



Australian Government
Australian Transaction Reports
and Analysis Centre

Exemption

Section 248 of the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*

I, Thomas Martin Story, Acting AUSTRAC CEO, pursuant to paragraph 248(1)(a) of the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (AML/CTF Act), hereby exempt ABN AMRO Equity Capital Markets Australia Limited ABN 17 000 757 111, (ABN AMRO Equity Capital Markets) of 88 Phillip Street, Sydney, NSW, 2000, in respect of ABN AMRO Equity Capital Markets' provision of designated services described in Item 33 of Table 1, subsection 6(2) of the AML/CTF Act, from the following specified provisions of the AML/CTF Act:

- (a) sections 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37 and 38.

Conditions

Pursuant to paragraph 248(2)(b) of the AML/CTF Act, the exemption is subject to the following conditions:

1. ABN AMRO Equity Capital Markets must inform the AUSTRAC CEO or delegate of any changes that may affect the exemption and/or conditions imposed by this written instrument within 14 days from when the change affecting the exemption occurs.
2. This exemption only applies in the following circumstances:
 - a. In the provision of sale facilities so as to provide designated services described in Item 33, Table 1, subsection 6(2) of the AML/CTF Act, and
 - (i) The sale facility is of the type described in Appendix A,
 - (ii) The sale facility is provided to eligible share or interest holders by ABN AMRO Equity Capital Markets, and
 - (iii) The sale facility only applies to publicly listed companies, publicly listed managed investment schemes and publicly listed trusts.

A handwritten signature in dark ink, appearing to read 'Thomas Martin Story', is written over a horizontal dotted line.

Thomas Story, Acting AUSTRAC CEO

6 March 2009

Appendix A – Sale facility description

Sale facility: a facility which involves the following:

- an invitation to security holders to sell their shares or interests through arrangements with the relevant registry company and ABN AMRO Equity Capital Markets;
- holders having a right to elect whether to participate by a given date;
- participating security holders' shares or interests being sold on a licensed market by ABN AMRO Equity Capital Markets in batches over a specified period of time;
- the proceeds of the sale being pooled and averaged across all shares or interests sold through the facility, with the participating security holders receiving a volume weighted average price; and
- the total consideration of each participating security holders' shares or interests is not greater than \$5000.

Important Notice to person named in this instrument

1. Any request for a change to this instrument must be submitted to the AUSTRAC CEO or approved delegate within 14 days from when the change is sought.
2. Pursuant to subsection 248(3), the person granted the exemption must comply with the conditions set out in the instrument. Failure to comply with those conditions may result in the revocation of the exemption and action against the person may be commenced under subsection 248(3) of the AML/CTF Act.
3. It is an offence under sections 136, 137 and 138 of the AML/CTF Act to provide false and misleading information or false documents. If any of the information submitted by the applicant or its representatives is found to be false and misleading, the exemption may be revoked, and action may be initiated against the applicant.
4. The person granted the exemption may request the AUSTRAC CEO at any time to change the exemption.



Australian Government
 Australian Transaction Reports
 and Analysis Centre

Exemption

Section 248 of the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*

I, Thomas Martin Story, Acting AUSTRAC CEO, pursuant to paragraph 248(1)(a) of the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF Act)*, hereby exempt ABN AMRO Corporate Finance Australia Limited ABN 48 008 583 551 (ABN AMRO Corporate Finance) of 88 Phillip Street, Sydney, NSW, 2000, in respect of ABN AMRO Corporate Finance's provision of designated services described in Item 33 of Table 1, subsection 6(2) of the AML/CTF Act, from the following specified provisions of the AML/CTF Act:

- (a) sections 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37 and 38.

Conditions

Pursuant to paragraph 248(2)(b) of the AML/CTF Act, the exemption is subject to the following conditions:

1. ABN AMRO Corporate Finance must inform the AUSTRAC CEO or delegate of any changes that may affect the exemption and/or conditions imposed by this written instrument within 14 days from when the change affecting the exemption occurs.
2. This exemption only applies in the following circumstances:
 - a. In the provision of sale facilities so as to provide designated services described in Item 33, Table 1, subsection 6(2) of the AML/CTF Act, and
 - (i) The sale facility is of the type described in Appendix A,
 - (ii) The sale facility is provided to eligible share or interest holders by ABN AMRO Corporate Finance, and
 - (iii) The sale facility only applies to publicly listed companies, publicly listed managed investment schemes and publicly listed trusts.

Thomas Story, Acting AUSTRAC CEO

6 March
2009

Appendix A – Sale facility description

Sale facility: a facility which involves the following:

- an invitation to security holders to sell their shares or interests through arrangements with the relevant registry company and ABN AMRO Corporate Finance;
- holders having a right to elect whether to participate by a given date;
- participating security holders' shares or interests being sold on a licensed market by ABN AMRO Corporate Finance in batches over a specified period of time;
- the proceeds of the sale being pooled and averaged across all shares or interests sold through the facility, with the participating security holders receiving a volume weighted average price; and
- the total consideration of each participating security holders' shares or interests is not greater than \$5000.

Important Notice to person named in this instrument

1. Any request for a change to this instrument must be submitted to the AUSTRAC CEO or approved delegate within 14 days from when the change is sought.
2. Pursuant to subsection 248(3), the person granted the exemption must comply with the conditions set out in the instrument. Failure to comply with those conditions may result in the revocation of the exemption and action against the person may be commenced under subsection 248(3) of the AML/CTF Act.
3. It is an offence under sections 136, 137 and 138 of the AML/CTF Act to provide false and misleading information or false documents. If any of the information submitted by the applicant or its representatives is found to be false and misleading, the exemption may be revoked, and action may be initiated against the applicant.
4. The person granted the exemption may request the AUSTRAC CEO at any time to change the exemption.



Australian Government
Australian Transaction Reports
and Analysis Centre

Exemption

Section 248 of the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*

I, Thomas Martin Story, Acting AUSTRAC CEO, pursuant to paragraph 248(1)(a) of the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (AML/CTF Act), hereby exempt ABN AMRO Equities Australia Limited ABN 84 002 768 701 (ABN AMRO Equities) of 88 Phillip Street, Sydney, NSW, 2000, in respect of ABN AMRO Equities' provision of designated services described in Item 33 of Table 1, subsection 6(2) of the AML/CTF Act, from the following specified provisions of the AML/CTF Act:

- (a) sections 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37 and 38.

Conditions

Pursuant to paragraph 248(2)(b) of the AML/CTF Act, the exemption is subject to the following conditions:

1. ABN AMRO Equities must inform the AUSTRAC CEO or delegate of any changes that may affect the exemption and/or conditions imposed by this written instrument within 14 days from when the change affecting the exemption occurs.
2. This exemption only applies in the following circumstances:
 - a. In the provision of sale facilities so as to provide designated services described in Item 33, Table 1, subsection 6(2) of the AML/CTF Act, and
 - (i) The sale facility is of the type described in Appendix A,
 - (ii) The sale facility is provided to eligible share or interest holders by ABN AMRO Equities, and
 - (iii) The sale facility only applies to publicly listed companies, publicly listed managed investment schemes and publicly listed trusts.

Thomas Story, Acting AUSTRAC CEO

6 March
.....2009

Appendix A – Sale facility description

Sale facility: a facility which involves the following:

- an invitation to security holders to sell their shares or interests through arrangements with the relevant registry company and ABN AMRO Equities;
- holders having a right to elect whether to participate by a given date;
- participating security holders' shares or interests being sold on a licensed market by ABN AMRO Equities in batches over a specified period of time;
- the proceeds of the sale being pooled and averaged across all shares or interests sold through the facility, with the participating security holders receiving a volume weighted average price; and
- the total consideration of each participating security holders' shares or interests is not greater than \$5000.

Important Notice to person named in this instrument

1. Any request for a change to this instrument must be submitted to the AUSTRAC CEO or approved delegate within 14 days from when the change is sought.
2. Pursuant to subsection 248(3), the person granted the exemption must comply with the conditions set out in the instrument. Failure to comply with those conditions may result in the revocation of the exemption and action against the person may be commenced under subsection 248(3) of the AML/CTF Act.
3. It is an offence under sections 136, 137 and 138 of the AML/CTF Act to provide false and misleading information or false documents. If any of the information submitted by the applicant or its representatives is found to be false and misleading, the exemption may be revoked, and action may be initiated against the applicant.
4. The person granted the exemption may request the AUSTRAC CEO at any time to change the exemption.