Haydar Tuncer

From: Warren Day
Sent: Friday, 28 October 2022 11:55 AM
To: Brendan Facey
Subject: RE: Inquiry into ASIC's capacity and capability to respond to reports of alleged misconduct | PJC on Corporations and Financial Services [SEC=OFFICIAL]

Its also the very detailed breakdown of what we get, whats it about and what we think about it.

Yep, that will start to formulate in about a week.

Kind regards

Warren Day
Chief Operating Officer
Australian Securities and Investments Commission
Tel: +s 11C(1)(a) [redacted]
EA: s 22 [redacted]

From: Brendan Facey s 11C(1)(a) [redacted] >
Sent: Friday, 28 October 2022 11:54 AM
To: Warren Day <s 11C(1)(a) [redacted] >
Subject: RE: Inquiry into ASIC's capacity and capability to respond to reports of alleged misconduct | PJC on Corporations and Financial Services [SEC=OFFICIAL]

Thanks – that would be good before we get too far. s 22 [redacted] and I talked about that this morning so we have tried to get a bit ahead of it, especially after we have just done facts and figures for PJC.

I think the real key will be tailoring it to the overall message we want to pursue overall for the inquiry, so we might want to start kicking that around asap too. And I would be pretty keen to be pretty involved if possible.

Regards

Brendan

Brendan Facey
Senior Executive Leader, Misconduct & Breach Reporting
Senior Executive Leader, Criminal Intelligence Unit
Australian Securities and Investments Commission
Level 7, 120 Collins Street, Melbourne, 3000
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From: Warren Day <s 11C(1)(a) [redacted]> FOI 090-2023
Sent: Friday, 28 October 2022 11:41 AM
To: Brendan Facey <s 11C(1)(a) [redacted]>
Subject: FW: Inquiry into ASIC's capacity and capability to respond to reports of alleged misconduct | PJC on Corporations and Financial Services [SEC=OFFICIAL]

For us to discuss next week. We need to tailer a facts and figures brief for the months ahead.

Kind regards

Warren Day
Chief Operating Officer
Australian Securities and Investments Commission
Tel: s 11C(1)(a) [redacted]
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From: s 22 [redacted]>
Sent: Friday, 28 October 2022 11:27 AM
To: Commissioners <s 22 [redacted]; Louise Macaulay <s 11C(1)(a) [redacted]>; Executive Directors s 22 [redacted]>; Zoe Viellaris <s 11C(1)(a) [redacted]>; Government Relations <s 22 [redacted]>
Cc: Commission EA's <s 22 [redacted]>; EA's to Executive Directors s 22 [redacted]>
Subject: Inquiry into ASIC's capacity and capability to respond to reports of alleged misconduct | PJC on Corporations and Financial Services [SEC=OFFICIAL]

Good morning

The PJC on Corporations and Financial Services has published the following information regarding its new inquiry into ASIC's capacity and capability to respond to reports of alleged misconduct.

The terms of reference for this inquiry have not yet been published.

Parliamentary Joint Committee on Corporations and Financial Services

Inquiry into ASIC's capacity and capability to respond to reports of alleged misconduct

On 27 October 2022, the Parliamentary Joint Committee on Corporations and Financial Services began an inquiry into ASIC's capacity and capability to respond to reports of alleged misconduct.

The committee will call for written submissions in due course.

The committee currently intends to table a report in both Houses of the Parliament by June 2024.

PARLIAMENTARY JOINT COMMITTEE ON CORPORATIONS AND FINANCIAL SERVICES

Media release
Inquiry into ASIC's capacity and capability to respond to reports of alleged misconduct

28 October 2022

The Parliamentary Joint Committee on Corporations and Financial Services has commenced an inquiry into the capacity and capability of the Australian Securities and Investments Commission (ASIC) to undertake proportionate investigation and enforcement action arising from reports of alleged misconduct. The terms of reference are available on the committee's website: https://www.aph.gov.au/Parliamentary_Business/Committees/Joint/Corporations_and_Financial_Services/ASICallegedmisconduct/Terms_of_Reference

As Australia's corporate, markets and financial services regulator, ASIC is entrusted with the responsibility of ensuring that Australia's financial markets are fair and transparent, within which all participants engage lawfully. ASIC's policies and systems for responding to reports of misconduct must be fair, transparent and serve the interests of the Australian community and the economy. Doing so ensures public confidence in its regulatory function and its ability to protect vulnerable participants in the market.

In undertaking this inquiry, the committee will deliver on its statutory duty and consider whether ASIC's policies and systems are meeting the threshold expected of it. It is keen to hear from interested persons and stakeholders, and will shortly call for written submissions, which will be announced on the committee's website. Information on public hearings will also be added to the committee's website in due course.

To note, the Senate Economics Committee has not yet released information about their inquiry.

I will continue to keep you informed as further information is released.

Regards
s 22

s 22
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