



**ASIC**

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Australian Securities &  
Investments Commission

Brett Knapman  
The Treasury  
Parkes Place  
PARKES ACT 2600

Dear Brett,

Please find enclosed four hard copies of indexed lists of departmental files as requested for senate order for the period 1<sup>st</sup> January to 30th June 2013.

I confirm that the contact officer for the Australian Securities & Investments Commission is Michael Carter (02) 9911 2469, GPO Box 9827 SYDNEY NSW 2001.

Yours sincerely

Michael Carter  
Manager, Digital Transition & Enterprise Content Management  
Australian Securities & Investments Commission



**ASIC**

Australian Securities &  
Investments Commission

## **SENATE LIST ORDER NO 10**

### **AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION**

*Indexed File Lists Created between 1st January and 30th  
June 2013*

**Dates:** 1st January and 30th June 2013

**Contact:** Michael Carter (02) 9911-2469

**Michael.Carter@asic.gov.au**

**Website Details:** Use link below  
<http://www.asic.gov.au>

PMR 2013/000236	2013 IMS SHORTER PDS SURVEILLANCE PROJECT
PMR 2013/000246	2013 IMS SHORTER PDS SURVEILLANCE PROJECT
PMR 2013/000967	PROJECT - REQUEST FOR DOCUMENTS
PMR 2013/001536	INFRASTRUCTURE ENTITIES: IMPROVING DISCLOSURE FOR RETAIL INVESTORS
PMR 2013/001537	INFRASTRUCTURE ENTITIES: IMPROVING DISCLOSURE FOR RETAIL INVESTORS
PMR 2013/004849	ASIC TAKEOVERS POLICY UPDATE & CONSOLIDATION PART 21
PMR 2013/004850	ASIC TAKEOVERS POLICY UPDATE & CONSOLIDATION PART 22
PMR 2013/004851	ASIC TAKEOVERS POLICY UPDATE & CONSOLIDATION PART 23
PMR 2013/004852	ASIC TAKEOVERS POLICY UPDATE & CONSOLIDATION PART 24
PMR 2013/004853	ASIC TAKEOVERS POLICY UPDATE & CONSOLIDATION PART 25
PMR 2013/004854	ASIC TAKEOVERS POLICY UPDATE & CONSOLIDATION PART 26
PMR 2013/005353	RISK MANAGEMENT SYSTEMS FOR RESPONSIBLE ENTITIES - POLICY BUILD 2012-2013
PMR 2013/006113	IMS AGRIBUSINESS DISCLOSURE PROJECT 2013
PMR 2013/009739	CORPORATIONS HYBRIDS PROJECT FY13
PMR 2013/010100	APRA/ASIC MOU
PMR 2013/013115	CONSUMER CREDIT INSURANCE STAGE 2, 2013
PMR 2013/013240	FOFA BEST INTERESTS DUTY - RG175 UPDATE CP DEVELOPMENT
PMR 2013/013241	FOFA BEST INTERESTS DUTY - RG175 UPDATE DEVELOPING FINAL GUIDANCE
PMR 2013/013242	FOFA CONFLICTED REMUNERATION - VOLUME 1
PMR 2013/013243	FOFA CONFLICTED REMUNERATION - VOLUME 2
PMR 2013/013247	FOFA REGULATIONS
FSR 2013/000006	FINANCIAL SERVICES LICENSING - GENERAL DOCUMENTS
FSR 2013/004410	2012/2013 HEALTH CHECK - CAPITAL PROTECTED/ GUARANTEED STRUCTURED PRODUCTS
FSR 2013/005155	APPLICATIONS TO CANCEL AUSTRALIAN CREDIT LICENCE

<b>File Number</b>	<b>Name +</b>	<b>Parent</b>
2013 - 003839	ASIC's Regulation of Credit	Active
2013 - 001716	Alternate Funding Model Programme - 2013	Business Activity Projects
2013 - 003799	NSW - ##### ## ##### Sametime messages	Freedom of Information (FOI) Act Applications
2013 - 004006	NSW - #####	Freedom of Information (FOI) Act Applications

2013 - 001998	NSW - #####	Freedom of Information (FOI) Act Applications
2013 - 000722	NSW - xxxxxxxx xx xxxxx xxxxxxx	Freedom of Information (FOI) Act Applications
2013 - 002281	NSW - ##### - FOI 17 (xxx Distribution of Funds)	Freedom of Information (FOI) Act Applications
2013 - 002543	NSW - ##### - FOI 19 (Chronology)	Freedom of Information (FOI) Act Applications
2013 - 002647	NSW - ##### - FOI 20 (xxxxxx Docs)	Freedom of Information (FOI) Act Applications
2013 - 002460	NSW - ##### - FOI 28 (##### Secret Payment)	Freedom of Information (FOI) Act Applications
2013 - 002452	NSW - ##### - FOI 30 (Complaints & Surveillance)	Freedom of Information (FOI) Act Applications
2013 - 002690	NSW - ##### - FOI 31 (Public Interest)	Freedom of Information (FOI) Act Applications
2013 - 002689	NSW - ##### - FOI 32 (ASIC's Enforcement Guide)	Freedom of Information (FOI) Act Applications
2013 - 002450	NSW - ##### - FOI 35 (xxxxxxxxxx & xx Docs)	Freedom of Information (FOI) Act Applications
2013 - 003701	NSW - ##### - FOI 38 (3rd Party consultation & xxxxx)	Freedom of Information (FOI) Act Applications
2013 - 001571	NSW - #####	Freedom of Information (FOI) Act Applications
2013 - 002729	NSW - ##### - Fed Court proceedings	Freedom of Information (FOI) Act Applications
2013 - 002127	NSW - ##### (#####)	Freedom of Information (FOI) Act Applications
2013 - 001041	NSW - ##### Pty Ltd	Freedom of Information (FOI) Act Applications
2013 - 002467	NSW - ##### - xxxxxxx	Freedom of Information (FOI) Act Applications
2013 - 002451	NSW - ##### No 12 (ASIC's Enforcement Guide)	Freedom of Information (FOI) Act Applications
2013 - 001783	QLD - ##### Limited	Freedom of Information (FOI) Act Applications
2013 - 001896	QLD - ##### Ltd	Freedom of Information (FOI) Act Applications
2013 - 003749	QLD - s313 Telecommunications Act (#####)	Freedom of Information (FOI) Act Applications
2013 - 003729	QLD - s313 Telecommunications Act (#####)	Freedom of Information (FOI) Act Applications
2013 - 003746	QLD - s313 Telecommunications Act (#####)	Freedom of Information (FOI) Act Applications
2013 - 003748	QLD - s313 Telecommunications Act (#####)	Freedom of Information (FOI) Act Applications
2013 - 003747	QLD - s313 Telecommunications Act (#####)	Freedom of Information (FOI) Act Applications
2013 - 000792	QLD - ##### Limited	Freedom of Information (FOI) Act Applications
2013 - 003544	QLD - ##### & #####	Freedom of Information (FOI) Act Applications
2013 - 003739	QLD - xxxx no 40	Freedom of Information (FOI) Act Applications

2013 - 000620	VIC - ##### - Security Breaches	Freedom of Information (FOI) Act Applications
2013 - 001194	VIC - ##### 9 Jan 2013	Freedom of Information (FOI) Act Applications
2013 - 000133	VIC - ##### - 20130104	Freedom of Information (FOI) Act Applications
2013 - 001295	VIC - ##### - 20130306	Freedom of Information (FOI) Act Applications
2013 - 001497	VIC - ##### - Subpoena - #####	Freedom of Information (FOI) Act Applications
2013 - 003607	VIC - ##### - Banning Order #####	Freedom of Information (FOI) Act Applications
2013 - 000194	VIC - ##### - 20130107 - # #####	Freedom of Information (FOI) Act Applications
2013 - 003870	VIC - ##### - 20130611 - Cover Letters - Jan to June 2013	Freedom of Information (FOI) Act Applications
2013 - 004055	VIC - ##### - 20130623 - Transcript xxx	Freedom of Information (FOI) Act Applications
2013 - 001902	VIC - ##### 20130328	Freedom of Information (FOI) Act Applications
2013 - 000899	VIC - #####, #####	Freedom of Information (FOI) Act Applications
2013 - 000601	#####, ##### - XXXX App	Ombudsman Matters
2013 - 002087	REP317	Published Reports
2013 - 000502	REP325	Published Reports
2013 - 001245	REP328	Published Reports
2013 - 001189	REP329	Published Reports
2013 - 001269	REP330	Published Reports
2013 - 001510	REP331	Published Reports
2013 - 001653	REP332	Published Reports
2013 - 001686	REP333	Published Reports
2013 - 001703	REP334	Published Reports
2013 - 001817	REP335	Published Reports
2013 - 001864	REP336	Published Reports
2013 - 002022	REP337	Published Reports
2013 - 002023	REP339	Published Reports
2013 - 002280	REP340	Published Reports
2013 - 002266	REP341	Published Reports
2013 - 002272	REP342	Published Reports
2013 -	REP343	Published Reports

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2013 - 003458	REP344	Published Reports
2013 - 003456	REP345	Published Reports
2013 - 003490	REP346	Published Reports
2013 - 003660	REP347	Published Reports
2013 - 003816	REP348	Published Reports
2013 - 003703	REP349	Published Reports
2013 - 003948	REP350	Published Reports
2013 - 004075	REP351	Published Reports
2013 - 004067	REP352	Published Reports
2013 - 001718	RG090	Published Regulatory Guides
2013 - 000489	RG245	Published Regulatory Guides
2013 - 001246	RG246	Published Regulatory Guides
2013 - 001702	RG247	Published Regulatory Guides
2013 - 001150	Consultation papers	2013-2016
2013 - 001730	Dark Liquidity & HFT - Regulatory Impact Statement	Active
2013 - 000242	Exchange Market Data for Publication	Active
2013 - 003986	Assessment And Approval Of Training Courses For Financial Product Advisers: Update To RG 146	Consultation Papers
2013 - 002518	ASX-ASX 24 General Trading Obligations (Stage 3 Conversion)	Consultation Papers
2013 - 002058	Charitable Investment Fundraisers	Consultation Papers
2013 - 000321	Debentures - Law Reform to Strengthen Regulation	Consultation Papers
2013 - 002283	Demutualisation Approval Procedure Rules	Consultation Papers
2013 - 000154	Review of Online Database for Small Amount Lenders	Consultation Papers
2013 - 001298	Review of RG 229 Superannuation Forecasts	Consultation Papers
2013 - 000701	Risk Management for Responsible Entities	Consultation Papers
2013 - 002657	Updated Record-keeping Obligations for AFS Licensees	Consultation Papers
2013 - 000485	RG 174 Externally Administered Companies Review	Corporate Finance
2013 - 001991	CP - Record-keeping obligation - FOFA	Financial Services Regulation (FSR)
2013 - 001262	RG 133 - Update	Financial Services Regulation (FSR)

2013 - 001190	RG 168 - Disclosure - Update 2013	Financial Services Regulation (FSR)
2013 - 001199	0000 Cooperating with ASIC	Information Sheets
2013 - 000399	0000 Implementation of the Principles for FMI's in Australia	Information Sheets
2013 - 000654	0166 Principles for Financial Market Infrastructures	Information Sheets
2013 - 000346	0167 MySuper Transition - Disclosure Requirements for Superannuation Trustees	Information Sheets
2013 - 001942	0179 Applying For A Limited AFS Licence	Information Sheets
2013 - 001848	0181 Providing Information to Parties Engaged in Private Litigation	Information Sheets
2013 - 001952	Quarterly Cash Equity Market Data	Other Editing
2013 - 000149	Draft Statements 2013	Public Statements
2013 - 003535	RG 000 Derivative Trade Repositories	Regulatory Guides
2013 - 000470	RG 000 Guidance on ASIC Market Integrity Rules for Risk Management and Related Requirements: ASX 24 Market	Regulatory Guides
2013 - 003579	RG 005 Relevant Interests and Substantial Holding Notices	Regulatory Guides
2013 - 003543	RG 006 Takeovers: Exceptions to the General Prohibition	Regulatory Guides
2013 - 003654	RG 009 Takeover Bids	Regulatory Guides
2013 - 003700	RG 010 Compulsory Acquisitions and Buyouts	Regulatory Guides
2013 - 002136	RG 049 Employee Share Schemes	Regulatory Guides
2013 - 002479	RG 090 Example Statement of Advice: Scaled Advice for a New Client	Regulatory Guides
2013 - 000740	RG 134 Mgd Invest: Constitutions	Regulatory Guides
2013 - 000542	RG 183 Approval of Codes	Regulatory Guides
2013 - 000260	RG 245 Fee Disclosure Statements	Regulatory Guides
2013 - 000372	RG 246 Conflicted Remuneration	Regulatory Guides
2013 - 001104	RG 248 Litigation Schemes and Proof of Debt Schemes: Managing Conflicts of Interest	Regulatory Guides
2013 - 000810	ASX 2013 Reports	Reports - Market Assessment
2013 - 001694	CAP Report - Consumer Credit Insurance Policies	Reports - Other
2013 - 000529	Response to Submissions - CP 181 Retail Trading in Commonwealth Government Securities	Reports - Other
2013 - 001112	Response to Submissions - CP 185 Litigation and Proof of Debt Schemes: Conflicts of Interest	Reports - Other
2013 - 001529	Response to Submissions - CP 187 Effective Disclosure in an OFR	Reports - Other
2013 - 001738	Response to Submissions - CP 188 - Managed investments: Constitutions - Updates to RG 134	Reports - Other

2013 - 000484	Response to Submissions - CP 189 Future of Financial Advice: Conflicted Remuneration	Reports - Other
2013 - 000812	Response to Submissions - CP 190 Small Business Lending Complaints - Update to RG 139	Reports - Other
2013 - 000925	Response to Submissions - CP 191 FOFA - Approval of Codes of Conduct	Reports - Other
2013 - 003631	Response to Submissions - CP 193 Takeovers, Compulsory Acquisitions and Substantial Holdings	Reports - Other
2013 - 003902	Response to Submissions - CP 194 Financial requirements for custodial or depository service providers	Reports - Other
2013 - 001173	Response to Submissions - CP 195 Proposed Amendments to ASIC Market Integrity Rules - ASX 24 and FEX Markets	Reports - Other
2013 - 002639	Response to Submissions - CP 197 Holding Scheme Property and Other Assets	Reports - Other
2013 - 001554	Review of Credit Asst Provs Responsible Lending Conduct Relating to Debt Consolidation	Reports - Other
2013 - 001655	SMSFs - Improving Quality of Advice to Investors	Reports - Other
2013 - 002380	2011 - RMSS - Business Names Project - 201102	2011
2013 - 000433	2013 - Capital Flows - International - Resources - 20130118	2013
2013 - 000121	2013 - Charitable Fundraising Schemes	2013
2013 - 001178	2013 - ERC - Risks For Retail Investors	2013
2013 - 001357	2013 - Superannuation - Projections of Age Pension to 2050	2013
2013 - 000614	2013 NFL Strategy	2013-2016
2013 - 003609	Financial Web Review Project	Accounting Projects
2013 - 003647	Low Doc Loan Review	Active
2013 - 002521	Market Competition Benefits	Active
2013 - 003820	Market Manipulation Research	Active
2013 - 004074	Meaningful Price Improvement & Block Tier Thresholds	Active
2013 - 002709	MoneySmart Campaign - Mid-age Target Market	Active
2013 - 001754	MoneySmart Week 2013	Active
2013 - 000729	OTC Trade Repositories & Reporting - Regulation Impact Statement	Active
2013 - 003517	Payday Lending	Active
2013 - 004099	QRMR - Q3 August 2013	Active
2013 - 001163	Quarterly Market Data Publication	Active
2013 - 002374	RMSS - Credit Card Debt	Active
2013 - 002382	RMSS - Youth in Transition	Active



2013 - 003896	Trans-Tasman Major Banks Project	Active
2013 - 003602	Memos	Book Up - Epayments Code Project
2013 - 001123	National Financial Literacy Strategy 2013-16	Consultation Papers
2013 - 003488	National Credit Law Agreement Review	Deposit Takers, Credit & Insurers
2013 - 000375	Media Tracking - 2013	Education & Outreach
2013 - 003766	2013/2014 ETM Rate Values	Fee Indexation
2013 - 001898	FOFA licensee visitation project	Financial Advisers Projects
2013 - 000543	Removal of Accountants Exemption	Financial Services Regulation (FSR)
2013 - 000306	2013 IPA Code Revision Project	Insolvency Practitioners (IP) Projects
2013 - 002464	WGMR	Investment Banking
2013 - 001845	Members Review Disclosure Project 2012-2013	Investment Managers & Superannuation
2013 - 003815	Presentation Series 2013	Legal & Policy
2013 - 003570	Mgd Investments: Update to RG 134 Constitutions	Regulation Impact Statements
2013 - 001090	Financial Literacy - National Strategy Review	Reports - Other
2013 - 000259	Relief Report 201301 - Covering 201206-201209	Reports - Other
2013 - 002589	Relief Report 201305 - Covering 201210-201301	Reports - Other
2013 - 002393	MoneySmart Teaching - launch of multimedia activities 20130507	Speeches
2013 - 002356	Review ASIC Data	Strategic Intelligence Projects
2013 - 000752	#####	Unlisted, Unrated Debentures (UUD)
2013 - 003710	Lowy Institute - ASIC Relationship with	Active
2013 - 001355	Legal Aid NSW	Government
2013 - 003949	Outreach resources	Indigenous Outreach
2013 - 003497	TAS Regional Liaison Committee 2012/2013	Industry & Market Participants
2013 - 001980	National Insurance Brokers of Australia (NIBA)	Industry Associations
2013 - 001135	Superannuation Complaints Tribunal (SCT) MOU	Memorandum of Understanding (MOU)
2013 - 002258	NSW Legal Aid Qtrly liaison	Stakeholder Liaison
2013 - 001647	NZ Commission for Financial Literacy and Retirement Income	Stakeholder Liaison
2013 - 001717	UK Money Advice Service	Stakeholder Liaison
2013 - 001593	Department of Human Services (DHS)	Stakeholder Liaison

2013 - 002029	ACT Road Transport Authority	Access Agreements
2013 - 002030	Australian Federal Police	Access Agreements
2013 - 002095	ASIC - CDPP Workshop - Brisbane 2013	Director of Public Prosecutions (CDPP)
2013 - 000371	Australian Energy Market Commission	Other Domestic Regulators
2013 - 003741	20130606 - ##### - positive feedback	Other Complaints & Issues - 2013
2013 - 000627	IFRS Monitoring Board	International Organisations
2013 - 000603	OTC Derivatives Regulators Group (ODRG) and Regulators Forum (ODRF)	International Organisations
2013 - 002147	General Briefings for Meetings	International Research & Briefings
2013 - 001037	Considerations on ASIC Taking on Large Litigations	Active
2013 - 000411	2013 - Capital Raising - M&A & Capital Raising Outlook	2013
2013 - 000738	2013 - Managed Funds - Industry Overview	2013
2013 - 001356	2013 - Market Valuations Investment Returns & Strategies	2013
2013 - 001951	Parliamentary Budget Office	External
2013 - 002315	Submissions to CP206	2013-2016
2013 - 000326	Submissions	CAMAC FEE REVIEW
2013 - 003582	Report on the Enhancement Act Provisions: Small Amount Loans	Submissions & Government Relations
2013 - 000613	Presentations	2013-2016
2013 - 002573	Securities & Exchange Board of India (SEBI)	Stakeholder Liaison
2013 - 002046	NSW Registry of Births, Deaths and Marriages	Access Agreements
2013 - 002047	NT Power and Water Corporation	Access Agreements
2013 - 002048	SA Consumer and Business Services	Access Agreements
2013 - 002049	SA Dept. of Transport, Energy and Infrastructure	Access Agreements
2013 - 002069	Telecommunications	Access Agreements
2013 - 002052	VIC Residential Tenancy Bond Authority	Access Agreements
2013 - 002054	WA Registry of Births, Deaths and Marriages	Access Agreements