

## **SENATE LIST ORDER NO 10**

## AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Indexed File Lists Created between 1<sup>st</sup> July and 31<sup>st</sup> December 2011

Dates:	1 <sup>ST</sup> July – 31 <sup>st</sup> December 2011	
Contact:	Michael Carter Michael.Carter@asic.gov	
Website Details:	Use link below	

File Number	Title
PMR 2011/017105	Litigation funders - speech to Law Council
PMR 2011/017275	TCA-DCI liaison meetings
PMR 2011/017201	Privilege in relation to tax advice
PMR 2011/017344	Carbon tax impact - disclosure by companies
PMR 2011/017537	Citation of Australian licence number
PMR 2011/018340	Competition for market services volume 14
PMR 2011/018382	Credit removal agencies issues and research
PMR 2011/018832	Corporate reporting users forum - CRUF
PMR 2011/019491	Hedge funds : valuation project 2011
PMR 2011/020134	Interdealer broker regulatory forum 2011
PMR 2011/020221	RG 71 - Downstream acquisitions: update
PMR 2011/018838	Master file for MIR 2.3.5 - re annual continuing education and compliance self assessment - notification
PMR 2011/021114	Super forecasts RG
PMR 2011/021127	Competition for market services volume 15
PMR 2011/021115	Mortgage exit fees regulatory guide development folder no. 2
PMR 2011/016475	Aggressive mortgage scheme project
PMR 2011/021984	Papers about executive remuneration; director's duties; continuous disclosure
PMR 2011/021985	Personal property securities; charges and taking security
PMR 2011/022048	Mortgage finance broking regulation
PMR 2011/022134	Insurance research file
PMR 2011/022509	CPSS - IOSCO working group on RCCPS, RSSS and CPSIPS
PMR 2011/022552	CPSS IOSCO working group on FMI working papers file 2 24.05.10
PMR 2011/022236	FOFA - professional and ethical standards
PMR 2011/022875	IOSCO standing committee file SCI EMO
PMR 2011/022877	IOSCO SCG standing committee on credit rating agencies working papers file

PMR 2011/022986	Mutual recognition working papers file 1 New Zealand
PMR 2011/022987	Mutual recognition working papers file 2 EU
PMR 2011/022991	Mutual recognition working papers file 3 policy development file
PMR 2011/022993	Managed investment schemes
PMR 2011/023005	North America working papers us extraterritorially & transnational fraud US FINRA; US PCAOB; Canada; Mexico
PMR 2011/023010	Asian region funds passport Kuala Lumpur meeting 27 October 2010
PMR 2011/023013	IOSCO standing committee 6 (credit rating agencies) 4 - 5 march 2010
PMR 2011/023242	IOSCO general working papers
PMR 2011/023115	Mutual recognition - working papers US & Canada
PMR 2011/022522	IOSCO ITF - working papers file 4 CIS's hedge funds 09.2011 - 11.03.11
PMR 2011/022525	IOSCO ITF - working papers file 6 lead up to post Montreal meeting
PMR 2011/022529	IOSCO ITF - working papers file 8 issuers, auditors, CRA's and ISP's
PMR 2011/022653	AIMA hedge fund conference
PMR 2011/023415	Rural financial counselling 2011
PMR 2011/023416	Money management services 2011
PMR 2011/023441	Competition - XXXXX part 2
PMR 2011/023604	Competition for market services volume 16
PMR 2011/016884	Vendor terms/rent to buy- general
PMR 2011/024462	Submission - Queensland flood commission of inquiry
PMR 2011/020871	CAMAC managed investment schemes discussion paper
PMR 2011/025028	PM & C cyber white paper 2012
PMR 2011/025820	IOSCO standing committee 6: part 3
PMR 2011/026421	IOSCO standing committee 2 part 11
PMR 2011/026434	Competition cost recovery part 4
PMR 2011/026428	IOSCO - futures commodities task force
PMR 2011/030364	Hedge funds : disclosure
PMR 2011/030365	IOSCO taskforce on unregulated financial entities 2011

PMR 2011/030367	IOSCO hedge fund systemic risk survey 2012 - template development
PMR 2011/022867	International law reform ISG MABRA ASIC Act and MABR Regs
PMR 2011/023240	IOSCO ITF working papers file 7 Washington & Chennai & Berlin meetings & Madrid
PMR 2011/018045	Extension of time for holding annual general meeting - part 8
PMR 2011/031308	Foreign collective investment scheme
2011 - 010585	Corporate Communication & Relations - Business Activity Projects - Insolvency Regulation Project
2011 - 007840	Corporate Communication & Relations - External Communications and Marketing - External Speeches & Presentations - Strategic Policy
2011 - 007148	Corporate Communication & Relations - Publication - Editing - Reports - Other - Response to Submissions - CP 161 Proposed Market Integrity Rules for Capital and Related Requirements
2011 - 007498	Corporate Communication & Relations - Publication - Editing - Reports - Other - Response to Submissions - CP 127
2011 - 008076	Corporate Communication & Relations - Publication - Editing - Reports - Other - Response to Submissions - CP 144 Giving a PDS in Telephone Sales of General Insurance
2011 - 008770	Corporate Communication & relations - Publication - Editing - Reports - Other - Response to Submissions - CP 163 Unlisted Property Schemes: Update to RG 46
2011 - 009034	Corporate Communication & Relations - Publication - Editing - Reports - Other - Response to Submissions - CP 137 and 162 Indirect Self-Acquisition
2011 - 009209	Corporate Communication & Relations - Publication - Editing - Reports - Other - Response to Submissions - CP 155 Prospectus Disclosure
2011 - 009565	Corporate Communication & Relations - Publication - Editing - Reports - Other - Response to Submissions - CP 150 Disclosing Fin Info Other than in Accordance with Acc Stnds
2011 - 009678	Corporate Communication & Relations - Publication - Editing - Reports - Other - Response to Submissions - CP 166 Minimum Presence Foreign Participants
2011 - 010094	Corporate Communication & Relations - Publication - Editing - Reports - Other - Response to Submissions - CP 159 Acquisitions Approved by Members - Update to RG 74
2011 - 010432	Corporate Communication & Relations - Publication - Editing - Reports - Other - Response to Submissions - CP 160 Credit rating agencies: IOSCO Code Annual Compliance Report
2011 - 010588	Corporate Communication & Relations - Publication - Editing - Reports - Other - Response to Submissions - CP 122 Superannuation forecasts

2011 010715	Corporate Communication & Relations - Publication - Editing - Reports - Other - XXX Response to submissions - CP 137 and 162
2011 - 010715	Indirect self-acquisitions
2011 - 010938	Corporate Communication & Relations - Publication - Editing - Reports - Other - Response to Submissions - CP 165 Credit Assistance for Home Loans
2011 - 008806	Corporate Communication & Relations - Publication - Editing - Submissions & Government Relations - CAMAC Submission 2011
2011 - 009736	Corporate Communication & Relations - Publication - Editing - Submissions & Government Relations - Professional and Ethical Standards in the Financial Product Advice Industry
2011 - 007218	Policy & Regulatory Framework - Law Reform - Tax Advice Privilege
	Policy & Regulatory Framework - Policy Development - Financial Services Regulation (FSR) - Project - Financial planners providing
2011 - 007247	tax advice
2011 - 010483	Policy & Regulatory Framework - Policy Development - Financial Services Regulation (FSR) - Future of Financial Advice Reforms
2011 - 010969	Policy & Regulatory Framework - Policy Development - Financial Services Regulation (FSR) - Deposit Takers and Insurers Policy Work (FSR)
	Regulation & Compliance - Assessments, Surveillance & Supervision - Market & Participant Supervision - Legal & Policy - Policy
2011 - 010776	and Reform