



ASIC

Australian Securities &
Investments Commission

Maryla Zimny
The Treasury
Parkes Place
PARKES ACT 2600

Dear Maryla,

Please find enclosed four hard copies of indexed lists of departmental files as requested for senate order for the period 1st July to 31st December 2008.

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
National Coordinator, Records Management
Australian Securities & Investments Commission



ASIC

Australian Securities &
Investments Commission

SENATE LIST ORDER NO 6

AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Indexed File Lists Created between 1st July and 31st December 2008

Dates: 1ST July – 31st December 2008

Contact: Michael Carter (02) 9911-2469
Michael.Carter@asic.gov.au

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

PMR 2008/016323 GENERAL MONITORING
PMR 2008/016496 MANAGER OPERATIONS - COMPLIANCE RESOURCING GROUP PART 3
PMR 2008/016516 NOTIFICATIONS RECEIVED FROM MARKET LICENSEES AND CS FACILITY LICENSEES UNDER S792B & 821B
PMR 2008/016720 RG 176 - FOREIGN FINANCIAL SERVICES PROVIDERS - SUGGESTED OPERATIONAL IMPROVEMENTS
PMR 2008/017666 DISPUTE RESOLUTION - UPDATES OF RG 139 AND 165
PMR 2008/017678 SOLUTION SERVICES PRACTICE
PMR 2008/017922 PROPERTY & MORTGAGE TRUST WORKING GROUP
PMR 2008/018307 MARKETS REGULATION ASX RULE AMENDMENTS REVIEW PROJECT JULY 2008
PMR 2008/018415 AUSTRALIAN PRUDENTIAL REGULATION AUTHORITY (084238853) - FINANCIAL SERVICES APRA LIAISON
PMR 2008/018416 SYDNEY FUTURES EXCHANGE LIMITED ACN 000 943 377 RULE AMENDMENTS
PMR 2008/018437 ASX/ASIC MEMORANDUM OF UNDERSTANDING (MOU) & NATIONAL CO-ORDINATION COMMITTEE MEETINGS AGENDAS AND MINUTES
PMR 2008/018591 AUSTRALIAN PRUDENTIAL REGULATION AUTHORITY (084238853) - ASIC/APRA LIAISON BRISBANE 2008
PMR 2008/018629 TREASURY FINANCIAL SERVICES WORKING GROUP - PART 5
PMR 2008/018664 FOI REQUEST: STRATEGIC REVIEW COURIER-MAIL REVIEW APPLICATION
PMR 2008/018816 APPLICATION FOR DECLARATION - S.655A
PMR 2008/019023 ASIC EMERGENCY POWERS
PMR 2008/019196 MANAGER, OPERATIONS: COMPLIANCE ANNUAL REPORTING 2007-2008
PMR 2008/019579 ASX CONCERNS RELATING TO CONTRACTS FOR DIFFERENCE (CFD)
PMR 2008/019585 SECTION 761 GA - MEANING OF RETAIL CLIENTS - SOPHISTICATED INVESTORS
PMR 2008/020230 REVIEW INTO CREDIT RATING AGENCIES AND RESEARCH HOUSES - RESEARCH ON RHS
PMR 2008/020317 REVIEW ASX 50 ENTITIES TO IDENTIFY WHETHER 2008 NON STATUTORY RESULTS ARE MORE PROMINENT THEN STATUTORY
PMR 2008/020748 US OFFICE OF COMPTROLLER OF THE CURRENCY
PMR 2008/020932 MARKET STABILISATION - CORRESPONDENCE PART 3
PMR 2008/021230 MARKET EVENTS TEAM COMPLIANCE COUNSELS WORKING PAPERS
PMR 2008/021700 FUNDRAISING PROJECT - BAPEPAM-ASIC WORKSHOPS IN JAKARTA, AUGUST 2006 - PART 2
PMR 2008/022297 SHORT SELLING AND STOCK LENDING
PMR 2008/022344 COMMENTS ON DRAFT MARGIN LENDING CODE OF CONDUCT
PMR 2008/022840 NEW POLICY: "LIMITS OF DISCLOSURE"
PMR 2008/023106 INDUSTRY CODES OF CONDUCT
PMR 2008/023746 WHOLLY OWNED ENTITIES REGULATORY GUIDE

PMR 2008/024314 ASIC FORM - NZ MUTAL RECOGNITION S1200C & S1200S OF CHAPTER 8
PMR 2008/024456 CORPORATE AND FINANCIAL SERVICES REGULATION REVIEW 2006 - PART 2
PMR 2008/025016 CONFLICTS GUIDE INDUSTRY FEEDBACK
PMR 2008/025017 PROPOSED ALTERNATIVE COMPENSATION ARRANGEMENTS - PRELIMINARY SUBMISSION
PMR 2008/025023 SENATE SUPPLEMENTARY BUDGET ESTIMATES - OCTOBER 22/23 - REQUEST FOR BRIEFINGS - STOCK LENDING
PMR 2008/025026 COMMISSION BRIEFING ON THE RBA SWAP WITH THE US FEDERAL RESERVE
PMR 2008/025029 SENATE SUPPLEMENTARY BUDGET ESTIMATES - OCTOBER 22/23 - REQUEST FOR BRIEFINGS - SHORT SELLING
PMR 2008/025036 POLICY PUBLICATIONS PROJECT PART 2
PMR 2008/025040 POLICY PUBLICATIONS PROJECT - PART 3 INTERNAL COMMUNICATION, LEGACY DOCUMENTS RE-BADGING
PMR 2008/025042 POLICY PUBLICATIONS PROJECT - PART 4 TIMETABLES & WEEKLY MEETINGS ROADMAP CURRENT PAPERS
PMR 2008/025061 SENATE SUPPLEMENTARY BUDGET ESTIMATES - OCTOBER 22/23 - REQUEST FOR BRIEFINGS - RBA SWAP WITH US
PMR 2008/025062 SHORT SELLING (SEPT 2008) - KEY DOCUMENTS
PMR 2008/025063 SHORT SELLING (SEPT 2008) - LEGISLATIVE DRAFTING
PMR 2008/025064 SHORT SELLING (SEPT 2008) - BACKGROUND TO EXEMPTIONS
PMR 2008/025065 SHORT SELLING (SEPT 2008) - CONSULTATION WITH AFMA & SDIA
PMR 2008/025066 SHORT SELLING (SEPT 2008) - CONSULTATION WITH GOVT (TREASURY & RBA)
PMR 2008/025067 SHORT SELLING (SEPT 2008) - CONSULTATION WITH IFSA
PMR 2008/025068 SHORT SELLING (SEPT 2008) - CONSULTATION WITH ASLA
PMR 2008/025069 SHORT SELLING (SEPT 2008) - CONSULTATION WITH AIMA
PMR 2008/025070 SHORT SELLING (SEPT 2008) - CONSULTATION WITH OTHER INDUSTRY GROUPS
PMR 2008/025071 SHORT SELLING (SEPT 2008) - COMMISSION BRIEFINGS
PMR 2008/025072 SHORT SELLING (SEPT 2008) - REPORTING OBLIGATIONS & STATS
PMR 2008/025073 SHORT SELLING (SEPT 2008) - INTERNATIONAL ANALYSIS
PMR 2008/025074 SHORT SELLING (SEPT 2008) - FAQ'S
PMR 2008/025075 SHORT SELLING (SEPT 2008) - STOCK LENDING GUIDANCE
PMR 2008/025076 SHORT SELLING (SEPT 2008) - CREDIT DEFAULT SWAP IMPLICATIONS
PMR 2008/025077 SHORT SELLING (SEPT 2008) - MARKET QUERIES & ANSWERS
PMR 2008/025079 SENATE SUPPLEMENTARY BUDGET ESTIMATES - OCTOBER 22/23 - REQUEST FOR BRIEFINGS - CREDIT DEFAULT SWAPS
PMR 2008/025091 SENATE SUPPLEMENTARY BUDGET ESTIMATES - OCTOBER 22/23 - REQUEST FOR BRIEFINGS - US BAIL OUT
PMR 2008/025181 TECHNOLOGY STOCKS CONTINUOUS DISCLOSURE CAMPAIGN BOX 1 OF 2
PMR 2008/025183 TECHNOLOGY STOCKS CONTINUOUS DISCLOSURE CAMPAIGN BOX 2 OF 2

PMR 2008/025302 REVIEW INTO CREDIT RATING AGENCIES AND RESEARCH HOUSES
PMR 2008/025341 OVERVIEW OF US TARP PACKAGE
PMR 2008/025506 GOVERNMENT POLICY REQUESTS
PMR 2008/025507 UNSOLICITED SHARE OFFERS
PMR 2008/025607 SHORT SELLING (SEPT 2008) - DISCLOSURE & REPORTING
PMR 2008/025881 SENATE ESTIMATES BRIEFINGS 2008
PMR 2008/026385 ADVICE TO EXCHANGE MARKET OPERATORS STAKEHOLDER TEAM
PMR 2008/026386 RESEARCH OF TEMPORARY MEASURES TO FACILITATE THE OFFSETTING OF EXPOSURES TO COLLAPSED ENTITIES
PMR 2008/026434 CLASS ORDER 03/1100 - US SEC REGULATED FINANCIAL SERVICE PROVIDERS - AMENDMENT
PMR 2008/026475 ASX ANNUAL ASSESSMENT - INVESTMENT BANKS TEAM INPUTS
PMR 2008/026924 PROJECT 45 46 ENGAGEMENT PHRASE - NSW
PMR 2008/026926 PROJECT 45 46 ENGAGEMENT PHRASE VIC
PMR 2008/026932 PROJECT 45 46 ENGAGEMENT PHRASE QLD
PMR 2008/026934 PROJECT 45 46 ENGAGEMENT PHRASE WA, TAS, SA
PMR 2008/026950 PROJECT 45:46 ENGAGEMENT PHRASE - QLD
PMR 2008/026957 PROJECT 45:46 ENGAGEMENT PHASE WA, TAS, SA
PMR 2008/026958 PROJECT 45:46 ENGAGEMENT PHASE VIC
PMR 2008/026959 PROJECT 45:46 ENGAGEMENT PHASE QLD
PMR 2008/026961 PROJECT 45:46 ENGAGEMENT PHASE NSW
PMR 2008/026977 SUPERANNUATION LAW REFORM
PMR 2008/027323 SENATE ESTIMATES 2008/2009
PMR 2008/027801 CONTINUOUS DISCLOSURE BY UNLISTED DISCLOSING ENTITIES
PMR 2008/027854 SHORT SELLING - AUTOMATED DISCLOSURE REQUIREMENTS
PMR 2008/027906 LAW REFORM PROPOSALS FOR ENHANCEMENT OF ASIC' S ENFORCEMENT POWERS
PMR 2008/027915 EMO STAKEHOLDER TEAM - PROPOSED CHANGES TO ASX MARKET RULES
PMR 2008/028255 FINANCIAL CRISIS OCTOBER 2008
PMR 2008/028265 ASX ANNUAL ASSESSMENT
PMR 2008/028798 SUPERANNUATION: PARLIAMENTARY HEARINGS
PMR 2008/028885 MARKET EVENTS REVIEW TEAM
PMR 2008/029079 IDENTIFYING HIGH RISK PRODUCTS
PMR 2008/029311 SUPERANNUATION: HELPING INVESTORS LOOK AT LONGER-TERM RETURNS--ASIC'S BEST PRACTICE GUIDE. RG 191

PMR 2008/029313 CREDIT DEFAULT SWAPS PART 2

PMR 2008/029315 ASX ANNUAL ASSESSMENT - INVESTMENT BANKS TEAM INPUTS PART 2

PMR 2008/029316 ASX QUOTED ASSETS (AQUA) PROJECT - INVESTMENT BANKS TEAM INPUTS PART 2

PMR 2008/029348 TREASURY WORKING GROUP PAPERS SPECIAL COUNSEL WORKING PAPERS

PMR 2008/029813 LAW REFORM - DIVISION 6. PART 2 G.2. APPOINTING A PROXY

PMR 2008/030676 ASIC RESPONSE TO PJC REPORT ON SHAREHOLDER ENGAGEMENT AND PARTICIPATION

PMR 2008/030924 APRA CP ON STATISTICAL DISCLOSURE

PMR 2008/030977 ASIC'S STRATEGIC & OPERATIONAL RISK ASSESSMENT 2008 - INVESTMENT BANKS TEAM INPUT

PMR 2008/031306 UNLISTED AND UNRATED DEBENTURE SURVEILLANCE PROJECT - DECEMBER 2008

PMR 2008/031605 ASIC SECURITIES LENDING REVIEW