



ASIC

Australian Securities & Investments Commission

SENATE ORDER NO. 12

AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

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AFP - 17-4772 - *** and ors - 201702	F20170000004417
APEC - 17-8254 - Delegation from US delegates - 201703	F20170000007016
CFTC - 17-21310 - *** ** - 201706	F20170000686891
CFTC - 17-7466 - *** ** - 201703	F20170000006184
FINRA - 17-7156 - *** **and *** ** - 201703	F20170000006007

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FINRA-17-544-*** ***-201701	F2017000000615
NASDAQ - 17-21695 - *** *** Limited - 201706	F20170000686913
NFA - 17-14388 - *** *** Limited - 201704	F20170000680589
NFA - 17-15461 - *** *** *** *** - 201704	F20170000682521
NFA-17-1612-*** ***	F20170000457577
NFA - 17-21179 - *** *** *** *** Pty Ltd - 201706	F20170000686537
NFA - 17-5934 - *** *** Pty Ltd - 201702	F2017000005082
SEC - 17- - *** ***Ltd and *** *** *** Ltd - 201702	F2017000005843
SEC - 17 - 7826 - *** *** - 201703	F20170000006514
SEC - 17-14587 - *** *** *** - 201704	F20170000686265
SEC - 17-15520 - *** *** Pty Ltd - 201704	F20170000682674
SEC - 17-19415 - Market Integrity Rule 5.10.7 - 201705	F20170000685449
SEC - 17-4102 -*** *** *** Ltd - 201702	F20170000003268
SEC - 17-5140 - *** *** *** Inc *** *** - 201702	F2017000005667
AGD - 14612-17 *** *** *** *** 201705	F20170000684149

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AGD - 17-18613 - *** ** and **and *** ** ** Pty Ltd 201705	F20170000684703
CFTC - 16-42411 - *** ** LLC and ** - 201612	F2017000005823
CFTC - 17-10337 - *** ** ** ** ** ** LLC - 201703	F20170000008677
CFTC - 17-18830 - *** ** Limited - 201705	F20170000684981
CFTC - 17-1915 - *** ** Pty Ltd - 201701	F20170000002357
CFTC - 17-19253 - **_. ** ** ** ** - 201705	F20170000685258
CFTC - 17-20916 - *** ** - 201706	F20170000686599
CFTC - 17-8949 - *** ** ** - 201703	F20170000007499
Interpol - 17-5825 - *** ** ** - 201702	F20170000005751
NFA - 17-9350 - *** ** Pty Ltd and *** ** ** LLC - 201703	F20170000008679
SEC - 16-47667 - *** ** ** ** and *** ** - 201612	F20170000001695
SEC - 17-10655 - *** ** _ ** ** - 201703	F20170000008886
SEC - 17-15827 - RESEARCH SEC Infringement Notices Powers - 201704	F20170000682723
SEC - 17-1693 - Evidence Gathering Management - 201701	F20170000002333
SEC - 17-17076 - *** ** ** 201705	F20170000683734

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SEC - 17-18828 - *** ** Inc - 201705	F20170000685068
SEC - 17-20904 - Staff trading policy - 201705	F20170000686641
SEC - 17-21453 - *** ** Witnesses (*** ** ***) - 201706	F20170000686936
SEC - 17-8107 - *** ** - 201703	F2017000006840
Research	F20170000683285
US SEC - Extracts from US Securities Legislation - 201705	F20170000683284
FSC - 17-23270 - *** ** Limited	F20170000688085
IBCR - 17-4302 - *** ** - 201702	F2017000003948
IBCR - 17-4495 - *** ** LTD - 201702	F2017000003960
IBCR - 17-4736 - *** ** LIMITED - 201702	F2017000004723
SSC -VIET NAM - 17-10050 - DELEGATION VISIT - 201703	F20170000453568
SAMOA INTERNATIONAL BUSINESS CENTRE-16-47040-*** ** Limited-201612	F2017000004053
SAMOA Registry-17-2985-*** ** LTD-201702	F2017000004052
FSA -	F2017000007893
Interpol - 17-18737 - T*** ** ** - 201705	F20170000684887

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FSB - 17-7869 - *** ** - 201703	F2017000006710
JSE - 17-9009 - *** ** - 201703	F2017000007496
SACC - 17-5725 - *** ** - 201702	F2017000005116
10311-17 - AUSTRAC IR 6362 - Possible daigou business network	F20170000679709
105-17 - AUSTRAC Referral of SMR	F2017000004960
11163-17 - AUSTRAC OIR Possible trade based money laundering in the scrap metal or car parts sector	F20170000679716
11642-17 - ACIC and AUSTRAC RFI - New Company Registrations	F20170000250597
11985 - 17 - AUSTRAC IR - *** **	F20170000686602
13131-17 - AUSTRAC TIR *** ** Pty Ltd	F20170000686946
1328-17 - ACIC and AUSTRAC RFI - New Company Registrations	F2017000001297
13646-17 - SAPOL RFI - *** ** Pty Ltd	F20170000680408
13907-17 - ACIC and AUSTRAC RFI - New Company Registrations	F20170000680217
145-17 - AUSTRAC Operations Bulletin December 2016	F2017000001099
146-17 - AFP RFI - *** ** - *** **	F2017000001100
147-17 - AUSTRAC Referral of SMR	F2017000004023

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1477-17 - AFP IR 1082505 - Suspicious Fraudulent Activity	F2017000004026
148-17 - AUSTRAC Referral of SMR - Possible Ponzi Scheme	F2017000004025
1484-17 - Product to ACIC - Supplementary Report - *** **	F2017000001483
15165-17 - ACIC RFI - Fortnightly NCTL Report	F20170000682809
15988-17 - ACIC and AUSTRAC RFI - New Company Registrations	F20170000682747
16232-17 AUSTRAC RFI - SARs	F20170000684682
17593-17 AUSTRAC Operations Bulletin April 2017	F20170000686944
17801 - 17 - RFI to ACIC *** **	F20170000684321
18257-17 - ACIC and AUSTRAC RFI - New Company Registrations	F20170000684514
18483-17 - *** ** ** - ACIC Intell	F20170000688135
18590-17 - ASIC RFI QPOL - *** **	F20170000687900
19257-17 -VICPOL IR - *** ** **	F20170000685694
19993-17 - AUSTRAC TIR *** **	F20170000687169
20061-17 - NSW Police RFI - *** **	F20170000687155
20063-17 - WAPOL RFI - *** ** ** ** Pty Ltd	F20170000685856

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20064-17 - AFP RFI - Operation ***	F20170000686871
20077-17 - AUSTRAC IR - *** ** PTY LTD	F20170000687895
20103-17 - ACIC Intel - *** ** - Appointed to Audit AFSL	F20170000686314
20334-17 - ACIC and AUSTRAC RFI - New Company Registrations	F20170000685937
20344-17 ACIC contact request	F20170000686264
20701-17 - ACIC RFI - Fortnightly NCTL Report	F20170000686235
21243-17 - AFP IR - *** ** Pty Ltd	F20170000687068
21664-17 - Referral to AFP - fraud on unclaimed monies	F20170000686911
21923-17 - ACIC IR 17-118791 - Darknet	F20170000688174
22119-17 - ACIC and AUSTRAC RFI - New Company Registrations	F20170000687079
22144-17 - ACIC RFI - Fortnightly NCTL Report	F20170000687086
2216-17 - ATO Report - Organised crime and SMSFs	F20170000002975
2218-17 - ACIC Examination Summary Notes	F20170000004027
2220-17 4775 - Dissemination of AUSTRAC information received from an overseas Financial Intelligence Unit	F20170000002543
2222-17 - AUSTRAC Product from FIS Guernsey - *** **	F20170000003908

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22486-17 - AUSTRAC TIR 6335773 - *** **	F20170000688172
22654-17- RFI ATO - *** ** Pty Ltd	F20170000687431
22655-17 - ACIC RFI - *** ** Limited	F20170000688171
2984-17 *** ** SAPOL RFI	F20170000003457
3028-17 - ACIC RFI - Fortnightly NCTL Report	F20170000002680
3079-17 - ACIC and AUSTRAC RFI - New Company Registrations	F20170000002766
3281-17 - AFP IR - *** ** - *** **	F20170000003916
3284-17 - AFP IR 1083189 - *** **	F20170000003909
38702-16 - AFP Referral - *** **	F20170000005633
389-16 - AUSTRAC RFI - *** ** ** Limited	F20170000000467
40183-16 ***** et al AUSTRAC IR	F20170000002169
4116-17 - AUSTRAC Operations Bulletin January 2017	F20170000003811
4117-17 - AFP FYI - *** Ltd	F20170000003918
4118-17 - AFP RFI - *** ** - *** ** **	F20170000003921
42301-16- AUSTRAC National Risk Assessment - Charities and NPOs - ASIC contribution	F20170000000797

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43813-16 - AFP RFI - *** Pty Ltd	F20170000001049
43816-16 - ACIC Strategic Assessment No. 23-2016-17-SA - An Assessment of Identity Crime	F20170000001073
44934-16 - AFP RFI - Charities	F20170000001097
44937-16 - AUSTRAC Operations Bulletin November 2016	F20170000001084
44938-16 - ACIC Current and Emerging Issues Report - OMCG	F20170000003324
4610-17 - Internal ASIC RFI - ACID and NCTL involvemnt of individuals relating to Market Manipulation and Money Laundering	F20170000004853
46887-16- AUSTRAC Referral - SMR - *** ** * and *** ** * Pty Ltd	F20170000686306
5198-17 - ACIC and AUSTRAC RFI - New Company Registrations	F20170000004452
4792-17 - WAPOL RFI - Resignation Form - *** ** *	F20170000004564
5208-17 - SA Police RFI - *** ** *	F20170000004778
5710-17 - ACIC RFI - Fortnightly NCTL Report	F20170000004879
5749-17 - AUSTRAC RFI - H*** ** * Pty Ltd - *** ** * _ *** ** * and *** ** *	F20170000004898
607-17 - ACIC and AUSTRAC RFI - New Company Registrations	F20170000000623
6588-17 - AFP RFI - BC Reserve Pty Ltd	F20170000685179
6594-17 - AFP RFI *** ** * and *** ** *	F20170000007936

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6815-17 - ACIC and AUSTRAC RFI - New Company Registrations	F2017000005806
767-17 - AFP RFI - ASIC OP TYRION	F2017000001103
800-17 - ACIC RFI - Fortnightly NCTL Report	F2017000000814
9218-17 - ATO Dataset request	F2017000007614
9220-17 - AFP *** ** Pty Ltd	F20170000679825
9233-17 - ACIC RFI - ** **	F2017000007584
9238-17 - ACIC RFI - Fortnightly NCTL Report	F2017000007554
9491-17 - Product to ACIC - ROM - ** **	F2017000007750
9528-17 - ACIC and AUSTRAC RFI - New Company Registrations	F2017000007781
9664-17 - AFP IR ** **	F20170000679675
9665-17 - VICPOL IR - ** **	F20170000684410
IOSCO - EMMOU ASIC Application - 201705	F20170000685513
IOSCO MMOU - Monitoring Group Contact List - 201701	F2017000002525
IOSCO - SG and C4 Madrid Meeting 21-23 March 2017 - 201703	F20170000679796
02.6 Senate Estimates - March 2017	F2017000003787

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02.8 Senate Estimates May 2017	F20170000684485
02.9 PJC June 2017	F20170000686872
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20170215 - Senate Estimates	F2017000003234
20170324 - PJC	F2017000006877
20170529	F20170000683794
20170616 - PJC	F20170000686469
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Documents requested by ANAO for audit planning March 2017	F2017000007465

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Regulatory Transformation Pg Ext Assurance	F20170000683793
Treasury MOU for employment suitability assessments	F20170000688354
Referrals Policy	F20170000688395
115 - ATO Consultation SBR MOU	F20170000683920
021 - ACNC MOU	F20170000003928
119 - Request for permission to use ASIC video - Cambridge University Press	F20170000686383
113 - ATO FOI Consultation External MOU's	F20170000683211
115 - ATO consultation	F20170000683699
122 - ATO reinstatement high level process	F20170000685886
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Australian Transaction Analysis Centre (AUSTRAC)	F20170000680186
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QONs - Senate Estimates May 2017	F20170000687899
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AUSTRAC MOU	F2017000009175
Senate Estimates - February Briefings 2017 - ME	F2017000003920
Senate Estimates - March Briefings 2017 - ME	F2017000006832
Senate Estimates - May Briefings 2017 - ME	F20170000684266
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Senate Estimates - PJC Briefings February 2017 - EWA	F2017000004776
Senate Estimates - PJC Briefings February 2017 - FSE	F2017000003414
Senate Estimates - PJC Briefings June 2017 - EWA	F20170000686801

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Senate Estimates - PJC Briefings June 2017 - FSE	F20170000686298
Senate Estimates - PJC Briefings Mar 2017 - EWA	F20170000006765
Senate Estimates - PJC March 2017 - FSE	F20170000006683
Senate Estimates - PJC May 2017 - FSE	F20170000684396
IOSCO Sydney 8-10 March 2017	F20170000003744
Market Policy Advisory Committee (MPAC) Meetings 2017	F20170000001361
Markets Advisory Panel (MAP) Meetings 2017	F20170000682784
CAANZ - Adelaide Accounting Audit Conference 2017	F20170000685324
CAANZ - Brisbane Audit Conference 2017	F20170000009217
CAANZ - Sydney Accounting Conference 2017	F20170000008700
UK Insolvency Service Meetings	F20170000001408
ASIC Annual Report (Audit December 2016)	F20170000004385
PJC June 2017	F20170000687329
FINRA Business Conduct Roundtable (BCR) - Sydney 2017	F20170000006483
ATO Project- Electronic Exchange (Esign)	F20170000679534