



**ASIC**

Australian Securities & Investments Commission

**SENATE LIST ORDER NO 6  
AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION**

*Indexed File Lists Created between 1<sup>st</sup> Jan and 30<sup>th</sup> Jun 2004*

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Group	Year	Prefix	File	Description
RPOL	2004	PMR	454	POLICY SUBMISSIONS -VIA EMAILS
RPOL	2004	PMR	806	CREDIT RATING AGENCIES (GENERAL)
RPOL	2004	PMR	1015	INSURANCE CLAIMS HANDLING
RPOL	2004	PMR	1017	SUPERANNUATION CHOICE
RPOL	2004	PMR	1079	MARKETS PART 4
RPOL	2004	PMR	1248	FOREIGN FINANCIAL SERVICE PROVIDERS PART 3 3 DECEMBER 2003 - 23 JANUARY 2003
RPOL	2004	PMR	1904	FAQ - MISCELLANEOUS
RPOL	2004	PMR	1914	DMFS AND DOFIS REVIEW PART 2
RPOL	2004	PMR	1939	FOREIGN FINANCIAL SERVICE PROVIDERS PART 4 27 JANUARY 2004 -
RPOL	2004	PMR	2076	CLERP 9 - AUDITOR REGISTRATION PUBLIC PROPOSAL PAPER
RPOL	2004	PMR	2877	FSR ADVICE AND SUPPORT (VOL 2)
RPOL	2004	PMR	3096	7TH BATCH FSR REGS
RPOL	2004	PMR	3222	CLERP 9 - DISCLOSURE: DISCRETIONARY POWERS - POLICY PROPOSAL PAPER
RPOL	2004	PMR	3223	CLERP 9 - AUDIT AND FINANCIAL REPORTING: DISCRETIONARY POWERS - POLICY PROPOSAL PAPER
RPOL	2004	PMR	3401	MANAGEMENT DISCRETIONARY ACCOUNTS PPP FINAL VERSION
RPOL	2004	PMR	3407	MANAGEMENT DISCRETIONARY ACCOUNTS
RPOL	2004	PMR	3616	ASIC COMMENTS ON TABLED CLERP 9 BILL DECEMBER 2003 TO JANUARY 2004
RPOL	2004	PMR	3626	CLERP 9 FRAMEWORK DOCUMENT
RPOL	2004	PMR	3708	MANAGED DISCRETIONARY ACCOUNTS CORRESPONDENCE OCTOBER 2003 TO FEBRUARY 2004
RPOL	2004	PMR	3844	DEBT SECURITIES: ***.
RPOL	2004	PMR	4122	REVIEW OF IFSA UPDATE OF IFSA STANDARDS 8 & 9 (ASSET PRICING & SCHEME

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				VALUATION)
RPOL	2004	PMR	4253	PRIVATE PLACEMENTS
RPOL	2004	PMR	4579	MARKET STABILISATION
RPOL	2004	PMR	4662	CLERP 9: AUDITOR REGISTRATION PPP - DOCUMENTS AND SUBMISSIONS
RPOL	2004	PMR	4682	POLICY DEVELOPMENT - FOREIGN COLLECTIVE INVESTMENT SCHEMES - UPDATE TO PS 65 PART 3
RPOL	2004	PMR	4823	DEPOSIT TAKERS AND NON-CASH PAYMENT FACILITIES PART 3
RPOL	2004	PMR	4965	MARKETS PART 5
RPOL	2004	PMR	4966	IOSCO: SC3 VOLUME 4
RPOL	2004	PMR	4967	FSR EMERGING ISSUES PART 5
RPOL	2004	PMR	5813	SCOPE OF THE ASSOCIATES DEFINITION S12- REG 1.0.18-S53 PART 2
RPOL	2004	PMR	6530	DEPOSIT BONDS - SENATE ORDER
RPOL	2004	PMR	6967	CLERP 9 - AUDITOR REGISTRATION PUBLIC PROPOSAL PAPER VOLUME 2
RPOL	2004	PMR	7125	MANAGED DISCRETIONARY ACCOUNTS POLICY STATEMENT DRAFTS
RPOL	2004	PMR	7128	PS 174 APPLICATIONS VOLUME 1
RPOL	2004	PMR	7179	CLERP 7 CORRESPONDENCE OCT 2003 TO MARCH 2004
RPOL	2004	PMR	7206	FOREIGN FINANCIAL SERVICE PROVIDERS: FINALISATION OF POLICY AUGUST 03 TO MARCH 04
RPOL	2004	PMR	7207	PROJECT REVIEW BOARD CORPORATE KEY PROJECT - RPB INVOLVEMENT
RPOL	2004	PMR	7398	DOLLAR DISCLOSURE PROJECT ASIC DETERMINATION
RPOL	2004	PMR	7425	MISCELLANEOUS FSR RELIEF "FAST-TRACK PROJECT" PART 2
RPOL	2004	PMR	7975	CLERP 9 - AUDITOR REGISTRATION PUBLIC PROPOSAL PAPER VOLUME 3
RPOL	2004	PMR	8101	SIA MANAGEMENT
RPOL	2004	PMR	8102	SUPERANNUATION MASTER TRUSTS - PRODUCT DISCLOSURE
RPOL	2004	PMR	8103	MARKET STABILISATION

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RPOL	2004	PMR	8105	SECONDARY SERVICES
RPOL	2004	PMR	8231	IOSCO SC3 3 AND 4 NOVEMBER 2004
RPOL	2004	PMR	8242	CLERP 9 REFERENCE PAPERS PART 3
RPOL	2004	PMR	8317	DMF / DOFI GOV'T REVIEW SUBMISSIONS
RPOL	2004	PMR	8318	DMF / DOFI GOV'T REVIEW - RELIEF APPLICATIONS
RPOL	2004	PMR	8319	DMF / DOFI REVIEW - FORMS 51 + 52
RPOL	2004	PMR	8323	DMF / DOFI GOVERNMENT REVIEW
RPOL	2004	PMR	8395	POLICY DEVELOPMENT - FOREIGN COLLECTIVE INVESTMENT SCHEMES - UPDATE TO PS 65 PART 4
RPOL	2004	PMR	8552	APRA FIT AND PROPER REQUIREMENTS
RPOL	2004	PMR	8903	APPLICATION OF S1012IA TO SUPERANNUATION ENTITIES
RPOL	2004	PMR	9060	ICA REVIEW
RPOL	2004	PMR	9397	REVIEW OF ASIC POLICY ON S710 PROSPECTUS DISCLOSURE
RPOL	2004	PMR	9612	CLERP 9 - COMMENTS ON DRAFT REGULATIONS APRIL 2004
RPOL	2004	PMR	9613	CLERP 9 EXPOSURE DRAFT BILL COMMENTS
RPOL	2004	PMR	9614	CLERP 9 - PPP DRAFTING 2004
RPOL	2004	PMR	9616	CLERP 9 - PPP DRAFTING 2004
RPOL	2004	PMR	10044	NON-CASH PAYMENTS - PPP PROJECT
RPOL	2004	PMR	10050	CLERP 9 PPP SUBMISSIONS
RPOL	2004	PMR	10788	CLERP 9 - PRB 2003 - APRIL 2004
RPOL	2004	PMR	10976	OFFICE OF REGULATION REVIEW REGULATION IMPACT STATEMENTS AND CORRESPONDENCE PART 13
RPOL	2004	PMR	11288	SUBSTANTIAL SHAREHOLDING POLICY REVIEW: NCSC PS 110; SECTION 671B
RPOL	2004	PMR	11452	CLERP 7: MARCH - MAY 2004
RPOL	2004	PMR	11474	FSR ADVICE AND SUPPORT (VOL 3)
RPOL	2004	PMR	11475	INSOLVENCY PRACTITIONER REGULATION PROJECT VOLUME 2
RPOL	2004	PMR	11476	DIRECTOR - LESS COMPANIES (COLE REC 107)
RPOL	2004	PMR	11590	FINALISATION OF FOREIGN COLLECTIVE INVESTMENT SCHEME POLICY

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RPOL	2004	PMR	11614	NOT FOR PROFIT BODY CORPORATES
RPOL	2004	PMR	11615	POST - *** RESPONSE
RPOL	2004	PMR	11616	NZ MUTUAL RECOGNITION
RPOL	2004	PMR	11617	SOFT DOLLAR COMMISSIONS
RPOL	2004	PMR	12133	PROSPECTUS CONTENT - DISCLOSURE PRINCIPLES SECTION 710
RPOL	2004	PMR	12218	MARKETS REGULATION CORPORATE GOVERNANCE PRACTICES JULY 2002
RPOL	2004	PMR	12338	MISLEADING AND DECEPTIVE STATEMENTS IN TAKEOVERS -TRUTH in TAKEOVERS-Review of Policy Statement 25
RPOL	2004	PMR	12345	MISLEADING AND DECEPTIVE STATEMENTS IN TAKEOVERS -TRUTH in TAKEOVERS-Review of Policy Statement 25
RPOL	2004	PMR	12347	IOSCO SURVEY ON THE COMPLIANCE FUNCTION 2004
RPOL	2004	PMR	12469	SDIA CONFERENCE 2004 - COMMENTS FOR TREASURY
RPOL	2004	PMR	12470	*** BOND AND REPO CLEARING - STOCK CIRCLES
RPOL	2004	PMR	12471	PS 176 - RECOGNITION OF CFTC
RPOL	2004	PMR	12483	ANTI-MONEY LAUNDERING - LAW REFORM PROJECT
RPOL	2004	PMR	12794	INDIVIDUAL DEVELOPMENT *** - 2004/2005
RPOL	2004	PMR	13117	POLICY DEVELOPMENT - FOREIGN COLLECTIVE INVESTMENT SCHEMES - UPDATE TO PS 65 PART 5
RPOL	2004	PMR	13160	CREDIT RATINGS AGENCIES
RPOL	2004	PMR	13163	REAL ESTATE INVESTMENT ADVICE
RPOL	2004	PMR	13775	CLEARING AND SETTLEMENT G30 RECOMMENDATIONS
RPOL	2004	PMR	13810	CLERP 9 - AUDITOR REGISTRATION PUBLIC PROPOSAL PAPER VOLUME 4
RPOL	2004	PMR	14945	REVIEW OF PS148 CHAPTER 5C
RPOL	2004	PMR	15085	SECONDARY SERVICES FAQ
RPOL	2004	PMR	15087	PPP - SUPERANNUATION ENTITIES: S1012IA AND INVESTMENT CHOICE
RPOL	2004	PMR	15088	PPP - SUPERANNUATION ENTITIES: A1012IA AND INVESTMENT CHOICE
RPOL	2004	PMR	15089	***MODEL RISK PDS

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RPOL	2004	PMR	15090	UNFAIR INVESTMENT PRACTICES PROJECT (LATE TRADING AND MARKET TIMING)
RPOL	2004	PMR	15396	PS178-FOREIGN COLLECTIVE INVESTMENT SCHEMES -JERSEY
RPOL	2004	PMR	15811	CLERP 9: REVIEW OF PN 34
RPOL	2004	PMR	15813	CLERP 9: REVIEW OF PS 43
RPOL	2004	PMR	15814	CLERP 9: GLOBAL RIS
RPOL	2004	PMR	16033	MONEY LAUNDERING - REFERENCE PAPERS
RPOL	2004	PMR	16034	DOLLAR DISCLOSURE POLICY
RPOL	2004	PMR	16036	RESEARCH ANALYSTS - PART 10
RPOL	2004	PMR	16244	RELATED PARTY UNDERWRITING AMENDMENTS TO CO 98/52
RPOL	2004	PMR	16245	APPROVAL OF DEBENTURE TRUSTEES - FINANCIAL CONDITIONS
RPOL	2004	PMR	16246	AMENDMENTS TO CO 02/319 HORSE RACING SCHEMES
RPOL	2004	PMR	16248	TRANS-TAMAN MUTUAL RECOGNITION OF OFFERS TO SECURITIES AND MIS INTERESTS
RPOL	2004	PMR	16383	CLERP9: EXPOSURE DRAFT BILL SUBMISSIONS
RPOL	2004	PMR	16385	CLERP9: PJC APPEARANCE
RPOL	2004	PMR	16711	MERGERS AND ACQUISITIONS PART 3
RPOL	2004	PMR	16716	MEDICAL INDEMNITY LEGISLATION PART 2
RPOL	2004	PMR	16720	MANAGED INVESTMENT SCHEMES - GENERAL PART 3
RPOL	2004	PMR	16727	IOSCO: SC3 VOLUME 5
RPOL	2004	PMR	16735	INSOLVENCY VOLUME 3
RPOL	2004	PMR	16787	REGULATION OF PROPERTY INVESTMENT & FINANCIAL ADVISING ACTIVITIES OF REAL ESTATE AGENTS
RPOL	2004	PMR	16803	CLERP9 POLICIES: RPG PAPERS
RPOL	2004	PMR	16804	CLERP9 POLICIES: RPG PAPERS
RPOL	2004	PMR	16871	MANAGED INVESTMENTS ACT REVIEW 2004
RPOL	2004	PMR	16910	LICENSING RELIEF FOR SECURITISATION ENTITIES
RPOL	2004	PMR	17046	COPIES OF SFE CIRCULARS TO MEMBERS NOS. 324/99 TO 174/00

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RPOL	2004	PMR	17315	PS 176 FOREIGN FINANCIAL SERVICE PROVIDERS (FFSP): REVIEW OF POLICY
RPOL	2004	PMR	17591	IOSCO: PROVISION OF SUITABLE PERSONAL ADVICE ON SECURITIES
RPOL	2004	PMR	17593	CLERP9: AUDIT COMPANY INSURANCE REQUIREMENTS PPP
RPOL	2004	PMR	17594	PROOF OF IDENTITY PROJECT. RPB REPRESENTATION
RPOL	2004	PMR	17595	CLERP9 MATERIALS 2003 TO 2004
RPOL	2004	PMR	17597	RISK DISCLOSURE PROJECT 2003 TO 2004
RPOL	2004	PMR	17599	REASONABLE GROUNDS: LEGAL ANALYSIS
RPOL	2004	PMR	17600	CLERP9: PPP SUBMISSIONS & DRAFT REGULATIONS
RPOL	2004	PMR	17613	EXPERTS PPP: CORRESPONDENCE 07 MAY 2002 TO 07 MAY 2004
RPOL	2004	PMR	17703	CHARITIES POLICY UPDATE: RPG PAPER
RPOL	2004	PMR	17788	FSR POLICY BUILD - RAB ARCHIVE PART 1