



ASIC

Australian Securities &
Investments Commission

22-Mar-11

Matthew Jordan
The Treasury
Parkes Place
PARKES ACT 2600

Dear Tania,

Please find enclosed four hard copies of indexed lists of departmental files as requested for senate order for the period 1st July to 31st December 2010.

I confirm that the contact officer for the Australian Securities & Investments Commission is Michael Carter (02) 9911 2469, GPO Box 9827 SYDNEY NSW 2001.

Yours sincerely

Michael Carter
National Coordinator, Records Management
Australian Securities & Investments Commission



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Investments Commission

SENATE LIST ORDER NO 10

AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Indexed File Lists Created between 1st July and 31st December 2010

Dates: 1ST July – 31st December 2010

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

File Number	Title
PMR 2010/020195	LAW REFORM: CONTINUOUS DISCLOSURE BY UNLISTED DISCLOSING ENTITIES
PMR 2010/021420	TRUSTEE COMPANIES - COMPENSATION ARRANGEMENTS
PMR 2010/021659	NOTIFICATIONS RECEIVED FROM MARKET LICENSEES AND CS FACILITY LICENSEES UNDER S792B & 821B OF THE CORPORATIONS ACT 2001 - 1 JULY 2010 TO 30 JUNE 2011 - PART 4
PMR 2010/022946	PROFESSIONAL INDEMNITY INSURANCE AND CREDIT LICENSING
PMR 2010/023507	RPG SUBMISSION-PRO FORMA FINANCIAL INFORMATION
PMR 2010/023823	AUSTRALIAN CONSUMER LAW: PUBLIC GUIDANCE ON ENFORCEMENT AND COMPLIANCE REMEDIES
PMR 2010/024621	NEW REGULATORY GUIDE - PROSPECTUS GUIDANCE VOLUME 1
PMR 2010/024622	NEW REGULATORY GUIDE - PROSPECTUS GUIDANCE VOLUME 2
PMR 2010/024625	NEW REGULATORY GUIDE - PROSPECTUS GUIDANCE VOLUME 3
PMR 2010/025252	INDIRECT SELF ACQUISITION BY INVESTMENT FUNDS FURTHER CONSULTANCY VOLUME 2
PMR 2010/026160	FACILITATING DEBT RAISING
PMR 2010/026265	RG 98 LICENSING: ADMINISTRATIVE ACTION AGAINST FINANCIAL SERVICES PROVIDERS - 2010 UPDATE
PMR 2010/026917	PUBLIC OUTCOMES FOR CREDIT RELATED ENTITIES
PMR 2010/027478	REGULATION OF LIMITED RECOURSE BORROWINGS BY SMSF'S
PMR 2010/027859	ASIC ACT ENFORCEMENT TOOLS: SUBSTANTIATION INFRINGEMENT AND PUBLIC WARNING NOTICES PRECEDENTS AND COMMENTARY
PMR 2010/027862	PUBLIC DETERRENCE POLICY GUIDANCE
PMR 2010/027863	REVIEW OF RG 4: INTERVENTION
PMR 2010/029630	REGULATION OF TRUSTEE COMPANIES/CORPORATIONS VOLUME 5
PMR 2010/029631	REGULATION OF TRUSTEE COMPANIES/CORPORATIONS VOLUME 6
PMR 2010/030336	HOUSING LOANS - RESPONSIBLE LENDING
PMR 2010/030938	WEB BASED LEAD GENERATORS AND CREDIT LICENSING
PMR 2010/031696	MONITORING OF COMPLIANCE WITH ENFORCEABLE UNDERTAKINGS - AUDITORS
PMR 2010/032047	GENERAL PROJECT FINANCIAL SERVICES - MANAGEMENT STRUCTURES NOV 2010
PMR 2010/033378	REGULATORY GUIDE ON INFRASTRUCTURE ENTITIES: IMPROVING DISCLOSURE FOR RETAIL INVESTORS
PMR 2010/033458	REVISED RG 43 ON FINANCIAL REPORTING AND AUDIT RELIEF

PMR 2010/033498 ASP REVIEW 2010/2011- REVIEW SHEETS
PMR 2010/033532 DEVELOPING FORMS FOR SHORTER PDSS
PMR 2010/033657 BROKER RESEARCH REQUEST LETTERS & RESPONSES VOLUME 2 OF 2
PMR 2010/033709 GIVING A PDS IN TELEPHONE SALES OF GENERAL INSURANCE PRODUCTS
PMR 2010/034128 RELIEF TO REINSTATE LAPSED CREDIT REPRESENTATIVE AUTHORISATIONS
PMR 2010/034710 IOSCO STANDING COMMITTEE 2 - PART 7
PMR 2010/034711 IOSCO OTC DERIVATIVES TF
PMR 2010/034772 RELIEF TO REGULARISE INVALID CREDIT REPRESENTATIVE AUTHORISATIONS
PMR 2010/035044 Personal: SUPER SYSTEM REVIEW
PMR 2010/035046 Personal: RETIREMENT PROJECT BOARD MEETINGS
PMR 2010/035048 Personal: FUTURE OF FINANCIAL ADVICE PEAK CONSULTATION GROUP
PMR 2010/035050 Personal: FUTURE OF FINANCIAL ADVICE BOARD MEETINGS
PMR 2010/035576 INFRASTRUCTURE ENTITIES: IMPROVING DISCLOSURE FOR RETAIL INVESTORS
PMR 2010/036366 DEVELOPING FORMS FOR SHORTER PDSS PART 2
PMR 2010/036461 AMENDMENT TO THE DISCLOSURE REGULATIONS - CO 10/1230
PMR 2010/036500 SUBSTANTIAL HOLDING NOTICES AND SECURITIES LENDING PART 3
PMR 2010/036633 GENERAL ADVICE RE TRUSTEE COMPANIES - DEPOSIT TAKERS CREDIT AND INSURERS RELATED PART 2
PMR 2010/037179 WAIVER REQUESTS - MARKET PARTICIPANTS & STOCKBROKERS
PMR 2010/037320 FUTURE OF FINANCIAL ADVICE (FOFA) ASIC / TREASURY STEERING COMMITTEE MEETINGS ADVISORY PANEL MEETING GROUP