



**ASIC**

---

Australian Securities &  
Investments Commission

30 July 2014

Marian Dunski  
The Treasury  
Langton Crescent  
PARKES ACT 2600

**Senate Order No. 12**

Dear Marian,

Please find enclosed the list of files produced by ASIC, (exceptions edited / omitted), for the reporting period 1 January 2014 to 30 June 2014.

I confirm that the contact officer for the Australian Securities & Investments Commission is Lennart Jacobsen (03) 9280 3292, GPO Box 9827, Melbourne 3001.

Yours sincerely,

Lennart Jacobsen  
Team Leader, Enterprise Content Management Business Solutions  
Australian Securities & Investments Commission



**ASIC**

Australian Securities &  
Investments Commission

# SENATE ORDER NO. 12

## AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

*Indexed agency file lists created between 1 January 2014 and 30 June 2014*

**Agency Contact:**

**Lennart Jacobsen (03) 9280 3292**

**Lennart.jacobsen@asic.gov.au**

**Website:**

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

## PHYSICAL FILES

File Number	File Name
PMR 2014/011862	IOSCO MEETINGS: WASHINGTON - FEBRUARY 2009
PMR 2014/011863	IOSCO MEETINGS: ITF - QUEBEC - MAY 2009
PMR 2014/011864	IOSCO MEETINGS: TEL AVIV - JUNE 2009
PMR 2014/011868	IOSCO MEETINGS: LONDON - SEPTEMBER 2009
PMR 2014/011871	IOSCO MEETINGS: BASEL - OCTOBER 2009
PMR 2014/011879	IOSCO MEETINGS: ROME - NOVEMBER 2009
PMR 2014/011888	IOSCO MEETINGS: ITF - DUBAI - DECEMBER 2009
PMR 2014/011891	IOSCO MEETINGS: MADRID - JANUARY 2010
PMR 2014/011893	IOSCO MEETINGS: ITF - SYDNEY - MARCH 2010
PMR 2014/011895	IOSCO MEETINGS: TFUMP - SYDNEY - MARCH 2010
PMR 2014/011898	IOSCO MEETINGS: MONTREAL - JUNE 2010
PMR 2014/011900	IOSCO MEETINGS: NEW YORK/ WASHINGTON - JUNE 2010
PMR 2014/011902	IOSCO MEETINGS: ITF - PARIS - JULY 2010
PMR 2014/011905	IOSCO MEETINGS: ITF - WASHINGTON - SEPTEMBER 2010
PMR 2014/011908	IOSCO MEETINGS: INDIA - SEPTEMBER/OCTOBER 2010
PMR 2014/011910	IOSCO MEETINGS: ITF - BERLIN - DECEMBER 2010
PMR 2014/011911	IOSCO MEETINGS: ITF - MADRID - JANUARY 2011
PMR 2014/011913	IOSCO MEETINGS: RIO DE JANEIRO - JANUARY 2011
PMR 2014/011914	IOSCO MEETINGS: PARIS - MARCH 2011
PMR 2014/011915	IOSCO MEETINGS: LONDON - MARCH 2011
PMR 2014/011916	IOSCO MEETINGS: ANNUAL CONFERENCE - CAPE TOWN - APRIL 2011
PMR 2014/011917	IOSCO MEETINGS: ITF MEETING - AMSTERDAM - SEPTEMBER 2011
PMR 2014/011918	IOSCO MEETINGS: APRC MEETING - KUALA LUMPUR - DECEMBER 2011
PMR 2014/011921	IOSCO MEETINGS: WASHINGTON - FEBRUARY 2009 PART 2
PMR 2014/011922	IOSCO MEETINGS: TEL AVIV - JUNE 2009 PART 2
PMR 2014/011924	IOSCO MEETINGS: BASEL - OCTOBER 2009 PART 2
PMR 2014/011925	IOSCO MEETINGS: ITF - DUBAI - DECEMBER 2009 PART 2
PMR 2014/011926	IOSCO MEETINGS: INDIA - SEPTEMBER/OCTOBER 2010 PART 2
PMR 2014/011927	IOSCO MEETINGS: PARIS - MARCH 2011 PART 2
PMR 2014/011928	IOSCO MEETINGS: ANNUAL CONFERENCE - CAPE TOWN - APRIL 2011 - PART 2
PMR 2014/011930	IOSCO MEETINGS: ANNUAL CONFERENCE - CAPE TOWN - APRIL 2011 - PART 3
PMR 2014/011931	IOSCO MEETINGS: ANNUAL CONFERENCE - CAPE TOWN - APRIL 2011 - PART 4
PMR 2014/011315	FINANCIAL STABILITY FORUM - 2009
PMR 2014/011316	FINANCIAL STABILITY BOARD - 2010 -Q1
PMR 2014/011318	FINANCIAL STABILITY BOARD - 2010 -Q2
PMR 2014/011319	FINANCIAL STABILITY BOARD - 2010 -Q3
PMR 2014/011320	FINANCIAL STABILITY BOARD - 2010 -Q4
PMR 2014/011321	FINANCIAL STABILITY BOARD - 2011 -Q1
PMR 2014/011322	FINANCIAL STABILITY BOARD - 2011 -Q2
PMR 2014/011323	FINANCIAL STABILITY BOARD - 2011 -Q3
PMR 2014/011324	FINANCIAL STABILITY BOARD - 2011 -Q4
PMR 2014/011325	FINANCIAL STABILITY BOARD - 2011 -PEER REVIEW
PMR 2014/011326	FINANCIAL STABILITY BOARD - 9 JANUARY 2010 BASEL TONY D'ALOISIO

## PHYSICAL FILES

File Number	File Name
PMR 2014/011329	FINANCIAL STABILITY BOARD - SRC LONDON 18 JANUARY 2010
PMR 2014/011331	FINANCIAL STABILITY BOARD - STEERING COMMITTEE BASEL 8 MARCH 2010
PMR 2014/011332	FINANCIAL STABILITY BOARD - PLENARY TORONTO - 14 JUNE 2010
PMR 2014/004487	COMPARISON WEB SITES - LIAISON WITH ***
PMR 2014/007633	CORPORATE FINANCE LIAISON COMMITTEE MEETINGS - BRISBANE - MAY 2014 TO
PMR 2014/002017	ASIC DELEGATION TO ACCC - CREDIT REPAIR AND DEBT COLLECTION
PMR 2014/006192	ACRA VISIT TO SYDNEY (19-21 FEBRUARY 2014)
PMR 2014/006194	PROCUREMENT NON-CASH PAYMENT FACILITIES
PMR 2014/008846	GENERAL ADVICE RE TRUSTEE COMPANIES-DEPOSIT TAKERS CREDIT AND INSURERS RELATED
FSR 2014/000084	FS 22 - CHANGE OF CONTROL NOTIFICATIONS
FSR 2014/000085	FS 64 - APPLICATION FOR SUSPENSION OF AN AFS LICENCE
FSR 2014/000086	FS 65 - APPLICATION FOR CANCELLATION OF AN AFS LICENCE
FSR 2014/000239	LICENSING - FREEDOM OF INFORMATION REQUESTS
FSR 2014/002855	FS65 CANCELLATIONS OF AUSTRALIAN FINANCIAL SERVICES LICENCES
FSR 2014/005752	LICENSING REGISTER INTEGRITY - ASIC-INITIATED CANCELLATION OF AFS LICENCES AND CREDIT LICENCES
FSR 2014/006236	PROCESS IMPROVEMENT PROJECT - HANDLING OF NOTIFICATIONS FROM EXTERNAL DISPUTE RESOLUTION SCHEMES OF WITHDRAWALS AND EXPULSIONS
FSR 2014/008457	CORRECTION NEEDED TO AFS LICENCES ISSUED POST 1 JULY 2013
FSR 2014/008854	INTERSTATE TERM DEPOSIT DETAILS PRE 1997
FSR 2014/008855	INTERSTATE TERM DEPOSIT DETAILS PRE 1997
FSR 2014/008856	INTERSTATE TERM DEPOSIT DETAILS PRE 1997
FSR 2014/008857	INTERSTATE TERM DEPOSIT DETAILS PRE 1997
FSR 2014/009281	FS 65 - APPLICATION FOR CANCELLATION OF AN AF S LICENCE
FSR 2014/009898	PROCUREMENT - LICENSING OFFSITE 2014
FSR 2014/010732	ADVICE GENERAL - *** *** - CORPORATIONS - FROM MAY 2014 TO -
FSR 2014/010753	LICENSING REGISTER INTEGRITY - ASIC-INITIATED CANCELLATION OF AFS LICENCES AND CREDIT LICENCES
FSR 2014/010909	APPLICATIONS TO CANCEL AUSTRALIAN CREDIT LICENCE
PMR 1999/014922	SECTION 235 SURVEILLANCE PROJECT 1999 VARIOUS DOCUMENTS IN A BOX TOGETHER WITH FILE PMR1999/**** - PMR1999/*****
PMR 2014/000146	GUIDANCE IN RELATION TO THE APPLICATION OF REG 7.9.20AA TO AN INVESTMENT OPTION THAT INVESTS IN TERM DEPOSITS
PMR 2014/000587	RG 174 PROJECT
PMR 2014/000722	*** RESIDENTIAL FUND REPLIES TO S.601 FF DIRECTION DATED 14 AUGUST 2012
PMR 2014/000962	CONFIDENTIAL INFORMATION II PROJECT
PMR 2014/000963	CONFIDENTIAL INFORMATION II PROJECT
PMR 2014/001078	CONSUMER CREDIT LEGISLATION TRAINING - PARTICIPANTS GUIDES PRINTING
PMR 2014/001334	CO 13/1534 AND PSTS AND ADFS
PMR 2014/001828	S905B APPROVAL OF AUSTRALIAN DERIVATIVE TRADE REPOSITORY LICENCE APPLICATION FORM
PMR 2014/002256	***** OPERATING RULE AMENDMENTS: THREE AND TEN YEAR COMMONWEALTH TREASURY BOND FUTURES CONTRACT EXPIRY SETTLEMENT PRICE PROCESS
PMR 2014/002284	FREEDOM OF INFORMATION - *** ***PROJECTS FROM *** ***
PMR 2014/002552	RG148 POST IMPLEMENTATION REVIEW PROJECT 2013-2014
PMR 2014/002583	***** - QUARTERLY REPORT FOR THE PERIOD OCTOBER TO DECEMBER 2013 - CLASS ORDER 99/0629
PMR 2014/003171	CREDIT LAW REFORM - HARDSHIP
PMR 2014/003254	EMERGING MARKET ISSUERS PROJECT - CORPORATIONS TEAM - 2014

# PHYSICAL FILES

File Number	File Name
PMR 2014/003261	PDS REVIEWS
PMR 2014/003894	REVIEW OF DIRECT DEBIT CANCELLATION FEES
PMR 2014/004129	2013-2014 FINANCIAL ADVISERS NEW LICENSEE VISITS PROJECT
PMR 2014/004568	FOFA STATUTORY COMPENSATION SCHEME - IMPLEMENTATION RESPONSE ON PII
PMR 2014/004569	FOFA STATUTORY COMPENSATION SCHEME - SUBMISSIONS
PMR 2014/004571	FOFA STATUTORY COMPENSATION SCHEME - INTERNAL COMPENSATION WORKING GROUP
PMR 2014/004585	EFT CODE REVIEW *** ** VOLUME 2
PMR 2014/004589	EFT CODE REVIEW *** ** VOLUME 3
PMR 2014/004590	EFT CODE REVIEW *** ** VOLUME 4
PMR 2014/004591	EFT CODE REVIEW *** ** VOLUME 5
PMR 2014/004608	VWH4-MARKING THE CLOSE
PMR 2014/004623	FOFA STATUTORY COMPENSATION SCHEME - FOS RESEARCH
PMR 2014/005957	ASIC DERIVATIVE TRANSACTION RULES (REPORTING) 2013 - EXEMPTIONS FOR PHASE 2 REPORTING ENTITIES
PMR 2014/006013	*** CLASS ORDERS - DCI REVIEW
PMR 2014/007349	ASX CLEAR PTY LIMITED OPERATING RULE CHANGES - PARTICIPANTS' RIGHT TO TERMINATE NOVATED CONTRACTS IF ASX CLEAR DEFAULTS
PMR 2014/007635	***** ** 792F ANNUAL REPORTS *****
PMR 2014/007660	DEED DOCUMENTS
PMR 2014/007718	*** ** - S792F REPORT ARBN *** **
PMR 2014/007719	*** SECURITISATION CONTRACT DOCUMENTS 2013
PMR 2014/007720	2014 ASP REVIEW SHEETS
PMR 2014/007724	ASP 2013 CHECKLIST AND TARGET LIST
PMR 2014/007859	TYRE AND RIM INSURANCE PROJECT
PMR 2014/007860	TYRE AND RIM INSURANCE PROJECT
PMR 2014/007861	TYRE AND RIM INSURANCE PROJECT
PMR 2014/007875	DEED DOCUMENTS PART 2
PMR 2014/008058	ASP CHECKLISTS 2011-2012
PMR 2014/008072	MARKET INTEGRITY RULES /BUYBACKS AND TAKEOVERS
PMR 2014/008203	EXTENSION TO CLASS ORDER CO-630
PMR 2014/008205	EXTENSION TO CLASS ORDER CO 10-630
PMR 2014/010280	DEBENTURES REVIEW 2014
PMR 2014/012496	VARIOUS FINANCIAL REPORTING ISSUES PART 4 PREVIOUS FILE PMR2011/9451
PMR 2014/012502	VARIOUS AUDIT ISSUES / MATTERS PART 3 PREVIOUS FILE PMR2012/6320
PMR 2014/012504	VARIOUS AUDIT ISSUES / MATTERS PART 4 PREVIOUS FILE PMR2014/12502
PMR 2014/012540	EMPLOYEE SHARE SCHEME DOCUMENTS LODGED UNDER CLASS ORDER 03/184 - 09 APRIL 2014 ONWARDS
PMR 2014/012809	SELLERS OF REAL PROPERTY BY INSTALMENTS.
PMR 2014/012834	TES TRAINING
PMR 2014/013583	CLASS ORDER EXEMPTION - PHASE 3 REPORTING ENTITIES
PMR 2014/013639	*** PARTNERS (105567413) - REFERRAL - AUDITORS - FOI REQUEST
PMR 2014/013742	PROTECTED MEMBERS - DISCLOSURE REQUIREMENTS
PMR 2014/013851	GENERAL ADVICE - *** ** -CORPORATIONS
PMR 2014/007415	FOI REQUEST - *****
PMR 2014/008110	*** ** RABN *** ** S792F REPORT

# PHYSICAL FILES

File Number	File Name
PMR 2014/008251	FOI REQUEST - ***** ** ***** - *** ** (***)
PMR 2014/008324	GENERAL INSURANCE - CLAIMS HANDLING AND INTERNAL DISPUTE RESOLUTIONS REVIEW DOCUMENTS RELATING TO ***** - AUTO AND GENERAL AND GENERAL INSURANCE
PMR 2014/008327	GENERAL INSURANCE - CLAIMS HANDLING AND INTERNAL DISPUTE RESOLUTIONS REVIEW DOCUMENTS RELATING TO ***** INSURANCE MISC PROJECT DOCUMENTATION
PMR 2014/008328	GENERAL INSURANCE - CLAIMS HANDLING AND INTERNAL DISPUTE RESOLUTIONS REVIEW DOCUMENTS RELATING *****
PMR 2014/008331	GENERAL INSURANCE - CLAIMS HANDLING AND INTERNAL DISPUTE RESOLUTIONS REVIEW DOCUMENTS RELATING *****
PMR 2014/008740	*** **
PMR 2014/008741	*** **
PMR 2014/008742	*** **
PMR 2014/008743	*** **
PMR 2014/009690	*** ***** OPERATING RULE CHANGES FOR TIERED CORE CAPITAL
PMR 2014/009769	***** ***** ARSN *****
PMR 2014/009770	***** ARSN *****
PMR 2014/009873	APPLICATION FOR RETAIL CLIENT ADVISER EXEMPTION
PMR 2014/009900	RDR-14-3JDS-00005 - ** *****
PMR 2014/009973	**** ** *
PMR 2014/009990	***** ***** ***** DRAFT APPLICATION FOR AN AUSTRALIAN MARKET LICENCE DECEMBER 2011 VOL 1 OF 2
PMR 2014/009992	***** ***** ***** DRAFT APPLICATION FOR AN AUSTRALIAN MARKET LICENCE DECEMBER 2011 VOL 2 OF 2
PMR 2014/009995	***** ***** ***** DRAFT APPLICATION FOR AN AUSTRALIAN MARKET LICENCE JUNE 2012 VOL 1 OF 2
PMR 2014/009996	***** ***** ***** DRAFT APPLICATION FOR AN AUSTRALIAN MARKET LICENCE JUNE 2012 VOL 2 OF 2
PMR 2014/010072	**** ** APPLICATION TO REGISTER IDENTIFICATION STATEMENT
PMR 2014/010375	PART 7 - NON LODGED ACCOUNTS PROJECT 2011 - *****
PMR 2014/010405	REVERSE MORTGAGE CONTRACTS *****
PMR 2014/010603	*** *****- APPLICATION FOR MIR WAIVER
PMR 2014/010604	*** ***** - APPLICATION FOR MIR WAIVER
PMR 2014/010606	*** ***** - APPLICATION FOR MIR WAIVER
PMR 2014/010623	*** ** ** (008382090) - CO 02/184 - SUPPLEMENTARY OR REPLACEMENT IDENTIFICATION STATEMENT
PMR 2014/010648	*** & ** (2008) - REVERSE MORTGAGE RESEARCH
PMR 2014/010675	*** ***** CORRESPONDENCE AND REPORTS
PMR 2014/010722	REQUEST FOR REVIEW OF PROVISIONS OF CONSTITUTION - *****
PMR 2014/010774	*** ***** CORPORATE GOVERNANCE AMENDMENTS TO ASX LISTING RULES
PMR 2014/010858	***** ***** - MISCELLANEOUS MARKET ENQUIRY - ASX 24 PRE-NEGOTIATED ORDER
PMR 2014/010901	**** ***** - REPORTING DOCUMENT RECEIVED BY FFSP PURSUANT TO PS176
PMR 2014/010910	*** ***** ***** - REPORTING DOCUMENT RECEIVED BY FFSP PURSUANT TO PS176
PMR 2014/011116	***** ***** ***** DRAFT APPLICATION FOR AN AUSTRALIAN MARKET LICENCE APRIL 2013 - VOL 1
PMR 2014/011117	***** ***** ***** DRAFT APPLICATION FOR AN AUSTRALIAN MARKET LICENCE APRIL 2013 - VOL 2
PMR 2014/011506	PERSONAL AND DUAL TRADING REVIEW
PMR 2014/012845	*** ** *
PMR 2014/013161	*** ** (118796053) - FINANCIAL SERVICES SURVEILLANCE: COMPLIANCE PLAN AUDIT REVIEW:***** ** FUND
PMR 2014/013286	CHAIRMAN'S CORRESPONDENCE: *** **
PMR 2014/013287	CHAIRMAN'S CORRESPONDENCE: *** **

# PHYSICAL FILES

File Number	File Name
PMR 2014/013665	***** REVIEW OF SUPERVISION & COMPLIANCE FRAMEWORK
FSR 2014/004121	*** ** PERSON ID (MAINFRAME): XXXXXXXX
FSR 2014/005077	XXXXXXXXXX XXXXXXXX (XXXX) - 5188/03 PROVIDER - *** **
FSR 2014/006014	*** ** **
FSR 2014/008268	*** ** ** ** **
FSR 2014/009815	*** ** - SALE OF SHARES VESTED IN ASIC
FSR 2014/010409	LICENSING - FREEDOM OF INFORMATION REQUESTS LINKED WITH FSR 2013/xxx
FSR 2014/011937	*** _ ** ** ** **
PMR 2014/000285	AUSTRALIAN DERIVATIVE TRADE REPOSITORY LICENCE APPLICATION xxxx xxxxxxxxxxxx xxxxxxxxxxxx xxxxxxxxxxxx xxxxxx
PMR 2014/000463	*** ** ** ** - S1020F(1)(A) - EX A PERSON OR CLASS FROM PART 7.9 PART TWO
PMR 2014/000464	*** ** ** ** - S1020F(1)(A) - EX A PERSON OR CLASS FROM PART 7.9 PART THREE
PMR 2014/001530	***** ** ** ** - EMPLOYEE SHARE SCHEME RELIEF - S1020F(1)(A) & (B), S911A(2)(L), S992B(1)(A) & S741(1)(A)
PMR 2014/001544	***** - APPLICATION REQUESTING NOTICE OF BENEFICIAL OWNERSHIP - S672A
PMR 2014/002941	*** ** ** - FOI - ** REVIEW
PMR 2014/004143	*** ** ** ** STRAIGHT THROUGH PROCESSING (STP) OF CORPORATE ACTIONS
PMR 2014/004395	*** ** (016473155) - ADVICE - EXTERNAL - FOI REQUEST DATED 25 FEBRUARY 2014
PMR 2014/006736	FOI REQUEST - *** ** **
PMR 2014/006897	END OF MONTH MPS SURVEILLANCE ***** - MARKET MANIPULATION ENQUIRY

## VIRTUAL FILES

File Number	File Name	Parent
2014 - 001169	ICA 2014	Speeches
2014 - 001462	ICAA Audit Conference 2014	Accounting and Audit
2014 - 000848	SPAA Conference 201402	Speeches
2014 - 002302	MFAA Annual Conference 2014	Speeches
2014 - 000693	Delegations from ASIC to ACCC - EO	Other Delegations of Authority
2014 - 001769	MOU with Queensland Building & Construction Commission	MOUs
2014 - 000955	MOU with Queensland Police	MOUs
2014 - 001969	Section 102 Delegation to ACCC - ** ** * ** - February 2014	Other Delegations of Authority
2014 - 001600	Parliamentary Briefings - Financial Advisers	Government
2014 - 002886	06 New Procurement under Progress	Centrelink's Design, Production & Distribution Program
2014 - 002016	2014 revisions	Revisions to DOI Policy and Guide - Trade Approvals 2014
2014 - 000009	24. Rule amendments	Legal & Policy
2014 - 000632	Administration & Planning	Indigenous Outreach Program
2014 - 002054	***** **	Mental Health Programs



## VIRTUAL FILES

File Number	File Name	Parent
2014 - 002649	*** Submission 2014	Submissions & Government Relations
2014 - 002751	Complaints Resolution Procedures	Policies & Procedures
2014 - 001877	*** ** * (MIR) (14-20058)	Market Integrity Rules Projects 2014
2014 - 002619	Data Matching - Criminal Intelligence - April 2014	Privacy
2014 - 001870	Enforceable Undertakings - Guidelines for *****	Policies, Procedures & Guidelines
2014 - 001975	Enforceable Undertakings - Guidelines for third party payments - Enforcement Committee - December 2013	Miscellaneous
2014 - 000633	Financial Literacy & IOP Publications	Indigenous Outreach Program
2014 - 002266	*** ** Ltd	Managed Investments
2014 - 002310	Governance Centre Project	Project Management
2014 - 001931	Guidelines	Policies, Procedures & Guidelines
2014 - 002028	Indigenous Cadet Program	Diversity
2014 - 002280	Internal Audit Review 2014-2015 Project 01 - ***	Audit, Assurance & Compliance
2014 - 002279	Internal Audit Review 2014-2015 Project 02 - ***	Audit, Assurance & Compliance
2014 - 002782	Investigation Costs - s.91 ASIC Act	Policies, Procedures & Guidelines

## VIRTUAL FILES

File Number	File Name	Parent
2014 - 001949	*** ** Survey on Retirement Planning	Active
2014 - 001926	Policies	Policies, Procedures & Guidelines
2014 - 002410	Policy - Advice Licensees Audit Requirements	Other - Policy Development
2014 - 001679	Presentations	MoneySmart - Government Connect
2014 - 002205	*** ** **	Scheme Registration
2014 - 001950	Privacy Policy	Published Non-Regulatory Documents
2014 - 001925	Procedures	Policies, Procedures & Guidelines
2014 - 001764	Professional Indemnity Insurance	Financial Advisers
2014 - 000630	Project & Policy Work	Indigenous Outreach Program
2014 - 000242	Project Documents	Outsourcing
2014 - 000164	Project Manager Documents and Reports	Annual Money Week 2014
2014 - 002964	Proposed Amendments to the Derivative Transaction Rules (Reporting)	Consultation Papers
2014 - 001811	*** ** Ltd - request from Debenture holders	Public Examination Eligible Applicant Requests
2014 - 002723	Report of the Independent Evaluation of the Implementation of the HOKUF Initiative	Reports - Other

## VIRTUAL FILES

File Number	File Name	Parent
2014 - 000795	Reporting and Information Products	Policies, Procedures & Guidelines
2014 - 000865	Reports	Project Louis (13-30025)
2014 - 001710	Resignation of Auditors - Update to RG 26 - 2nd CP	Consultation Papers
2014 - 002555	RG 041 Limited Partnerships Fundraising	Regulatory Guides
2014 - 002560	RG 066 Transaction-Specific Disclosure	Regulatory Guides
2014 - 002601	RG 067 Real Estate Companies	Regulatory Guides
2014 - 002602	RG 070 Prospectuses for Cash Box and Investment Companies	Regulatory Guides
2014 - 002715	RG 096 Debt Collection Guideline For Collectors and Creditors	Regulatory Guides
2014 - 002604	RG 157 Financial Reports for Offer of Information Statements	Regulatory Guides
2014 - 002937	RG 174 Externally Administered Companies	Regulatory Guides
2014 - 001670	RG 252 Keeping Superannuation Websites Up To Date	Regulatory Guides
2014 - 001195	RG 26	Other - Policy Development
2014 - 002553	RG038	Published Regulatory Guides
2014 - 002793	RG252	Published Regulatory Guides

## VIRTUAL FILES

File Number	File Name	Parent
2014 - 000263	Risk project	Research
2014 - 000200	Scheme Management - 2014	Scheme Management
2014 - 001722	Strategic Policy Framework	Other - Policy Development
2014 - 000860	*** Forms	Project Change Advisory Board
2014 - 002799	*** Pty Ltd and *** Pty Ltd - application from *****	Public Examination Eligible Applicant Requests
2014 - 000663	*** Resources Limited	s218 - Approvals
2014 - 000730	*** Pty Ltd (ACN ****)	Winding up Applications
2014 - 001783	Superannuation Clearing House Terms and Conditions - P&D - February 2014	Procurement
2014 - 001367	Termination Notices/ Agreements	Procurement
2014 - 001964	***	Centrelink's Design, Production & Distribution Program
2014 - 001610	W. A. *** Project 2014	Scheme Registration
2014 - 002898	WA *** Limited W.A. *** Project 2014.2.	Scheme Registration
2014 - 001772	*** - Civil Investigation (14-20054)	Market Integrity Rules Projects 2014
2014 - 000249	***** - Panel Arrangement - Consultancy and Business Services	***** - Panel Arrangement - Consultancy and Business Services

## VIRTUAL FILES

File Number	File Name	Parent
2014 - 001662	*** Pty Ltd (5.7.1(b)(iii)) (MIR) (14-20048)	Market Integrity Rules Projects 2014
2014 - 000434	*** ** Limited ***** (MIR) (14-20007)	Market Integrity Rules Projects 2014
2014 - 001650	*** ** (Australia) Pty Ltd (3.1.2 ) (MIR) (14-20047)	Market Integrity Rules Projects 2014
2014 - 002428	*** ** ** ** **	Scheme Registration
2014 - 000634	*** Resource Library	Indigenous Outreach Program
2014 - 000661	*** ** PTY LTD ACN *** ** **	2013-2014
2014 - 001437	*** Bank Limited (3.1.2) (MIR) (14-20036)	Market Integrity Rules Projects 2014
2014 - 001409	*** ** Co	Managed Investments
2014 - 001391	*** ** Ltd (5.7.1 and 5.7.2) (MIR) (14-20033)	Market Integrity Rules Projects 2014
2014 - 000888	*** Co Pty Ltd	Administrative Appeals Tribunal (AAT) Act Applications
2014 - 002092	*** ** **	Administrative Appeals Tribunal (AAT) Act Applications
2014 - 001512	***** ** ** & **	Centrelink's Design, Production & Distribution Program
2014 - 000573	*** **	Administrative Appeals Tribunal (AAT) Act Applications
2014 - 000449	*** HOLDINGS PTY LTD ACN *** ** **	2013-2014

## VIRTUAL FILES

File Number	File Name	Parent
2014 - 003016	*** and *** Apartments	Managed Investments
2014 - 002900	** ***** Partners Pty Ltd	P-R
2014 - 002615	Senate Estimates Opening Statement June 2014	Speeches
2014 - 002468	Senate Inquiry	Published Non-Regulatory Documents
2014 - 000972	Senate Inquiry Into The Performance of ASIC - Opening Statement	Speeches