

Australian Securities and Investments Commission – Consolidated table of regulatory documents

Documents released during August–December 2013

New Regulatory Guides

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| RG 250 Guidance on ASIC market integrity rules for risk management and other requirements: ASX 24 market | 21/8/2013 | This guide is for market participants of the ASX 24 market. It gives guidance on ASIC market integrity rules regarding risk management for house accounts, supervisory policies and procedures, and minimum presence requirements for foreign market participants. | MR 13-224 CW 13/972 |
| RG 251 Derivative transaction reporting | 29/8/2013 | This guide is for reporting entities that are subject to the reporting obligations under the ASIC Derivative Transaction Rules (Reporting) 2013. This guide explains the derivative transaction reporting regulatory regime, and gives guidance on particular areas where we consider reporting entities would benefit from guidance to assist them to understand how to comply with the reporting obligations. | No MR |

Amended or reissued Regulatory Guides

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| RG 215 Guidance on ASIC market integrity rules for IMB, NSXA and SIM VSE markets | 5/8/2013 | This guide is for market participants of the IMB, National Stock Exchange of Australia (NSXA) and SIM Venture Securities Exchange (SIM VSE) (formerly Bendigo Stock Exchange) markets. It gives guidance on how market participants can comply with their obligations under ASIC market integrity rules for these markets. Updated to take account of making of ASIC Market Integrity Rules (APX Market) 2013 [MIR 13/473] and ASIC Market Integrity Rules (APX Market) Amendment 2013 (No. 1) [MIR 13/474]. Note: Title has changed from <i>Guidance on ASIC market integrity rules for APX, IMB, NSXA and SIM VSE markets</i> | No MR RG 224 RG 226 RG 238 MIR 13/473 MIR 13/474 SMIR 10/658 |

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| RG 224 Guidance on ASIC market integrity rules for the Chi-X and APX markets | 5/8/2013 | <p>This guide is for market participants of the markets operated by Chi-X Australia Pty Ltd (Chi-X) and Asia Pacific Exchange Limited (APX).</p> <p>It gives guidance on how market participants can comply with their obligations under the ASIC market integrity rules for these markets.</p> <p>Updated to take account of making of ASIC Market Integrity Rules (APX Market) 2013 [MIR 13/473] and ASIC Market Integrity Rules (APX Market) Amendment 2013 (No. 1) [MIR 13/474].</p> <p>Note: Title has changed from <i>Guidance on ASIC market integrity rules for the Chi-X market</i></p> | <p>No MR</p> <p>RG 215</p> <p>RG 226</p> <p>RG 238</p> <p>MIR 13/473</p> <p>MIR 13/474</p> <p>SMIR 10/658</p> |
| RG 226 Guidance on ASIC market integrity rules for capital and related requirements: ASX, ASX 24, Chi-X and APX markets | 5/8/2013 | <p>This guide is for market participants on ASX, ASX 24, Chi-X and APX markets.</p> <p>It gives guidance on ASIC market integrity rules for capital and related requirements for these four markets.</p> <p>It also explains our approach in developing these rules based on the previous capital and related requirements in the ASX and ASX 24 Operating Rules.</p> <p>Updated to take account of making of ASIC Market Integrity Rules (APX Market) 2013 [MIR 13/473] and ASIC Market Integrity Rules (APX Market) Amendment 2013 (No. 1) [MIR 13/474].</p> <p>Note: Title has changed from <i>Guidance on ASIC market integrity rules for capital and related requirements: ASX, ASX 24 and Chi-X markets</i></p> | <p>No MR</p> <p>RG 215</p> <p>RG 224</p> <p>RG 238</p> <p>MIR 13/473</p> <p>MIR 13/474</p> <p>SMIR 10/658</p> |
| RG 238 Suspicious activity reporting | 6/8/3013 | <p>This guide is for market participants of the ASX market (operated by ASX Limited), the Chi-X market (operated by Chi-X Australia Pty Limited) and the APX market (operated by Asia Pacific Exchange Limited).</p> <p>It gives guidance on how market participants can comply with the ASIC market integrity rules relating to suspicious activity reporting.</p> <p>Updated to take account of making of ASIC Market Integrity Rules (APX Market) 2013 [MIR 13/473] and ASIC Market Integrity Rules (APX Market) Amendment 2013 (No. 1) [MIR 13/474].</p> | <p>No MR</p> <p>RG 215</p> <p>RG 224</p> <p>RG 238</p> <p>MIR 13/473</p> <p>MIR 13/474</p> <p>SMIR 10/658</p> |

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| RG 36 Licensing: Financial product advice and dealing | 20/8/2013 | <p>This guide is for persons who may provide financial product advice or deal in a financial product as defined in the <i>Corporations Act 2001</i> (Corporations Act) and their professional advisers (such as lawyers).</p> <p>It gives guidance on the meaning of 'provide financial product advice' and the meaning of 'deal in a financial product'. It also provides guidance on the obligations that apply to providers of financial services.</p> <p>Technical amendments have been made to Regulatory Guides 36, 90, 98 and 121, and Information Sheets 134 and 182, mainly to account for legislative changes brought about by the Future of Financial Advice (FOFA) reforms.</p> <p>RG 84 has been withdrawn and its content is now included in INFO 182.</p> | <p>No MR</p> <p>RG 90 (20/8/2013)</p> <p>RG 98 (30/7/2013)</p> <p>RG 121 (30/7/2013)</p> <p>INFO 134 (30/7/2013)</p> <p>SRG 84 (20/8/2013)</p> <p>INFO 182 (20/8/2013)</p> |
| RG 90 Example Statement of Advice: Scaled advice for a new client | 20/8/2013 | <p>This guide is for Australian financial services (AFS) licensees, authorised representatives, and advice providers who give information and advice to retail clients.</p> <p>It explains how and why we have developed an example Statement of Advice (SOA). The example SOA was developed in consultation with stakeholders, and we acknowledge their valuable contribution throughout the process.</p> <p>Technical amendments have been made to Regulatory Guides 36, 90, 98 and 121, and Information Sheets 134 and 182, mainly to account for legislative changes brought about by the Future of Financial Advice (FOFA) reforms.</p> <p>RG 84 has been withdrawn and its content is now included in INFO 182.</p> | <p>No MR</p> <p>RG 36 (20/8/2013)</p> <p>RG 98 (30/7/2013)</p> <p>RG 121 (30/7/2013)</p> <p>INFO 134 (30/7/2013)</p> <p>SRG 84 (20/8/2013)</p> <p>INFO 182 (20/8/2013)</p> |

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| <p>RG 223 Guidance on ASIC market integrity rules for competition in exchange markets</p> | <p>12/8/2013</p> | <p>This guide is for market operators and market participants of markets and crossing systems that are subject to the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011 (competition market integrity rules).</p> <p>It gives guidance on how market operators and market participants can comply with their obligations under the competition market integrity rules.</p> <p>This guidance is based on ASIC market integrity rules that were made by ASIC on 29 April 2011, as amended by the ASIC Market Integrity Rules (Competition in Exchange Markets) Amendment 2012 (No. 1), ASIC Market integrity Rules (Competition in Exchange Markets) Amendment 2013 (No. 1) and ASIC Market integrity Rules (Competition in Exchange Markets) Amendment 2013 (No. 2).</p> <p>Updated to reflect new market integrity rules on dark liquidity and high-frequency trading.</p> | <p>MR 13-213 REP 364 MIR 13/989 MIR 13/990 MIR 13/991 MIR 13/992</p> |
| <p>RG 235 Registering your business name</p> | <p>15/8/2013</p> | <p>This guide is for people who wish to run a business in Australia using a business name.</p> <p>This guide explains when you must register your business name, how to register your business name and how to maintain your business name after it is registered.</p> <p>It also gives some guidance about business names that were previously registered in a state or territory.</p> <p>Updated to incorporate technical amendments.</p> | <p>No MR</p> |

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| RG 241 Electronic trading | 21/8/2013 | <p>This guide is for market participants of the markets operated by ASX Limited (ASX), Chi-X Australia Pty Ltd (Chi-X) and Asia Pacific Exchange Limited (APX) that use or intend to use their systems for automated order processing (AOP), including use in relation to a crossing system.</p> <p>It gives guidance on how ASX, Chi-X and APX market participants can comply with their obligations under ASIC market integrity rules that apply to the use of AOP.</p> <p>Note 1: This guidance applies from May 2014. It reflects the ASIC market integrity rules for these markets as amended by the ASIC Market Integrity Rules (ASX Market) Amendment 2012 (No. 3), ASIC Market Integrity Rules (Chi-X Australia Market) Amendment 2012 (No. 3) and ASIC Market Integrity Rules (APX Market) Amendment 2013 (No. 1), which commence in May 2014.</p> <p>Note 2: References to ASIC Market Integrity Rules (Competition in Exchange Markets) 2011 do not apply to APX because APX is a listing market and does not offer trading services in ASX-listed equity market products.</p> <p>Updated to provide guidance on automated trading.</p> | Editor's note to MR 13-213 |
| RG 209 Credit licensing: Responsible lending conduct | 2/9/2013 | <p>This is a guide for credit licensees, credit applicants and unlicensed carried over instrument lenders (unlicensed COI lenders).</p> <p>It sets out ASIC's expectations for meeting the responsible lending obligations in Chapter 3 of the <i>National Consumer Credit Protection Act 2009</i> (National Credit Act).</p> <p>ASIC has updated Regulatory Guide 209 <i>Responsible lending conduct</i> (RG 209) to take into account new responsible lending obligations that apply to reverse mortgages, including:</p> <ul style="list-style-type: none"> • the requirement for licensees to make reasonable inquiries about a consumer's requirements and objectives in meeting possible future needs • presumptions of unsuitability where the loan-to-value ratio exceeds set thresholds based on age, and • how the requirement to make and show equity projections can be used to meet existing responsible lending obligations to consider requirements and objectives. | MR 13-241 INFO 185 |

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| RG 172 Australian market licences: Australian operators | 24/9/2013 | <p>This guide outlines ASIC's role in and approach to financial market regulation under the Corporations Act 2001. It deals with financial markets operating in Australia, with particular focus on Australian operators.</p> <p>This regulatory guide has not been updated since March 2002, except for the addition of an addendum on market licensee systems and controls in November 2012: see page A-1. Since the release of RG 172 we have published the following related regulatory guides:</p> <ul style="list-style-type: none"> • RG 177 <i>Australian market licences: Overseas operators</i>; and • RG 211 <i>Clearing and settlement facilities: Australian and overseas operators</i>. <p>Note that RG 172 has not been updated to take into account legislative changes to the:</p> <ul style="list-style-type: none"> • <i>Corporations Amendment (Financial Market Supervision) Act 2010</i>, which transferred market supervision to ASIC and enabled ASIC to make market integrity rules; and • <i>Corporations and Financial Sector Legislation Amendment Act 2013</i>, which amended ASIC's obligation to conduct annual assessments of market licensees. <p>RG 172 as a whole will be reviewed and updated in due course.</p> | No MR |
| RG 240 Hedge funds: Improving disclosure | 3/10/2013 | <p>This guide is for those involved in the issue and sale of hedge funds. It sets out our guidance for improved disclosure to investors to help them understand and assess these products.</p> <p>In seeking to improve disclosure, ASIC aims to ensure that investors and their advisers have the information they need to make an informed investment decision. However, this should not be regarded as an indication that we consider these products to be suitable for all or most retail investors.</p> <p>ASIC has refined the definition of a hedge fund to ensure its disclosure requirements are appropriately targeted at those funds that pose more complex risks to investors.</p> <p>Amendments relieve some lower-risk funds from the more extensive disclosure obligations imposed on a hedge fund under RG 240.</p> | MR 13-268 [CO 13/1128] |

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| RG 175 Licensing: Financial product advisers—Conduct and disclosure | 3/10/2013 | <p>This is a guide for persons who provide financial product advice to retail clients, and their professional advisers (such as lawyers).</p> <p>This guide considers how certain conduct and disclosure obligations in Pt 7.7 and Div 2 of Pt 7.7A of the Corporations Act 2001 (Corporations Act) apply to the provision of financial product advice.</p> <p>The changes in this update are technical and reflect the repeal of s945A and s945B of the Corporations Act on 1 July 2013.</p> | No MR (see FOFA newsletter – Issue 8, Oct 2013) |
| RG 5 Relevant interests and substantial holding notices | 7/11/2013 | <p>This guide is for investors who acquire an interest in the securities of a company or managed investment scheme, and their advisers. It:</p> <ul style="list-style-type: none"> • discusses the concept of a ‘relevant interest’ and various issues a person must consider in determining whether they have a relevant interest in securities under the <i>Corporations Act 2001</i> (Corporations Act); • explains the requirement for a person to disclose the relevant interest in voting shares and voting interests that they and their associates have when they acquire or maintain a substantial holding in a listed company, body or managed investment scheme; and • outlines ASIC’s class order modifications to the relevant interest and substantial holding provisions. <p>This version was issued in November 2013 and is based on legislation and regulations as at the date of issue. It incorporates minor amendments only to the original version issued in June 2013, including new references in Table 4 to recently issued class orders.</p> | RG 5 Relevant interests and substantial holding notices |

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| RG 166 Licensing: Financial requirements | 21/11/2013 | <p>This guide sets out the financial requirements you must meet as the holder of an Australian financial services (AFS) licence. The requirements vary depending on the financial products and services you offer.</p> <p>If you are a body regulated by the Australian Prudential Regulation Authority (APRA), as defined in s3(2) of the Australian Prudential Regulation Authority Act 1998 (APRA Act), and are not required to comply with s912A(1)(d) of the <i>Corporations Act 2001</i> (Corporations Act), this guide does not apply to you.</p> <p>Note: APRA, and not ASIC, imposes requirements for financial resources for bodies it regulates. This applies even if only a part of your financial services business is an activity that is regulated by APRA.</p> | MR 13-314 RG 133 REP 376 CO 13/1406 CO 13/1409 CO 13/1410 CO 13/1411 CO 13/1412 PF 209 |
| RG 133 Managed investments and custodial or depository services: Holding assets | 21/11/2013 | <p>This guide is for:</p> <ul style="list-style-type: none"> • responsible entities of registered managed investment schemes; • licensed providers of custodial or depository services (licensed custody providers); • operators of managed discretionary account (MDA) services that are responsible to clients for assets held under an MDA service; and • investor directed portfolio service (IDPS) operators that are responsible to clients for assets held under an IDPS. <p>It explains the Australian financial services (AFS) licence obligations that apply to these entities in relation to holding assets and sets out minimum standards for asset holders.</p> <p>NOTE: Title has changed from <i>Managed investments: Scheme property arrangements</i>.</p> | MR 13-314 RG 133 REP 376 CO 13/1406 CO 13/1409 CO 13/1410 CO 13/1411 CO 13/1412 PF 209 |

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| RG 5 Relevant interests and substantial holding notices | 20/12/2013 | <p>This guide is for investors who acquire an interest in the securities of a company or managed investment scheme, and their advisers. It:</p> <ul style="list-style-type: none"> • discusses the concept of a 'relevant interest' and various issues a person must consider in determining whether they have a relevant interest in securities under the <i>Corporations Act 2001</i> (Corporations Act); • explains the requirement for a person to disclose the relevant interest in voting shares and voting interests that they and their associates have when they acquire or maintain a substantial holding in a listed company, body or managed investment scheme; and • outlines ASIC's class order modifications to the relevant interest and substantial holding provisions. <p>Reissued to correct small typo on p73.</p> | No MR |

Class Orders

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| [CO 13/1026] Amendment of Class Order [CO 03/1099] | <p><i>Issued 15/8/2013</i> <i>Registered 27/8/2013</i> <i>Gazetted 27/8/2013: ASIC Gazette A39/13</i> <i>Effective 27/8/2013 (later of registration and gazettal)</i></p> | Class Order [CO 13/1026] amends Class Order [CO 03/1099]. | No MR |
| [CO 13/1050] Financial reporting by stapled entities | <p><i>Issued 21/8/2013</i> <i>Registered 22/8/2013</i> <i>Effective 22/8/2013 (date of registration)</i></p> | Class Order [CO 13/1050] provides relief relating to the financial reports of stapled entities for half-years and years ended 30 June 2013. It allows the presentation of combined or consolidated financial statements covering all of the entities in a stapled group. It also allows all of the stapled entities in a stapled group to present their financial statements in one financial report. | No MR [SCO 13/1051] |

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| [CO 13/1051] Amendment of Class Orders [CO 98/1418], [CO 01/1455] and [CO 04/672] | <i>Issued 21/8/2013</i> <i>Registered 22/8/2013</i> <i>Effective 22/8/2013 (date of registration)</i> Automatic repeal under Part 5A LIA | Class Order [CO 13/1050] amends Class Orders [CO 98/1418], [CO 01/1455 and, [CO 04/672]. | No MR [CO 13/1050] |
| [SCO 13/854] Amendment of Class Order [CO 00/455], [CO 04/523], [CO 09/425], [CO 11/272] and [CO 12/1209] | <i>Issued 26/9/2013</i> <i>Registered 4/10/2013</i> <i>Effective 4/10/2013 (date of registration)</i> Automatic repeal under Part 5A LIA | Class Order [CO 13/854] amends Class Orders [CO 98/1418], [CO 01/1455 and [CO 04/672]. | No MR |
| [CO 13/1128] Amendment of Class Order [CO 12/749] | <i>Issued 25/9/2013</i> <i>Registered 3/10/2013</i> <i>Effective 3/10/2013 (date of registration)</i> <i>Transitional provision: not automatically repealed under Part 5A LIA</i> | Class Order [CO 13/1128] amends Class Order [CO 12/749] | MR 13-268 RG 240 |
| [CO 13/721] Relief to facilitate quotation of exchange traded funds on the AQUA Market | <i>Issued 9/10/2013</i> <i>Registered 15/10/2013</i> <i>Effective 15/10/2013 (date of registration)</i> | Class Order [CO 13/721] provides relief from equal treatment of members, relevant interest and substantial holdings provisions in the Corporations Act to facilitate quotation of exchange traded funds on the AQUA Market. | MR 13-281 REP 373 CO 13/1200 |

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| [CO 13/1200] Periodic Statements Relief for AQUA Quoted and Listed Managed Investment Scheme Issuer | <i>Issued 9/10/2013</i> <i>Registered 15/10/2013</i> <i>Effective 15/10/2013 (date of registration)</i> | Class Order [CO 13/1200] provides temporary relief to AQUA quoted and Listed managed investment scheme issuers from the obligation under s1017D to give periodic statements to members of the schemes. The instrument also modifies the obligation under s1017D for these issuers to overcome the practical difficulties in complying with the obligation in its unmodified form for AQUA quoted and listed managed investment schemes. | MR 13-281 REP 373 CO 13/721 |
| [SCO 13/1275] Amendment of Class Order [CO 13/830] | <i>Issued 11/10/2013</i> <i>Registered 15/10/2013</i> <i>Effective 15/10/2013 (date of registration)</i> Automatic repeal under Part 5A LIA | Class Order [CO 13/1275] amends Class Order [CO 13/830]. | MR 13-328 (released 6/12/2013) INFO 170 (released 22/11/2013) CP 219 (released 28/11/2013) REP 378 (released 6/12/2013) |
| SCO 13/1362 Amendment of Class Order [CO 10/321] | <i>Issued 31/10/2013</i> <i>Registered 6/11/2013</i> <i>Effective 6/11/2013 (date of registration)</i> Automatic repeal under Part 5A LIA | Class Order [CO 13/1362] amends Class Order [CO 10/321]. | No MR |
| CO 13/1420 Interim relief from separately reporting low income superannuation contributions in members' periodic statements | <i>Issued 12/11/2013</i> <i>Registered 15/11/2013</i> <i>Effective 15/11/2013 (date of registration)</i> | Class Order [CO 13/1420] provides temporary relief from regulation 7.9.20(2A) of the Corporations Regulations 2001, which requires that superannuation trustees separately report low income superannuation contributions in members' periodic statements. The instrument provides conditional exemption from complying with regulation 7.9.20(2A), subject to compliance with two options, which provide for an alternative method of disclosure. | No MR |

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| CO 13/1406 Land holding for primary production schemes | <p><i>Issued 21/11/2013</i> <i>Registered 27/11/2013</i> <i>Effective 2/1/2014 (later of registration or 2/1/2014)</i></p> | <p>Class Order [CO 13/1406] notionally inserts s912AAB into the Corporations Act 2001. It contains the minimum standards that a responsible entity must meet in relation to the holding of interests in land required for the operation of a registered managed investment scheme to ensure the land holding arrangements enable the scheme to be operated efficiently, honestly and fairly.</p> | <p>MR 13-314 RG 133 RG 166 REP 376 CO 13/1409 CO 13/1410 CO 13/1411 CO 13/1412 CO 13/1413 PF 209</p> |
| CO 13/1409 Holding assets: Standards for responsible entities | <p><i>Issued 21/11/2013</i> <i>Registered 27/11/2013</i> <i>Effective: Paras 1–3, 6–8: 27/11/2013; Paras 4,5,9 & 10: 2/1/2014; Para 11: 1/1/2015</i></p> | <p>Class Order [CO 13/1409] notionally inserts s601FCAA and 601FCAB into the <i>Corporations Act 2001</i> and provides relief from s601FC(1)(i)(ii). It imposes minimum standards on responsible entities for holding and dealing with scheme property, to ensure that efficient operational arrangements exist, and scheme property is not exposed to unnecessary risks because of the way it is held.</p> | <p>MR 13-314 RG 133 RG 166 REP 376 CO 13/1406 CO 13/1410 CO 13/1411 CO 13/1412 CO 13/1413 PF 209</p> |

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| CO 13/1410 Holding assets: Standards for providers of custodial and depository services | <i>Issued 21/11/2013 Registered 27/11/2013 Effective 2/1/2014 (later of registration and 2/1/2014)</i> | Class Order [CO 13/1410] notionally inserts sections 912AAC, 912AAD and 912AAE into the <i>Corporations Act 2001</i> . It imposes minimum standards on custodians for holding custodial property, to ensure that efficient operational arrangements exist and that custodial property is not exposed to unnecessary risks because of the way it is held. | MR 13-314 RG 133 RG 166 REP 376 CO 13/1406 CO 13/1409 CO 13/1411 CO 13/1412 CO 13/1413 PF 209 |
| CO 13/1411 Managed discretionary accounts: Amendment of Class Order [CO 04/194] | <i>Issued 21/11/2013 Registered 27/11/2013 Effective 2/1/2014 (later of registration or 2/1/2014)</i> | Class Order [CO 13/1411] amends Class Order [CO 04/194] by inserting paragraphs 1.22A to 1.22S and paragraphs 2.8A to 2.8C. It specifies the minimum standards that an MDA operator must meet in holding client property or arranging for client property to be held by another asset holder and minimum content requirements for the MDA operator's agreement with a custodian. | MR 13-314 RG 133 RG 166 REP 376 CO 13/1406 CO 13/1409 CO 13/1410 CO 13/1412 CO 13/1413 PF 209 |

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| CO 13/1412 Investor directed portfolio services: Amendment of Class Order [CO 13/763] | <p><i>Issued 21/11/2013</i> <i>Registered 27/11/2013</i> <i>Effective 2/1/2014 (later of registration and 2/1/2014)</i></p> | <p>Class Order [CO 13/1412] amends Class Order [CO 13/763] by amending s912AD notionally inserted into the <i>Corporations Act 2001</i>. It imposes minimum standards on IDPS operators for holding IDPS property to ensure that efficient operational arrangements exist and IDPS property is not exposed to unnecessary risks because of the way it is held.</p> | <p>MR 13-314 RG 133 RG 166 REP 376 CO 13/1406 CO 13/1409 CO 13/1410 CO 13/1411 CO 13/1413 PF 209</p> |
| CO 13/1413 Special custody assets: Amendment of Class Order [CO 13/760] | <p><i>Issued 21/11/2013</i> <i>Registered 27/11/2013</i> <i>Effective 27/11/2013 (date of registration)</i> <i>Automatic repeal under Part 5A LIA</i></p> | <p>Class Order [CO 13/1413] amends Class Order [CO 13/760] by amending s912AA notionally inserted into the <i>Corporations Act 2001</i>. It expands the definition of special custody assets which affects NTA calculations of responsible entities and IDPS operators, clarifies the time by which certain custodians engaged by a responsible entity or IDPS operator must obtain an audit report and the period to which the report must relate and confirms the NTA requirements that apply to a licensee that does not operate any registered schemes or IDPSs.</p> | <p>MR 13-314 RG 133 RG 166 REP 376 CO 13/1406 CO 13/1409 CO 13/1410 CO 13/1411 CO 13/1412 PF 209</p> |
| CO 13/1473 Amendment of Class Order [CO 13/1420] | <p><i>Issued 21/11/2013</i> <i>Registered 27/11/2013</i> <i>Effective 27/11/2013 (date of registration)</i> <i>Automatic repeal under Part 5A LIA</i></p> | <p>Class Order [CO 13/1473] amends Class Order [CO 13/1420].</p> | <p>No MR</p> |

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| CO 13/1534 Deferral of Stronger Super amendments in relation to PDS and periodic statement disclosure | <i>Issued 5/12/2013 Registered 12/12/2013 Effective 12/12/2013 (date of registration)</i> | Class Order [CO 13/1534] provides a deferral of amendments affecting PDS and periodic statement disclosure and an exemption from the requirement to include the latest product dashboard in periodic statements. | MR 13-342 |
| CO 13/1621 Exemption and declaration for the operation of mFund | <i>Issued 20/12/2013 Registered 7/1/2014 Effective 7/1/2014 (date of registration)</i> | Class Order [CO 13/1621] permits a responsible entity to issue an interest in a registered scheme to 'the acquirer' in response to an application submitted electronically on behalf of the acquirer through mFund. | MR 14-002 |
| CO 13/1644 Amendment of Class Order [CO 13/1050] | <i>Issued 20/12/2013 Registered 14/1/2014 Effective 14/1/2014 (date of registration) Automatic repeal under Part 5A LIA</i> | Class Order 13/1644 amends Class Order [CO 13/1050]. | MR 14-004 |

Consultation Papers

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| CP 215 Assessment and approval of training courses for financial product advisers: Update to RG 146 | 19/8/2013 | <p>This consultation paper sets out ASIC's proposals for changes to the assessment and approval of training courses for financial product advisers set out in Regulatory Guide 146 <i>Licensing: Training of financial product advisers</i> (RG 146).</p> <p>The purpose of this paper is to seek the views of Australian financial services (AFS) licensees and their representatives and training organisations on our proposals.</p> <p>Submissions close 30/9/2013</p> | MR 13-219 |

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| CP 216 Advice on self-managed superannuation funds: Specific disclosure requirements and SMSF costs | 16/9/2013 | <p>This consultation paper sets out ASIC’s proposal to require Australian financial services (AFS) licensees and their authorised representatives who give personal advice to retail clients on establishing or switching to a self-managed superannuation fund (SMSF) to:</p> <ul style="list-style-type: none"> • warn clients that compensation arrangements under Pt 23 of the <i>Superannuation Industry (Supervision) Act 1993</i> (SIS Act) in the event of fraud or theft do not apply to SMSFs; and • explain other matters that may influence a client’s decision about whether to set up an SMSF. <p>We also propose to examine the costs associated with setting up, running and winding up an SMSF, and to develop guidance to improve the quality of advice about SMSFs.</p> <p>We are seeking the views of retail clients, AFS licensees, authorised representatives, individual advice providers, other advisers (including recognised accountants) and other interested parties on our proposals.</p> <p>Submissions close 11/11/2013.</p> | MR 13-243 |

| Title | Release Date | Details | MR/AD and related documents |
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| CP 116 Exempt professional financial markets | 19/9/2013 | <p>This consultation paper sets out when we propose to advise the Minister to exercise the powers under s791C of the Corporations Act 2001 to exempt from the operation of Part 7.2 specialised financial markets that:</p> <ul style="list-style-type: none"> • are accessible exclusively by professional investors; and • offer products that are not usually traded on public markets used by retail investors (e.g. products other than shares and managed investments). <p>This paper proposes some additional matters that may need to be addressed in conditions of any exemption.</p> <p>We have prepared a draft regulatory guide that is attached reflecting the proposals outlined in this paper.</p> <p>Note: The draft regulatory guide was revised in September 2013.</p> <p>The Government announced on 24 August 2009 reforms to the supervision of Australia's financial markets. This paper deals with entities exempt from holding a financial market licence so is not affected by those proposals.</p> <p>Released 7 September 2009. Comments closed 19 October 2009. (Revised 19 September 2013)</p> | No MR |
| CP 217 Presentation of financial statements by stapled entities | 11/10/2013 | <p>This consultation paper seeks your feedback on our proposal to issue an ASIC class order to allow stapled entities to present combined or consolidated financial statements covering all entities in a stapled group. We have prepared this paper because stapled entities may not be able to present combined or consolidated financial statements covering all entities in a stapled group under the new Australian Accounting Standard AASB 10 Consolidated Financial Statements (AASB 10) that applies for reporting periods commencing on or after 1 January 2013.</p> <p>Submissions close 30 November 2013.</p> | MR 13-272 |

| Title | Release Date | Details | MR/AD and related documents |
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| CP 218 Employee incentive schemes | 14/11/2013 | <p>This consultation paper is for persons offering and receiving shares or other financial products under an employee incentive scheme.</p> <p>It seeks feedback on our proposals to facilitate further relief by revising our relief currently in Class Order [CO 03/184] <i>Employee share schemes</i> and our guidance in Regulatory Guide 49 <i>Employee share schemes</i> (RG 49) to cover a wider range of employee incentive schemes. This paper attaches a draft updated version of RG 49.</p> <p>Submissions on ASIC's proposals close 31 January 2014.</p> | <p>MR 13-310</p> <p>Draft RG 49</p> |
| CP 219 Keeping superannuation websites up to date | 28/11/2013 | <p>This consultation paper sets out ASIC's proposals for how remuneration and other information on superannuation websites may be kept up to date under s29QB of the <i>Supervision Industry (Supervision) Act 1993</i> (SIS Act).</p> <p>We are seeking feedback on these proposals from licensees of registrable superannuation entities (RSE licensees).</p> <p>Submissions close 3/2/2014.</p> | <p>MR 13-328</p> <p>SCO 13/1275 (issued 11/10/2013)</p> <p>INFO 170 (released 22/11/2013)</p> <p>REP 378 (released 6/12/2013)</p> |

Reports

| Title | Release Date | Details | MR/AD and related documents |
|------------------------------------------------------------------------------------------------|---------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|
| REP 363 Market assessment report: Reuters Transaction Services Limited | 9/8/2013 | This assessment covers the period 19 May 2012 to 22 April 2013 (the assessment period). | No MR |
| REP 364 Response to submissions on CP 202 Dark liquidity and high-frequency trading: Proposals | 12/8/2013 | This report highlights the key issues that arose out of the submissions received on Consultation Paper 202 <i>Dark liquidity and high-frequency trading: Proposals</i> (CP 202) and details our responses to those issues. | <p>MR 13-213</p> <p>RG 223</p> <p>MIR 13/989</p> <p>MIR 13/990</p> <p>MIR 13/991</p> <p>MIR 13/992</p> |
| REP 367 Market assessment report: IMB Ltd | 14/8/2013 | This assessment covers the period 25 February 2012 to 20 February 2013 (the assessment period). | No MR |

| Title | Release Date | Details | MR/AD and related documents |
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| REP 365 Hybrid securities | 20/8/2013 | <p>This report discusses offers of hybrid securities in the Australian market since the global financial crisis, and in particular, the extensive issuance from November 2011 to June 2013.</p> <p>Hybrid securities often have very complex features and the risks they can pose are often poorly understood by investors. This report describes:</p> <ul style="list-style-type: none"> • what we have done to engage with hybrid issuers and the brokers that sell hybrid securities so that these features and risks are clearly disclosed and the products are not being mis-sold; and • the investor warnings and education about hybrid securities we have provided through the media and on ASIC's MoneySmart website. | MR 13-320 |
| REP 366 ASIC supervision of markets and participants: January to June 2013 | 21/8/2013 | <p>This report summarises key operational statistics and outcomes of ASIC's market and participant supervisory functions in relation to ASX, ASX 24, Chi-X and other market licensees for the period 1 June to 30 June 2013.</p> <p>A summary of ASIC's markets-related enforcement outcomes, for the period 1 January to 30 June 2013, is provided in Section C of the report.</p> | MR 13-223 |
| REP 368 ASIC releases report on emerging market issuers | 27/8/2013 | <p>This report sets out key observations from our review of publicly available information on entities listed on Australian markets with a substantial connection to emerging markets.</p> <p>It identifies some particular challenges these entities may face that are relevant to investor confidence.</p> | MR 13-230 |
| REP 369 Response to submissions on CP 210 Demutualisation approval procedure rules: Minimum member participation requirement | 30/8/2013 | <p>This report highlights the key issues that arose out of the submissions received on Consultation Paper 210 Demutualisation approval procedure rules: Minimum member participation requirement (CP 210) and details our responses to those issues.</p> | MR 13-237 |
| REP 370 The Australian hedge funds sector and systemic risk | 10/9/2013 | <p>The purpose of this report is to provide an overview of the Australian hedge funds sector and to review the results of our 2012 hedge funds survey, which looked at whether hedge funds pose a systemic risk to the Australian economy.</p> | MR 13-254 |

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| REP 371 Overview of decisions on relief applications (February to May 2013) | 19/9/2013 | <p>This is a report for participants in the capital markets and financial services industry who are prospective applicants for relief.</p> <p>This report outlines some of ASIC's decisions on relief applications during the period 1 February to 31 May 2013. It summarises examples of situations where we have exercised, or refused to exercise, our exemption and modification powers from the financial reporting, managed investment, takeovers, fundraising or financial services provisions of the <i>Corporations Act 2001</i>, the <i>National Consumer Credit Protection Act 2009</i> or the <i>National Consumer Credit Protection (Transitional and Consequential Provisions) Act 2009</i>.</p> <p>It also refers to a number of publications issued by ASIC during the period 1 February to 31 May 2013 that may be relevant to prospective applicants for relief, including class orders, consultation papers, regulatory guides and reports.</p> | MR 13-261 |
| REP 372 Insolvency statistics: External administrators' reports (July 2012 to June 2013) | 17/10/2013 | <p>This report is for insolvency practitioners and other interested stakeholders.</p> <p>It presents an overview of total lodgements of statutory reports lodged by liquidators, receivers and voluntary administrators (external administrators) from 1 July 2012 to 30 June 2013, as well as our statistical findings from external administrators' reports lodged electronically when a company enters external administration (EXAD) status (initial external administrators' reports).</p> | MR 13-372 |
| REP 373 Response to submissions on CP 196 Periodic statements for quoted and listed managed investment products and relief for AQUA products | 17/10/2013 | <p>This report highlights the key issues that arose out of the submissions ASIC received on Consultation Paper 196 <i>Periodic statements for quoted and listed managed investment products and relief for AQUA products</i> (CP 196), and outlines our responses to those issues.</p> | MR 13-281 [CO 13/721] [CO 13/1200] |

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| REP 374 National Financial Literacy Stocktake Survey 2013 | 18/10/2013 | <p>Since mid-2008, the ASIC has been the lead Australian Government agency with responsibility for coordinating financial literacy. In 2013, ASIC commenced a review of Australia's National Financial Literacy Strategy, published in 2011, to take stock of progress and develop a refreshed framework for action that addresses the key priorities for the next three years.</p> <p>We consulted with relevant stakeholders to explore the major issues and priorities to be considered in shaping a National Financial Literacy Strategy for 2014–17 (2014–17 Strategy). We also conducted a National Financial Literacy Stocktake Survey (2013 Stocktake Survey) to gather a snapshot of current financial literacy initiatives being conducted across Australia. The results of the 2013</p> <p>Stocktake Survey are published in Report 375 <i>National Financial Literacy Stocktake Survey 2013</i> (REP 375) available at www.financialliteracy.gov.au.</p> <p>This report summarises the main findings of the consultation process.</p> | REP 375 |

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| <p>REP 375 Shaping the National Financial Literacy Strategy for 2014-2017</p> | <p>18/10/2013</p> | <p>In 2013, the ASIC undertook a review of Australia's National Financial Literacy Strategy, published in 2011, to take stock of progress and develop a refreshed framework for action that addresses key priorities for the next three years.</p> <p>An online stocktake survey of Australian financial literacy initiatives—the National Financial Literacy Stocktake Survey (2013 Stocktake Survey)—was conducted as part of the consultation process. This report documents the survey responses. This 'snapshot' provides an opportunity to reflect on current financial literacy offerings in Australia.</p> <p>The report summarises key findings before providing more detail on each initiative, including, where relevant:</p> <ul style="list-style-type: none"> • the type of initiative; • when it was first implemented; • the location(s) of delivery; • the topic(s) covered; • the delivery method(s); • the target audience(s); • the delivery partner(s); • whether it has been independently evaluated; • whether it is provided in a language other than English; and • any other financial literacy initiatives offered by the organisation that are not listed separately. <p>This report should be read in conjunction with the feedback report on the consultation: see Report 374 <i>Shaping a National Financial Literacy Strategy for 2014–17: Consultation feedback report</i> (REP 374). Both reports will inform the National Financial Literacy Strategy for 2014–17 (2014–17 Strategy)</p> | <p>REP 374</p> |

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| REP 376 Response to submissions on CP 197 Holding scheme property and other assets | 21/11/2013 | This report highlights the key issues that arose out of the submissions received on Consultation Paper 197 <i>Holding scheme property and other assets</i> (CP 197) and outlines our responses to those issues. | MR 13-314 RG 133 RG 166 CO 13/1406 CO 13/1409 CO 13/1410 CO 13/1411 CO 13/1412 PF 209 |
| REP 377 Review of advice on retail structured products | 4/12/2013 | <p>This report summarises the results of a review of personal advice to invest in unlisted and unquoted retail structured products (structured products).</p> <p>The report should be read by financial advisers and others involved in financial advice businesses who provide advice on structured products and other complex investments. It provides examples of good practices we identified, and highlights some of the risks and common pitfalls for advisers who advise on these products.</p> | MR 13-323 |
| REP 378 Consumer testing of the MySuper product dashboard | 6/12/2013 | <p>This report was commissioned by ASIC and produced by Latitude Insights.</p> <p>It sets out the results of the consumer testing of the MySuper product dashboard.</p> | MR 13-328 (released 6/12/2013) SCO 13/1275 (issued 11/10/2013) CP 219 (released 28/11/2013) INFO 170 (released 27/11/2013) |
| REP 379 Market assessment report: Asia Pacific Exchange Limited | 12/12/2013 | This report relates to the period 1 January 2012 to 1 July 2013 (assessment period). | No MR |
| REP 380 Market assessment report: NSX Group | 20/12/2013 | This report relates to the period 9 March 2012 to 1 July 2013 (assessment period) and also comments on the sufficiency of NSX Group's financial resources from the end of the assessment period to December 2013. | No MR |

New Rules

| Title | Dates | Details | MR/AD and related documents |
|----------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|
| MIR 13/473 ASIC Market Integrity Rules (APX Market) 2013 | <i>Issued 29/7/2013 Registered 2/8/2013 Effective 3/8/2013 (day after registration)</i> | This instrument sets out the market integrity rules that apply to the market operated by Asia Pacific Exchange Limited (ACN 080 399 220). [MIR 10/658] Market Integrity Rules (APX Market) 2010 is revoked. | No MR MIR 13/474 SMIR 10/658 RG 218 RG 224 RG 226 RG 238 |
| MIR 13/474 ASIC Market Integrity Rules (APX Market) Amendment 2013 (No. 1) | <i>Issued 29/7/2013 Registered 2/8/2013 Effective 26/5/2014 (later of day after registration and 26/5/2014)</i> | This instrument amends the ASIC Market Integrity Rules (APX Market) 2013 to address regulatory issues arising from recent market developments in Australia, in particular new risks to market integrity resulting from the growth of automated trading. | No MR MIR 13/473 RG 218 RG 224 RG 226 RG 238 |
| MIR 13/989 ASIC Market Integrity Rules (Chi-X Australia Market) Amendment 2013 (No. 1) | <i>Issued 5/8/2013 Registered 9/8/2013 Effective: Each provision of this instrument specified in column 1 of the table commences in accordance with column 2 of the table</i> | This instrument amends the ASIC Market Integrity Rules (Chi-X Australia Market) 2011 and the ASIC Market Integrity Rules (Chi-X Australia Market) Amendment 2012 (No. 3) to insert or clarify rules relating to brokerage, disclosure of execution venue, principal orders, crossing systems and manipulative trading practices. | MR 13-213 RG 223 REP 364 MIR 13/990 MIR 13/991 MIR 13/992 |

| Title | Dates | Details | MR/AD and related documents |
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| MIR 13/990 ASIC Market Integrity Rules (ASX 24 Market) Amendment 2013 (No. 2) | <p><i>Issued 5/8/2013</i> <i>Registered 9/8/2013</i> <i>Effective: This instrument commences on the day after the end of the period of 6 months beginning on the day on which this instrument is registered under the Legislative Instruments Act 2003</i></p> | <p>This instrument amends the ASIC Market Integrity Rules (ASX 24 Market) 2010 to address regulatory issues resulting from these recent market developments including manipulative trading practices that may be affected using trading algorithms, and inconsistencies between the regulatory provisions applicable to manipulative trading practices, domestic futures and equities markets.</p> | <p>MR 13-213 RG 223 REP 364 MIR 13/989 MIR 13/991 MIR 13/992</p> |
| MIR 13/991 ASIC Market Integrity Rules (ASX Market) Amendment 2013 (No. 2) | <p><i>Issued 5/8/2013</i> <i>Registered 9/8/2013</i> <i>Effective: Each provision of this instrument specified in column 1 of the table commences in accordance with column 2 of the table.</i></p> | <p>This instrument amends the ASIC Market Integrity Rules (ASX Market) 2010 and the ASIC Market Integrity Rules (ASX Market) Amendment 2012 (No. 3) to insert or clarify rules relating to brokerage, disclosure of execution venue, principal orders, crossing systems and manipulative trading practices.</p> | <p>MR 13-213 RG 223 REP 364 MIR 13/989 MIR 13/991 MIR 13/992</p> |

| Title | Dates | Details | MR/AD and related documents |
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| MIR 13/992 ASIC Market Integrity Rules (Competition in Exchange Markets) Amendment 2013 (No. 2) | <i>Issued 5/8/2013 Registered 9/8/2013 Effective: Each provision of this instrument specified in column 1 of the table commences in accordance with column 2 of the table.</i> | This instrument amends the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011 to insert rules relating to the operation of crossing systems, confidential order information, payment for order flow and course of sales information. | MR 13-213 RG 223 REP 364 MIR 13/989 MIR 13/990 MIR 13/991 |

Class Rule Waivers

| Title | Dates | Details | MR/AD and related documents |
|----------------------------------------------|-----------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|
| CW 13/972 FRLI registration F2013L01603 | <i>Issued 19/8/2013 Registered 21/8/2013 Effective 21/8/2013 (day after registration)</i> | Unconditional - Class Rule Waiver [CW 13/972] relieves a principal trader from the obligation to comply with Rules 2.2.1(1)(ab), (b), (c) and (e) of the ASIC Market Integrity Rules (ASX 24 Market) 2010, in the case where the principal trader is a client of another market participant and the principal trader accesses the market through that market participant. | MR 13-224 RG 250 |
| CW 13/1073 FRLI registration: F2013L01908 | <i>Issued 6/11/2013 Registered 8/11/2013 Effective 8/11/2013 (day after registration)</i> | Conditional – Waiver relieves a Participant from the obligation to comply with Rule 4A.3.2(1)(a) and Rule 4A.3.2(2) of the Competition Rules. A Participant will only be able to rely on the Class Rule Waiver with respect to a client whose orders are not matched or executed in the Crossing System operated by the Participant. Unconditional – Waiver relieves a Participant from the obligation to comply with Rule 4A.5.1 of the Competition Rules for a period of six months. | No MR |
| CW 13/1448 FRLI registration: F2013L01961 | <i>Issued 19/11/2013 Registered 21/11/13 Effective 25/11/2013 (later of registration or 25/11/2013)</i> | Unconditional – Waiver relieves a Participant from the obligation to comply with Rule 4.1.1(1) of the ASIC Market Integrity Rules (Competition) where the Participant enters into a Transaction by matching an Auction Imbalance Order. | No MR |

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| CW 13/1479 FRLI registration: F2013L01959 | <i>Issued 20/11/2013 Registered 21/11/13 Effective 25/11/2013 (later of registration or 25/11/2013)</i> | Unconditional – Waiver relieves a Participant of Chi-X Australia from the obligation to comply with Rule 4.1.1(1) of the ASIC Market Integrity Rules (Competition) where the Participant enters into a Transaction by placing Market on Close Orders. | No MR |
|----------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|

Determinations

| Title | Dates | Details | MR/AD and related documents |
|-----------------------------------------------|---------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|
| OTC DET 13/1145 FRLI registration F2013L01710 | <i>Issued 13/9/2013 Registered 19/9/2013 Effective 20/9/2013 (day after registration)</i> | Determination [OTC DET 13/1145] determines 51 foreign financial markets as Regulated Foreign Markets for the purposes of subrule 1.2.4(2) of the ASIC Derivative Transaction Rules (Reporting) 2013. | No MR |

Information sheets

| Title | Status | Release Date | Comments | MR/AD and related documents |
|-----------------------------------------------------------|----------|--------------|---------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|
| INFO 16 Changing a company name | Reissued | 2/8/2013 | Technical amendments. | No MR |
| INFO 160 Disputes about employee entitlements | Reissued | 5/8/2013 | Technical amendments. | No MR |
| INFO 100 Margin lending—Getting or varying an AFS licence | Reissued | 14/8/2013 | Technical amendments to take account of updates to related document and removal of transitional information | No MR |
| INFO 5 Application for suppression of residential address | Reissued | 19/8/2013 | Technical amendments to remove references to 'Information Processing Centre' and suggestions that forms could be lodged at Service Centres. | No MR |

| Title | Status | Release Date | Comments | MR/AD and related documents |
|------------------------------------------------------------------|--------|--------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|
| INFO 183 Directors and financial reporting | New | 19/8/2013 | <p>This information sheet explains the financial reporting responsibilities of directors. It covers:</p> <ul style="list-style-type: none"> • the general duties of a director • a company's duty to keep proper books and records • what directors should consider when preparing a financial report • financial literacy obligations • director's relationship with the auditor. | No MR INFO 184 |
| INFO 184 Audit transparency reports | New | 19/8/2013 | <p>This information sheet summarises the requirements for audit transparency reports (transparency reports) as set out in s332–332G of the <i>Corporations Act 2001</i> It explains:</p> <ul style="list-style-type: none"> • what is a transparency report and why these reports are important • when the report must be published • what information must or may be included in a transparency report • whether information can be included from reviews by ASIC and other bodies • what happens if a report contains misleading information • what relief is available from the transparency report requirements. | No MR INFO 183 |
| INFO 182 Super switching advice: Complying with your obligations | New | 20/8/2013 | <p>This information sheet provides general information and compliance tips for financial advisers who provide super switching advice. It provides specific examples of inadequate conduct in some of those areas where we frequently encounter compliance issues.</p> <p>Technical amendments have been made to Regulatory Guides 36, 90, 98 and 121, and Information Sheets 134 and 182, mainly to account for legislative changes brought about by the Future of Financial Advice (FOFA) reforms.</p> <p>RG 84 has been withdrawn and its content is now included in INFO 182.</p> | No MR RG 36 (20/8/2013) RG 90 (20/8/2013) RG 98 (30/7/2013) RG 121 (30/7/2013) INFO 134 (30/7/2013) SRG 84 (20/8/2013) |

| Title | Status | Release Date | Comments | MR/AD and related documents |
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| INFO 150 Market supervision and competition cost recovery (1 July 2013 to 30 June 2015) – billing arrangements for ASX and Chi-X market participants | Reissued | 23/08/2013 | <p>This information sheet:</p> <ul style="list-style-type: none"> • includes a brief background to the market supervision cost recovery regime, including changes effective 1 July 2013; • outlines the basis for imposing fees on ASX Limited (ASX) and Chi-X Australia Pty Ltd (Chi-X) market participants; • provides details about the cost recovery arrangements applying to participants from 1 July 2013 to 30 June 2015; and • provides a brief overview of the billing arrangements for ASIC market supervision cost recovery. | No MR |
| INFO 185 Using ASIC's reverse mortgage calculator | New | 2/9/2013 | <p>This information sheet sets out how credit licensees should use the reverse mortgage calculator on ASIC's MoneySmart website. It covers:</p> <ul style="list-style-type: none"> ▪ how we expect you to use the calculator to meet your responsible lending obligations for reverse mortgages under the <i>National Consumer Credit Protection Act 2009</i> (National Credit Act) and the National Consumer Credit Protection Regulations 2010 (National Credit Regulations) ▪ information to help you use the calculator effectively. | MR 13-241 RG 209 |
| INFO 139 ASIC Act infringement notices: Your rights | Reissued | 3/09/2013 | <p>Technical amendments only (legislative references updated).</p> <p>Note: Title has changed from 'Australian Consumer Law infringement notices: Your rights'.</p> | No MR |
| INFO 13 Australian Company Numbers | Reissued | 4/9/2013 | Technical amendments only (penalties updated and Practice Note references updated to Regulatory Guides. | No MR |
| INFO 14 Bankruptcy and personal insolvency agreements | Reissued | 6/9/2013 | Technical amendments only (penalties updated). | No MR |
| INFO 25 Voluntarily deregistering a company | Reissued | 6/9/2013 | Technical amendments only (penalties updated) | No MR |

| Title | Status | Release Date | Comments | MR/AD and related documents |
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| INFO 49 Minimum officeholders | Reissued | 6/9/2013 | Technical amendments only (penalties updated) | No MR |
| INFO 50 Notifying the ASX about directors' interests in company securities | Reissued | 6/9/2013 | Technical amendments only (penalties updated) | No MR |
| INFO 78 Winding-up a solvent company | Reissued | 6/9/2013 | Technical amendments only (penalties updated) | No MR |
| INFO 57 Registered EDGE software developers | Reissued | 16/9/2013 | Technical amendments (developer details for CMMD Corporate Services Pty Ltd updated) | No MR |
| INFO 145 ASIC's compulsory information-gathering powers | Reissued | 16/9/2013 | Technical amendments only (penalties updated) | No MR |
| INFO 151 ASIC's approach to enforcement | Reissued | 16/9/2013 | Technical amendments only (penalties updated) | No MR |
| INFO 57 Registered EDGE software developers | Reissued | 17/9/2013 | Technical amendments only (details for MYOB updated) | No MR |
| INFO 14 Bankruptcy and personal insolvency agreements | Reissued | 18/9/2013 | Technical amendments only (updated ITSA references to Australian Financial Security Authority (AFSA)) | No MR |
| INFO 26 Dealing with businesses and companies: How to avoid being swindled | Reissued | 18/9/2013 | Technical amendments only (updated ITSA references to Australian Financial Security Authority (AFSA)) | No MR |
| INFO 34 How to apply for registration as a liquidator | Reissued | 18/9/2013 | Technical emndments only (updated ITSA references to Australian Financial Security Authority (AFSA)) | No MR |
| INFO 92 Probity request procedures for overseas regulators | Reissued | 18/9/2013 | Technical amendments only (updated ITSA references to Australian Financial Security Authority (AFSA)) | No MR |
| INFO 112 Guidance for financial counsellors | Reissued | 18/9/2013 | Technical amendments only (updated ITSA references to Australian Financial Security Authority (AFSA) and changed tense to 'On 1 July 2010, ASIC took over the regulation of consumer credit and finance broking ...' from '... will take over ...') | No MR |

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| SINFO 11 ASIC locations – where to find help | Withdrawn | 30/9/2013 | Content superseded. | No MR |
| (Unnumbered) Don't kiss your money goodbye | Withdrawn | 30/9/2013 | Content superseded. | No MR |
| INFO 160 Disputes about employee entitlement | Reissued | 18/11/2013 | Technical amendments. | No MR |
| INFO 106 Trustee companies: Minimum standards for trustee companies holding estate assets | Withdrawn | 21/11/2013 | Because RG 133 is being reissued the content of INFO 106 is now incorrect and it has been 'withdrawn' temporarily pending an update. | None (RG 133) |
| INFO 170 MySuper product dashboard requirements for superannuation trustees | New | 22/11/2013 | This information sheet gives guidance to superannuation trustees and other persons in relation to the product dashboard requirements in s1017BA of the <i>Corporations Act 2001</i> for MySuper products. | MR 13-328 (released 6/12/2013) SCO 13/1275 (issued 11/10/2013) CP 219 (released 28/11/2013) REP 378 (released 6/12/2013) |
| INFO 155 Shorter PDSs: Complying with requirements for superannuation products and simple managed investment schemes | Reissued | 27/11/2013 | <p>This page provides concise guidance for industry on technical issues related to implementation of the Product Disclosure Statement (PDS) requirements in the Corporations Regulations 2001 (Corporations Regulations) as amended by the Corporations Amendment Regulations 2010 (No. 5) for superannuation products and simple managed investment schemes. These regulations were made in June 2010 and are referred to in this information sheet as the 'shorter PDS regime'.</p> <p>It explains:</p> <ul style="list-style-type: none"> • generally what requirements apply to PDSs for superannuation products and simple managed investment schemes under the shorter PDS regime (shorter PDS requirements), and • what interim relief is available for certain products. | MR 13-318 |
| INFO 57 Registered EDGE software developers | Reissued | 11/12/2013 | Technical amendments only (updated contact details for Compushare Governance Services) | No MR |

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| INFO 186 Disputes about access to company information | New | 23/12/2013 | <p>This information covers what you can do if you have a dispute about:</p> <ul style="list-style-type: none"> • access to minutes of meetings • access to company books and records • updates to ASIC's companies register. | No MR |
| INFO 187 Disputes about similar business names | New | 23/12/2013 | <p>Disputes sometimes arise between business owners over the use of similar business names. These disputes may arise over concerns that similar business names are confusing customers, or when a business owner considers they have a legal right to the exclusive use of a particular business name.</p> <p>ASIC may not always be able to help you in resolving these disputes and you may need to seek your own remedies.</p> | No MR |
| INFO 188 Disputes about your rights as a proprietary company shareholder (member) | New | 23/12/2013 | <p>If you own shares in a proprietary company (i.e. one that has 'P/L' or 'Pty Ltd' at the end of its name) you have certain rights, including the right to get information about the operation of the company and the right to request the company hold meetings of members (subject to certain conditions). If the company fails to provide this information or if it doesn't hold general meetings, it can lead to a dispute between the company (and its directors) and members.</p> <p>Disputes about your rights as a company shareholder can involve:</p> <ul style="list-style-type: none"> • accessing the company register • lack of general meetings • the company acting contrary to the interests of its members • company members bringing legal action against the directors. | No MR |

| Title | Status | Release Date | Comments | MR/AD and related documents |
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| INFO 189 Using 'Limited', 'No Liability' or 'Proprietary' in a name | New | 23/12/2013 | <p>What is the difference between a company and a business?</p> <p>A company is a legal entity distinct from its owners and directors. A business is a way of making money. You do not have to form a company to run a business. Many people work and earn money without having a registered company.</p> <p>How do I know if it is a company or a business?</p> <p>When ASIC registers a company, we give it a nine-digit number called an Australian Company Number (ACN). This number identifies the company</p> | No MR |
| INFO 195 ePayments Code: Reporting data on unauthorised transactions | New | 23/12/2013 | <p>This information sheet is for subscribers to the ePayments Code. It is to help you comply with your obligation under clause 44.1 of the Code to report to ASIC, annually, information about unauthorised transactions.</p> <p>It explains:</p> <ul style="list-style-type: none"> • the meaning of 'unauthorised transactions' for reporting purposes • the information you must include in your report on unauthorised transactions and on complaints about unauthorised transactions and the definitions used for this purpose • when you should lodge the report • how to lodge the report. <p>This information sheet has been developed in consultation with stakeholders, including industry association bodies representing the majority of subscribers to the ePayments Code.</p> | No MR |