

# Australian Securities and Investments Commission – Table of regulatory documents

Documents released during January–June 2014

## New Regulatory Guides

Title	Release Date	Details	MR/AD and related documents
RG 252 Keeping superannuation websites up to date	16/6/2014	This guide explains 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). It is relevant to those in the superannuation industry, including licensees of registrable superannuation entities (RSEs), custodians and administrators.	MR 14-129 CO 14/509 REP 396

## Amended or reissued Regulatory Guides

Title	Release Date	Details	MR/AD and related documents
RG 214 Guidance on ASIC market integrity rules for ASX and ASX 24 markets	6/2/2014	This guide is for participants of the Australian Securities Exchange and ASX 24 (formerly the Sydney Futures Exchange) markets. It gives guidance on how market participants can comply with their obligations under ASIC market integrity rules for these markets. <b>The only changes made are to RG 214.66, RG 214.141 and Table 2, which have been amended to clarify that AFS licensees should email their breach reports to ASIC.</b>	No MR
RG 134 Managed investments: Constitutions	12/2/2014 (reissued 18/2/2014 to correct minor paragraph numbering problem)	This guide is for operators of managed investment schemes (schemes) seeking to register the scheme(s) and their advisers. It sets out our guidance on: the requirements for scheme constitutions in s601GA and 601GB of the Corporations Act 2001 (Corporations Act); and how we apply these requirements in deciding whether to register a scheme. <b>Update incorporates an appendix that sets out the requirements that applied to constitutions under the version of RG 134 as at September 2000.</b> <b>For schemes registered before 1 October 2013, we will not deregister the scheme or take any action against a responsible entity or its officers on the basis that a constitution does not comply with s601GA and 601GB of the Corporations Act if the constitution meets the requirements in this appendix: see RG 134.12–RG 134.17.</b> <b>This appendix is not intended to state any new policy. It merely reflects the requirements that applied under that version of RG 134.</b> <b>Update also incorporates other minor technical changes.</b>	No MR

Title	Release Date	Details	MR/AD and related documents
RG 78 Breach reporting by AFS licensees	26/2/2014	<p>This guide is for Australian financial services (AFS) licensees and responsible entities. It sets out your obligations to report to ASIC certain breaches of the law, and how we apply our administrative enforcement powers.</p> <p><b>The only changes made are updates to the breach notification details (RG 78.25–RG 78.26) and penalty amounts (RG 78.32), deletion of former RG 78.38, and revisions to RG 78.54 that reflect the release of Information Sheet 152 <i>Public comment</i> (INFO 152).</b></p>	No MR
RG 107 Fundraising: Facilitating electronic offers of securities	3/3/2014	<p>This is a guide to facilitate the use of email and the internet to make offers of securities under Ch 6D of the Corporations Act 2001 (Corporations Act). This guide:</p> <ul style="list-style-type: none"> <li>explains how we interpret the fundraising provisions in Ch 6D when using electronic disclosure documents and electronic application forms, including the distribution of these documents by email and the internet;</li> <li>describes the class order relief we have provided for personalised or Australian financial services (AFS) licensee created application forms; and</li> <li>sets out our 'good practice guidance' for using electronic disclosure documents and electronic application forms, including the distribution of these documents by email and the internet.</li> </ul> <p><b>Updated to to ensure ASIC's guidance reflects current market practices and advances in technology.</b></p> <p><b>NOTE: Title has changed from "Electronic prospectus"</b></p>	MR 14-038 SCO 14/25 CO 14/26 SCO 14/128 REP 385

## Class Orders

Title	Dates	Details	MR/AD and related documents
SCO 14/23 Amendment of Class Order [CO 12/749]	<p><i>Issued 31/1/2014</i> <i>Registered 10/2/2014</i> <i>Effective 10/2/2014</i> <i>(date of registration)</i> Automatic repeal under Part 5A LIA</p>	Class Order [CO 14/23] amends Class Order [CO 12/749]	MR 14-026
CO 14/41 Extension of transitional credit hardship provisions	<p><i>Issued 6/2/2014</i> <i>Registered 10/2/2014</i> <i>Effective 2/3/2014 (later of 2/3/2014 or registration)</i></p>	Class Order [CO 14/41] provides exemption from the requirement to give notice of agreement to change credit contract/consumer lease for credit licensees in respect of simple arrangements.	No MR

Title	Dates	Details	MR/AD and related documents
SCO 14/25 Revocation of Class Order [CO 00/44]	<i>Issued 25/2/2014</i> <i>Registered 28/2/2014</i> <i>Effective 28/2/2014</i> <i>(date of registration)</i> Automatic repeal under Part 5A LIA	Class Order [CO 14/25] revokes Class Order [CO 00/44] as the comfort relief provided by that class order is no longer necessary. ASIC considers that electronic disclosure documents and electronic application forms can be distributed in accordance with the requirements of Chapter 6D without the relief provided by Class Order [CO 00/44].	MR 14-038 RG 107 CO 14/26 SCO 14/128 REP 385
CO 14/26 Personalised or Australian financial services licensee created application forms	<i>Issued 25/2/2014</i> <i>Registered 28/2/2014</i> <i>Effective 28/2/2014</i> <i>(date of registration)</i>	Class Order [CO 14/26] gives relief to offerors so that they may issue or transfer securities in response to an application form that has been: personalised by a financial services licensee for an applicant. This relief overcomes any concerns about the personalised application form not being one that is distributed by the offeror or not being copied or directly derived from such a form by the applicant; and created by a financial services licensee. This relief overcomes any concerns about an application form created by a financial services licensee not being one that is distributed by the offeror or not being copied or directly derived from such a form by the applicant.	MR 14-038 RG 107 SCO 14/25 SCO 14/128 REP 385
SCO 14/55 Amendment of Class Order [CO 13/1534]	<i>Issued 25/2/2014</i> <i>Registered 3/3/2014</i> <i>Effective 3/3/2014</i> <i>(date of registration)</i> Automatic repeal under Part 5A LIA	Class Order [CO 14/55] amends Class Order [CO 13/1534] to extend the scope of the First Exemption of [CO 13/1534] to a trustee of an approved deposit fund and a pooled superannuation trust. The duration of the First Exemption is unchanged.	No MR
SCO 14/128 Revocation of Class Order [CO 00/189]	<i>Issued 26/2/2014</i> <i>Registered 3/3/2014</i> <i>Effective 3/3/2014</i> <i>(date of registration)</i> Automatic repeal under Part 5A LIA	Class Order [CO 14/128] revokes Class Order [CO 00/189] as the relief provided by that class order is no longer necessary.	MR 14-038 RG 107 SCO 14/25 CO 14/26 REP 385
14/0234 Exemption for Phase 2 Derivative Reporting Entities	<i>Issued 26/3/2014</i> <i>Registered 1/4/2014</i> <i>Effective 1/4/2014</i> <i>(later of registration of 1/4/2014)</i>	Instrument [14/0234] provides a class order exemption for Phase 2 Reporting Entities from complying with certain provisions of the ASIC Derivative Transaction Rules (Reporting) 2013.	No MR
SCO 14/394 Amendment of Class Order [CO 10/321]	<i>Issued 6/5/2014</i> <i>Registered 9/5/2014</i> <i>Effective 9/5/2014</i> <i>(date of registration)</i> Automatic repeal under Part 5A LIA	Class Order [SCO 14/394] amends Class Order [CO 10/321] Offers of vanilla bonds by extending the minimum subscription requirement of at least \$50 million until 12 November 2014.  ASIC has previously extended the expiry date of the minimum subscription requirement pending any further regulatory developments relating to retail corporate bonds. As no such developments have occurred since [CO 10/321] was last amended, ASIC considers it appropriate to extend the expiry date of the minimum subscription requirement for a further six months.	No MR

Title	Dates	Details	MR/AD and related documents
CO 14/443 Deferral of Choice product dashboard and portfolio holdings disclosure regimes	<i>Issued 16/5/2014 Registered 22/5/2014 Effective 22/5/2014 (date of registration)</i>	Class Order [CO 14/443] provides relief to defer the operation of the product dashboard requirements for choice products and the portfolio holdings disclosure requirements.	No MR
SCO 14/425 Amendment of Class Order [CO 10/630]	<i>Issued 21/5/2014 Registered 26/5/2014 Effective 26/5/2014 (date of registration) Automatic repeal under Part 5A LIA</i>	Class Order [CO 14/425] amends the Class Order [CO 10/630] to extend the maximum period of operation for a further 24 months, to allow additional time for the proposed amending regulations to be made.	No MR
CO 14/509 Keeping RSEs' superannuation websites up to date	<i>Issued 6/6/2014 Registered 26/6/2014 Effective 1/7/2014 (later of 1/7/2014 or registration)</i>	Class Order [CO 14/509] prescribes time frames in which information must be published under s29QB of the Superannuation Industry (Supervision) Act 1993 and SIS regs 2.37 and 2.38	MR 14-129 RG 252 REP 396
CO 14/541 RSE licensee s29QC SIS Act disclosure exemption	<i>Issued 6/6/2014 Registered 13/6/2014 Effective 13/6/2013 (date of registration)</i>	Class Order [CO 14/541] exempts RSE licensees from disclosure obligations in section 29QC of the <i>Superannuation Industry (Supervision) Act 1993</i> until 1 July 2015	MR 14-132 INFO 197
CO 14/632 Key management personnel equity instrument disclosures	<i>Issued 26/6/2014 Registered 30/6/2014 Effective 30/6/2014 (date of registration)</i>	Class Order [CO 14/632] provides relief in relation to certain key management personnel equity instrument disclosures in a directors' report.	MR 14-146 (issued 1/7/2014)
14/0633 Transitional exemptive relief for Phase 3 Reporting Entities from elements of the ASIC Derivative Transaction Rules (Reporting) 2013	<i>Issued 27/6/2014 Registered 2/7/2014 Effective 1/10/2014 (later of registration and 1/10/2014)</i>	Instrument [14/0633] provides a class order exemption for Phase 3 Reporting Entities that provides a staggered delay to the start of trade reporting of Phase 3 under the ASIC Derivative Transaction Rules (Reporting) 2013	No MR
CO 14/648 Amendment of Class Order [CO 08/1]	<i>Issued 28/6/2014 Registered – not yet registered Effective TBC (date of registration)</i>	Class Order [CO 14/648] amends Class Order [CO 08/1]	

## Consultation Papers

Title	Release Date	Details	MR/AD and related documents
CP 220 Fundraising: Facilitating offers of CHESS Depository Interests	28/5/2014	<p>This consultation paper is for foreign companies listed on Australian exchange markets, their advisers, and other persons involved in offers of CHESS depository interests (CDIs) over shares in a foreign company.</p> <p>It seeks feedback on our proposals to facilitate offers of CDIs over shares in a foreign company by issuing class order relief and guidance in relation to the disclosure provisions in Ch 6D, and the licensing provisions in Pt 7.6, of the <i>Corporations Act 2001</i> (Corporations Act).</p> <p>Our proposed class order relief and guidance is set out in a draft class order and draft regulatory guide attached to this paper.</p>	<p>MR 14-116</p> <p>Attachment 1 to CP 220: Draft CO</p> <p>Attachment 2 to CP 220: Draft RG</p>

## Reports

Title	Release Date	Details	MR/AD and related documents
REP 381 Response to submissions on CP 208 ASX Managed Funds Service: Relief from the application form requirement	7/1/2014	<p>This report highlights the key issues that arose out of the submissions received on Consultation Paper 208 <i>ASX Managed Funds Service: Relief from the application form requirement</i> (CP 208) and outlines our responses to those issues.</p>	MR 14-002
REP 382 Overview of decisions on relief applications (June to September 2013)	28/1/2014	<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 our decisions on relief applications during the period 1 June to 30 September 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>, and examples of situations where we have provided, or refused to provide, no-action letters.</p> <p>It also refers to a number of publications issued by ASIC during the period 1 June to 30 September 2013 that may be relevant to prospective applicants for relief, including class orders, consultation papers, regulatory guides and reports.</p>	MR 14-013

Title	Release Date	Details	MR/AD and related documents
REP 383 ASIC enforcement outcomes: July to December 2013	31/1/2014	<p>This report outlines enforcement outcomes achieved by ASIC during the period 1 July 2013 to 31 December 2013 (the relevant period). The report identifies categories of gatekeeper against whom enforcement action was taken, and highlights examples of conduct targeted during this period.</p> <p><b>NOTE: Revised on 13/2/2014 to remove reference “MR 13-319 ASIC penalises Mortgage Choice for false advertising” from Appendix 2, page 47”</b></p>	MR 14-018
REP 384 Regulating complex products	31/1/2014	<p>This report examines the risks posed to retail investors by complex products, ASIC’s work in regulating complex products, and opportunities for ASIC to undertake further work in this area.</p> <p>This report should be read by financial services businesses involved in the development and distribution of complex products, providers of financial advice relating to complex products, and those with an interest in engaging with ASIC on our approach to regulating complex products.</p>	MR 14-017
REP 385 Response to submissions on CP 211 Facilitating electronic offers of securities: Update to RG 107	3/3/2014	<p>This report highlights the key issues that arose out of the submissions received on Consultation Paper 211 <i>Facilitating electronic offers of securities: Update to RG 107</i> (CP 211) and details our responses in relation to those issues.</p>	MR 14-038 RG 107 SCO 14/25 CO 14/26 SCO 14/128
REP 386 ASIC supervision of markets and participants: July to December 2013	19/3/2014	<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 July to 31 December 2013.</p> <p>A summary of ASIC’s markets-related enforcement outcomes, for the period 1 July to 31 December 2013, is provided in Section C of the report.</p>	MR 14-053
REP 387 Penalties for corporate wrongdoing	20/3/2014	<p>This report outlines the penalties available for a range of corporate wrongdoing under legislation administered by ASIC, to enable consideration of whether they are proportionate and consistent with those for comparable wrongdoing:</p> <ul style="list-style-type: none"> <li>• in overseas jurisdictions (i.e. Canada (Ontario), Hong Kong, the United Kingdom and the United States); and</li> <li>• within the Australian context (i.e. across other domestic regulators and legislation administered by ASIC).</li> </ul> <p>The findings in this report will inform ASIC’s submission to the Financial System Inquiry.</p>	MR 14-055

Title	Release Date	Details	MR/AD and related documents
REP 388 Market assessment report: Yieldbroker Pty Limited	2/4/2014	<p>This assessment covers the period 1 October 2012 to 30 September 2013 (the assessment period).</p> <p>ASIC is satisfied that during the assessment period Yieldbroker had adequate arrangements for the supervision of its markets and sufficient resources to operate its markets properly and for the required supervisory arrangements to be provided.</p> <p>ASIC does not have any recommendations to make about Yieldbroker's supervisory arrangements</p>	No MR
REP 389 ASIC regulation of registered liquidators: January to December 2013	8/4/2014	<p>This report is for registered liquidators and other interested stakeholders.</p> <p>It summarises the work undertaken and outcomes achieved by ASIC in supervising registered liquidators in the period 1 January to 31 December 2013.</p>	MR 14-072
REP 390 Review of OTC electricity derivatives market participants' risk management policies	17/4/2014	<p>This report summarises the findings of our review of the risk management policies of Australian financial services (AFS) licensed entities that deal or make a market in over-the-counter (OTC) derivatives in relation to wholesale electricity markets in Australia (market participants).</p>	MR 14-083
REP 391 ASIC's deregulatory initiatives	7/5/2014	<p>This report provides an overview of ASIC's commitment to reduce compliance costs for our regulated population, including ongoing work and new initiatives.</p> <p>It should be read by all businesses and individuals who are required to comply with laws and regulations administered by ASIC and those who have an interest in engaging with ASIC on our approach to deregulation.</p>	MR 14-099
REP 392 Market assessment report: Chi-X Australia Pty Ltd	7/5/2014	<p>This report relates to the period from 1 April 2012 to 31 March 2013 (assessment period).</p>	No MR
REP 394 Review of recent rule changes affecting dark liquidity	19/5/2014	<p>In this report, we publish the results of our review of the impact on market quality of the meaningful price improvement rule and amendments to block tier thresholds which came into effect on 26 May 2013.</p> <p>This report includes, as an attachment, a report commissioned by ASIC and produced by Charles Lane Advisory.</p>	<p>MR 14-105</p> <p>Attachment to REP 394: Report by Charles Lane Advisory: Review of recent rule changes affecting dark liquidity</p>

Title	Release Date	Details	MR/AD and related documents
REP 395 Overview of decisions on relief applications (October 2013 to January 2014)	26/5/2014	<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 our decisions on relief applications during the period 1 October 2013 to 31 January 2014. 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 October 2013 to 31 January 2014 that may be relevant to prospective applicants for relief, including class orders, consultation papers, regulatory guides and reports.</p>	MR 14-113
REP 393 Handling of confidential information: Briefings and unannounced corporate transactions	27/5/2014	<p>This report sets out key observations from our review of the way in which listed entities and their advisers handle confidential, market-sensitive information.</p> <p>This issue affects investor confidence in our markets and is key to ensuring investors are trading on the same information.</p>	MR 14-114
REP 396 Response to submissions on CP 219 Keeping superannuation websites up to date	16/6/2014	This report highlights the key issues that arose out of the submissions received on Consultation Paper 219 <i>Keeping superannuation websites up to date</i> (CP 219) and details our responses to those issues.	MR 14-129 RG 252 CO 14/509
REP 397 Audit inspection program report for 2012–13	27/6/2014	<p>This report summarises the observations and findings identified by ASIC's audit inspection program in the 18 months to 31 December 2013.</p> <p>We expect this report to be of significant interest both to the inspected firms and those firms we have not inspected, as well as companies, audit committees, investors and other stakeholders interested in financial reporting.</p>	MR 14-140

## New Rules

Title	Dates	Details	MR/AD and related documents
SMIR 14/002 ASIC Market Integrity Rules (ASX Market) Amendment 2014 (No. 1)	<p><i>Issued 29/1/2014</i>  <i>Registered 7/2/2014</i>  <i>Effective 9/2/2014 (later of day after registration or 9/2/2014)</i>  Automatic repeal under Part 5A LIA</p>	This instrument amends the ASIC Market Integrity Rules (ASX Market) 2010 to change the compliance start date for short sale tagging obligation under Rule 5.12.1 from 10 March to 28 July.	None



Title	Dates	Details	MR/AD and related documents
SMIR 14/003 ASIC Market Integrity Rules (Chi-X Australia Market) Amendment 2014 (No. 1)	<i>Issued 29/1/2014 Registered 7/2/2014 Effective 9/2/2014 (later of day after registration or 9/2/2014)</i> Automatic repeal under Part 5A LIA	This instrument amends the ASIC Market Integrity Rules (Chi-X Australia Market) 2011 to change the compliance start date for short sale tagging obligation under Rule 5.12.1 from 10 March to 28 July.	None
SMIR 14/004 ASIC Market Integrity Rules (Competition in Exchange Markets) Amendment 2014 (No. 1)	<i>Issued 29/1/2014 Registered 6/3/2014 Effective 7/3/2014 (day after the day of registration)</i> Automatic repeal under Part 5A LIA	This instrument amends the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011 to extend the start date for the Regulatory Data obligations for Participants to 28 July 2014, and to clarify the operation of existing rules requiring disclosure of information about Crossing Systems.	None
SMIR 14/391 ASIC Market Integrity Rules (ASX Market) 2014 No 2	<i>Issued 6/5/2014 Registered 8/5/2014 Effective 9/3/2014 (day after the day of registration)</i> Automatic repeal under Part 5A LIA	This instrument amends the ASIC Market Integrity Rules (ASX Market) Amendment 2013 (No. 2) to delay the commencement date for revisions to Rule 3.4.3 of the ASIC Market Integrity Rules (ASX Market) 2010.	None
SMIR 14/392 ASIC Market Integrity Rules (Chi-X Market) 2014 No 2	<i>Issued 6/5/2014 Registered 8/5/2014 Effective 9/3/2014 (day after the day of registration)</i> Automatic repeal under Part 5A LIA	This instrument amends the ASIC Market Integrity Rules (Chi-X Australia Market) Amendment 2013 (No. 1) to delay the commencement date for revisions to Rule 3.4.3 of the ASIC Market Integrity Rules (Chi-X Australia Market) 2011.	None
MIR 14-444 ASIC Market Integrity Rules (ASX 24 Market) Amendment 2014 (No. 1)	<i>Issued 19/5/2014 Registered 23/5/2014 Effective 26/3/2014 (later of 26/3 or registration)</i> Automatic repeal under Part 5A LIA	This instrument amends the ASIC Market Integrity Rules (ASX 24 Market) 2010 to include a maximum penalty for Rule 3.1.2.	None
MIR 14-445 ASIC Market Integrity Rules (FEX Market) Amendment 2014 (No. 1)	<i>Issued 19/5/2014 Registered 22/5/2014 Effective 26/3/2014 (later of 26/3 or registration)</i> Automatic repeal under Part 5A LIA	This instrument amends the ASIC Market Integrity Rules (FEX Market) 2013 to address regulatory issues resulting from recent market developments including manipulative trading practices that may be effected using trading algorithms, and inconsistencies between the regulatory provisions applicable to manipulative trading practices across domestic futures markets.	None

Title	Dates	Details	MR/AD and related documents
MIR 14-446 ASIC Market Integrity Rules (APX Market-Capital) 2014	<i>Issued 20/5/2014 Registered 21/5/2014 Effective 26/3/2014 (later of 26/3 or registration)</i> Automatic repeal under Part 5A LIA	This instrument repeals the capital requirements in Chapters 8 and 9, and Schedules 1A to 1C (including Annexures to Schedule 1A) of the ASIC Market Integrity Rules (APX Market) 2013, and 're-makes' those capital requirements as Chapters 8 and 9, and Schedules 1A to 1C (including Annexures to Schedule 1A) of the ASIC Market Integrity Rules (APX Market-Capital) 2014.	None
MIR 14-448 ASIC Market Integrity Rules (ASX Market-Capital) 2014	<i>Issued 20/5/2014 Registered 23/5/2014 Effective 26/3/2014 (later of 26/3 or registration)</i> Automatic repeal under Part 5A LIA	This instrument repeals the capital requirements in Chapters 8 and 9, and Schedules 1A to 1C (including Annexures to Schedule 1A) of the ASIC Market Integrity Rules (ASX Market) 2010, and 're-makes' those capital requirements as Chapters 8 and 9, and Schedules 1A to 1C (including Annexures to Schedule 1A) of the ASIC Market Integrity Rules (ASX Market-Capital) 2014.	None
MIR 14-449 ASIC Market Integrity Rules (ASX 24 Market-Capital) 2014	<i>Issued 20/5/2014 Registered 22/5/2014 Effective 26/3/2014 (later of 26/3 or registration)</i> Automatic repeal under Part 5A LIA	This instrument repeals the capital requirements in Chapters 5 and 6, and specified forms in the Schedule of the ASIC Market Integrity Rules (ASX 24 Market) 2010, and 're-makes' those capital requirements as Chapters 5 and 6, and specified forms in the Schedules of the ASIC Market Integrity Rules (ASX 24 Market-Capital) 2014.	None
MIR 14-450 ASIC Market Integrity Rules (Chi-X Australia Market-Capital) 2014	<i>Issued 20/5/2014 Registered 22/5/2014 Effective 26/3/2014 (later of 26/3 or registration)</i> Automatic repeal under Part 5A LIA	This instrument repeals the capital requirements in Chapters 8 and 9, and Schedules 1A to 1C (including Annexures) of the ASIC Market Integrity Rules (Chi-X Australia Market) 2011, and 're-makes' those capital requirements as Chapters 8 and 9, and Schedules 1A to 1C (including Annexures) of the ASIC Market Integrity Rules (Chi-X Australia Market-Capital) 2014	None
MIR 14-451 ASIC Market Integrity Rules (FEX Market-Capital) 2014	<i>Issued 20/5/2014 Registered 22/5/2014 Effective 26/3/2014 (later of 26/3 or registration)</i> Automatic repeal under Part 5A LIA	This instrument repeals the capital requirements in Chapters 5 and 6, and specified forms in the Schedule of the ASIC Market Integrity Rules (FEX Market) 2013, and 're-makes' those capital requirements as Chapters 5 and 6, and specified forms in the Schedules of the ASIC Market Integrity Rules (FEX Market-Capital) 2014.	None
MIR 14-458 ASIC Market Integrity Rules (Competition in Exchange Markets) Amendment 2014 (No. 2)	<i>Issued 20/5/2014 Registered 23/5/2014 Effective 26/3/2014 (later of 26/3 or registration)</i> Automatic repeal under Part 5A LIA	This instrument amends the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011 to require market operators to apply volatility controls to all equity index futures.	None

## Class Rule Waivers

Title	Dates	Details	MR/AD and related documents
CW 14/006 FRLI registration F2014L00239	<i>Issued 5/3/2014 Registered 11/3/2014 Effective 11/3/2014 (later of registration or day after [SMIR 14/004] is registered)</i>	Conditional – Waiver provides relief to participants from the crossing system disclosure requirements in Rules 4A.2.1(1)(ba) and 4A.3.1(1) of the ASIC Market Integrity Rules (Competition) where the participant is not reasonably able to identify the other crossing system or participant because orders are received via the aggregator. Waiver commences on 11 March 2014.	None
CW 14/322 FRLI registration F2014L00486	<i>Issued 17/4/2014 Registered 2/5/2014 Effective 2/5/2014 (date of registration) Automatic repeal under Part 5A LIA</i>	Unconditional - Waiver amends the Class Rule Waiver [CW 13/680] to relieve participants from the obligation to comply with Rule 4.1.1(1) of the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011, in the case where a Participant enters into a Transaction in an Equity Market Product as a result of a Derived Order. This waiver commences on 2 May 2014.	Waiver 14/323

## Determinations

Title	Dates	Details	MR/AD and related documents
No determinations made in January–June			

## Information sheets

Title	Status	Release Date	Comments	MR/AD and related documents
INFO 56 Reduction in share capital	Reissued	10/1/2014	Technical amendments related to lodgment of forms.	No MR
INFO 178 Dark liquidity and high-frequency trading	Reissued	15/1/2014	Technical amendments – diagram replaced and the date in the footer changed to January 2014	No MR
INFO 183 Directors and financial reporting	Reissued	21/1/2014	Technical amendments – useful contacts updated.	No MR
INFO 31 Financial reports	Reissued	3/2/2014	Technical amendments – updated information on what documents need to be lodged	No MR
INFO 47 Members of a company	Reissued	17/2/2014	This information sheet explains: <ul style="list-style-type: none"> <li>• what a member is and their role</li> <li>• how to become a member of a company</li> <li>• what changes regarding members and share structures companies need to notify ASIC about</li> <li>• how to access information about a company, and</li> <li>• the rights and responsibilities of members and companies regarding meetings.</li> </ul> <b>Minor technical amendments related to the release of new INFO 191 (released on 18/2/2014).</b>	No MR

Title	Status	Release Date	Comments	MR/AD and related documents
INFO 52 Whistleblowers and whistleblower protection	Reissued	18/2/2014	This information sheet explains: <ul style="list-style-type: none"> <li>• reporting important information to ASIC</li> <li>• how we will communicate with you</li> <li>• who is a whistleblower</li> <li>• the protections available to whistleblowers under the law</li> <li>• how ASIC deals with information from whistleblowers.</li> </ul> <b>Update covers ASIC's enhanced its approach to dealing with whistleblower reports.</b> <b>NOTE: Title has changed from "Protection for whistleblowers".</b>	MR 13-032
INFO 191 Unsolicited (or unexpected) offers to buy your shares	New	18/2/2014	This information sheet explains what unsolicited offers to buy your shares are and what to do if you are concerned about an unsolicited offer. This information also applies to offers to buy your holdings in listed investment trusts or funds. This information does not apply to offers that are part of share buy-backs or that relate to mergers or takeovers.	No MR
INFO 193 Disputes about share registry services	New	18/2/2014	This information sheet explains what you can do if you have concerns about the service provided, or the information requested, by a company providing share registry services.	No MR
INFO 194 Protecting yourself when you provide goods and services on credit	New	18/2/2014	This information sheet explains some of things you should consider before choosing to provide credit to a company. It covers: secured and unsecured creditors which creditors are paid first in instances of liquidation, and the Personal Property Securities Register (PPSR).	No MR
INFO 87 Fee waivers	Reissued	12/3/2014	Technical amendments – minor style changes and privacy statement added	No MR
INFO 107 Guidelines for managing allegations of misconduct against ASIC staff members	Reissued	12/3/2014	Technical amendments – minor style changes and privacy statement added	No MR
INFO 183 Directors and financial reporting	Reissued	17/3/2014	Reissued to account for the release of INFO 196.	MR 14-047 INFO 196

Title	Status	Release Date	Comments	MR/AD and related documents
INFO 196 Audit quality: The role of directors and audit committee	New	17/3/2014	<p>This information sheet provides guidance to assist directors and audit committees in their role in ensuring the quality of the external audit of a financial report. It explains:</p> <ul style="list-style-type: none"> <li>• why audit quality is important</li> <li>• the responsibilities of the auditor</li> <li>• the roles of directors and audit committees</li> <li>• the responsibilities of directors for auditor independence</li> <li>• who should manage the appointment of auditors</li> <li>• what matters should be considered in setting audit fees, and</li> <li>• what directors and audit committees can do to promote audit quality.</li> </ul> <p>This information sheet is relevant to audit committee members and to directors, whether or not they are members of a company's audit committee.</p>	MR 14-047 INFO 183
INFO 152 Public comment	Reissued	20/5/2014	<p>This information sheet explains: when ASIC may comment publicly on investigations and regulatory actions, and who are our authorised spokespersons.</p> <p><b>Updated to make it clear that ASIC will usually issue a media release or advisory for enforcement outcomes that do not involve criminal, civil or administrative proceedings. This includes when ASIC accepts enforceable undertakings and agreements by people to change their conduct.</b></p>	MR 14-106
INFO 56 Reduction in share capital	Reissued	10/1/2014	Technical amendments related to lodgment of forms.	No MR
INFO 190 Disputes about financial reporting by small proprietary companies	New	17/6/2014	<p>This information sheet explains ASIC's position when someone makes an allegation of a breach of the financial reporting obligations (including both annual financial reports generally and directors' reports) of a small proprietary company. It also explains: who needs to lodge financial reports and when what you may do as a shareholder if you wish a small proprietary company to prepare and circulate financial reports.</p>	No MR
INFO 192 Disputes about company addresses and company mail	New	17/6/2014	<p>This information sheet explains what a company's obligations are when maintaining an up-to-date record of its addresses on ASIC's register. It also includes information about dealing with incorrect company details.</p>	No MR
INFO 197 Fee and cost disclosure requirements for superannuation trustees	New	17/6/2014	<p>This information sheet gives guidance to superannuation trustees and other persons in relation to the fee and cost disclosure requirements in Schs 10 and 10D to the Corporations Regulations 2001 (Corporations Regulations). It explains the information that superannuation trustees must disclose about fees and costs</p>	MR 14-132 CO 14/541

