



**ASIC**

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Australian Securities &  
Investments Commission

15-Mar-10

Tania Hughes  
The Treasury  
Parkes Place  
PARKES ACT 2600

Dear Tania,

Please find enclosed four hard copies of indexed lists of departmental files as requested for senate order for the period 1<sup>st</sup> July to 31<sup>st</sup> December 2009.

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



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## **SENATE LIST ORDER NO 6**

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

*Indexed File Lists Created between 1<sup>st</sup> July and 31<sup>st</sup> December 2009*

**Dates:** 1<sup>ST</sup> July – 31<sup>st</sup> December 2009

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

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

PMR 2009/018018	COMPARATIVE LISTING & OPERATING RULES PROJECT
PMR 2009/018537	HOW SHOULD SUPERANNUATION TRUSTEE NOTIFY ASIC OF CHANGE OF SUPERANNUATION PLAN NAME?
PMR 2009/019169	RETAIL DEBT OFFERING PROJECT
PMR 2009/019947	INSURANCE REQUIREMENTS FOR REGISTERED LIQUIDATORS PART 6 24 -06-2008 - 21-05-2009
PMR 2009/020480	APPROVAL OF NOMINEES FOR FOREIGN HOLDERS UNDER S615
PMR 2009/020654	GOOD ADVERTISING GUIDE
PMR 2009/021755	FACILITATING ONLINE DISCLOSURE OF FINANCIAL SERVICES
PMR 2009/021903	OPTIONS FOR IMPLEMENTATION OF A HEDGE FUND INDUSTRY CODE
PMR 2009/022097	ACCESS TO DEBTOR'S SUPERANNUATION TO MEET PERSONAL DEBT
PMR 2009/022410	MARGIN LENDING - FINANCIAL REQUIREMENTS
PMR 2009/023244	STRATEGIC POLICY SEEKING ADVICE ON S1013L IN INSURANCE CONTEXT
PMR 2009/023967	POLICY-MEANING OF FAIR ORDERLY AND TRANSPARENT
PMR 2009/023968	POLICY- MEANING OF FAIR, ORDERLY AND TRANSPARENT CORRESPONDENCE AND GENERAL
PMR 2009/023971	POLICY- MEANING OF FAIR, ORDERLY AND TRANSPARENT MATERIALS
PMR 2009/024830	STRATEGIC POLICY: CRIMINAL CODE JOINT OFFENCE CONSEQUENTIAL AMENDMENTS
PMR 2009/024832	STRATEGIC POLICY: CIVIL PENALTIES REVIEW PART 2
PMR 2009/024836	STRATEGIC POLICY: LPP - INDEPENDENT REVIEW
PMR 2009/027849	CORPORATIONS 2009-2010 PROJECT - UNDERSTANDING HOW SHAREHOLDER VOTING WORKS PART 3
PMR 2009/027850	CORPORATIONS 2009-2010 PROJECT - UNDERSTANDING HOW SHAREHOLDER VOTING WORKS PART 4
PMR 2009/027949	CARBON TRADING & PROSPECTUS DISCLOSURE
PMR 2009/028613	TRUSTEE COMPANIES - LEGISLATION: TRANSFER TO CORPORATIONS ACT 2001 AND INTER-GROUP TRANSFERS OF BUSINESS
PMR 2009/028680	TRANSFER / COMPETITION FRAMEWORK
PMR 2009/028718	RELATED PARTY TRANSACTIONS
PMR 2009/028719	UNLISTED UNRATED DEBENTURES 2009 REPORT AND CONSULTATION PAPER
PMR 2009/028720	WHO OWNS LISTED ENTITIES
PMR 2009/032092	PROJECT - REGULATORY GUIDE 74 UPDATE

PMR 2009/032576	REVIEW OF GOVERNMENT DEPOSIT GUARANTEE DISCLOSURE
PMR 2009/032578	REVIEW OF INSTALMENT BILLED INSURANCE PREMIUMS
PMR 2009/033984	IMPROVING QUALITY OF ADVICE PROJECT (GENERAL) PART 2
PMR 2009/033987	IMPROVING QUALITY OF ADVICE PROJECT (GENERAL) PART 3
PMR 2009/033988	IMPROVING QUALITY OF ADVICE PROJECT (GENERAL) PART 4
PMR 2009/034223	ACCOUNT SWITCHING REVIEW
PMR 2009/034681	STRATEGIC POLICY - UPDATE TO RG175
PMR 2009/034818	CLEARING AND SETTLEMENT FACILITY REGULATION GUIDELINES
PMR 2009/034826	CLEARING AND SETTLEMENT FACILITY REGULATION GUIDELINES PART 2
PMR 2009/035158	STRATEGIC POLICY - UPDATE RG126 2009
PMR 2009/035472	ASIC CLASS ORDER 09/425 - EQUAL TREATMENT AND MANAGED INVESTMENT SCHEMES /STAPLED ENTITIES