



ASIC
Australian Securities &
Investments Commission

Australian Securities
and Investments Commission

Office address (inc courier deliveries):
Level 5, 100 Market Street
Sydney NSW 2000

Mail address for Sydney office:
GPO Box 9827
Brisbane QLD 4001

Tel: +61 1300 935 075

www.asic.gov.au

Mr Andrew Bates
2/10 Croudace Road,
TINGIRA HEIGHTS
NSW 2290

Our Reference: CAS-135850-G8C1X6

23 October 2023

Your report of misconduct: - Received and no further steps required

Thank you, we appreciate you reporting to us. We welcome tip offs about concerning conduct as this provides critical information that informs our work.

What happens next?

ASIC has considered your report and recorded it as intelligence. **You will only hear from us again if we require further information from you.**

ASIC **does not** resolve complaints, intervene in disputes, give legal advice or act to get your money back. Please visit www.moneysmart.gov.au to find out more about other organisations or services that may be able to assist with your situation.

We use reports of misconduct, together with all the intelligence we collect, to detect misconduct, identify patterns, trends, and broader systemic problems in the financial system that may require ASIC's intervention.

To find out more about how ASIC uses reports of misconduct, read [Information Sheet 153 How ASIC deals with reports of misconduct](#). Please also see ASIC's [Enforcement Priorities](#) to see what we are currently focusing on. (<https://asic.gov.au/about-asic/asic-investigations-and-enforcement/asic-enforcement-priorities/>).

I have a complaint and want compensation or another remedy

If you have a complaint about a financial firm (e.g., bank, insurer, super fund or financial adviser) and are seeking compensation or another form of remedy, complain to the firm directly via their internal dispute resolution (IDR) area. If you are unhappy with their response, lodge a complaint with the [Australian Financial Complaints Authority \(AFCA\)](#) (www.afca.org.au) for free.

If your complaint can't be handled by AFCA you might need legal advice. Our Moneysmart website lists [free legal advice services in Australia](#) (<https://moneysmart.gov.au/managing-debt/free-legal-advice/>).

Information on whistleblower reports

Whistleblowers play an important role in identifying and calling out misconduct. ASIC has a [dedicated webpage](#) for whistleblowers.

More information is also available at:

- [Information Sheet 238 Whistleblower rights and protections](#)
- [Information Sheet 239 How ASIC handles whistleblower reports](#)

If you are struggling and need someone to talk to, contact:

- Lifeline on 13 11 14 (24 hours) or their [crisis support online chat](#)
- Beyond Blue on 1300 22 46 36 (24 hours) or their [webchat](#)

If you are experiencing problems with debt, contact:

- the National Debt Helpline on 1800 007 007 (Monday to Friday 9.30am to 4.30pm) or [chat online](#)

Thank you again for your report.