au .	
	The AFS licensee portal provides: <ul style="list-style-type: none">• a tailored process that will lead you through each relevant step• pre-filled data wherever possible• fewer errors – the system will check that you have completed each applicable question and automatically verify some answers• faster processing – we will not have to enter information	
	Some questions have been designed so that you provide ASIC with your base information and then only those details that have changed. However, if any required fields are incomplete or contain invalid data types ASIC staff will be unable to process this form.	
	If appropriate, ASIC will contact you by telephone for clarification or, if the incomplete or invalid data is significant, the FS20 will not be accepted for lodgement and will be returned to you unprocessed.	

Proofs and evidences

Where changes have been made in the following areas the relevant proofs and evidences must be included as annexures to the FS20. Refer to the AFS Licensing Kit for further details.

1. Responsible Managers - *A Statement of Personal Information* for each responsible manager added
 2. Compensation arrangements - *Compensation Capacity Statement*.
-

Privacy

The information provided to ASIC in this form may include personal information. Please refer to our privacy policy (www.asic.gov.au/privacy) for information about how we handle your personal information, your rights to seek access to and correct personal information, and to complain about breaches of your privacy.

Warning

It is an offence under the *Corporations Act 2001* to provide false or misleading information to ASIC.

How to provide additional information

Annexures

If there is insufficient space in any section of the form, you may submit annexures as part of this lodgement.

To make any annexure conform to the regulations, you must

1. use A4 size paper of white or light pastel colour with a margin of at least 10mm on all sides
2. show the AFS licence number
3. number the pages consecutively
4. print or type in BLOCK letters in dark blue or black ink so that the document is clearly legible when photocopied
5. mark the annexure with an identifying letter or symbol (e.g. a,b,c or 1,2,3 etc.)
6. endorse the annexure with the words:

This annexure (mark) of (number) pages referred to in form (form number and title)

7. sign and date the annexure

The annexure must be signed by the same person(s) who signed the form.

Lodgement

Send completed and signed forms to:
AFS Licence Applications
Australian Securities and Investments Commission
PO Box 4000
Gippsland Mail Centre VIC 3841

For more information

Web www.asic.gov.au
Need help? www.asic.gov.au/question
Telephone 1300 300 630

Or lodge the form online at www.asic.gov.au

Form FS20

Corporations Act 2001

922HA

Corporations Regulations 2001

7.6.04(1)(b), 7.6.04(1)(i), 7.6.04(2),

7.6.05(1)(a), 7.6.05(1)(b),

7.6.05(1)(e), 7.6.05(1)(g)

Appendix A: Change of details for an Australian financial services licence

Statement of Personal Information

To obtain an AFS licence, an applicant must show that they have the experience and expertise to ensure that the financial services to be covered by the AFS licence will be provided efficiently, honestly and fairly.

You have been nominated as a Responsible Manager for this application.

To demonstrate that you have the necessary experience, expertise and are of good fame and character, please respond to all of the following questions.

When signed, this Statement becomes an attachment to the change of details for an AFS licence that will be forwarded to the Australian Securities and Investments Commission (ASIC) by the AFS licensee.

PRIVACY NOTICE

ASIC is authorised to collect the information under the *Corporations Act 2001* and *Corporations Regulations 2001*. We will not use it for any other purpose nor will we disclose it unless we have obtained your consent or the use or disclosure is permitted under the *Privacy Act 1988* (Cth).

For more details, see the Privacy Statement on our website www.asic.gov.au.

Statement of Personal Information for:

DREW MEREDITH

For Australian financial services licence number:

230846

Within the last 10 years, within Australia and/or overseas:

1. Have you been refused the right, or been restricted in the right, to carry on any trade, business or profession for which a licence, registration or other authority is required by law?
☐ Yes ☒ No
2. Have you been a member, or partner in a member firm, of any securities, stock, futures, commodities or other exchange?
☐ Yes ☒ No
3. Have you been suspended from membership of, or disciplined by, any securities, stock, futures, commodities or other exchange?
☐ Yes ☒ No
4. Have you been refused membership of any securities, stock, futures, commodities or other exchange?
☐ Yes ☒ No
5. Have you been removed from membership of, or disciplined by, any professional body or external dispute resolution scheme?
☐ Yes ☒ No
6. Have you carried on business under any name other than the name or names shown in this application?
☐ Yes ☒ No
7. Have you been known by any name other than the name or names shown in this application?
☐ Yes ☒ No
8. Have you been the subject of any findings, judgment or current proceeding, including findings, in relation to fraud, misrepresentation or dishonesty, in any administrative, civil or criminal proceedings in any country?
☐ Yes ☒ No
9. Are you, or have you ever been, declared bankrupt or insolvent under administration?
☐ Yes ☒ No
10. Have you been engaged in the management of any companies/businesses that have had an external administrator appointed?
☐ Yes ☒ No
11. Have you been engaged in the management of any companies/businesses that were declared insolvent?
☐ Yes ☒ No

12. Have you been engaged in the management of any companies/businesses that carry on a trade, business or profession for which a licence, registration or other authority is required by law?
☒ Yes ☐ No
13. Have you been engaged in the management of any companies/businesses that have been the subject of any investigations or proceedings that are current or pending and which may result in disciplinary action being taken in relation to any such authorisation?
☐ Yes ☒ No
14. Have you been engaged in the management of any companies/businesses that have failed to comply with a determination from an external dispute resolution scheme?
☐ Yes ☒ No
15. Have you been engaged in the management of any companies/businesses that were declared the equivalent of insolvent under the law of an external territory or country other than Australia?
☐ Yes ☒ No
16. Have you ever been engaged in the management of any company that has had an instrument of approval under the Superannuation Industry (Supervision) Act 1993 revoked?
☐ Yes ☒ No
17. Have you ever been engaged in the management of any companies/businesses that have had a *Corporations Act 2001* (or previous corresponding laws) licence or *National Consumer Credit Protection Act 2009* licence or *Insurance Agents and Brokers Act 1984* registration revoked or suspended?
☐ Yes ☒ No

Attachments

- A. If you have answered Yes to any question, please provide a separate attachment that includes individual details. In addition, please provide the following:
- Question 8 the judgment and if it has been satisfied
- Question 9 to 15 For a declaration of bankruptcy or insolvency:
- ☐ date of the declaration and district in which it was made
 - ☐ bankruptcy number
- For a deed of arrangement, assignment or where creditors have accepted a composition under Part X of the *Bankruptcy Act 1966*:
- ☐ date of the deed of arrangement, assignment or the special resolution accepting composition and the district in which it was made
 - ☐ name and address of the trustee of the deed of arrangement, assignment or of the composition
 - ☐ identifying number used in relation to the deed of arrangement or assignment or the composition in the office of the Registrar in Bankruptcy
- B. You must provide the following details of your educational qualifications relevant to your responsibilities for this AFS licence. If insufficient space, attach an annexure. If any of your qualifications are foreign qualifications, please provide details about how the qualification has been approved by the National Office of Overseas Skills Recognition (NOOSR) in Canberra - for example, the letter verifying the qualification provided to you by NOOSR and what Australian short courses you have completed.

Institution

UNIVERSITY OF MELBOURNE

Course Name

BACHELOR OF COMMERCE

Year of completion

2003

Institution

KAPLAN PROFESSIONAL

Course Name

GRADUATE DIPLOMA OF APPLIED FINANCE

Year of completion

2010

Institution

FINANCIAL PLANNING ASSOCIATION OF AUSTRALIA (FPA)

Course Name

CFP CERTIFICATION

Year of completion

2012

Institution

SELF MANAGED SUPER FUND ASSOCIATION

Course Name

SMSF SPECIALIST ADVISOR

Year of completion

2018

C. You must provide the following details on your organisational experience for each of the financial services you are responsible for. If insufficient space, attach an annexure.

Financial service

GENERAL PRODUCT ADVICE TO RETAIL & WHOLESALE CLIENTS ACROSS CLASSES OF PRODUCTS

Relevant qualifications

BACHELOR OF COMMERCE, GRAD DIP. APPLIED FINANCE, CERTIFIED FINANCIAL PLANNER

Relevant experience

Drew has been a practicing financial planner for over 15 years. In this capacity he has provided general advice on investment products and on asset allocation construction in multiple forums, including presenting at industry forums, providing general market and product commentary in multiple publications and podcast forums.

Financial service

PRODUCT ADVICE TO WHOLESALE ONLY CLIENTS ACROSS CLASSES OF PRODUCTS

Relevant qualifications

BACHELOR OF COMMERCE, GRAD DIP. APPLIED FINANCE, CERTIFIED FINANCIAL PLANNER

Relevant experience

Drew has vast experience providing specific investment policy advice to wholesale clients. This experience covers the full breadth of investment policy, including; asset allocation, objective design, consistency check requirements, risk budgeting, market selection including both direct securities & selection of managed products.

Financial service

Relevant qualifications

Relevant experience

D. The following documents must be provided to support your Statement. If the licensee is a body regulated by APRA, you only need to provide the documents described in 1.

1. Copies of your relevant qualification certificates.
2. A copy of a criminal history check on you not more than 12 months old (also called a police check).
3. A copy of a bankruptcy check on you not more than 12 months old.
4. Copies of two business references not more than 12 months old (at least one of these should be from someone external to your current organisation).

Even if you have previously given these documents to us as part of an earlier licence application or notification, you must still provide them. Further details regarding these documents can be found in Part 2 of the AFS Licensing Kit.

Declaration

I, DREW MEREDITH agree to be a Responsible Manager for
TAG ASSET CONSULTING GROUP PTY LTD (58 097703047) as defined by the Corporations Act 2001.
(Name and ABN, ACN or ARBN of AFS licensee)

I certify that the information in this Statement and all attachments are true and correct.

Signature



Role

DIRECTOR

Date signed

08/12/22
[D] [D] [M] [M] [Y] [Y]

Witness

Name

RACHANA SAN

Signature



Address

32 FROMHOLD DVE
DONCASTER VIC 3108

Date signed

08/12/22
[D] [D] [M] [M] [Y] [Y]

Lodgement

Send completed and signed forms to:
AFS Licence Applications
Australian Securities and Investments Commission
PO Box 4000
Gippsland Mail Centre VIC 3841

Or lodge the form online at www.asic.gov.au

For more information

Web www.asic.gov.au
Need help? www.asic.gov.au/question
Telephone 1300 300 630



ASIC

Australian Securities & Investments Commission

Australian Company

WATTLE PARTNERS PTY LTD
ACN 145 903 840

Extracted from ASIC's database at AEST 14:47:47 on 12/12/2022

Company Summary

Name: WATTLE PARTNERS PTY LTD

ACN: 145 903 840

ABN: 89 145 903 840

Registration Date: 20/08/2010

Next Review Date: 20/08/2023

Former Name(s): SORNEM PRIVATE WEALTH PTY LTD, DONNELLY WEALTH MANAGEMENT PTY LTD

Status: Registered

Type: Australian Proprietary Company, Limited By Shares

Locality of Registered Office: MELBOURNE VIC 3000

Regulator: Australian Securities & Investments Commission

Further information relating to this organisation may be purchased from ASIC.



This is to certify that

Kevin Thomas Toohey

has fulfilled the requirements for

Master of Applied Finance

Major in Investment Management &
Wealth Management

Dated this 31st day of October, 2011

The qualification certified herein
is recognised within the Australian
Qualifications Framework

A handwritten signature in black ink, reading "Neil Shilbury".

Neil Shilbury
Chief Executive Officer



Number **KHE 4255**

Kaplan Higher Education Pty Ltd (AGN 124 217 676)



LA TROBE UNIVERSITY

AUSTRALIA

By authority of the Council and upon recommendation
of the Academic Board

Kevin Toohey

having satisfied the requirements of the University
was admitted to the degree of

BACHELOR OF COMPUTER SCIENCE

on the twenty-third day of May 2008



Given under the Common Seal of La Trobe University

CHANCELLOR

S. Johnston

VICE-PRINCIPAL (RESOURCES AND ADMINISTRATION)

Paul Richardson



NATIONAL BANKRUPTCY CHECK

Name: Kevin TOOHEY
Date of birth: 16/11/1982

Ref ID: 6618610-09227
Search reference: NS22488199
Search date: 06/12/2022 at 1:28pm

At the date of search, no bankruptcy was recorded

Search criteria: TOOHEY, Kevin Thomas DOB 16-Nov-1982
Extracted in Canberra at 01:27pm on 06 Dec 2022

Nationally Coordinated Criminal History Check Certificate



Reference No: 6618610-3659234

At the date of issue there are zero (0) disclosable court outcomes recorded

NSS001

Check Results Report



Report Run Date/Time: 06/12/2022 13:43:53

Sensitive: Personal

IMPORTANT

LIMITATIONS ON ACCURACY AND USE OF THIS INFORMATION

1. This nationally coordinated criminal history check provides a point in time check about the applicant for an authorised nationally coordinated criminal history check category and purpose. Information obtained through this check should not be used for any other purpose.
2. The accuracy and quality of information provided in this nationally coordinated criminal history check depends on accurate identification of the applicant which is based on information, including aliases, about the applicant provided in the application and the comprehensiveness of police records.
3. While every care has been taken by the Australian Criminal Intelligence Commission ('ACIC') to conduct a search of police information held by it and Australian police agencies that relates to the applicant, this nationally coordinated criminal history check may not include all police information about the applicant. Reasons for certain information being excluded from the nationally coordinated criminal history check include the operation of laws that prevent disclosure of certain information, or that the applicant's record is not identified by the search process across the agencies' relevant information holdings.
4. This nationally coordinated criminal history check may contain any of the following information about an applicant:
 - a) charges;
 - b) court convictions;
 - c) findings of guilt with no conviction;
 - d) court appearances;
 - e) good behaviour bonds or other court orders;
 - f) pending matters awaiting court hearing;
 - g) traffic offence history. ('Disclosable Court Outcome').
5. If this nationally coordinated criminal history check contains a Disclosable Court Outcome, the entity submitting the application is required to:
 - a) notify the applicant of the nationally coordinated criminal history check; and
 - b) provide the applicant with a reasonable opportunity to respond to, or validate the information, in the nationally coordinated criminal history check.
6. To the extent permitted by law, neither the ACIC nor Australian police agencies accept responsibility or liability for any omission or error in the nationally coordinated criminal history check.

NATIONALLY COORDINATED CRIMINAL HISTORY CHECK PROCESS

The information in this nationally coordinated criminal history check has been obtained according to the following process:

- a) the ACIC searches its data holdings for potential matches with the name(s) of the applicant;
- b) the ACIC and the relevant Australian police agencies compare name matches with police information held in Australian police records;
- c) the relevant Australian police agency identifies any police information held in its police records and releases the information subject to relevant spent convictions, non-disclosure legislation or information release policies; and
- d) the ACIC provides resulting information to the entity submitting the application.

Organisation: National Crime Check

Office:

Check Details

Organisation Reference Number: 6618610

Submitted	Batch ID	Status	Result	Match Date	Release Date
02/12/2022		Closed	No Disclosable Court Outcomes	02/12/2022	02/12/2022
Type	Standard AA				
Category	Employment				

Purpose Details

Position Title/Occupation	DIRECTOR - IN BANKING AND FINANCIAL SERVICES
Employer Name/Organisation Name	ATCHISON CONSULTANTS
Location	MELBOURNE
State	VICTORIA

Subject Details

Name(s)	Primary	TOOHEY, KEVIN THOMAS
Additional Identifier		
Birth Date		16/11/1982
Gender		Male
Birth Place		East Melbourne, VIC, Australia
Address(es)	Residential	14 Kelvin Road, Alphington, VIC, 3078, Australia



SECURITIES INSTITUTE

This certifies that

Jamie Nentsas AISA

having fulfilled the requirements of the Memorandum and Articles has been admitted as an

ASSOCIATE
SECURITIES INSTITUTE OF AUSTRALIA

in token whereof the Council has authorised the corporate seal of the Institute to be hereto affixed.

Dated this *Ninth day of March Two Thousand and One*



[Signature]
PRESIDENT

[Signature]
VICE-PRESIDENT

[Signature]
MANAGING DIRECTOR

INCORPORATING THE AUSTRALIAN SOCIETY OF SECURITY ANALYSTS

MEMBERSHIP NUMBER: *4023649*

Self Managed Super Fund Association

SMSF Specialist Advisor™

This certifies that

Jamie Nemtsas

Has fulfilled all requirements of the SMSF Association
Specialist Accreditation Program.

Date: 7 May 2018

Membership Number: 45205



John Maroney
CHIEF EXECUTIVE OFFICER
SMSF Association

Deborah Ralston
CHAIR
SMSF Association



Self Managed
Super Fund
Association



UNIVERSITY OF SOUTH AUSTRALIA

This is to certify that

JAMIE MARK NEMTSAS

has completed the requirements
for the award

Bachelor of Business
Banking and Finance

and the award was conferred on
14 May 1998

[Signature]

[Signature]
Vice-Chancellor



CERTIFIED FINANCIAL PLANNER™

Jamie Mark Nemtsas

Having satisfied all the examination and experience requirements is entitled to use the professional designation **CERTIFIED FINANCIAL PLANNER™** and **CFP®** and has committed to abide by the Code of Ethics and Rules of Professional Conduct and continuing professional development requirements as a practitioner member of the association.

Granted under the common seal of the Financial
Planning Association of Australia Limited

Kathryn Palmer

Chairman

[Signature]

Secretary/CEO

20th March 2006

Date admitted

033376

Member number



FPA

FINANCIAL PLANNING
ASSOCIATION
of Australia Limited

This certificate denotes the appointment of
Financial Planning Association of Australia Limited
and shall be retained in accordance with the
conditions of membership as set out in the
Certified Financial Planner (CFP) Code of Ethics and Rules of Professional Conduct
Planner issued in accordance with the approved for Financial Planning
Association of Australia Limited policy document



Nationally Coordinated Criminal History Check Certificate

Reference No: 6633694-3666336



At the date of issue there are zero (0) disclosable court outcomes recorded

NSS001

Check Results Report



Report Run Date/Time: 07/12/2022 8:20:29

Sensitive: Personal

IMPORTANT

LIMITATIONS ON ACCURACY AND USE OF THIS INFORMATION

1. This nationally coordinated criminal history check provides a point in time check about the applicant for an authorised nationally coordinated criminal history check category and purpose. Information obtained through this check should not be used for any other purpose.
2. The accuracy and quality of information provided in this nationally coordinated criminal history check depends on accurate identification of the applicant which is based on information, including aliases, about the applicant provided in the application and the comprehensiveness of police records.
3. While every care has been taken by the Australian Criminal Intelligence Commission ('ACIC') to conduct a search of police information held by it and Australian police agencies that relates to the applicant, this nationally coordinated criminal history check may not include all police information about the applicant. Reasons for certain information being excluded from the nationally coordinated criminal history check include the operation of laws that prevent disclosure of certain information, or that the applicant's record is not identified by the search process across the agencies' relevant information holdings.
4. This nationally coordinated criminal history check may contain any of the following information about an applicant:
 - a) charges;
 - b) court convictions;
 - c) findings of guilt with no conviction;
 - d) court appearances;
 - e) good behaviour bonds or other court orders;
 - f) pending matters awaiting court hearing;
 - g) traffic offence history. ('Disclosable Court Outcome').
5. If this nationally coordinated criminal history check contains a Disclosable Court Outcome, the entity submitting the application is required to:
 - a) notify the applicant of the nationally coordinated criminal history check;
 - b) provide the applicant with a reasonable opportunity to respond to, or validate the information, in the nationally coordinated criminal history check.
6. To the extent permitted by law, neither the ACIC nor Australian police agencies accept responsibility or liability for any omission or error in the nationally coordinated criminal history check.

NATIONALLY COORDINATED CRIMINAL HISTORY CHECK PROCESS

The information in this nationally coordinated criminal history check has been obtained according to the following process:

- a) the ACIC searches its data holdings for potential matches with the name(s) of the applicant;
- b) the ACIC and the relevant Australian police agencies compare name matches with police information held in Australian police records;
- c) the relevant Australian police agency identifies any police information held in its police records and releases the information subject to relevant spent convictions, non-disclosure legislation or information release policies; and
- d) the ACIC provides resulting information to the entity submitting the application.

Organisation: National Crime Check

Office:

Check Details

Organisation Reference Number: 6633694

Submitted	Batch ID	Status	Result	Match Date	Release Date
06/12/2022		Closed	No Disclosable Court Outcomes	06/12/2022	06/12/2022
Type		Standard AA			
Category		Employment			

Purpose Details

Position Title/Occupation	DIRECTOR - IN BANKING AND FINANCIAL SERVICES
Employer Name/Organisation Name	ATCHISON CONSULTANTS
Location	MELBOURNE
State	VICTORIA

Subject Details

Name(s)	Primary	NEMTSAS, JAMIE MARK
Additional Identifier		
Birth Date		16/04/1975
Gender		Male
Birth Place		Mildura, VIC, Australia
Address(es)	Residential	14 Dryden Street, Canterbury, VIC, 3126, Australia



NATIONAL BANKRUPTCY CHECK

Name: Jamie NEMTSAS
Date of birth: 16/04/1975

Ref ID: 6633694-09229
Search reference: NS22488684
Search date: 06/12/2022 at 3:49pm

At the date of search, no bankruptcy was recorded

Search criteria: NEMTSAS, Jamie Mark DOB 16-Apr-1975
Extracted in Canberra at 03:49pm on 06 Dec 2022

creator

8 December 2022

TO WHOM IT MAY CONCERN

I am writing this reference in support of the appointment of Jamie Nemtsas (Jamie) as a responsible manager for TAG Asset Consulting Group PTY LTD (TAG) (trading as Atchison).

I have known Jamie since 1988, including in his capacity as Director at TAG Asset Consulting Group Pty Ltd.

In his capacity as a Director of TAG, Jamie is responsible for:

1. The provision of general financial product advice to wholesale and retail clients.
2. Day-to-day management of employees
3. The provision of financial product advice to wholesale clients.
4. Client acquisition and relationship management
5. Development and maintenance of proprietary investment models
6. Business strategy
7. Financial & Regulatory responsibilities

I further confirm Jamie undertakes these duties on a full-time basis.

Fit and proper

I confirm Jamie is fit and proper to undertake his role as a responsible manager, and I am not aware of his involvement in any misconduct.

Contact

I can be contacted on 0423 951 500 should you wish to discuss the above further.

Yours sincerely



Travis Crothers
Director
Creator Global Pty Ltd



FINANCIAL PLANNING
ASSOCIATION of AUSTRALIA

CFP® Certification

THIS IS TO CERTIFY

Drew Meredith CFP®

HAS SATISFIED THE EDUCATION, EXAMINATION, EXPERIENCE AND ETHICS
REQUIREMENTS FOR ADMITTANCE TO CFP CERTIFICATION AND IS COMMITTED
TO ABIDE BY THE FPA CODE OF PROFESSIONAL PRACTICE AND THE INTERNATIONAL
FPSB FINANCIAL PLANNING PRACTICE STANDARDS

CFP Certification *Global excellence in financial planning®*

MEMBER NUMBER: 342030

Matthew Rowe

CHAIR

Mark Hill

CHIEF EXECUTIVE OFFICER

03 / 02 / 2012

DATE OF ISSUE



FINANCIAL PLANNING STANDARDS BOARD





8 December 2022

TO WHOM IT MAY CONCERN

Reference - Jamie Nemtsas (Jamie).

This reference is in support of the appointment of Jamie as a responsible manager for TAG Asset Consulting Group PTY LTD (TAG) (trading as Atchison).

I confirm I have known Jamie for many years, including in his capacity as Director at TAG Asset Consulting Group Pty Ltd.

Experience

Jamie has experience in the following areas:

1. Finance Product Advice

Jamie has experience providing general financial product advice to retail and wholesale clients with interests in:

- (a) Deposit products
- (b) Derivatives
- (c) Managed investment schemes
- (d) MDA Services
- (e) Securities
- (f) Superannuation

In his capacity as a Director of TAG, Jamie is responsible for:



2. Financial Product

Jamie has experience providing financial product advice to wholesale clients with interests in:

- (a) Deposit products
- (b) Derivatives
- (c) Interests in managed investment schemes
- (d) MDA Services
- (e) RSA accounts
- (f) Securities
- (g) Superannuation

- 1. General financial product advice to wholesale and retail clients.
- 2. Financial product advice to wholesale clients.
- 3. Management of employees
- 4. Client acquisition and relationship management
- 5. Business strategy
- 6. Financial & Regulatory responsibilities

I confirm Jamie undertakes these duties on a full-time basis.

Fit and proper

Jamie is fit and proper to undertake his role as a responsible manager. I am not aware of his involvement in any misconduct.

Contact

I can be contacted on 03 8639 1601 should you wish to discuss the above further.

Yours sincerely

A handwritten signature in black ink, appearing to read 'Luke Laretive', enclosed within a light blue oval-shaped stamp.

Luke Laretive
Director
Seneca Financial Solutions

January 2010

Mr Drew Meredith
Investstone Wealth Management
PO Box 1290
CARLTON VIC 3053

**Transcript of Academic Records for
Drew Meredith**
Student Number :1233327

Graduate Diploma of Applied Finance
Majoring in
Financial Planning


Year/Sem	Subject	Credit Points	Result
2009-3	FIN213 Superannuation and Retirement Planning	6	DISTINCTION
2009-2	FIN214 Insurance, Succession and Estate Planning	6	DISTINCTION
2009-1	FIN112 Law, Regulation and Ethics	6	DISTINCTION
2008-3	FIN002 Financial Planning elective	6	Exempt
2008-3	FIN111 Financial Markets and Economic Principles	6	Exempt
2008-3	FIN113 Techniques in Financial Analysis	6	HIGH DISTINCTION
2008-3	FIN211 Financial Planning Fundamentals	6	Exempt
2008-3	FIN212 Investment Products	6	Exempt

End Of Transcript

*All the requirements for the
Graduate Diploma of Applied Finance
were fulfilled at the end of 2009-3*

Successful completion of the four core subjects, Financial Markets and Economic Principles (FIN111), Law, Regulation and Ethics (FIN112), Techniques in Financial Analysis (FIN113) and Risk Management for Finance Sector Enterprises (FIN114) within three years fulfils the requirements for the award of Graduate Certificate in Applied Finance.

Certified as a True and Correct Record


Neil Shilbury
Chief Executive Officer

KEY:
RCC/RPL Challenge Test - Pass/Fail only
Exempt/Completed - Academic requirements met

ACADEMIC TRANSCRIPT



THE UNIVERSITY OF
MELBOURNE

Student Number
134002

17 Dec 2003

Mr Drew Robert Meredith
16 Hopetoun Grove
IVANHOE EAST VIC 3079

2001 Bachelor of Commerce

		Points	Mark	Grade
306103	Accounting 1A	12.50	079	H2A
316102	Introductory Microeconomics	12.50	065	H3
316130	Quantitative Methods 1	12.50	064	P
325101	Management	12.50	072	H2B
306104	Accounting 1B	12.50	076	H2A
316101	Introductory Macroeconomics	12.50	070	H2B
325102	Business in the Global Economy	12.50	055	P
732103	Principles of Business Law	12.50	059	P

2002 Bachelor of Commerce

		Points	Mark	Grade
316202	Intermediate Microeconomics	(12.50)	046	N
316205	Introductory Econometrics	12.50	074	H2B
325211	Principles of Marketing	12.50	070	H2B
333201	Business Finance	12.50	057	P
306202	Intermediate Financial Accounting	12.50	067	H3
316201	Intermediate Macroeconomics	12.50	064	P
333202	Management of Financial Institutions	12.50	060	P
333203	Personal Financial Management	12.50	055	P

2003 Bachelor of Commerce

		Points	Mark	Grade
316316	Basic Econometrics	12.50	058	P
333301	Investments	12.50	051	P
333303	International Finance	12.50	054	P
333308	Finance for New Ventures	12.50	059	P
306201	Cost Management	12.50	071	H2B
333302	Corporate Finance	12.50	065	H3
333304	Asian Capital Markets	12.50	062	P
333307	Real Estate Finance	12.50	064	P
333309	Derivatives Securities	12.50	051	P

Course(s) Completed:

Bachelor of Commerce
Completed 12 Dec 2003.

End Of Transcript

Lin Martin
Vice-Principal and Academic Registrar



Self Managed Super Fund Association

SMSF Specialist Advisor™

This certifies that

Drew Meredith

Has fulfilled all requirements of the SMSF Association
Specialist Accreditation Program.

Date: 7 May 2018

Membership Number: 45204



John Maroney
CHIEF EXECUTIVE OFFICER
SMSF Association

Deborah Ralston
CHAIR
SMSF Association



Self Managed
Super Fund
Association



NATIONAL BANKRUPTCY CHECK

Name: Drew MEREDITH
Date of birth: 21/11/1982

Ref ID: 6607532-09226
Search reference: NS22488192
Search date: 06/12/2022 at 1:26pm

At the date of search, no bankruptcy was recorded

Search criteria: MEREDITH, Drew Robert DOB 21-Nov-1982
Extracted in Canberra at 01:25pm on 06 Dec 2022

Nationally Coordinated Criminal History Check Certificate



Reference No: 6607532-3661812

At the date of issue there are zero (0) disclosable court outcomes recorded

NSS001

Check Results Report



Report Run Date/Time: 05/12/2022 13:58:14

Sensitive: Personal

IMPORTANT

LIMITATIONS ON ACCURACY AND USE OF THIS INFORMATION

1. This nationally coordinated criminal history check provides a point in time check about the applicant for an authorised nationally coordinated criminal history check category and purpose. Information obtained through this check should not be used for any other purpose.
2. The accuracy and quality of information provided in this nationally coordinated criminal history check depends on accurate identification of the applicant which is based on information, including aliases, about the applicant provided in the application and the comprehensiveness of police records.
3. While every care has been taken by the Australian Criminal Intelligence Commission ("ACIC") to conduct a search of police information held by it and Australian police agencies that relates to the applicant, this nationally coordinated criminal history check may not include all police information about the applicant. Reasons for certain information being excluded from the nationally coordinated criminal history check include the operation of laws that prevent disclosure of certain information, or that the applicant's record is not identified by the search process across the agencies' relevant information holdings.
4. This nationally coordinated criminal history check may contain any of the following information about an applicant:
 - a) charges;
 - b) court convictions;
 - c) findings of guilt with no conviction;
 - d) court appearances;
 - e) good behaviour bonds or other court orders;
 - f) pending matters awaiting court hearing;
 - g) traffic offence history. ("Disclosable Court Outcome").
5. If this nationally coordinated criminal history check contains a Disclosable Court Outcome, the entity submitting the application is required to:
 - a) notify the applicant of the nationally coordinated criminal history check; and
 - b) provide the applicant with a reasonable opportunity to respond to, or validate the information, in the nationally coordinated criminal history check.
6. To the extent permitted by law, neither the ACIC nor Australian police agencies accept responsibility or liability for any omission or error in the nationally coordinated criminal history check.

NATIONALLY COORDINATED CRIMINAL HISTORY CHECK PROCESS

The information in this nationally coordinated criminal history check has been obtained according to the following process:

- a) the ACIC searches its data holdings for potential matches with the name(s) of the applicant;
- b) the ACIC and the relevant Australian police agencies compare name matches with police information held in Australian police records;
- c) the relevant Australian police agency identifies any police information held in its police records and releases the information subject to relevant spent convictions, non-disclosure legislation or information release policies; and
- d) the ACIC provides resulting information to the entity submitting the application.

Organisation: National Crime Check

Office:

Check Details

Organisation Reference Number: 6607532

Submitted	Batch ID	Status	Result	Match Date	Release Date
05/12/2022		Closed	No Disclosable Court Outcomes	05/12/2022	05/12/2022
Type		Standard AA			
Category		Employment			

Purpose Details

Position Title/Occupation	DIRECTOR - IN BANKING AND FINANCIAL SERVICES
Employer Name/Organisation Name	ATCHISON CONSULTANTS
Location	MELBOURNE
State	VICTORIA

Subject Details

Name(s)	Primary	MEREDITH, DREW ROBERT
Additional Identifier		
Birth Date		21/11/1982
Gender		Male
Birth Place		East Melbourne, VIC, Australia
Address(es)	Residential	16 Hopetoun Grove, Ivanhoe East, VIC, 3079, Australia

creator

8 December 2022

TO WHOM IT MAY CONCERN

I am writing this reference in support of the appointment of Drew Meredith (Drew) as a responsible manager for TAG Asset Consulting Group PTY LTD (TAG) (trading as Atchison).

I have known Drew since 2020, including in his capacity as Director at TAG Asset Consulting Group Pty Ltd.

In his capacity as a Director of TAG, Drew is responsible for:

1. The provision of general financial product advice to wholesale and retail clients.
2. Day-to-day management of employees
3. The provision of financial product advice to wholesale clients.
4. Client acquisition and relationship management
5. Development and maintenance of proprietary investment models
6. Business strategy
7. Financial & Regulatory responsibilities

I further confirm Drew undertakes these duties on a full-time basis.


Fit and proper

I confirm Drew is fit and proper to undertake his role as a responsible manager, and I am not aware of his involvement in any misconduct.

Contact

I can be contacted on 0423 951 500 should you wish to discuss the above further.

Yours sincerely



Travis Crothers
Director
Creator Global Pty Ltd



8 December 2022

TO WHOM IT MAY CONCERN

Reference – Drew Meredith (Drew),

This reference is in support of the appointment of Drew as a responsible manager for TAG Asset Consulting Group PTY LTD (TAG) (trading as Atchison).

I confirm I have known Drew for many years, including in his capacity as Director at TAG Asset Consulting Group Pty Ltd.

Experience

Drew has experience in the following areas:

1. Finance Product Advice

Drew has experience providing general financial product advice to retail and wholesale clients with interests in:

(a) Deposit products

Derivatives

(b) Managed investment schemes

MDA Services

(c) Securities

Superannuation



2. Financial Product

Drew has experience providing financial product advice to wholesale clients with interests in:

(a) Deposit products

Derivatives

(b) Interests in managed investment schemes

MDA Services

(c) RSA accounts

Securities

(d) Superannuation

In his capacity as a Director of TAG, Drew is responsible for:

1. General financial product advice to wholesale and retail clients.
2. Financial product advice to wholesale clients.
3. Management of employees
4. Client acquisition and relationship management
5. Business strategy
6. Financial & Regulatory responsibilities
7. Development of proprietary investment models

Drew undertakes these duties on a full-time basis.

Fit and proper

Drew is fit and proper to undertake his role as a responsible manager. I am not aware of his involvement in any misconduct.

Contact

I can be contacted on 03 8639 1601 should you wish to discuss the above further.

Yours sincerely



Luke Laretive
Director
Seneca Financial Solutions

5 December 2022

TO WHOM IT MAY CONCERN

Reference for Kevin Toohey (Kevin)

I am writing this reference in support of the appointment of Kevin as a responsible manager for TAG Asset Consulting Group Pty Ltd (TAG) (trading as Atchison).

I confirm I have known Kevin for greater than 16 years, since 2006, including in his capacity as Principal at TAG Asset Consulting Group Pty Ltd.

Experience

I confirm Kevin has experience in the following nominated areas:

1. Provide General Finance Product Advice

Kevin has experience providing general financial product advice to retail and wholesale clients in relation to interests in:

- (a) Deposit products
- (b) Derivatives
- (c) Interests in managed investment schemes
- (d) MDA Services
- (e) RSA accounts
- (f) Securities
- (g) Superannuation

2. Deal in a Financial Product

Kevin has experience providing financial product advice to wholesale clients in relation to interests in:

- (a) Deposit products
- (b) Derivatives
- (c) Interests in managed investment schemes
- (d) MDA Services
- (e) RSA accounts
- (f) Securities
- (g) Superannuation

In his capacity as a Director of TAG, Kevin is responsible for the following:

1. The provision of general financial product advice to wholesale and retail clients.
2. The provision of financial product advice to wholesale clients.
3. Day-to-day management of employees
4. Client acquisition and relationship management
5. Development and maintenance of proprietary investment models
6. Business strategy
7. Financial & Regulatory responsibilities

I further confirm that Kevin undertakes these duties on a full-time basis.

Fit and proper

I attest that Kevin is fit and proper to undertake his role as a responsible manager, and I am not aware of his involvement in any misconduct.

Contact

I can be contacted on 0411 861 277 should you wish to discuss the above further.

Yours Sincerely

A handwritten signature in dark ink, appearing to read 'Andrew Patrick', with a stylized flourish at the end.

Andrew Patrick
Director
MARQ PRIVATE FUNDS PTY LTD

Direct line: 0411 861 277

Email: apatrick@marq.com.au

5 December 2022

Reference for Kevin Toohey

This reference is in support of the appointment of Kevin Toohey as a responsible manager for TAG Asset Consulting Group PTY LTD (TAG) (trading as Atchison).

I confirm I have known Kevin for more than 7 years, including in his capacity as Principal at TAG Asset Consulting Group Pty Ltd.

Experience

I am aware Kevin has experience in the following areas:

Product Advice

Kevin has extensive experience in providing general financial product advice to retail and wholesale clients, and specific advice for wholesale only clients in relation to:

Deposit products

Derivatives

Managed investment schemes

MDA Services

RSA accounts

Securities

Superannuation

Kevin has been an authorised representative of the TAG licence for over 10 years. I am aware that Kevin participated in regular internal compliance meetings.

In his capacity as a Director of TAG, he is now responsible as follows:

2. The provision of financial product advice to wholesale clients.
3. Day-to-day management of employees
4. Client acquisition and relationship management
5. Development and maintenance of proprietary investment models
6. Business strategy
7. Financial & Regulatory responsibilities

Kevin undertakes these duties on a full-time basis.

Fit and proper

Kevin is fit and proper to undertake this role as a responsible manager, and I am not aware of his involvement in any misconduct.

Contact

I can be contacted on 0414 725 005 should you wish to discuss the above further.

Yours sincerely



Grant Mackenzie

Senior Portfolio Manager
Alceon Group Pty Ltd