



**ASIC**

Australian Securities &  
Investments Commission

23-Sep-11

Matthew Jordan  
The Treasury  
Parkes Place  
PARKES ACT 2600

Dear Matthew,

Please find enclosed four hard copies of indexed lists of departmental files as requested for senate order for the period 1<sup>st</sup> January to 30th June 2011.

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 10**

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

*Indexed File Lists Created between 1<sup>st</sup> January and 30<sup>th</sup> June 2011*

**Dates:** 1<sup>st</sup> January and 30<sup>th</sup> June 2011

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

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

File Number	Title
PMR 2011/000898	CRA IOSCO CODE ANNUAL COMPLIANCE REPORT
PMR 2011/001113	REGULATION AND COMPLIANCE - CREDIT PROJECTS TRUST ACCOUNT AUDIT PROCESSES / PROCEDURES PART 2
PMR 2011/002587	DEFINITION OF A MARGIN LENDING FACILITY - SECTION 761EA
PMR 2011/002690	MANAGEMENT STRUCTURES REVIEW JAN-MARCH 2011
PMR 2011/003322	SELF-MANAGED SUPER FUNDS - AUDITOR REGISTRATION
PMR 2011/003325	REGULATION OF TAX ADVICE PROVIDED BY FINANCIAL PLANNER
PMR 2011/004089	TRANSFER OF BUSINESS ISSUES 2011
PMR 2011/004254	INTERNAL ADVICE - LICENSING QUERIES
PMR 2011/005428	LICENSING ACCOUNTANTS PER THE FUTURE OF FINANCIAL ADVICE REFORMS
PMR 2011/006031	IOSCO STANDING COMMITTEE 6: PART 2
PMR 2011/007652	DEVELOPING FORMS FOR SHORTER PDSS PART 3
PMR 2011/011273	DEVELOPING FORMS FOR SHORTER PDSS PART 4