



**ASIC**

Australian Securities &  
Investments Commission

8-Sep-09

Maryla Zimny  
The Treasury  
Parkes Place  
PARKES ACT 2600

Dear Maryla,

Please find enclosed four hard copies of indexed lists of departmental files as requested for senate order for the period 1<sup>st</sup> January to 30<sup>th</sup> June 2009.

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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## **SENATE LIST ORDER NO 6**

### **AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION**

*Indexed File Lists Created between 1<sup>st</sup> January and 30<sup>th</sup> June 2008*

**Dates:** 1<sup>ST</sup> January –30<sup>th</sup> June 2009

**Contact:** Michael Carter (02) 9911-2469  
Michael.Carter@asic.gov.au

**Website Details:** Use link below  
<http://www.asic.gov.au>

PMR 2004/019969	ACCOUNTS SURVEILLANCE PROGRAMME JUNE 2004 OCA TARGETING FILE
PMR 2009/000274	RUMOURTRAGE - GENERAL
PMR 2009/000384	COUNTERPARTY RISK IN OTC MARKETS - SUMMER SCHOOL PAPER
PMR 2009/000704	ADVICE STANDARD & COMPLEX FINANCIAL REPORTING GROUP FILE PART 11
PMR 2009/000902	GREAT DEPRESSION & RECESSION
PMR 2009/001096	PRIVATE RULING
PMR 2009/001351	G20
PMR 2009/001377	MARKET PARTICIPANTS & STOCKBROKERS MISCELLANEOUS MATTERS - CBC WORKING PAPERS PART 1
PMR 2009/001378	MARKET PARTICIPANTS & STOCKBROKERS MISCELLANEOUS MATTERS - CBC WORKING PAPERS PART 2
PMR 2009/001379	MARKET PARTICIPANTS & STOCKBROKERS MISCELLANEOUS MATTERS - CBC WORKING PAPERS PART 3
PMR 2009/001380	MARKET PARTICIPANTS & STOCKBROKERS MISCELLANEOUS MATTERS - CBC WORKING PAPERS PART 4
PMR 2009/001397	REGULATION OF TRUSTEE COMPANIES /
PMR 2009/001432	MARKET PARTICIPANTS & STOCKBROKERS GENERAL ADMINISTRATION : CBC WORKING PAPERS
PMR 2009/001446	MFS GROUP: CBC WORKING PAPERS PART 21
PMR 2009/001448	MFS GROUP: CBC WORKING PAPERS PART 22
PMR 2009/001655	CHANGES TO ASX MARKET RULES - ADVICE - AAA - INTERNAL
PMR 2009/001657	CHANGES TO ASX LISTING RULES - ADVICE - AAA - INTERNAL
PMR 2009/001809	RG 123 - LICENSING: DO I NEED AN AFS LICENSE?
PMR 2009/001827	DEEDS REGISTER
PMR 2009/002434	LONGER-TERM RETURNS REPORTING IN SUPERANNUATION FUND PERIODIC STATEMENTS
PMR 2009/003143	SHORT SELLING (SEP 08) MARKET QUERIES AND ANSWERS
PMR 2009/003563	OTC RISK DISCLOSURE
PMR 2009/004297	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 1 - PART 1
PMR 2009/004298	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 2 - PART 2
PMR 2009/004299	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 3 - PART 3
PMR 2009/004300	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 4 - PART 4
PMR 2009/004301	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 5 - PART 5

PMR 2009/004302	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 6- PART 6
PMR 2009/004303	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 7- PART 7
PMR 2009/004304	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 8- PART 8
PMR 2009/004305	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 9- PART 9
PMR 2009/004306	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 10 - PART 10
PMR 2009/004307	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 11 - PART 11
PMR 2009/004308	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 12 - PART 12
PMR 2009/004309	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 13 - PART 13
PMR 2009/004310	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 14 - PART 14
PMR 2009/004311	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 15 - PART 15
PMR 2009/004312	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 16 - PART 16
PMR 2009/004313	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 17 - PART 17
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PMR 2009/004316	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 20 - PART 20
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PMR 2009/004318	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 22 - PART 22
PMR 2009/004319	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 23 - PART 23
PMR 2009/004320	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 24 - PART 24
PMR 2009/004321	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 25 - PART 25
PMR 2009/004323	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 26 - PART 26
PMR 2009/004324	S439A PROJECT - 2007 REPORTS MODERATED FOLDER 27 - PART 27
PMR 2009/004735	CAPITAL REQUIREMENTS FOR MARKET PARTICIPANTS
PMR 2009/004830	IMPROVING QUALITY OF ADVICE PROJECT (GENERAL)
PMR 2009/004833	EXTERNAL MARKET/ INDUSTRY RESEARCH ON FINANCIAL PLANNING
PMR 2009/004942	MARGIN LENDING LICENSING AND RESPONSIBLE LENDING
PMR 2009/004994	OTC PROJECT: CAPITALISATION AND SYSTEMIC RISK
PMR 2009/005103	STATUTORY COMPENSATION SCHEME

PMR 2009/005741	LEGAL SERVICE DIRECTIONS
PMR 2009/006102	SHORT SELLING GENERAL S1020B
PMR 2009/006113	CONSULTATION PAPER 105
PMR 2009/007429	G20 - BUSINESS MODELS AND FINANCIAL REQUIREMENTS
PMR 2009/007688	SECTION 12 OF FINANCIAL SECTOR (BUSINESS TRANSFER AND GROUP RESTRUCTURE) ACT 1999
PMR 2009/007889	REGULATION OF TRUSTEE COMPANIES/ CORPORATIONS VOLUME 2
PMR 2009/008125	SUBSTANTIAL HOLDING NOTICES AND SECURITIES LENDING
PMR 2009/010703	CLIENT MONEY RULES AND INSURANCE PAYMENTS
PMR 2009/011503	QUALITY OF ADVICE ROADSHOW AND MEDIA
PMR 2009/011700	PROPERTY SCHEMES VOLUME 1
PMR 2009/011701	PROPERTY SCHEMES VOLUME 2
PMR 2009/012199	CORPORATE GOVERNANCE - GENERAL ADVICE
PMR 2009/012323	LOW VOLUME MARKETS REVIEW
PMR 2009/012539	PERSONAL PROPERTY SECURITIES
PMR 2009/012978	AUSTRALIAN CONSUMER LAW
PMR 2009/013513	VIRTUAL MONEY
PMR 2009/013641	POLICY & MARKETS - OFFER LIST SHEETS & PIN NUMBERS
PMR 2009/014384	AUSTRALIAN CONSUMER LAW - RESEARCH
PMR 2009/014442	COMMERCIAL MONITORS PROCUREMENT
PMR 2009/014732	ONGOING SURVEILLANCE PLAN FINANCIAL ADVISERS
PMR 2009/014931	DEFINITION OF SUBSTANTIAL AND MAJORITY SHAREHOLDER
PMR 2009/015395	CORPORATIONS ACT ELEARNING SCRIPT
PMR 2009/015565	EMPLOYEE SHARE SCHEMES
PMR 2009/015783	ELECTRONIC COMMERCE PT 8
PMR 2009/015821	HEDGE FUNDS
PMR 2009/016318	ANTI HAWKING ISSUE