



HIGH COURT OF AUSTRALIA

NOTICE OF FILING

This document was filed electronically in the High Court of Australia on 12 Jun 2020 and has been accepted for filing under the *High Court Rules 2004*. Details of filing and important additional information are provided below.

Details of Filing

File Number: S69/2020
File Title: Westpac Securities Administration Ltd & Anor v. Australian S
Registry: Sydney
Document filed: Form 27B - Appellant's chronology
Filing party: Appellants
Date filed: 12 Jun 2020

Important Information

This Notice has been inserted as the cover page of the document which has been accepted for filing electronically. It is now taken to be part of that document for the purposes of the proceeding in the Court and contains important information for all parties to that proceeding. It must be included in the document served on each of those parties and whenever the document is reproduced for use by the Court.

IN THE HIGH COURT OF AUSTRALIA
 SYDNEY REGISTRY

BETWEEN: WESTPAC SECURITIES ADMINISTRATION LTD ACN 000 049 472
 First Appellant
 BT FUNDS MANAGEMENT LTD ACN 002 916 458
 Second Appellant

and

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AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION
 Respondent

APPELLANTS' CHRONOLOGY

PART I: CERTIFICATION AS TO SUITABILITY FOR PUBLICATION

This chronology is in a form suitable for publication on the internet.

PART II: CHRONOLOGY OF PRINCIPAL EVENTS

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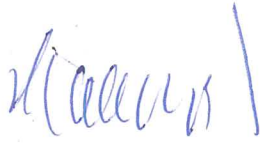
Date	Event	Reference to Core Appeal Book (CAB) or Appellants' Book of Further Materials (AFM) (Page and paragraph number)
16 Jun 2014	Westpac called Customer 9	AFM 12
23 Jun 2014	Westpac called Customer 15 (first of two)	AFM 20
23 Jul 2014	Westpac sent Customer 1 a letter enclosing her annual super statement for the year ending 30 June 2014	CAB 54 [150] AFM 34
11 Aug 2014	Westpac sent Customer 1 a letter entitled "... let us do the legwork and you could WIN"	AFM 45
29 Aug 2014	Westpac called Customer 14	AFM 48

Date	Event	Reference to Core Appeal Book (CAB) or Appellants' Book of Further Materials (AFM) (Page and paragraph number)
18 Sep 2014	Westpac called Customer 11	AFM 55
29 Sep 2014	Westpac sent Customer 1 a letter providing the results of the superannuation search	CAB 54 – 55 [154] AFM 66
1 Oct 2014	Westpac called Customer 2	AFM 71
2 Oct 2014	Westpac called Customer 5	AFM 84
2 Oct 2014	Westpac called Customer 8	AFM 96
3 Oct 2014 11:22am	Westpac called Customer 1 (first of two)	CAB 55 [156] AFM 116
3 Oct 2014 11:58am	Westpac called Customer 1 (second of two)	CAB 55 [156] AFM 122
3 Oct 2014	Westpac called Customer 6	AFM 132
7 Oct 2014	Westpac called Customer 4	AFM 142
7 Oct 2014	Westpac called Customer 12	AFM 151
7 Oct 2014	Westpac called Customer 13	AFM 156
15 Oct 2014	Westpac called Customer 15 (second of two)	AFM 170
29 Oct 2014	Westpac called Customer 10	AFM 184
20 Nov 2014	Westpac called Customer 7	AFM 196
22 Dec 2016	ASIC commenced proceedings in Federal Court	CAB 332 [1] CAB 332 [2] (index references only)
6 Feb 2017	ASIC filed: a. Amended Originating Process b. Amended Concise Statement	CAB 332 [1] CAB 332 [2] (index references only)
13 Feb 2017	ASIC filed Particulars of Claim	CAB 332 [3] (index reference only)
2 Mar 2017	Westpac filed:	CAB 332 [4]

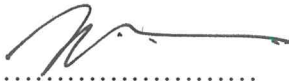
Date	Event	Reference to Core Appeal Book (CAB) or Appellants' Book of Further Materials (AFM) (Page and paragraph number)
	a. Response to Amended Concise Statement b. Response to Particulars of Claim	CAB 332 [5] (index references only)
5, 6, 7, 14 and 16 Feb 2018	Hearing before Gleeson J	CAB 8
21 Dec 2018	Gleeson J delivered judgment	CAB 5 – 136
7 Feb 2019	Gleeson J dismissed balance of proceedings, save for consequential relief and any appeal	CAB 141 - 143
15 Feb 2019	ASIC filed Notice of Appeal in Full Federal Court	CAB 144 – 150
1 Mar 2019	Westpac filed: a. Notice of Cross-Appeal b. Notice of Contention in Full Federal Court	CAB 151 – 156
15 Mar 2019	ASIC filed Notice of Contention in relation to the Cross-Appeal in Full Federal Court	CAB 157 – 161
25 Jul 2019	Westpac filed Amended Notice of Contention in Full Federal Court	CAB 162 – 166
26-27 Aug 2019	Hearing of the appeal before the Full Court of the Federal Court of Australia (Allsop CJ, Jagot and O'Bryan JJ)	CAB 170
28 Oct 2019	Full Court of the Federal Court of Australia delivered judgment and made orders in <i>Australian Securities and Investments Commission v Westpac Securities Administration Limited</i> [2019] FCAFC 187	CAB 167 – 321
12 Nov 2019	Full Court of the Federal Court of Australia made final orders	CAB 325 – 329
25 Nov 2019	Westpac filed application for special leave to appeal to the High Court of Australia	CAB 357
4 May 2020	The High Court of Australia (Kiefel CJ and Keane J) granted special leave to appeal	CAB 356 – 357

Date	Event	Reference to Core Appeal Book (CAB) or Appellants' Book of Further Materials (AFM) (Page and paragraph number)
7 May 2020	Westpac filed a Notice of Appeal in the High Court	CAB 358 – 361

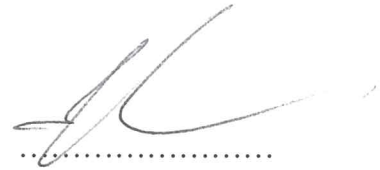
Dated: 12 June 2020



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