



**ASIC**

Australian Securities & Investments Commission

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# SENATE ORDER NO. 12

## AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

*Indexed agency file lists created between 1 July 2016 and 31 December 2016*

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<http://www.asic.gov.au/>

## VIRTUAL FILES

File Name	File number
2016 10 14 - HEC Public Hearing	F20160000039579
2016-09-14 - AMP General Counsel 100 Conference - Presentation	F20160000030840
2016-09-20 - Open Financial Literacy Round Table - Seniors Project	F20160000033017
2016-09-27 - Brisbane - High Tea and Stakeholder Cocktail Function - speaking event	F20160000030841
2016-09-30 - AFA - Video Shoot for AFA Conference	F20160000036685
2016-10-06 - ABA invitation to Present at Financial Literacy Conference and attend VIP dinner	F20160000029315
2016-10-07 - CRC 20th Annual Conference - ### ##	F20160000035297
2016-10-18 - QuBE Symposium on Behaviour Economics on Financial Behaviour and Regulation - Brisbane	F20160000034102
2016-11-09 - ASFA Conference - 9 November 2016 - Gold Coast	F20160000032101
2016-11-25 - CFA AGM - speak at AGM	F20160000038115
2016-12-01 - Market update internal speaking event	F20160000048316
2016-12-08 - Speak at ASIC National Disability event	F20160000037971
2017-02-16 - SMSF Association National Conference 2017 - panel event and complimentary invitation	F20160000030133

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2017-02-21 - ACCC AER 2017 Senior Management Conference in Melbourne	F20160000042180
2017-03-08 - FSC Advisory Board - speaking and a meeting	F20160000049932
2017-03-16 - MoneyManagement Super Review Claims Management Breakfast Event	F20160000050485
2017-03-30 - FSC speaking event - ### ###	F20160000048578
2017-09-12 - NIBA Speaking Event - 12 September 2017	F20160000049176
SASC Committee Documents	F20160000038274
4004 Privacy training documents	F20160000037700
4007 ASIC IT, Information Management and Security policies	F20160000036497
4010 Procurement and Contract mgt policy and guidelines	F20160000036686
4011 Complaints policy and procedures	F20160000036191
Chairman and Commissioner Briefing Papers	F20160000031339
CP 000 Communicating audit findings to audit committees_201607	F20160000028128
RG 140 Strata schemes and management rights schemes_201611	F20160000040410
ISDA Regional Conference	F20160000047742

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Risk Australia Conference	F20160000033951
Salzburg Global Finance Conference	F20160000030432
Accounting and Auditor Learning Panel - Procurement- August 2016	F20160000033955
Submission to OAIC consultation paper- Big Data and Australian Privacy Principles	F20160000029133
RAP Strategic Committee	F20160000042500
WILES program 2017	F20160000031910
Consumer Credit eLearn - Program review - 20161212	F20160000050082
Corporations Leg Fundamentals - Program review - 20161212	F20160000050091
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EA Development Program - 2016	F20160000038440
Induction Program - Financial Advisers - 2016	F20160000030420
2017 Graduate Program	F20160000034222
Secondment Program Evaluation	F20160000047986
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Hitwise Statistics for Behavioural Finance and Capital Markets Conference	F20160000031323
ATHOC	F20160000034928
CFA Institute- ### ### - 20161004	F20160000038070
Financial Ombudsman Service	F20160000047840
20160111 - FSB Misconduct Survey	F20160000041201
IMAP Roadshow 18,19,23 August - 20160726	F20160000030425
ASIC and the aging population - Commission paper	F20160000048788
Employers in Super 2016-2017	F20160000038351
Industry Funding Model	F20160000028310
Insurance in super 2016	F20160000036583
Performance Reporting Project - 2016	F20160000037533
Regulatory Guide 133 - Post Implementation Review	F20160000037508
Retirement Paper ERC	F20160000035558

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CIPR Development	F20160000032283
Growth of passive investments - ERC submission	F20160000038587
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Sunsetting - application forms	F20160000028336
Sunsetting - Class Order 02-238 - Mortgage Investment Schemes - 2016	F20160000039549
Sunsetting - financial services disclosure	F20160000042103
Sunsetting - RG134 Updates - 2016	F20160000037630
Sunsetting - RG136 Updates - 2016	F20160000037677
Sunsetting - RG97 Updates - 2016	F20160000037631
Productivity Commission - Super Efficiency and Competition	F20160000042421
Productivity Commission - Superannuation Alternative Default Models	F20160000040575
NSW Bizlinks and engagement correspondence	F20160000031527

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DFSA-16-25972- VISIT-20170711	F20160000029620
INTERPOL -16-30407- ### ### #- 201608	F20160000033832
Ministerio de Justicia y Derechos Humanos -16-46982-### ### ### ### ### ### ### ### ### ###	F20160000050586
### - RESEARCH -16-30863 -201608	F20160000034294
ASIC - OSC Cooperation Agreement - ### - 201610	F20160000041698
IMET-CANADA-16-44266-ASIC CONTACTS-201612	F20160000048704
INTERPOL -16 26775 - ### ### #- 201607	F20160000033833
ORMB - Education of Mortgage Brokers - 201612	F20160000050617
OSC - 16-24996 - Witness Contact Notification - 201607	F20160000028761
OSC - 16-32115 - ### Corporation - 201609	F20160000035251
OSC - 16-33450 - International Offshore Financial Markets Regulators - 201909	F20160000036407
OSC - 16-35517 - Best Interest Standard - 201609	F20160000038014

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PSC - 16-42215 - VC Capital Market Fraud - 201611	F20160000049486
UniWinnipeg - 16-41251 - Financial Literacy visit - 201611	F20160000042442
AFM - 16 - 38193 - EDR Framework in Canada - 201610	F20160000040380
BCSC - 16-29662 - ### ### ### ### ### - 201608	F20160000033118
BCSC - 16-46205 - Licensing comparative analysis - 201612	F20160000050332
Interpol - 16-23952 - ### ### ### ### ### - 201606	F20160000028152
OSC - 16-43448 - Administrative Powers - 201611	F20160000048372
OSC - 16-46204 - Licensing comparative analysis - 201612	F20160000050333
OSC - 16-47133 - LIBOR Notification of ###and ### EUs - 201612	F20160000050740
OAG - 16-30595 - ### and ### ### - 201608	F20160000034296
FINMA - 16- ### ### ### ### ### - 201608	F20160000032911
FINMA -16-31371-### ### ### -201608	F20160000035687
SVS - 16-35917 - Powers and Structures of Regulators - 201610	F20160000038365



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CSRC - 16-25059 - ### ### Pty Ltd - 201607	F20160000029083
China - Company Search Information - 201609	F20160000034867
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CySEC - 16-xxxx - ### ### ### ### - 201607	F20160000029717
CySEC - 16-28528 - ### ### ### ### ### ### - 201608	F20160000032100
CySEC - 16-43631 - ### ### ### ### - 201611	F20160000048246
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BAFIN - ### ### ### ### ### - 201608	F20160000032757
BAfin-16-38475- ### ### ### - 201601	F20160000046934
Requests In	F20160000050490
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ESMA - 16-38741 - Distressed Issuer Disclosure - 201610	F2016000040476
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AMF - 17287 -16 - ### ### ### - 20160513	F2016000030948
AMF - 16-41387 - Cost Recovery for Investigations - 201611	F2016000042404
FCA - 16-24963 - ### ### ### ### ### Pty Ltd - 201607	F2016000029206
FCA -16-25531 - Data Analytics - 201607	F2016000029662
FCA - 16-32104 - ### ### ### ### - 201609	F2016000036655
FCA - 16-34175 - ### ### ### ### ### ### - 201609	F2016000037002
FCA - 16-34276 - ### ### ### ### - 201609	F2016000037020
FCA - 16-35490 - ### ### Pty Ltd - 201610	F2016000038013
FCA - 16-44461 - ### ### Pty Ltd - 201611	F2016000049149
FCA -16-37891- ### #- 201610	F2016000039867

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FCA-16-38873- ### ## # # # # # # # -201610	F20160000040859
FCA-16-41828-RESEARCH-201611	F20160000047007
FOS - 16-31857 - ### ## # - 20161013	F20160000039303
Co House - 16-24455 - ### ## # Ltd - 201607	F20160000028177
FCA - 15-42721 - ### ## # # # # # # # # - 201511	F20160000028266
FCA - 20103-16 - ### ## # - 201605	F20160000027763
FCA - ### ## # # # # # # # - 201606	F20160000028355
FCA - 16-24740 - ### ## # # # # # # # # # # # # # # et al - 201607	F20160000028450
FCA - ### ## # - 201608	F20160000032462
FCA - 16-30395 - IPO historical financial disclosure - 201608	F20160000034672
FCA - 16-31056 - ### ## # # # MOU Referral - 201806	F20160000034231
FCA - 16-31271 - ### ## # Limited - 201608	F20160000035320
FCA - 16-33551 - Foreign Bribery Meeting in UK - 201608	F20160000036428
FCA - 16-34863 - Mortgage Broker Market - 201609	F20160000038664

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FCA - 16-37453 - ### Limited - 201610	F20160000039528
FCA - 16-38199 - EDR Framework in United Kingdom - 201010	F20160000040387
FCA - 16-38744 - Distressed Issuers Disclosure - 201610	F20160000040956
FCA - 16-43066 - Administrative Powers - 201611	F20160000048346
FCA - 16-43200 - ASIC Report 486 Sell-side Research and Corporate Advisory - 201610	F20160000047944
FCA - 16-43627 - ### Pty Ltd - 201611	F20160000048304
FCA - 16-46199 - Licensing comparative analysis - 201612	F20160000050331
FCA - 16-47167 - LIBOR Notification of ### and ### EUs - 201612	F20160000050752
SFO and FCA - 16-34568 - CIU VC re intelligence methods - 201610	F20160000039342
UK - 16 - 25181 - ### ### - 20160713	F20160000029019
GFSC - 16-30700 - ### - 201608	F20160000033989
HKEx-16-33873- ### Pty Ltd - 201609	F20160000039107
HKEX-16-44176- ### PTY LTD	F20160000048565

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HKMA - 16-35540 - ### ### - 201609	F20160000038947
HKMA - 30196-16 - ### ### ### - 201608	F20160000033810
HKMA - 31220 -16 - ### ###	F20160000034293
SFC - 16 - 26926 - RESEARCH - 201607	F20160000030591
SFC - 16-23553 - ### ### ### ### - 201607	F20160000028720
SFC - 16-24736 - Enforcement Procedures and Policies - 201607	F20160000028445
SFC - 16 - 25018 - ### ### PTY LTD - 20160712	F20160000028752
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SFC - 16-xxxxx - ### ### ### - 201607	F20160000030027
SFC - 16-27907 - ### ###- 201608	F20160000031492
SFC - 16-33570 - Probity - ### ### ### - 201609	F20160000036513
SFC - 16-35538 - ### ### ###	F20160000038753
SFC - 16-35669 - Trading Policy for Staff - 201610	F20160000038106

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SFC - 28937-16 - PROBITY - ### ### - 201608	F20160000032459
SFC - 30124-16 - ### Ltd - 20160823	F20160000033498
SFC -16 -25638 - ### ### ### ### LIMITED - 20160715	F20160000029347
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SFC-16-40713- ### ### #-201611	F20160000041837
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HKCR -16 - 29108 - ### ### ### LTD - 201608	F20160000032545
HKCR -16 - 29110 -16 - ### ### ### - 201608	F20160000032546
HKCR-16-44436- ### ### #-201612	F20160000048752
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SFC - 20108-16 - Project Ziggy - 201605	F20160000027764
SFC - 16-27621 - ### ### ##and ### ### ### - 201607	F20160000031260
SFC - 16-29109 - ### ### #- 201608	F20160000035643
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SFC - 16-43449 - Administrative Powers - 201611	F20160000048450
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FSA - 16-35542 - ### and ### - 201609	F20160000039112
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AGD - 13-53597 - Interpol Red Notice for ### ###- 201312	F20160000035686



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IOSCO - 16-27341 - Market Surveillance Report Survey Data from 2009 - 201607	F20160000030897
CBI - 16-31295 - ### ### Pty Ltd and ### ### - 201608	F20160000034350
CBI - 16-32311 - ### ### ### ### Pty Ltd - 201609	F20160000036203
CBI - 16-34564 - ### Limited et al - 201609	F20160000037263
CBI - 16-45704 - ### ### - 201612	F20160000049710
Interpol - 16-28531 - ### ### and ### ### ### Ltd - 201608	F20160000032643
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FSC - 30108-16 - ### ### - 20160823	F20160000033497
FSA - 16-3013 - ### ### ### ### Pty Ltd - 201607	F20160000027579
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FSS - 16-39556 - Visit - Dispute Resolution - 201610	F20160000041471
FSC - 16- ### ### ### ### - 201608	F20160000032797
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MSC - 16-27343 - Prospectus Regime - 201607	F20160000030965
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16-26535 - ### Pty Ltd - 201607	F20160000030240
MSC - 16-24739 - ### - 201607	F20160000028488
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### - 29812-16 - Research - 201608	F20160000033300
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FMA - 16-29962 - Annual Returns for MIS - 201608	F2016000034608
FMA - 16-30758 - Probity - USIG - 201608	F2016000033998
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ComCom - 16-43523 - Administrative Powers - 201611	F20160000048455

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FMA - 16-24572 - ### (OPI) matter - 201607	F20160000028320
FMA - 16-24734 - ###(#####) - 201607	F20160000028440
FMA - 16-27342 - Fees and Levy Structure - 201607	F20160000030963
FMA - ### ### ### ### ### - 201608	F20160000032767
FMA - 16-35075 - Global FX Code - 201609	F20160000037634
FMA - 16-38200 - EDR Framework in NZ - 201610	F20160000040385
FMA - 16-43453 - Administrative Powers - 201611	F20160000048451
FMA - 16-46201 - Licensing comparative analysis - 201612	F20160000050015
FMA - 16-47160 - LIBOR Notification of ### and ### EUs - 201612	F20160000050741
FMA - 30689-16 - ### ### Ltd - 201608	F20160000033923
FMA-16-31889-### ### LIMITED-201609	F20160000035892
NZCC - 16-34869 - Mortgage Broker Market - 201609	F20160000040474
NZX - ### ### ### Limited - 201609	F20160000037209

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SEC - 16-32017 - ### ### ### Pty Ltd - 201609	F20160000035039
Registro Publico De Panama -16-46681- ### ### ###-201612	F20160000050603
SMV - ### ### ### ### ### - 201608	F20160000032785
FIU - 16-43306 - ### ### - 201611	F20160000048022
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CMA - 16-47327 - Survey on Disclosing Capital Market Sanctions - 201612	F20160000050838
AGC - 16-44318 - White Collar Crime Prosecutions - 201611	F20160000048665

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MAS - 16-31240 - ### ## ## ## Pty Ltd - 201608	F20160000034295
MAS - 16-36114 - ### ## ## visit to ASIC - 201610	F20160000038728
MAS - 16-37460 - ### ## ## ## - 201610	F20160000039534



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MAS - 16-42199 - ### ### ### - 201611	F20160000049150
MAS - 16-46868 - ### ### Pty Ltd - 201612	F20160000050458
MAS-16-36382- tele conference with licensing - 201610	F20160000039320
MAS-16-41328- ### ### ###-201611	F20160000042362
MAS-16-41422-RESEARCH-201611	F20160000048433
SPF - 16-26567 - ### ### ### Pty Ltd and ###- 201607	F20160000030189
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File Name	File number
MAS - ### ## - 201608	F20160000032465
MAS - 16-37391 - Facilitate ACCC - MAS Investigation Discussion - 201610	F20160000039458
MAS - 16-38198 - EDR Framework in Singapore - 201610	F20160000040374
MAS - 16-43450 - Administrative Powers - 201611	F20160000048449
MAS - 16-46198 - Licensing comparative analysis - 201612	F20160000050326
MAS - 16-47158 - LIBOR Notification of ### ## ## EUs - 201612	F20160000050736
Requests In	F20160000042365
Requests In	F20160000033326
Sweden FI - 29900-16 - Probity - ### ## - 201608	F20160000033327
FI - 16- - ### ## ## ## ## - ## - 201609	F20160000035567
Interpol - 16-28340 - ### ## - 201608	F20160000031921
Requests Out	F20160000033438
IBRSeychelles - 16 - 28759 - ### ## ## ## - 201608	F20160000032325
Contacts	F20160000047935

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File Name	File number
TPO - 16-23638 - IT Audit - 201606	F20160000028321
BBureau - 16-40482 - ### ### ### - 201610	F20160000041703
BOU - 16-38469 - Financial Literacy - Delegation - 201610	F20160000041400
AFP - 16-35261 - ### ### ### ### ### - 201609	F20160000038741
CFTC - 16 - ### ### ### ### ### - 201608	F20160000034232
CFTC - 16-27821 - FX Benchmarks Protocol Calls - 201608	F20160000032305
CFTC - 16-32230 - ### - 201609	F20160000035861
CFTC - 16-32239 - ### ### ### ### ### ### - 201609	F20160000035568
FBI - 16-32811 - Meeting with FBI Criminal ALAT in Australia - 201608	F20160000035850
FBI - 16- - ### ### ### ### - 201609	F20160000037570
FBI - 16- - ### ### ### ### - 201609	F20160000037568
FINRA - 16-33943 - US Trading Commission - 201610	F20160000038759
FINRA - 16-37379 - EDRs Financial Ombudsman Service - 201610	F20160000039451
FINRA - 16-37388 - Exemption for Premium Funders - 201610	F20160000039455

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File Name	File number
FINRA - 16-42414 - ### ### Pty Ltd - 201611	F20160000047393
NFA - 16-35536 - ### ### Pty Ltd - 20161004	F20160000038105
NFA -16 - 29818 - ### ### ### PTY LYD	F20160000033299
SEC - 16-26691 - ### ### ### ### ### ### ### - ANZ - 201607	F20160000030269
SEC - 16-33894 - ### ### Limited - 201609	F20160000036833
SEC - 16-38328 - ### ### ### ### ### ### ### Ltd - 201610	F20160000040139
SEC - 16-39315 - ### ### ### ### - 201610	F20160000040795
SEC - 16-39559 - ### ### ### - 201610	F20160000041581
SEC - 16-40463 - Criminal Prosecutions - 201610	F20160000041691
SEC - 16-41447 - ### Contact Name - 201611	F20160000042441
SEC - 28974-16 - ### ### ### - 201608	F20160000032463
SEC -16-47574 - ### ### ### ### ### ### ### - 2016110	F20160000050947
CFTC - 15-29054 - Australian Securities Exchange Pty Ltd - 201508	F20160000048895
CFTC - 16-24309 - Managed FX interviews - 201607	F20160000027988

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File Name	File number
CFTC - 16-29668 - Rule 575.A - XR Trading - 201608	F20160000033116
CFTC - 16-28530 - ### ### ### ### ### ### Ltd - 201608	F20160000032239
CFTC - 16-43425 - Administrative Powers - 201611	F20160000048362
CFTC - 16-47159 - LIBOR Notification of ### and ### EUs - 201612	F20160000050751
Delaware DOS - 16-24575 - ### ### ### - 201607	F20160000028322
FINRA - 16-34158 - Meetings with FINRA - 201608	F20160000036948
FTC - 16-30380 - ### ### ### ### ### - 201608	F20160000033703
Interpol - 16-28340 - ### ### - 201608	F20160000031920
SEC - 16-25048 - ### ### ### ### ### ### Pty Ltd	F20160000029399
SEC - 16-26219 - ### ### ### ### ### - 20160722	F20160000030026
SEC - 16-28075 - Foreign Bribery - 201608	F20160000031612
SEC - 16-30757 - IPO historical financial disclosure - 201608	F20160000035291
SEC - 16-34365 - CIU VC re intelligence methods - 201610	F20160000039341
SEC - 16-35579 - ### ### - 201609	F20160000038726

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File Name	File number
SEC - 16-35580 - ### ## - 201610	F2016000039475
SEC - 16-37455 - ### ## - 201610	F2016000039532
SEC - 16-41880 - Technology Assisted Review (TAR) - 201611	F2016000047042
SEC - 16-42589 - ### ##- 201611	F2016000047493
SEC - 16-43068 - Administrative Powers - 201611	F2016000048354
SEC - 16-46203 - Licensing comparative analysis - 201612	F2016000050334
BVIFSC-16-35592- ### ## -201610	F2016000041830
Requests Out	F2016000050610
FSB - 16 - ### ## ## - 201608	F2016000032796
FSB - 16-43630 - ### ## Pty Ltd - 201611	F2016000048306
Templates - IOSCO MMOU - 201609	F2016000035037
Admissibility of Foreign Evidence - 201611	F2016000047435
AGD - FEA Law Reform - Comments - 201610	F2016000040236
AGD PIL - UAE Witness Query - 201607	F2016000029271

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File Name	File number
International Secondments to ASIC - 201611	F20160000047994
ACIC - Aust Crim Intel Com - Financial Crime Risk Assessment 2016 - 201609	F20160000037127
ASIC - Comments Effective Cooperation - Various - 201608	F20160000031565
IAIS - Self Assessment and Peer Review Survey - ICPs 3 and 25 - 201608	F20160000032355
Interpol - Comments - General Assembly and Other Meetings - 201609	F20160000037596
IOSCO - C4 Taking of Witness Statements - 201611	F20160000047183
IOSCO - Enhanced MMOU - 201610	F20160000040332
JFSA - Informal Quadrilateral Meeting - ACFIT Powers Survey - 201611	F20160000047177
OECD - Foreign Bribery Assessment - 201610	F20160000038910
Treasury - Enforcement Review Taskforce - ASIC Powers - 201611	F20160000047178
Dept. of Immigration & Border Protection	F20160000035937
Law Reform	F20160000046929
02.4 October Estimates 2016	F20160000032179
02.5 PJC November 2016	F20160000042105

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File Name	File number
09. Commission requests	F20160000030638
09.1 Ministerial briefing requests - #####	F20160000035330
09.1 Ministerial briefings requests - Small Business	F20160000048768
10. Complaints about ASIC	F20160000031634
12. Whistleblower policy work - MBR	F20160000035515
13. VicPol Information Releases	F20160000036227
14. Subpoenas	F20160000041083
Phoenix and ARAs	F20160000048006
SFCT 2016 NPP for enhanced operational funding	F20160000031331
Takeovers Panel-Break Fee Triggers-Oct 2016	F20160000039959
Takeovers Panel-GN 4-Remedies-Oct2016	F20160000039972
Takeovers Panel-GN12-FrustratingAction-Oct2016	F20160000039973
Treasury ESS Consultation	F20160000047999
Treasury-Beneficial Ownership	F20160000040671



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File Name	File number
Info Sheet 214	F20160000048071
Investors in IPOs	F20160000030732
JUMBO	F20160000045152
VALMIN Code	F20160000045091
Project Management	F20160000032315
##### LIMITED - 007 604 631	F20160000038563
Australian Shareholders Association - 2016-2017	F20160000046811
Project Management	F20160000050112
CPMI - IOSCO	F20160000028848
CPMI - IOSCO WGDI Emails	F20160000037611
CPMI - IOSCO WGDI Reports	F20160000037610
IOSCO Committee 2	F20160000039074
2016 Oct - Kuala Lumpur C2 meeting	F20160000038079
Corporate Bond survey 2016	F20160000038191

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File Name	File number
IFIAR Survey 2016	F20160000029734
MMOU Lithuania	F20160000027945
Luxembourg - MOU	F20160000030180
UK FRC	F20160000048910
International	F20160000029392
Insolvency Law Reform Act 2016	F20160000040597
International Regulation	F20160000047468
Aust Institute of Company Directors (AICD)	F20160000033848
Parliamentary Joint Committee	F20160000049345
Client money reforms	F20160000033559
Short selling bundle - ETF Market Making and Short Position Reporting CP and CO	F20160000039412
Sunsetting Class Orders - Client Monies and Assets	F20160000040330
Sunsetting CO 03-578 FSG exemption for market making	F20160000039309
Sunsetting CP 1 - August 2015	F20160000032790

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File Name	File number
2015-16 Quarter 4 - End of Year Review	F20160000027938
2016-17 Quarter 2 Progress Review	F20160000049963
20161014 - House Economics Committee Briefings	F20160000036724
20161125 - PJC Briefings	F20160000042394
201610 - Budget Estimates	F20160000041803
20161107 - House of Representatives	F20160000042055
Border Alert Requests	F20160000029606
AUSTRAC user reports	F20160000027870
AGL	F20160000030117
Australian Maritime Safety Authority	F20160000030116
Energy Australia	F20160000030119
Ergon	F20160000030118
NT Power and Water Corps	F20160000049430
Origin Energy	F20160000030880

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File Name	File number
Sydney Water	F20160000030349
Synergy	F20160000028612
NSW RMS - quarterly compliance	F20160000038814
Administration of PACE and AFP correspondence	F20160000028182
Adelaide Pilot	F20160000028849
Adelaide Pilot - ABS relationship	F20160000032879
Brisbane	F20160000034341
Coordinated Procurement for Property and Facilities Management	F20160000038426
Sub-leasing - AUSTRAC	F20160000047039
Sub-leasing - Treasury	F20160000032725
AUSTRAC	F20160000047459
Treasury	F20160000034344
Records advice for policies	F20160000049112
NPP Funding FY2017	F20160000042493

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File Name	File number
2a. 2017-2018 ASIC ADMIN MYEFO	F20160000038509
2b. 2017-2018 ASIC DEPT MYEFO	F20160000038510
3a. 2016-2017 ADMIN Monthly Profiles - MYEFO	F20160000050330
3b. 2016-2017 DEPT MYEFO Monthly Profiling	F20160000050328
4. 2016-2017 PAES	F20160000049925
2017-2018 NPP bids	F20160000040420
Documents requested by ANAO for 30 June 2016	F20160000028850
GL reconciliations - June	F20160000028851
August Audit Committee papers	F20160000031610
Commission meeting	F20160000032931
ESA 2016 Documents	F20160000031819
ESA documentation	F20160000031820
June Audit Committee Papers	F20160000030273
Makegood Reveiw June 2016	F20160000028011

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File Name	File number
Annual Report	F20160000030274
2016 - 2017	F20160000028733
CFO Report	F20160000030020
Monthly Management Report Distribution FY2017	F20160000035224
Budget and Forecast Distribution FY2017	F20160000032939
Monthly Management Report Distribution FY2016	F20160000030903
Monthly Management Report Distribution FY2017	F20160000032226
Reserve Bank of Australia	F20160000048932
Projects	F20160000031376
Commission Strategic Offsite 2017	F20160000050699
Commissioners Strategic Offsite 2016	F20160000030485
Membership of the European Australian Business Council (EABC) 2017	F20160000050688
2017 Corporations Legislation	F20160000047299
Transformational Change Leadership Program	F20160000035453

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File Name	File number
3415 Legal - HN Law - Corporations Legislation Fundamentals - 2017	F20160000040066
3416 Legal - HN Law - Chapter 7 Corporatons Act - 2017	F20160000040079
Full year Compliance Report	F20160000030192
2017 Summary	F20160000041685
2016 Federal budget submissions	F20160000047120
2016 Superannuation Reform legislation	F20160000047132
DoF Actuarial Panel	F20160000033256
Financial Year 2015 - 2016	F20160000030644
Financial Year 2016 - 2017	F20160000030629
Estimates - Corps Law	F20160000039331
Corps Law Reports 16.17	F20160000032212
01 September 2016 - NSW ASIC CPDD Liaison Meeting	F20160000031967
13 October 2016 - NSW ASIC CDPP Liaison Meeting	F20160000037319
16 November 2016 - VIC CDPP-ASIC Liaison meeting	F20160000041817

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File Name	File number
17 August 2016 - VIC CDPP - ASIC Liaison meeting	F20160000031768
18 October 2016 - QLD CDDP-ASIC Liaison Meeting	F20160000037743
19 July 2016 QLD ASIC CDPP Liaison Meeting	F20160000028329
19 October 2016 - VIC CDPP-ASIC Liaison Meeting	F20160000038598
20 July 2016 - NSW ASIC CDPP Liaison Meeting	F20160000028185
20 July 2016 - VIC CDPP-ASIC Liaison Meeting	F20160000028759
21 December 2016 - VIC CDPP-ASIC Liaison Meeting (report only, NO meeting)	F20160000047395
21 September 2016 - VIC CDPP-ASIC Liaison Meeting	F20160000035627
24 November 2016 - NSW ASIC CDPP Liaison Meeting	F20160000040755
30 August 2016 - ASIC CDPP QLD Liaison Meeting	F20160000032904
6 December 2016 - ASIC CDPP QLD Liaison Meeting	F20160000041114
Policy	F20160000040833
LL Lite - Policies and Procedures	F20160000031968
Policy	F20160000042462



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File Name	File number
Policies & Procedures	F20160000033273
254 - NZ auditor replacement refusal letters	F20160000031440
Government	F20160000030550
Registry	F20160000028511
Intermediaries	F20160000041650
285 - Takeovers Panel	F20160000039514
299 - Communication to government bodies re concessional access	F20160000047409
300 - ##### Corporation Pty Ltd	F20160000037145
307 - Guidance on data provision	F20160000038358
318 - ##### Pty Ltd, ##### Pty Ltd	F20160000039300
331 - Compulsory information Request - Centrelink DHS	F20160000039885
359 - SA disposal of BN records	F20160000048081
376 - request to disclose data - NSW Fair Trading	F20160000050787
Corporate Registers Forum	F20160000041588

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File Name	File number
006 - Storing evidence - appt of legal rep - s39 BNR Act	F20160000042021
369 - Corporations Act requirement for paper lodgement - FS70 and FS71	F20160000050097
377 - acting SES and delegation	F20160000050891
330 - Significant global entities reporting	F20160000040971
Insolvency Law Reform	F20160000050874
BAC Nov 2016 papers	F20160000036076
BAC Nov 2016 Travel details	F20160000038645
Global Forum	F20160000047068
NZCO ASIC Annual liaison 2016	F20160000029439
Insolvency Reform Project Form Updates 2016	F20160000036905
October 2016 BAC Paper Infographics	F20160000038065
Government Agency Data Requests	F20160000037681
Australian National Audit office	F20160000036346
Office of State Revenue NT	F20160000038848

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File Name	File number
Office of State Revenue QLD	F20160000028443
Office of State Revenue Tasmania	F20160000028855
Territory Revenue Office	F20160000047892
NSW OFT - Business Licensing - BLA	F20160000030891
QLD Crime and Corruption Commission - BRO	F20160000036347
WA Police State Intelligence Division - WPB	F20160000027994
City of Gold Coast	F20160000040061
NSW Dept of Education	F20160000039982
NSW Fair Trading	F20160000031970
Media Applications - Concessional Access	F20160000037332
MASCOT	F20160000028014
Royal Commission into the Building Industry	F20160000028512
2015 - 2016	F20160000028452
Commission Reporting	F20160000049917

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File Name	File number
Phase 2: Expression of Interest (EOI)	F20160000034422
Data Governance Council	F20160000047520
Meeting 02 - 20170209	F20160000048626
Meeting 1 20161129 - Data Governance Council	F20160000047522
External Relationships	F20160000047008
AUSTRAC	F20160000048204
International Relations	F20160000048054
Policies & Procedures	F20160000041046
Public Sector Executive Assistant Summitt Canberra - August 2016	F20160000039611
Consumer Regulator Forum	F20160000030757
Qld Office of Fair Trading	F20160000039752
Qld Office Updates	F20160000028986
Qld Regional Commissioner Reports to Commission	F20160000041797
Business Plans	F20160000041843

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File Name	File number
Reporting	F20160000042211
Committees, Boards and Projects	F20160000037698
External stakeholder Christmas messaging	F20160000049929
Stakeholder liaison reporting	F20160000027571
Lowy Institute	F20160000029867
Financial Benchmark Reforms	F20160000031786
Floor Switch Upgrade	F20160000033099
Indigenous Outreach Program	F20160000031567
IOSCO Conference 2019	F20160000030176
Insolvency Reform	F20160000039790
IVR Update Project	F20160000050811
Registry Transformation	F20160000047115
Registry Separation	F20160000029326
Significant Global Entities Financial Statements	F20160000050289

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File Name	File number
Indigenous Apprenticeship Programme (IAP) 2016-2017	F20160000040496
Indigenous Aust Govt Development Programme (IAGDP) 2016-2017	F20160000040116
Briefings - 201611 - Parliamentary Joint Committee	F20160000041021
Financial Advisers Consultative Committee	F20160000034684
Multi-agency Liaison Meetings (External)	F20160000030358
ASIC and CDPP Liaison Meetings	F20160000047239
PJC Briefings 2016 - WA	F20160000031355
Senate Estimates - November Briefings 2016 - ME	F20160000041550
Senate Estimates - October Briefings 2016 - ME	F20160000041511
Senate Estimates - PJC Briefings November 2016 - FSE	F20160000041385
Senate Estimates - PJC Briefings October 2016 - FSE	F20160000035696
Relationship - ATO	F20160000031379
Relationship - AUSTRAC	F20160000031378
Relationship - Dept of Commerce WA	F20160000031380

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File Name	File number
Relationship - State Consumer_Fair trading	F20160000031381
Annual Reg Report - Market and CS facilities	F20160000034643
Assessments - Market and CS facilities	F20160000035231
ASX Self Listing	F20160000032481
Director-Exec and Voting Power - Market and CS facilities	F20160000031541
Licence Applications - Market and CS facilities	F20160000036235
Licence Variations - Market and CS facilities	F20160000033433
Operating Rule Changes - Market and CS facilities	F20160000032010
Operating Rule Changes - Market Compensation Rules	F20160000034549
Treasury 2016	F20160000046971
APRC (IOSCO) - October 2016 - Singapore	F20160000038024
ASIC Portfolio Budget Statements	F20160000048047
Commission Papers	F20160000050106
Letters	F20160000050161

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File Name	File number
NPP Funding	F20160000050124
Question on Notice (QoN)	F20160000042353
Reference Material	F20160000029835
Account Validation - Non Production Environments	F20160000040337
Customer Relationship Management - External	F20160000032351
Incident and Problem Management	F20160000035282
SCEC Meetings	F20160000034323
ARPANSA - 2016	F20160000030317
2016 Australian Government Property Data Collection	F20160000033006
Annual Report - Registry 2015-16	F20160000028603
BUDGET 16-17	F20160000033152