



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 2004

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Group	Year	Prefix	File	Description
RPOL	2004	PMR	17998	LICENSING RELIEF FOR SECURITISATION ENTITIES PART 2
RPOL	2004	PMR	18011	FSRA IMPLEMENTATION: QUERIES PART 6
RPOL	2004	PMR	18012	CONDUCT AND DISCLOSURE POLICY PART 3
RPOL	2004	PMR	18052	CONFLICTS MANAGEMENT POLICY PART 2
RPOL	2004	PMR	18054	ACCOUNTING ISSUES PART 2
RPOL	2004	PMR	18055	INSURANCE CONTRACTS ACT - REFERENCE MATERIALS
RPOL	2004	PMR	18394	DOLLAR DISCLOSURE PROJECT ASIC DETERMINATION - PART 2
RPOL	2004	PMR	18925	IOSCO: SC3 REFERENCE PAPERS PART 1
RPOL	2004	PMR	18926	IOSCO: SC3 REFERENCE PAPERS PART 2
RPOL	2004	PMR	18976	ADDITIONAL CLERP 9 BILL SUBMISSIONS
RPOL	2004	PMR	18978	PROFORMAS UPDATE
RPOL	2004	PMR	18980	PS125 POLICY UPDATE
RPOL	2004	PMR	18982	CLERP9 CONFLICTS PS
RPOL	2004	PMR	18984	CLERP9 'PROOF' POLICIES
RPOL	2004	PMR	18986	INSOLVENCY: CREDITORS' TRUST DEEDS AND PT 5.3A (RESEARCH AND SAMPLES)
RPOL	2004	PMR	18996	ELECTRONIC FINANCIAL REPORTING
RPOL	2004	PMR	18997	ELECTRONIC FINANCIAL REPORTING
RPOL	2004	PMR	19191	INSOLVENCY: PJC REPORT JUNE 2004
RPOL	2004	PMR	19219	INSOLVENCY PRACTITIONER REGULATION PROJECT VOLUME 3
RPOL	2004	PMR	19274	FSR EMERGING ISSUES
RPOL	2004	PMR	19980	FINANCIAL MARKETS - GENERAL
RPOL	2004	PMR	20058	OFFICE OF REGULATION REVIEW REGULATION IMPACT STATEMENTS AND CORRESPONDENCE PART 14

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RPOL	2004	PMR	20125	ALLOCATIONS
RPOL	2004	PMR	20131	SINGLE FEE MEASURE
RPOL	2004	PMR	20176	REAL ESTATE INVESTMENT ADVICE PART 2
RPOL	2004	PMR	20348	RESEARCH ANALYSTS - PART 11
RPOL	2004	PMR	20436	NCP RESEARCH PROJECT - ERNST & YOUNG (RAB FILE)
RPOL	2004	PMR	20612	DEFINITION OF 'RESPONSIBLE OFFICER' FOR LICENSING PURPOSES (PS 164)
RPOL	2004	PMR	20668	RPG SUBMISSION - WHOLESALE / RETAIL CLIENTS AND FOREIGN QUALIFIED ACCOUNTANTS PART 2
RPOL	2004	PMR	20685	FOREIGN FINANCIAL SERVICE PROVIDERS PART 5 1 JULY 2004
RPOL	2004	PMR	20700	PS 176- OVERSEAS JURISDICTIONS' REGULATORY PROVISIONS
RPOL	2004	PMR	20703	PS 176- OVERSEAS JURISDICTIONS' REGULATORY PROVISIONS PART 2
RPOL	2004	PMR	22063	CLERP9 AND SARBANES-OXLEY
RPOL	2004	PMR	22241	LICENSING RELIEF FOR SECURITISATION ENTITIES PART 3
RPOL	2004	PMR	22418	DOLLAR DISCLOSURE SUBMISSIONS
RPOL	2004	PMR	22520	INSOLVENCY: PJC REPORT JUNE 2004 PART 2
RPOL	2004	PMR	23153	TAX ADVICE FAQ
RPOL	2004	PMR	23191	IOSCO CREDIT RATING AGENCIES AND SECURITIES ANALYSTS: RPB
RPOL	2004	PMR	23193	... SHARE PURCHASE PLAN RELIEF APPLICATION
RPOL	2004	PMR	23564	DOLLAR DISCLOSURE PROJECT- INDUSTRY SUBMISSIONS FOR POLICY PROPOSAL PAPER
RPOL	2004	PMR	23754	INCORPORATED ASSOCIATIONS
RPOL	2004	PMR	23860	RESEARCH ANALYSTS - PART 12
RPOL	2004	PMR	24067	CONSUMER ISSUES
RPOL	2004	PMR	24102	FINANCIAL SYSTEMS GUARANTEE
RPOL	2004	PMR	24104	WHOLESALE MARKETS FORUM
RPOL	2004	PMR	24110	BUY BACKS
RPOL	2004	PMR	24111	INDIGENOUS FINANCIAL SERVICES

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RPOL	2004	PMR	24155	CURRENT LAW REFORM PROPOSALS
RPOL	2004	PMR	24271	INSOLVENCY PRACTITIONER REGULATION PROJECT VOLUME 4
RPOL	2004	PMR	24499	REVIEW OF PN 40
RPOL	2004	PMR	24739	IOSCO SC 3: OUTSOURCING PRINCIPLES.
RPOL	2004	PMR	24740	IOSCO SC 3: OUTSOURCING PRINCIPLES.
RPOL	2004	PMR	24742	LICENSING ISSUES: HORSE RACING SYNDICATE PROMOTERS.
RPOL	2004	PMR	24772	IOSCO SC 3: UNDERWRITING
RPOL	2004	PMR	24820	CLERP 9 AUDITOR INDEPENDENCE: FAQs
RPOL	2004	PMR	24824	CLERP 9 (AUDIT REFORM AND CORPORATE DISCLOSURE)
RPOL	2004	PMR	24836	CLERP 9 (AUDIT REFORM AND CORPORATE DISCLOSURE) PART 2- 12/03
RPOL	2004	PMR	24868	LICENSING RELIEF FOR SECURITISATION ENTITIES PART 4
RPOL	2004	PMR	25089	NON CASH PAYMENTS - ERNST & YOUNG
RPOL	2004	PMR	25090	NON CASH PAYMENTS - POLICY PROPOSAL PAPER
RPOL	2004	PMR	25133	CLEAR CONCISE AND EFFECTIVE
RPOL	2004	PMR	25135	GENERIC ADVICE PROJECT
RPOL	2004	PMR	25141	RELATED PARTY UNDERWRITING AMENDMENTS TO CO 98/52 PART 2
RPOL	2004	PMR	25235	FINANCIAL ADVICE TO ONGOING CLIENTS
RPOL	2004	PMR	25291	DOLLAR DISCLOSURE PROJECT ASIC DETERMINATION - PART 3
RPOL	2004	PMR	25879	NON CASH PAYMENTS-POLICY PROPOSAL PAPER
RPOL	2004	PMR	25918	REVIEW OF PRACTICE NOTE 40: PROSPECTUSES IN RECONSTRUCTIONS
RPOL	2004	PMR	26148	MORTGAGE BROKERS
RPOL	2004	PMR	26149	FINANCIAL ADVICE TO ONGOING CLIENTS
RPOL	2004	PMR	26615	US FTA IMPLEMENTATION
RPOL	2004	PMR	26619	RELATED PARTY TRANSACTIONS
RPOL	2004	PMR	26622	PS 146
RPOL	2004	PMR	26625	FSR BREACH NOTIFICATIONS
RPOL	2004	PMR	26818	SHARE ALLOCATION POLICY - RESEARCH

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RPOL	2004	PMR	26819	MARKET STABILISATION
RPOL	2004	PMR	26826	AUTHORISED AUDIT COMPANIES: INSURANCE ARRANGEMENTS
RPOL	2004	PMR	26842	UPDATE OF POLICY STATEMENT 166: FINANCIAL REQUIREMENTS
RPOL	2004	PMR	26861	FSR COMPENSATION ARRANGEMENTS PART 4
RPOL	2004	PMR	26862	IOSCO TF: ANALYSTS & CRAS(VOLUME 3)
RPOL	2004	PMR	26865	IOSCO/CPSS TASK FORCE PART 3
RPOL	2004	PMR	26868	SUPERANNUATION PART 5
RPOL	2004	PMR	26958	CLERP 9 PART 5
RPOL	2004	PMR	26995	PRODUCT DISCLOSURE STATEMENTS - GENERAL PART 2
RPOL	2004	PMR	27043	REVIEW OF POLICY STATEMENT 176: FOREIGN FINANCIAL SERVICE PROVIDERS(FFSP)
RPOL	2004	PMR	27086	RELATED PARTY TRANSACTIONS - UPDATE
RPOL	2004	PMR	27087	DEBENTURE TRUSTEES - REQUIREMENTS
RPOL	2004	PMR	27113	REVIEW OF PS87 - CHARITIES
RPOL	2004	PMR	27152	NON CASH PAYMENTS - POLICY PROPOSAL PAPER
RPOL	2004	PMR	27639	IOSCO SURVEY ON THE COMPLIANCE FUNCTION 2004
RPOL	2004	PMR	27714	LIQUIDATOR REGISTRATION PPP OCT 2004- SUBMISSIONS
RPOL	2004	PMR	27720	CAMAC REPORT- REHABILITATING LARGE ENTERPRISES IN FINANCIAL DIFFICULTIES 2004
RPOL	2004	PMR	28362	IOSCO: SC3 VOLUME 6
RPOL	2004	PMR	28468	MARKETS PART 6
RPOL	2004	PMR	28481	MANAGED INVESTMENT SCHEMES - GENERAL PART 4
RPOL	2004	PMR	28490	SECURITISATION PART 2
RPOL	2004	PMR	28494	DOLLAR DISCLOSURE POLICY PART 2
RPOL	2004	PMR	28498	DEPOSIT TAKERS AND NON-CASH PAYMENT FACILITIES PART 4
RPOL	2004	PMR	28502	FSRA: FAQ'S PART 2
RPOL	2004	PMR	28522	MANAGED INVESTMENT SCHEMES- RELATED PARTY UNDERWRITING

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RPOL	2004	PMR	28917	EMPLOYEE SHARE SCHEMES
RPOL	2004	PMR	29296	DOLLAR DISCLOSURE POLICY STATEMENT
RPOL	2004	PMR	29419	INSOLVENCY PRACTITIONER REGULATION PROJECT VOLUME 5
RPOL	2004	PMR	29819	MARKET STABILISATION
RPOL	2004	PMR	29822	REVIEW OF ASIC POLICY ON S710 PROSPECTUS DISCLOSURE PART 2
RPOL	2004	PMR	29827	SECTION 712 AND SECTION 715A
RPOL	2004	PMR	30356	BUY-BACK POLICY ISSUES
RPOL	2004	PMR	30432	SHARE ALLOCATION POLICY - INTERNATIONAL MATERIALS
RPOL	2004	PMR	30433	SHARE ALLOCATION POLICY - ACADEMIC MATERIALS
RPOL	2004	PMR	30533	CLERP 9 - AUDITOR REGISTRATION PUBLIC PROPOSAL PAPER VOLUME 5
RPOL	2004	PMR	31011	CLERP 9: APPROVAL OF COMPETENCY STANDARDS
RPOL	2004	PMR	31184	INSOLVENCY: CREDITORS' TRUSTS AND PT 5.3A
RPOL	2004	PMR	31595	AUSTRALIAN MARKET OPERATORS - ANNUAL REPORTS
RPOL	2004	PMR	31607	FSRA IMPLEMENTATION - FX LICENSING FOR STOCK BROKERS
RPOL	2004	PMR	31612	CURRENT LAW REFORM PROPOSALS
RPOL	2004	PMR	31614	FINANCIAL SYSTEM GUARANTEE
RPOL	2004	PMR	31856	FSRA REFINEMENTS
RPOL	2004	PMR	31857	EXPERTS CONSENTS
RPOL	2004	PMR	31858	GENERIC ADVICE
RPOL	2004	PMR	31872	REAL ESTATE RELATED ADVICE PART 2
RPOL	2004	PMR	31875	FSR EMERGING ISSUES PART 6
RPOL	2004	PMR	31876	INSOLVENCY VOLUME 4
RPOL	2004	PMR	31907	FSR- SDIA - FX AUTHORISATION
RPOL	2004	PMR	31926	PRODUCT DISCLOSURE: FEES AND CHARGES PROJECT: PHASE 1 - PART 5
RPOL	2004	PMR	32143	SECURITIES INSTITUTE OF AUSTRALIA (SIA) PROSPECTIVE FINANCIAL INFORMATION AND TAKEOVER REFORMS.
RPOL	2004	PMR	32186	MARKET STABILISATION POLICY DEVELOPMENT

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RPOL	2004	PMR	32199	UPDATE OF POLICY STATEMENT 166: FINANCIAL REQUIREMENTS
RPOL	2004	PMR	32751	REAL ESTATE INVESTMENT ADVICE PART 3
RPOL	2004	PMR	33416	CORPORATE FINANCE - QUERIES
RPOL	2004	PMR	33609	OMNIBUS: FSG AND WARNINGS DISCLOSURE ISSUES
RPOL	2004	PMR	33657	FEE DISCLOSURE FOR INVESTMENT PRODUCTS (INCLUDING FEES TEMPLATE)
RPOL	2004	PMR	34032	FEE DISCLOSURE FOR INVESTMENT PRODUCTS (INCLUDING FEES TEMPLATE)
RPOL	2004	PMR	34033	ICA REVIEW
RPOL	2004	PMR	34035	SUBSTANTIAL SHAREHOLDING POLICY REVIEW: NCSC PS 110; SECTION 671B
RPOL	2004	PMR	34173	SECONDARY SERVICES
RPOL	2004	PMR	34174	SECONDARY SERVICES
RPOL	2004	PMR	34179	REVIEW OF POLICY STATEMENT 176: FOREIGN FINANCIAL SERVICE PROVIDERS(FFSP) PART 2
RPOL	2004	PMR	34179	REVIEW OF POLICY STATEMENT 176: FOREIGN FINANCIAL SERVICE PROVIDERS(FFSP) PART 2