



ASIC

Australian Securities &
Investments Commission

3 March 2014

Marian Dunski
The Treasury
Langton Crescent
PARKES ACT 2600

Senate Order No. 10

Dear Marian,

Please find enclosed the list of files produced by ASIC, (exceptions edited / omitted), for the reporting period 1 July 2013 to 31 December 2013.

I confirm that the contact officer for the Australian Securities & Investments Commission is Sean Sulzberger (03) 9280 3279, GPO Box 9827, Melbourne 3001.

Yours sincerely,

Sean Sulzberger
Manager, Enterprise Content Management & Records
Australian Securities & Investments Commission



ASIC

Australian Securities &
Investments Commission

SENATE ORDER NO. 10

AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Indexed agency file lists created between 1 July 2013 and 31 December 2013

Agency Contact:

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PHYSICAL FILES

File Number	File Name
FSR 2013/014272	FOS SYSTEMIC ISSUE - CREDIT CARD: APPLICATION OF INTEREST RATE
FSR 2013/015887	### ### ### ### ### ### ### - SUPERANNUATION & DEFERRED ANNUITIES REVIEW
FSR 2013/015962	2013/2014 FINANCIAL ADVISERS LIFE INSURANCE CHURNING PROJECT
FSR 2013/016483	2013/2014 FINANCIAL ADVISERS PROACTIVE FOFA VISITS PROJECT
FSR 2013/016678	FUTURE OF FINANCIAL ADVICE - SCALABILITY
FSR 2013/016681	FUTURE OF FINANCIAL ADVICE - SCALABILITY SUBMISSION CP182
FSR 2013/016685	FUTURE OF FINANCIAL ADVICE - SCALABILITY SCALED ADVICE FOR FILE
FSR 2013/016687	FUTURE OF FINANCIAL ADVICE - SCALABILITY CP182, CP183 CONSULTATION MEETINGS SEPT / OCT 2012
FSR 2013/016691	FUTURE OF FINANCIAL ADVICE - SCALABILITY SCALED ADVICE 2012 AND RPG
FSR 2013/016692	FUTURE OF FINANCIAL ADVICE - SCALABILITY
FSR 2013/016693	FUTURE OF FINANCIAL ADVICE - SCALABILITY
FSR 2013/016878	INSOLVENCY LAW REFORM PROJECT - REVIEW OF LIQUIDATOR APPLICATION FORM, REGISTRATION KIT AND RG 186 (LICENSING INVOLVEMENT)
FSR 2013/016927	AFS REVIEW PROJECT - PAPERS TO STEERING COMMITTEE RE MILESTONES, KPI, ADDITIONAL REPORTING & THE REFUSAL PROCESS - AND DETAILS OF CHANGES NEEDED TO FSLs
FSR 2013/016937	DOCUMENTS RELATING TO SETTING UP CLS & PROCEDURES ETC. REGARDING AUSTRALIAN CREDIT LICENCE APPLICATIONS
FSR 2013/016944	REVIEW OF AFS LICENSING KIT - 2009
FSR 2013/019517	PRIVACY STOCKTAKE RE: 398/13
FSR 2013/019937	NEW LICENSEE VISITATION PROJECT 2013/14 (VICTORIA)
FSR 2013/021815	### ### ADVERTISING
FSR 2013/022876	RG126 COMPENSATION ARRANGEMENTS DISCHARGE OF SECURITY BONDS
FSR 2013/023833	### ##### LIMITED
FSR 2013/024979	### ### ### ### COMPARISON RATE ADVERTISING
FSR 2013/026181	FS65 CANCELLATIONS OF AUSTRALIAN FINANCIAL SERVICES LICENCES
FSR 2013/027399	CHANGE OF CONTROL OR OWNERSHIP - FS22
PMR 2013/014041	### DOCUMENTS REVIEWS
PMR 2013/014071	IMS INDUSTRY LIAISON
PMR 2013/014073	MIR HARMONISATION - MRT PRT REVIEW OF DOCUMENTS
PMR 2013/014338	ASIC DERIVATIVE TRADE REPOSITORY RULES 2013: SIGNED INSTRUMENT
PMR 2013/014340	ASIC DERIVATIVE TRANSACTION RULES (REPORTING) 2013: SIGNED INSTRUMENT
PMR 2013/014559	##### # - APPLICATION FOR EXCESS FUNDS FROM NGF UNDER CORPORATIONS REGULATION 7.5.88
PMR 2013/014684	RISK BASED SURVEILLANCE PHASE 2 - GENERAL PROJECT FINANCIAL SERVICES
PMR 2013/014786	### # OPERATING RULES - NEW ZEALAND ELECTRICITY FUTURES AND OPTIONS CONTRACTS
PMR 2013/014824	BUSINESS LIAISON & ENGAGEMENT - ###
PMR 2013/015230	### #, ### # AND### # (#####) FORMAL LODGEMENT OF TECHNICAL AMENDMENTS TO OPERATING RULES: ADMISSION OF ADI'S, NTA DEFINITIONS & DUAL REPORTING & MULTIPLE PIDS
PMR 2013/016148	FINANCIAL RESOURCES REQUIREMENTS PROJECT
PMR 2013/016204	SURVEY ON THE QUALITY OF FINANCIAL PLANNING ADVICE (REP 18) RELEASED FEB 2003
PMR 2013/016205	SHADOW SHOPPING STUDY OF RETIREMENT ADVICE (REP 69) RELEASED APRIL 2006
PMR 2013/016222	### NOTE TRUST
PMR 2013/016228	### ### LLP EXEMPTION REPORTING CONDITIONS
PMR 2013/016241	SHADOW SHOPPING STUDY OF RETIREMENT ADVICE (REP 279) RELEASED MARCH 2012 PART 1 OF 5
PMR 2013/016242	SHADOW SHOPPING STUDY OF RETIREMENT ADVICE (REP 279) RELEASED MARCH 2012 PART 2 OF 5

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PMR 2013/016243	SHADOW SHOPPING STUDY OF RETIREMENT ADVICE (REP 279) RELEASED MARCH 2012 PART 3 OF 5
PMR 2013/016244	SHADOW SHOPPING STUDY OF RETIREMENT ADVICE (REP 279) RELEASED MARCH 2012 PART 4 OF 5
PMR 2013/016245	SHADOW SHOPPING STUDY OF RETIREMENT ADVICE (REP 279) RELEASED MARCH 2012 PART 5 OF 5
PMR 2013/016266	### ##### - OTC CLIENT CLEARING & SEGREGATION OF MONIES
PMR 2013/016272	CORPORATIONS TEAM ADVICE TO SENATE INQUIRY INTO ASIC
PMR 2013/016328	TRAVEL INSURANCE - PDS REVIEWS
PMR 2013/016408	##### - QUARTERLY REPORT FOR THE PERIOD APRIL TO JUNE 2013 - CLASS ORDER - 99/0629
PMR 2013/016452	FUNERAL INSURANCE REVIEW
PMR 2013/016522	2013-14 INTRA-FUND ADVICE SURVEILLANCE
PMR 2013/016530	CAMPAIGN FSRA - OTC ELECTRICITY
PMR 2013/016674	FOFA - ACCOUNTANTS LICENSING EXEMPTION
PMR 2013/016834	##### PRODUCT DASHBOARD
PMR 2013/016970	### ##### TRUST (090150280) - REVIEW OF NON IFRS DISCLOSURES - LISTED ENTITY
PMR 2013/017028	RISK MANAGEMENT SYSTEMS FOR RESPONSIBLE ENTITIES - POLICY BUILD 2012-2013 PART 2
PMR 2013/017383	DEFINITION OF RE REVENUE IN ASIC CLASS ORDERS CO 11/1140 AND CO 13/760
PMR 2013/017540	ADEQUACY OF RISK MANAGEMENT ARRANGEMENTS 2011-12 - CAMPAIGN FSRA PART 5
PMR 2013/018282	### ##### - OTC CLIENT CLEARING & SEGREGATION OF MONIES
PMR 2013/018284	### ##### - OTC CLIENT CLEARING & SEGREGATION OF MONIES
PMR 2013/018697	360 TREASURY SYSTEMS AG EXEMPTION CONDITIONS REPORTING
PMR 2013/018784	DCI WORK ON LIFE INSURANCE CHURN PROJECT
PMR 2013/019180	##### ROLES OFF-SHORE TO MANILA AND BANGALORE
PMR 2013/019344	ASIC REGULATED FOREIGN MARKETS DETERMINATION (OTC DET 13/1145)
PMR 2013/019802	### REVIEW 30 JUNE 2010
PMR 2013/019803	### REVIEW 30 JUNE 2013
PMR 2013/020030	ASIC DERIVATIVE TRANSACTION RULES (REPORTING) 2013 - EXEMPTIONS
PMR 2013/020284	##### 2012 ASSESSMENT - MPS PRT REVIEW OF DOCUMENTS
PMR 2013/020285	##### 2012 ASSESSMENT - MPS PRT REVIEW OF DOCUMENTS
PMR 2013/020286	##### 2012 ASSESSMENT - MPS PRT REVIEW OF DOCUMENTS
PMR 2013/021343	UNREGISTERED MANAGED INVESTMENT SCHEME PROJECT 2013 - 2014
PMR 2013/021630	UNLISTED PROPERTY SCHEME PROJECT 2013 - 2014
PMR 2013/021642	AREIT REVIEW PROJECT 2013 - 2014
PMR 2013/021646	IMS RISK PROFILED ENTITIES PROJECT 2013 -2014
PMR 2013/022406	EDR SCHEME ##### FY 2013-2014
PMR 2013/022537	##### REVIEW
PMR 2013/022844	AFSL FINANCIAL REQUIREMENTS AND RG166
PMR 2013/022867	LATE SEPT-13 ASX 24 MONTHLY NTA RETURN
PMR 2013/022924	REMOTE MEMBERSHIP - CLARIFICATION OF FFSP MODEL
PMR 2013/022973	A REVIEW OF##### EXISTING WAIVER ON ASX 24 MIR 6.2.1(C) AND 2.3.5(1)(B)
PMR 2013/022996	MIS INFORMAL TRUST SCHEMES
PMR 2013/023056	CONDUCT RISK REVIEW - REVIEW OF AUSTRALIA'S INVESTMENT BANKING POPULATION'S APPROACH TO MANAGING CONDUCT RISK
PMR 2013/023115	250R & PROJECT INTEGRITY NOTES
PMR 2013/023137	250R & PROJECT INTEGRITY NOTES PART 2

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PMR 2013/023138	250R & PROJECT INTEGRITY NOTES PART 3
PMR 2013/023139	250R & PROJECT INTEGRITY NOTES PART 4
PMR 2013/023414	CAPITAL RETURNS REVIEW
PMR 2013/023449	TRUSTEES FOR HIRE PROJECT 2013/14
PMR 2013/023496	### ##### - 2013 S794C AND S823C ANNUAL ASSESSMENT CS FACILITIES TEAM WORKING PAPERS
PMR 2013/023628	WARNING REAL ESTATE AGENTS ABOUT UNLICENSED SMSF ADVICE AND MISLEADING ADVERTISING
PMR 2013/023631	CLASS RULE WAIVER-ASIC MARKET INTEGRITY RULES (COMPETITION IN EXCHANGE MARKETS) 2011
PMR 2013/023664	ASIC WARNS CONSUMERS ABOUT ADS RECOMMENDING SMSFS PURCHASE PROPERTIES THROUGH GOVERNMENT SCHEME
PMR 2013/023684	### SUBORDINATED NOTES 2 - GENERAL PROJECT FINANCIAL SERVICES
PMR 2013/023753	DCI REVIEW OF RESPONSES TO CP 212 - CCI AND SICKNESS AND ACCIDENT INSURANCE
PMR 2013/023846	MANAGEMENT DISCUSSION AND ANALYSIS - POLICY DEVELOPMENT
PMR 2013/023847	MANAGEMENT DISCUSSION AND ANALYSIS - POLICY DEVELOPMENT PART 2
PMR 2013/023848	MANAGEMENT DISCUSSION AND ANALYSIS - POLICY DEVELOPMENT PART 3
PMR 2013/024026	CREDIT CARD LIMIT INCREASE APPLICATIONS & PROCESSES
PMR 2013/024075	SMSF TASKFORCE PROJECT
PMR 2013/024098	SMSF TASKFORCE PROJECT
PMR 2013/025022	MOU - MONEYSMART'S AGREEMENT WITH ACCC AND ATO
PMR 2013/025088	### ##### ##### - OTC CLIENT CLEARING & SEGREGATION OF MONIES
PMR 2013/025888	REGARDING SOCIAL IMPACT BONDS - ### ##
PMR 2013/026021	OPERATING AND FINANCIAL REVIEW PROJECT
PMR 2013/026205	### ##### ##### - OTC CLIENT CLEARING & SEGREGATION OF MONIES
PMR 2013/026612	### ##### ##### - OTC CLIENT CLEARING & SEGREGATION OF MONIES
PMR 2013/027413	PRODUCT GUARANTEE ENQUIRY
PMR 2013/027605	UNLISTED MORTGAGE FUND PROJECT 2013/14
PMR 2013/014075	#### 2012 ASSESSMENT - MPS PRT REVIEW OF DOCUMENTS
PMR 2013/014613	CCU WHEAT INDUSTRY ADVISORY TASKFORCE
PMR 2013/015311	PROJECT #####
PMR 2013/015497	##### ##### ASSOCIATION
PMR 2013/019664	ADVICE GENERAL - ### ## - CORPORATIONS BRISBANE - SEPTEMBER 2013 TO
PMR 2013/020827	IMS DISCLOSURE AND ADVERTISING 2013 - 2014
PMR 2013/025595	DCI - ### ##### AND CONSUMER CREDIT REGULATION - MG NOTES
PMR 2013/025807	##### ## #####- QUARTERLY REPORT FOR THE PERIOD JULY TO SEPTEMBER 2013

VIRTUAL FILES

File Number	File Name	Parent
2013 - 005924	2013 - Discretionary & Non-Discretionary Investments - Literature Review	2013
2013 - 004783	2013 - Economic and Regulatory Cycles	2013
2013 - 007068	2014 International Financial Literacy events	INTERNATIONAL FINANCIAL LITERACY EVENTS CALENDAR
2013 - 006357	Commission Reports	Annual Money Week 2014
2013 - 006706	##### (4.3.2 & 4.3.3 Competition in Exchange Markets) (MIR)	Disposed Files 2013
2013 - 005972	##### (4.3.2 & 4.3.3 Competition in Exchange Markets) (MIR) (13-20077)	Market Integrity Rules Projects 2013
2013 - 004808	Compliance Program 2013	Credit Annual Compliance Certificate Compliance Program
2013 - 004802	Compliance Program 2013	Unlisted Public Companies - Non-Lodgement Compliance Programmes
2013 - 004810	Compliance Program 2013	Foreign Companies Compliance Programmes
2013 - 004812	Compliance Program 2013	Managed Investment Scheme Compliance Programmes
2013 - 004803	Compliance Program 2013	Disposed Files 2013
2013 - 004811	Compliance Program 2013	Large Proprietary Companies Compliance Programmes
2013 - 004809	Compliance Program 2013	Financial Services Licensees Compliance Programmes
2013 - 005080	Consumer Affairs Victoria	FTOG Data Requests
2013 - 006210	##### Association	Industry Associations
2013 - 006074	Consumer lease agreement Apr 2013	Privacy
2013 - 006884	Corporate partnerships	Policy and Partnerships
2013 - 004637	Corporations and Corporate Governance	Markets
2013 - 004612	Corporations and Corporate Governance	Markets

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File Number	File Name	Parent
2013 - 007425	CP213	Published Consultation Papers
2013 - 004849	CP214	Published Consultation Papers
2013 - 005328	CP215	Published Consultation Papers
2013 - 005919	CP216	Published Consultation Papers
2013 - 006407	CP217	Published Consultation Papers
2013 - 007426	CP218	Published Consultation Papers
2013 - 007384	CP219	Published Consultation Papers
2013 - 004952	Credit card travel insurance - policy document reviews	General Insurance Products
2013 - 006075	Credit register and amending personal details Sept 2013	Privacy
2013 - 006120	December 2012 update_s 102 for SMSF and Banking Act and Life Insurance Act	Delegations
2013 - 005450	##### Management Business Trust 2013 relief modification	Other Relief
2013 - 006160	####	Australian Derivative Trade Repository Licensees
2013 - 006161	Enterprise Agreement	2014
2013 - 007383	Freezing of Assets in Foreign Jurisdictions	Policies, Procedures & Guidelines
2013 - 007027	### Financial Planning - FOFA visits	D-F
2013 - 007602	Gazette CUMA - 2014	Companies
2013 - 004972	Gazettes - 2012-2013	Reporting
2013 - 006769	Government Connect Working Group	MoneySmart - Government Connect
2013 - 004178	High Court Reports	Reporting 2013-2014
2013 - 004335	Holding Scheme Property and Other Assets: Update to RG 133	Regulation Impact Statements
2013 - 005969	##### Pty Ltd - management rights scheme - PF187	Other Relief
2013 - 006239	Incoming Govt Brief - September - October 2013	Submissions & Government Relations
2013 - 005430	Info Sheet 152: Public Comment	Policies, Procedures & Guidelines
2013 - 005477	Insolvency Statistics (Schedule B) 2013	Reports - Other

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2013 - 007057	International policy and papers	Policy and Partnerships
2013 - 006869	Parliamentary Liaison - COO - 2013-14	Government
2013 - 005401	Parliamentary Liaison work	Escalated Matters
2013 - 006108	Phoenix Working Group	Insolvency Practitioners (IP)
2013 - 006398	PII policy and operational issues	Scheme Management
2013 - 004999	Policy - Prudential tools	Other - Policy Development
2013 - 004263	Privacy Act Reforms	Project Management
2013 - 006247	Project Manager Documents	MoneySmart - Government Connect
2013 - 005115	Promotional Materials Group	Internal Committees & Meetings
2013 - 004824	Publications	ASIC Registry Information
2013 - 004752	Registry Policy Forum	Policies, Procedures & Guidelines
2013 - 006384	Reporting for the Commission	Market Supervision - Period 1 Jul 13 to 30 June 15
2013 - 005673	Request from Treasury re updates post elections Sept 2013	Authorisations
2013 - 007842	Review of OTC Electricity Derivative Market ###- Risk Management Practices	Reports - Other
2013 - 004323	RG 000 Derivative Transaction Reporting	Regulatory Guides
2013 - 007433	RG 000 Greyhound Racing and Breeding Schemes	Regulatory Guides
2013 - 004377	RG 000 Risk Management Systems of Responsible Entities	Regulatory Guides
2013 - 006392	RG 008 Hearings Practice Manual	Regulatory Guides
2013 - 006263	RG 148 Post Implementation Review 2013- 2014	Investment Managers & Superannuation
2013 - 005358	RG work	F A MDA Policy review
2013 - 004437	RG249	Published Regulatory Guides
2013 - 005380	RG250	Published Regulatory Guides
2013 - 005607	RG251	Published Regulatory Guides
2013 - 006783	Sanctions & Penalties Report 2014	Other - Policy Development

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2013 - 007750	Senate Estimates	2014
2013 - 007904	Senate Inquiry into ASIC	Scheme Management
2013 - 006825	Senate Inquiry into ASIC	Corporations & Corporate Governance Enforcement
2013 - 004545	Senate Inquiry into performance of ASIC - 2013	Submissions
2013 - 004942	Senate Inquiry into the Performance of ASIC 201310	Submissions & Government Relations
2013 - 004102	Senate Order No 10 (Previously Order No 6) - Harradine Report 2013 -2015	Reporting
2013 - 006229	Strategy and planning	Policy and Partnerships
2013 - 005560	Tax Institute 201308	Speeches
2013 - 005119	Unlisted Property Review Project 2013 - 2014	Investment Managers & Superannuation
2013 - 007127	##### - FOFA visits	Financial Advisors - W-Z
2013 - 007212	National Archives of Australia - IRC	Advice
2013 - 004774	ACCC Request ## #####.###20130726	FTOG Data Requests
2013 - 007272	Australian Federal Police - ### Corporation - ### ###	Other Domestic Regulators
2013 - 004576	xxxxxxx	Takeovers Panel
2013 - 004136	MBR Senate Inquiry work	Escalated Matters
2013 - 005761	Cairns Agreement - MINCO - Ministerial Council	Other Agreements