



**Australian Government**  
**AUSTRAC**

**NOTICE REQUIRING THE GIVING OF INFORMATION AND THE PRODUCTION OF DOCUMENTS**

**SUBSECTION 167(2) OF THE *ANTI-MONEY LAUNDERING AND COUNTER-TERRORISM FINANCING ACT 2006***

To: National Australia Bank Limited (**NAB**)  
ACN 004 044 937  
Level 1, 800 Bourke Street  
Docklands, VIC, 3008  
Attention: The Proper Officer

I, **s 22(1)(a)(ii)** Manager, Enforcement, Australian Transaction Reports and Analysis Centre (**AUSTRAC**), am an authorised officer for the purposes of section 167 of the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (**the AML/CTF Act**).

I believe on reasonable grounds that **NAB** is a reporting entity and has information and documents that are relevant to the operation of the AML/CTF Act or the *Anti-Money Laundering and Counter-Terrorism Financing Rules Instrument 2007 (No. 1)* (**the AML/CTF Rules**).

In accordance with subsection 167(2) of the AML/CTF Act, I require you to give the information and produce **copies** of the documents described in the Schedule:

To: **s 22(1)(a)(ii)**  
At: Collins Square  
Level 27, Tower 2, 727 Collins Street  
DOCKLANDS VIC 3008

The information and documents must be given and produced:

- a. no later than 4:00pm on Thursday 12 August 2021;
- b. by reference to the relevant paragraph in the Schedule; and
- c. in electronic form by portable media such as DVD or USB drive unless otherwise agreed by AUSTRAC in writing.

**TAKE NOTICE:**

A person commits an offence if they fail to comply with a notice given to the person under subsection 167(2): subsection 167(3). A penalty of imprisonment for 6 months or 30 penalty units or both applies in relation to this offence.

A person is not excused from giving information or producing a document under section 167 on the ground that the information or the production of the document might tend to incriminate the person or expose the person to a penalty: subsection 169(1).

A person commits an offence under section 136 of the AML/CTF Act if they:

- (a) knowingly give false or misleading information in response to this Notice; or
- (b) give information knowing that such information omits any matter or thing without which the information is misleading.

A penalty of imprisonment for 10 years or 10,000 penalty units or both applies in relation to this offence.

A person commits an offence under section 137 of the AML/CTF Act if they knowingly produce a document that is false or misleading in a material particular in response to this Notice. A penalty of imprisonment for 10 years or 10,000 penalty units or both applies in relation to this offence.

Under section 168 of the AML/CTF Act, you are entitled to be paid reasonable compensation for complying with a requirement to make copies of documents and to produce those copies as specified in this Notice.

**s 22(1)(a)(ii)**

Manager, Enforcement

Date \_\_\_\_\_

s 22(1)(a)(ii)

**From:** Enforcement3  
**Sent:** Tuesday, 29 June 2021 4:59 PM  
**To:** s 22(1)(a)(ii)@nab.com.au'  
**Cc:** Enforcement3  
**Subject:** AUSTRAC - Service of notice issued under s 167 of the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 [SEC=OFFICIAL]  
**Attachments:** Enf-59 NAB Cover letter - s.167 notice - June 2021 - AUSTRAC - 13024440; ENF 59 - NAB - s167 Notice - dated 29Jun21 - AUSTRAC - 12964792

**Security Classification:**  
OFFICIAL

**OFFICIAL**

I attach by way of service a notice issued under section 167 of the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* to National Australia Bank Limited ACN 004 044 937.

Also attached is a covering letter.

Please read these documents carefully and if you have any questions about the contents, I am available on the below number or by email.

I would be grateful if you could confirm receipt by a brief return email.

Regards

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s 22(1)(a)(ii) Manager

Enforcement 3

P: s 22(1)(a)(ii)

E: s 22(1)(a)(ii)

@AUSTRAC W: www.austrac.gov.au



AUSTRAC acknowledges the traditional owners and custodians of country throughout Australia and acknowledges their continuing connection to land, sea and community. We pay our respects to the people, the cultures and the elders, past and present and emerging.

**OFFICIAL**



Australian Government  
AUSTRAC

Ref: 13024440

29 June 2021

Mr John Sharpe  
General Counsel  
Dispute Resolution and Regulatory Investigations  
National Australia Bank Limited  
800 Bourke Street  
DOCKLANDS VIC 3008

By email: [s 22\(1\)\(a\)\(ii\)@nab.com.au](mailto:s 22(1)(a)(ii)@nab.com.au)

Dear Mr Sharpe,

**Notice given under subsection 167(2) of the Anti-Money Laundering and Counter-Terrorism Financing Act 2006.**

I enclose a Notice issued under subsection 167(2) of the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*.

You should read the Notice carefully. You will see that it requires National Australia Bank Limited ACN 004 044 937 to give certain information and produce certain documents, as set out in the Notice, by no later than 4:00pm on Thursday 12 August 2021. Non-compliance with the Notice can attract penalties, the details of which are set out in the Notice itself.

If you have any questions about the Notice, please contact [s 22\(1\)\(a\)\(ii\)](mailto:s 22(1)(a)(ii)@nab.com.au) on [s 22\(1\)\(a\)\(ii\)](tel:s 22(1)(a)(ii)@nab.com.au) or by email to [s 22\(1\)\(a\)\(ii\)](mailto:s 22(1)(a)(ii)@nab.com.au)

Yours sincerely,

[s 22\(1\)\(a\)\(ii\)](mailto:s 22(1)(a)(ii)@nab.com.au)

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Acting Director, Enforcement  
AUSTRAC



Australian Government

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**s 22(1)(a)(ii)**

Date \_\_\_\_\_

Manager, Enforcement