



**ASIC**

Australian Securities &  
Investments Commission

19 January 2015

Marian Dunski  
The Treasury  
Langton Crescent  
PARKES ACT 2600

**Senate Order No. 12**

Dear Marian,

Please find enclosed the list of files produced by ASIC, (exceptions edited / omitted), for the reporting period 1 July 2014 to 31 December 2014.

I confirm that the contact officer for the Australian Securities & Investments Commission is Lennart Jacobsen (03) 9280 3292, GPO Box 9827, Melbourne 3001.

Yours sincerely,

Lennart Jacobsen  
Team Leader, Enterprise Content Management Business Solutions  
Australian Securities & Investments Commission



**ASIC**

Australian Securities &  
Investments Commission

# SENATE ORDER NO. 12

## AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

*Indexed agency file lists created between 1 July 2014 and 31 December 2014*

**Agency Contact:**

**Lennart Jacobsen (03) 9280 3292**

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**Website:**

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

## PHYSICAL FILES

File Number	File Name
PMR 2014/014088	UMIS SMALL SCALE STUDY
PMR 2014/014223	CDRAC MATTERS FOR THE PERIOD 2013-2014.
PMR 2014/014436	ASIC FORMS REGISTER RECORD OF APPROVAL OF ASIC FORMS
PMR 2014/014437	ASIC FORMS REGISTER RECORD OF APPROVAL OF ASIC FORMS
PMR 2014/014439	ASIC FORMS REGISTER RECORD OF APPROVAL OF ASIC FORMS
PMR 2014/014440	ASIC ELECTRONIC LODGEMENT PROTOCOL - APPROVAL
PMR 2014/014660	CONSUMER LEASES PROJECT 2013-2014
PMR 2014/015095	CAPITAL RULES
PMR 2014/015401	SUBMISSION TO SENATE INQUIRY INTO FORESTRY MIS 2014
PMR 2014/015698	FINANCIAL ADVISERS - 2012 NON LODGED AUDITED ACCOUNTS PROJECT
PMR 2014/016602	IOP STAKEHOLDER ENGAGEMENT PROJECT
PMR 2014/018068	COACHING SKILLS FOR EXCHANGE MARKET OPERATORS
PMR 2014/018869	MIR 2.3.5 RESPONSIBLE EXECUTIVE NOTIFICATION
PMR 2014/018873	AUSTRALIAN SECURITIES EXCHANGE LIMITED ACN:*** CHANGES TO THE OPERATING RULES - TRANSFER S&P ASX A-REIT INDEX FUTURES CONTRACT TO ASX 24
PMR 2014/019378	SUNSETTING PROJECT 2014 - 2015
PMR 2014/020563	CLASS ORDER 06/636 - SUNSETTING PROJECT REVIEW
PMR 2014/020564	CLASS ORDER 04/1574 - SUNSETTING PROJECT REVIEW
PMR 2014/020582	FSI SUBMISSION - CORPORATIONS
PMR 2014/020584	FSI SUBMISSION - CORPORATIONS
PMR 2014/020945	ASP PROGRAM- FINANCIAL REPORT REVIEW 30.06.2014
PMR 2014/021314	IMS SUPER TRUSTEES RISK PROFILED ENTITIES PROJECT 2014-2015
PMR 2014/022544	TELESALE OF HOME AND CONTENTS (HBHC) POLICIES PROCESS AND DISCLOSURE
PMR 2014/023382	STRONGER SUPER RISK PROFILED ENTITIES PROJECT 2014-2015
FSR 2014/015003	FS65 CANCELLATIONS OF AUSTRALIAN FINANCIAL SERVICES LICENCES
PMR 2014/024764	'BAD APPLES' IN THE MORTGAGE BROKING INDUSTRY
PMR 2014/025297	LIFE INSURANCE CHURN FOLLOWUP
PMR 2014/025311	STRONGER SUPER RISK PROFILED ENTITIES PROJECT 2014-2015
PMR 2014/025313	DCI SUNSETTING CLASS ORDERS - ***
PMR 2014/025377	DCI SUNSETTING CLASS ORDERS
PMR 2014/022601	MIR AOP ANNUAL NOTIFICATION MIR AOP CERTIFICATION NOTIFICATION IN PRIME MASTER FILE

# PHYSICAL FILES

File Number	File Name
PMR 2014/022958	NEW MASTER ADA RENEWAL

## VIRTUAL FILES

File Number	File Name	Parent
2014 - 004661	FWO	Government
2014 - 003208	NT Dept of Transport	Access Agreements
2014 - 003286	NT Dept. of Primary Industry and Fisheries	Access Agreements
2014 - 004922	0 DHS - Cooperative Procurement Programme 2014 - MOU	DHS - Cooperative Procurement Programme for Communication materials and services - 3 Panels and 1 MUL
2014 - 006291	MOU with AUSTRAC - Dec 2014	MOUs
2014 - 003483	ABS - Statistical Clearing House	Policies, Procedures & Guidelines
2014 - 006198	AFP	Memorandum of Understanding (MOU)
2014 - 004226	DCI - Relief matters	Deposit Takers, Credit & Insurers
2014 - 003860	DCI Monthly Enforcement Outcomes	Deposit Takers, Credit & Insurers
2014 - 003609	Delegations from ACCC	Current Delegations
2014 - 003287	Delegations to ACCC	Current Delegations
2014 - 004484	Financial Literacy Six monthly Status Report - for Commission	Reporting
2014 - 005308	FTA Congress 2014	Speeches
2014 - 004097	2013 - COSL Members & Licensees	2013

## VIRTUAL FILES

File Number	File Name	Parent
2014 - 003885	2013 - FoFA Impact	2013
2014 - 004871	2014-2015 Breach Reporting Project	Financial Advisers Projects
2014 - 003581	2014 Law Reform AFSL Work Programme	Financial Advisers Projects
2014 - 003583	2014 PJC Inquiry into proposals to lift the professional, ethical and education standards in the financial services industry	Financial Advisers Projects
2014 - 004290	ABA 2014	Speeches
2014 - 005321	Advice for Commission Meeting - October 2014	PGPA Act
2014 - 003317	Annual Report	2014
2014 - 004052	Annual Report 2013-14	Other Editing
2014 - 003375	Annual report 2014	Reporting
2014 - 004901	Annual Report and Commonwealth Electoral Act - October 2014	Miscellaneous
2014 - 005598	Asia-Pacific Resources Conference 2014	Speeches
2014 - 003910	ASIC Annual Forum 2015	Stakeholder Liaison
2014 - 003938	ASIC Corporate Finance Regulation	Reports - Other
2014 - 003849	ASIC Investigations and Civil Litigation	Policies, Procedures & Guidelines

## VIRTUAL FILES

File Number	File Name	Parent
2014 - 004915	ASIC Risk & Strategic Outlook FY 2016 - Environmental Scan	Active
2014 - 003420	ASIC Strategic Outlook 2014-15	Other Editing
2014 - 006053	Bloomberg Address Sydney 2014	Speeches
2014 - 005577	Compliance Program 2014	Financial Services Licensees Compliance Programmes
2014 - 005578	Compliance Program 2014	Unlisted Public Companies - Limited By Guarantee Compliance Programmes
2014 - 005582	Compliance Program 2015	Credit Annual Compliance Certificate Compliance Program
2014 - 005583	Compliance Program 2015	Financial Services Licensees Compliance Programmes
2014 - 005585	Compliance Program 2015	Foreign Companies Compliance Programmes
2014 - 005586	Compliance Program 2015	Large Proprietary Companies Compliance Programmes
2014 - 005584	Compliance Program 2015	Managed Investment Scheme Compliance Programmes
2014 - 005581	Compliance Program 2015	Minimum Office Holders Compliance Programmes
2014 - 005580	Compliance Program 2015	Unlisted Public Companies - Non-Lodgement Compliance Programmes
2014 - 005579	Compliance Program 2015	Unlisted Public Companies - Limited By Guarantee Compliance Programmes
2014 - 004952	Consistency Between ASIC Disclosure Requirements and APRA Reporting Standards	Consultation Papers

## VIRTUAL FILES

File Number	File Name	Parent
2014 - 004851	Contactless cards	Banking Products
2014 - 003626	COSL Guidelines	Credit Ombudsman Service Ltd (COSL)
2014 - 003178	CP 222 MIR Red Tape Reduction - Prohibitions on Certain Transactions During Takeovers, Schemes and Buybacks, Business Connection Consents and Notification of PI Insurance	Markets
2014 - 004236	CP220	Published Consultation Papers
2014 - 004237	CP221	Published Consultation Papers
2014 - 004162	CP222	Published Consultation Papers
2014 - 004161	CP223	Published Consultation Papers
2014 - 003425	CPA SMSF Conf 201407	Speeches
2014 - 005397	Cyber Resilience	Other - Policy Development
2014 - 005322	Disaggregation	Mergers & Acquisition
2014 - 004524	Disclosure pilot (KFS and self-assessment)	Active
2014 - 006008	Duty of Utmost Good Faith	Deposit Takers & Insurers
2014 - 004716	EDR Relevant Case Law and Enquiries	Scheme Management
2014 - 004169	Electronic Payments	Active



## VIRTUAL FILES

File Number	File Name	Parent
2014 - 004844	Emerging Mining & Resources 2014	Related Party Benefits
2014 - 004211	Employee Incentive Schemes	Regulation Impact Statements
2014 - 003907	Enforceable Undertakings - ANAO - 2014	Reporting
2014 - 004008	Equity Market Infrastructure Integrity	Active
2014 - 005227	ESMA MOU	Clearing & Settlement Facility Licensees
2014 - 004863	EU's	Corporations & Corporate Governance Enforcement
2014 - 006046	Europe	Foreign Jurisdictions
2014 - 005168	Facilitating Electronic Financial Services Disclosures	Consultation Papers
2014 - 006037	Federal Agencies Knowledge Management (FAKM) Meetings	Government
2014 - 006151	Financial Benchmarks	Reports - Other
2014 - 005286	Financial Literacy - Christmas statistics	Active
2014 - 004594	Financial Literacy - Mortgage Switching	Active
2014 - 005388	Financial Literacy - Strategy annual report	Active
2014 - 004779	Framework - Achieving trust and confidence in investors	Other - Policy Development

## VIRTUAL FILES

File Number	File Name	Parent
2014 - 004637	G100 2014	Speeches
2014 - 005064	Generic Calculators	Other - Policy Development
2014 - 005698	Hedge funds - Consolidated data for Sept qtr	Active
2014 - 003668	Hedge Funds - IOSCO Global Hedge Funds Survey Sept 2014	Active
2014 - 005470	Henderson Poverty Index	Active
2014 - 004957	High Court Reports	Reporting 2014-2015
2014 - 005687	High Net Worth	Relief
2014 - 004604	Inquiry into financial related crime	Submissions & Government Relations
2014 - 004158	Inquiry into s313 of the Telecommunications Act	Submissions & Government Relations
2014 - 004115	Inquiry into s313 Telecommunications Act	Submissions
2014 - 004526	Insolvency Statistics (Schedule B) 2014	Reports - Other
2014 - 004547	Insuring Your Home - Consumers' Experiences Buying Home Insurance	Reports - Other
2014 - 006130	Interest-only lending survey	Deposit Takers, Credit & Insurers
2014 - 003659	IOSCO-BCBS - Task Force on Securitisation	Active

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File Number	File Name	Parent
2014 - 004674	IOSCO - Survey of C8 Member on Anti-Fraud Messaging	Active
2014 - 004924	IOSCO Presidents Committee 2014	Speeches
2014 - 005983	Legislative Instruments 2015	Legislative Instruments
2014 - 005984	Legislative Instruments 2016	Legislative Instruments
2014 - 005985	Legislative Instruments 2017	Legislative Instruments
2014 - 005607	Licence Applications and Liquidator Registrations	Reports - Other
2014 - 003176	Market Competition	ICT Audit
2014 - 003669	Market Integrity Rule Amendments Red Tape Reduction	Consultation Papers
2014 - 005364	Markit Customer Conference 2014	Speeches
2014 - 004431	Money Market Funds 2014	Investment Management
2014 - 005626	MoneySmart Teaching Packages	MoneySmart Teaching
2014 - 004302	MST Evaluation 2013 - 2017	MoneySmart Teaching
2014 - 006169	National Press Club Address 2014	Speeches
2014 - 004558	New Financial Advice Review Meeting	Financial Advisers Projects

## VIRTUAL FILES

File Number	File Name	Parent
2014 - 006094	Non-Remedy Reporting	Reporting
2014 - 004858	Operating in this jurisdiction	Clearing & Settlement Facility Licensees
2014 - 004907	OTC Derivatives - Data Quality	Active
2014 - 004120	OTC Derivatives - IOSCO consultation on CDS	Active
2014 - 004636	OTC Derivatives - ODRF	Active
2014 - 004018	OTC Derivatives - Sandbox Proof of Concept	Active
2014 - 003667	OTC Derivatives - Strategic Guidelines on the Use of Data	Active
2014 - 004193	OTC Derivatives - Swap Execution Facilities	Active
2014 - 003631	Parliamentary Liaison - COO - 2014-15	Government
2014 - 003991	PGPA Act from July 2014	PGPA Act
2014 - 004495	PGPA documents	PGPA documents
2014 - 004969	PGPA documents	Finance Executive
2014 - 004993	PJC and Senate Estimate Briefs	Finance Executive
2014 - 003570	PJC Inquiry - Raising standards in the financial services industry	Disposed Files 2014

## VIRTUAL FILES

File Number	File Name	Parent
2014 - 003599	PJC Inquiry 2014 - Proposals to Lift Professional, Ethical and Education Standards in FS Industry	Submissions & Government Relations
2014 - 004347	PJC Opening Statement 2014	Speeches
2014 - 006119	PJC Opening Statement 2014 (No. 2)	Speeches
2014 - 003766	Principal & Interest Reports - 2014-2015	Reporting
2014 - 005920	Progressing Regulatory Reform Conference 20141119	Speeches
2014 - 006407	ABS	2015
2014 - 006408	Annual Report	2015
2014 - 006437	Australian Competition and Consumer Commission [51110/14]	Deposit Takers & Insurers
2014 - 006380	Crowd Sourced Equity Funding Consultation	Submissions
2014 - 006310	Privacy and deceased persons - November 2014	Privacy
2014 - 006418	Senate Estimates - QoN	2015
2014 - 006347	Telecommunications (Interception and Access) Act	Current Delegations
2014 - 006348	Telecommunications (Interception and Access) Act	Current Appointments
2014 - 005976	Regional Commissioner Meetings - Briefings	Internal Committees & Meetings

## VIRTUAL FILES

File Number	File Name	Parent
2014 - 004128	Registry Scoping Study - Commission - July 2014	Miscellaneous
2014 - 004490	Registry Scoping Study - Operations Response	Submissions
2014 - 003387	Regulatory Guide 97 Review	Investment Managers & Superannuation
2014 - 004561	Relief Report 201409 - Covering 201402-201405	Reports - Other
2014 - 003552	REP398	Published Reports
2014 - 003553	REP399	Published Reports
2014 - 003554	REP400	Published Reports
2014 - 003555	REP401	Published Reports
2014 - 003732	REP402	Published Reports
2014 - 004205	REP403	Published Reports
2014 - 004204	REP404	Published Reports
2014 - 004203	REP405	Published Reports
2014 - 004202	REP406	Published Reports
2014 - 004698	REP407	Published Reports

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File Number	File Name	Parent
2014 - 004699	REP408	Published Reports
2014 - 004701	REP409	Published Reports
2014 - 004697	REP410	Published Reports
2014 - 004702	REP411	Published Reports
2014 - 004781	REP412	Published Reports
2014 - 005292	REP413	Published Reports
2014 - 005293	REP414	Published Reports
2014 - 005290	REP415	Published Reports
2014 - 005291	REP416	Published Reports
2014 - 005344	REP417	Published Reports
2014 - 005795	Reports to Commission	2014-2105
2014 - 003999	Response to Submissions - CP 209 Resignation, Removal and Replacement of Auditors: Update to RG 26	Reports - Other
2014 - 003771	Response to submissions - CP 214 Updated Record-keeping Obligations for AFS Licensees	Reports - Other
2014 - 004876	Response to submissions - CP 220 Fundraising: Facilitating offers of CHESS Depository Interests	Reports - Other

## VIRTUAL FILES

File Number	File Name	Parent
2014 - 005389	Response to Submissions - CP 222 Reducing red tape	Reports - Other
2014 - 004285	Review of the Implementation of RG 148	Reports - Other
2014 - 004348	Review of the Sale of Home Insurance	Reports - Other
2014 - 003672	RG 128 Collective Action by Institutional Investors	Regulatory Guides
2014 - 003278	RG096	Published Regulatory Guides
2014 - 004168	Search Warrant Materials	Policies, Procedures & Guidelines
2014 - 003233	Senate Inquiry Into Forestry Managed Investment Schemes	Submissions & Government Relations
2014 - 003755	Tax Effect Accounting	Learning Courses