

Australian Securities and Investments Commission – Table of regulatory documents

Documents released during January–June 2015

New Regulatory Guides

Title	Release Date	Details	Media release and related documents
No new regulatory guides issued in January–June 2015			

Amended or reissued Regulatory Guides

Title	Release Date	Details	Media release and related documents
RG 2 AFS Licensing Kit: Part 2—Preparing your AFS licence or variation application	12/1/2015	Technical update only to take into account change in name of Credit Ombudsman Service Limited (COSL) to Credit and Investments Ombudsman (CIO).	None
RG 204 Applying for and varying a credit licence	12/1/2015	Technical update only to take into account change in name of Credit Ombudsman Service Limited (COSL) to Credit and Investments Ombudsman (CIO).	None
RG 251 Derivative transaction reporting	13/2/2015	<p>This guide is for reporting entities that are subject to the reporting obligations under the ASIC Derivative Transaction Rules (Reporting) 2013.</p> <p>This guide explains the derivative transaction reporting regulatory regime, and gives guidance on particular areas where we consider reporting entities would benefit from guidance to assist them to understand how to comply with the reporting obligations.</p> <p>Amended to take account of amendments made to the ASIC Derivative Transaction Rules (Reporting) 2013 by ASIC Derivative Transaction Rules (Reporting) Amendment 2015 (No. 1).</p>	MR 15-023 REP 422

Title	Release Date	Details	Media release and related documents
RG 100 Enforceable undertakings	19/2/2015	<p>This guide explains our approach to accepting undertakings under s93A and 93AA of the Australian Securities and Investments Commission Act 2001 (ASIC Act).</p> <p>Updated to include guidance on independent experts and publicity for enforceable undertakings, and make a number of minor technical changes.</p>	MR 15-029 INFO 28
RG 249 Derivative trade repositories	10/4/2014	<p>This guide tells you:</p> <ul style="list-style-type: none"> • when you need an Australian derivative trade repository (ADTR) licence and how to apply for one, whether you are an Australian or overseas operator; • what information you should submit with your application; and • what you should do after you have been granted a licence. <p>This guide was issued in April 2015 and is based on legislation and regulations as at the date of issue. It has been amended to clarify what information you need to provide for each director, secretary and member of the senior management team of the applicant and holding company of the applicant in an application for an ADTR licence: see RG 249.134.</p>	None
RG 214 Guidance on ASIC market integrity rules for ASX and ASX 24 markets	4/5/2015	<p>This guide is for participants of the Australian Securities Exchange and ASX 24 (formerly the Sydney Futures Exchange) markets.</p> <p>It gives guidance on how market participants can comply with their obligations under ASIC market integrity rules for these markets.</p> <p>Updated to reflect the repeal of a number of obligations under the ASIC market integrity rules which applied (variously) across markets operated by ASX, Chi-X, APX, NSXA and SIM VSE to reduce the compliance burden on market participants.</p>	MR 15-097 MIR 15/374 MIR 15/382 MIR 15/383 MIR 15/385 MIR 15/386 CW 15/0384 RG 215 RG 223 RG 224 REP 432

Title	Release Date	Details	Media release and related documents
<p>RG 215 Guidance on ASIC market integrity rules for IMB, NSXA and SIM VSE markets</p>	<p>4/5/2015</p>	<p>This guide is for market participants of the IMB, National Stock Exchange of Australia (NSXA) and SIM Venture Securities Exchange (SIM VSE) (formerly Bendigo Stock Exchange) markets.</p> <p>It gives guidance on how market participants can comply with their obligations under ASIC market integrity rules for these markets.</p> <p>Updated to reflect the repeal of a number of obligations under the ASIC market integrity rules which applied (variously) across markets operated by ASX, Chi-X, APX, NSXA and SIM VSE to reduce the compliance burden on market participants.</p>	<p>MR 15-097 MIR 15/374 MIR 15/382 MIR 15/383 MIR 15/385 MIR 15/386 CW 15/0384 RG 214 RG 223 RG 224 REP 432</p>
<p>RG 223 Guidance on ASIC market integrity rules for competition in exchange markets</p>	<p>4/5/2015</p>	<p>This guide is for market operators and market participants of markets and crossing systems that are subject to the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011 (competition market integrity rules).</p> <p>It gives guidance on how market operators and market participants can comply with their obligations under the competition market integrity rules.</p> <p>Updated to reflect the repeal of a number of obligations under the ASIC market integrity rules which applied (variously) across markets operated by ASX, Chi-X, APX, NSXA and SIM VSE to reduce the compliance burden on market participants.</p>	<p>MR 15-097 MIR 15/374 MIR 15/382 MIR 15/383 MIR 15/385 MIR 15/386 CW 15/0384 RG 214 RG 215 RG 224 REP 432</p>

Title	Release Date	Details	Media release and related documents
RG 224 Guidance on ASIC market integrity rules for Chi-X and APX markets	4/5/2015	<p>This guide is for market participants of the markets operated by Chi-X Australia Pty Ltd (Chi-X) and Asia Pacific Exchange Limited (APX).</p> <p>It gives guidance on how market participants can comply with their obligations under the ASIC market integrity rules for these markets.</p> <p>Updated to reflect the repeal of a number of obligations under the ASIC market integrity rules which applied (variously) across markets operated by ASX, Chi-X, APX, NSXA and SIM VSE to reduce the compliance burden on market participants.</p>	<p>MR 15-097</p> <p>MIR 15/374</p> <p>MIR 15/382</p> <p>MIR 15/383</p> <p>MIR 15/385</p> <p>MIR 15/386</p> <p>CW 15/0384</p> <p>RG 214</p> <p>RG 215</p> <p>RG 223</p> <p>REP 432</p>

Title	Release Date	Details	Media release and related documents
RG 236 Do I need an AFS licence to participate in carbon markets?	20/5/2015	<p>This guide is for those who are involved in carbon abatement activities and who enter into carbon abatement contracts related to the Emissions Reduction Fund, as well as other carbon financial services and markets. It is also relevant for persons advising carbon market participants.</p> <p>RG 236 has been updated to take into account:</p> <ul style="list-style-type: none"> • the end of the carbon pricing mechanism in February 2015 • the startup of the Emissions Reduction Fund (ERF), including the broader scope of project types and new participants under the ERF • anticipated ERF project structures that involve multiple small-scale carbon abatement activities under a single project (i.e. 'ERF aggregated project' carried out by an 'aggregator') • competitive ERF reverse auctions for carbon abatement contracts, and • the introduction of the emissions reduction safeguard mechanism in July 2016. <p>RG 236 has also been updated to reflect:</p> <ul style="list-style-type: none"> • that carbon units, European Union allowances and Australian-issued international units ceased to be financial products from the end of the carbon pricing mechanism, and • the exemption of carbon abatement contracts from the definitions of 'derivative' and 'financial product' for the purposes of the Corporations Act 2001 (Corporations Act). <p>This exemption means that a person is not required to hold an Australian financial services (AFS) licence to provide advice about, or enter into, a carbon abatement contract.</p>	MR 15-117 INFO 156

Title	Release Date	Details	Media release and related documents
RG 174 Relief for externally administered companies and registered schemes being wound up	27/5/2015	<p>This guide describes when we will give relief from the financial reporting provisions of the Corporations Act 2001 (Corporations Act) to externally administered companies and to registered managed investment schemes (registered schemes) being wound up. It also describes when we will give relief to externally administered public companies from the requirement to hold an annual general meeting (AGM).</p> <p>Guidance updated to ensure impacted members and creditors of registered managed investment schemes are kept informed, and to reflect new legislative instrument that provides companies with a liquidator appointed with an exemption from financial reporting and, if the company is also a public company, with AGM relief in certain circumstances.</p>	<p>MR 15-131 LI 15/251 SLI 15/275 REP 434</p>
RG 26 Resignation, removal and replacement of auditors	18/6/2015	<p>This is a guide for public companies, responsible entities of registered managed investment schemes, Australian financial services (AFS) licensees, credit licensees, and their appointed auditors.</p> <p>It explains how we may exercise our power to:</p> <ul style="list-style-type: none"> • give consent to the resignation or removal of auditors under certain provisions of the Corporations Act 2001 (Corporations Act); and • approve the resignation or replacement of auditors under certain provisions of the National Consumer Credit Protection Regulations 2010 (National Credit Regulations). <p>Revised to incorporate fundamental change to ASIC's approach to consenting to the resignation, removal and replacement of auditors.</p> <p>ASIC will now generally consent to the resignation of an auditor at any time of the year, subject to some conditions. Previously, ASIC only consented to the resignation of an auditor of a public company to take place at an annual general meeting (AGM) unless there were exceptional circumstances.</p> <p>NOTE: Title has changed from 'Resignation of auditors'.</p>	<p>MR 15-151 RG 136 REP 437 INFO 62 INFO 64 INFO 65 INFO 131 INFO 136</p>

Title	Release Date	Details	Media release and related documents
RG 136 Managed investments: Discretionary powers and closely related schemes	18/6/2015	<p>In order to gain a full understanding of our policy in this area you should read all the parts of this guide, including the Underlying Principles and the Explanations.</p> <p>This guide gives you guidance on:</p> <ul style="list-style-type: none"> • when we have given and when we will give you relief from the Law on managed investment schemes; • which of our regulatory guides, class orders and pro formas still apply to managed investment schemes; • when we will give you an extension of time to establish or reconstitute a compliance committee; and • when we will regard schemes as so closely related that they should be aggregated in determining if some exemptions for small schemes apply. <p>Revised to incorporate fundamental change to ASIC's approach to consenting to the resignation, removal and replacement of auditors.</p> <p>ASIC will now generally consent to the resignation of an auditor at any time of the year, subject to some conditions. Previously, ASIC only consented to the resignation of an auditor of a public company to take place at an annual general meeting (AGM) unless there were exceptional circumstances.</p>	<p>MR 15-151</p> <p>RG 26</p> <p>REP 437</p> <p>INFO 62</p> <p>INFO 64</p> <p>INFO 65</p> <p>INFO 131</p> <p>INFO 136</p>

Title	Release Date	Details	Media release and related documents
RG 128 Collective action by investors	23/6/2015	<p>This guide is for investors who wish to cooperate with each other in relation to their investment in a listed company or managed investment scheme.</p> <p>It provides guidance to promote investor engagement on corporate governance issues. It also identifies circumstances where acting together may lead to investors becoming associates or entering into a relevant agreement for the purposes of the takeover and substantial holding provisions of the Corporations Act 2001 (Corporations Act).</p> <p>Updated to help investors take collective action to improve the corporate governance of listed entities.</p> <p>The guidance, which follows ASIC consultation launched in February 2015 (refer: 15-027MR), includes:</p> <ul style="list-style-type: none"> • illustrative examples of conduct which is unlikely or more likely to trigger the takeover and substantial holding provisions; • an outline of ASIC's approach to enforcement of these provisions in the context of collective action by investors, which includes considering whether the conduct is control seeking rather than simply promoting good corporate governance; and • an overview of some other legal and regulatory issues that can arise in relation to investor engagement. 	MR 15-155 REP 438 LI 15/532

Legislative Instruments

Title	Dates	Details	Media release and related documents
ASIC Derivative Transaction Rules (Nexus Derivatives) Class Exemption 2015	<p><i>Issued 29/1/2015</i> <i>Registered 2/2/2015:</i> <i>F2015L00100</i> <i>Effective 2/2/2015 (date of registration)</i></p> <p><i>Automatic repeal under Part 5A LIA</i></p>	Instrument [15/0067] provides a class order exemption for foreign Reporting Entities from complying with certain provisions of the ASIC Derivative Transaction Rules (Reporting) 2013 in respect of trades 'entered into' in Australia	None

Title	Dates	Details	Media release and related documents
SCO 15/130 Amendment of Class Order [CO 14/41]	<p><i>Issued 20/2/2015</i> <i>Registered 24/2/2015:</i> <i>F2015L00195</i> <i>Effective 24/2/2015</i> <i>(date of registration)</i></p> <p><i>Automatic repeal under</i> <i>Part 5A LIA</i></p>	Class Order [CO 15/130] amends Class Order [CO 14/41] to extend for 12 months the exemption from the requirement to give notice of agreement to change credit contract/consumer lease for credit licensees in respect of simple arrangements.	None
SCO 15/52 Greyhound schemes	<p><i>Issued 11/2/2015</i> <i>Registered 11/3/2015:</i> <i>F2015L00281</i> <i>Effective 12/3/2015</i> <i>(day after registration)</i></p> <p><i>Repealed by [CO</i> <i>15/153].</i></p>	Class Order [CO 15/52] provides conditional relief from the licensing, scheme registration, product disclosure, anti-hawking and advertising provisions of the Corporations Act 2001.	[SCO 15/153]
SCO 15/153 Repeal of Class Order [CO 15/153]	<p><i>Issued 3/3/2015</i> <i>Registered 11/3/2015:</i> <i>F2015L00282</i> <i>Effective 12/3/2015</i> <i>(day after registration)</i></p> <p><i>Automatic repeal under</i> <i>Part 5A LIA</i></p>	Class Order [CO 15/153] repeals Class Order [CO 15/52].	[SCO 15/52]
ASIC Corporations (Amendment No. 1) Instrument 2015 (No. 238, 2015)	<p><i>Issued 24/3/2015</i> <i>Registered 27/3/2015:</i> <i>F2015L00350</i> <i>Effective 28/3/2015</i> <i>(day after registration)</i></p> <p><i>Automatic repeal under</i> <i>Part 5A LIA</i></p>	ASIC Corporations (Amendment No. 1) Instrument 2015 (ASIC Legislative Instrument No. 238, 2015) amends Class Order [CO 14/1262] Relief for 31 day notice term deposits to clarify that the modified definition applies to s 922C of the Corporations Act 2001 (definition for the basic banking product).	None
ASIC Superannuation (Amendment No. 1) Instrument 2015 (No. 333, 2015)	<p><i>Issued 19/4/2015</i> <i>Registered 24/4/2015:</i> <i>F2015L00585</i> <i>Effective 25/4/2015</i> <i>(day after registration)</i></p> <p><i>Automatic repeal under</i> <i>Part 5A LIA</i></p>	ASIC Legislative Instrument No. 333, 2015 amends Class Order [CO 14/509] Keeping RSEs' superannuation websites up to date.	MR 15-092

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment No. 2) Instrument 2015 (No. 338, 2015)	<p><i>Issued 19/4/2015</i> <i>Registered 24/4/2015:</i> <i>F2015L00586</i> <i>Effective 25/4/2015</i> <i>(day after registration)</i></p> <p><i>Automatic repeal under Part 5A LIA</i></p>	ASIC Corporations (Amendment No. 2) Instrument 2015 (ASIC Legislative Instrument No. 338, 2015) amends Class Orders [CO 13/1534] Deferral of Stronger Super amendments in relation to PDS and periodic statement disclosure and [CO 14/443] Deferral of choice product dashboard and portfolio holdings disclosure regimes.	MR 15-092
ASIC Corporations (Amendment No. 3) Instrument 2015 (No. 349, 2015)	<p><i>Issued 19/4/2015</i> <i>Registered 28/4/2015:</i> <i>F2015L00600</i> <i>Effective 29/4/2015</i> <i>(day after registration)</i></p> <p><i>Automatic repeal under Part 5A LIA</i></p>	ASIC Corporations (Amendment No. 3) Instrument 2015 (ASIC Legislative Instrument No. 349, 2015) amends Class Order [CO 10/630] Long-term superannuation returns.	MR 15-092
ASIC Corporations (Amendment) Instrument 2015/455	<p><i>Issued 19/5/2015</i> <i>Registered 22/5/2015:</i> <i>F2015L00724</i> <i>Effective 23/5/2015</i> <i>(day after registration)</i></p> <p><i>Automatic repeal under Part 5A LIA</i></p>	ASIC Corporations (Amendment) Instrument 2015/455 amends Class Order [CO 14/632] to provide conditional relief in relation to equity instrument disclosures relating to key management personnel.	Editor's note to MR 14-146
ASIC Corporations (Externally-Administered Bodies) Instrument 2015/251	<p><i>Issued 25/5/2015</i> <i>Registered 27/5/2015:</i> <i>F2015C00583</i> <i>Effective 28/5/2015</i> <i>(day after registration)</i></p>	ASIC Corporations (Externally-Administered Bodies) Instrument 2015/251 provides relief to externally administered companies and to insolvent registered schemes that are being wound from the financial reporting obligations under Pt 2M.3. It exempts public companies that have a liquidator appointed from the obligation to hold an AGM. It also provides relief to companies that have a liquidator appointed and a cancelled Australian financial services licence from the financial services licensee reporting obligations under Subdivision C of Division 6 of Pt 7.8.	MR 15-131 RG 174 SLI 15/275 REP 434
ASIC Corporations (Repeal) Instrument 2015/275	<p><i>Issued 25/5/2015</i> <i>Registered 27/5/2015:</i> <i>F2015L00736</i> <i>Effective 28/5/2015</i> <i>(day after registration)</i></p> <p><i>Automatic repeal under Part 5A LIA</i></p>	ASIC Corporations (Repeal) Instrument 2015/275 repeals Class Order [CO 03/392] in its entirety.	MR 15-131 RG 174 SLI 15/251 REP 434

Title	Dates	Details	Media release and related documents
ASIC Superannuation (Amendment) Instrument 2015/396	<i>Issued 29/5/2015 Registered 10/6/2015: F2015L00797 Effective 11/6/2015 (day after registration) Automatic repeal under Part 5A LIA</i>	ASIC Superannuation (Amendment) Instrument 2015/396 amends Class Order [CO 14/541] RSE licensee s29QC SIS Act disclosure exemption so that the exemption for Registrable Superannuation Entity licensees from the requirement in subsection 29QC(1) of the Superannuation Industry (Supervision) Act 1993 continues until 1 January 2016.	No MR
ASIC Corporations (Repeal) Instrument 2015/532	<i>Issued 18/6/2015 Registered 22/6/2015: F2015L00862 Effective 23/6/2015 (day after registration) Automatic repeal under Part 5A LIA</i>	ASIC Corporations (Repeal) Instrument 2015/532 repeals Class Order [CO 00/455] in its entirety.	RG 128 REP 438
ASIC Corporations (AFSL Audit Opinion) Instrument 2015/586	<i>Issued 25/6/2015 Registered 29/6/2015: F2015L00966 Effective 30/6/2015 (day after registration)</i>	ASIC Corporations (AFSL Audit Opinion) Instrument 2015/586 makes the consequential amendment to regulation 7.8.13 that was missed when Division 4A was inserted in Part 7.8 of the Act. The instrument ensures that a licensee provide ASIC with an auditor's opinion on the effectiveness of the internal controls used by the licensee to comply with Division 4A as is required for Divisions 2, 3, 4, 5 and 6 of Part 7.8 of the Act	No MR

Consultation Papers

Title	Release Date	Details	Media release and related documents
CP 228 Collective action by investors: Update to RG 128	17/2/2015	This consultation paper seeks feedback from institutional investors, companies, listed managed investment schemes and other interested parties on our proposal to update our guidance in Regulatory Guide 128 Collective action by institutional investors (RG 128). A draft updated version of RG 128 is available on our website at www.asic.gov.au/cp under CP 228. We are also consulting on our proposal to discontinue the relief in Class Order [CO 00/455] Collective action by institutional investors. We do not propose replace it with a new class order.	MR 15-027 (Draft RG 128)

Title	Release Date	Details	Media release and related documents
CP 229 Repealing redundant ASIC class orders	17/4/2015	<p>This consultation paper sets out ASIC’s proposals to repeal class orders that we consider are no longer required and do not form a necessary and useful part of the legislative framework. Under the Legislative Instruments Act 2003, these class orders will expire (‘sunset’) if not remade.</p> <p>We are seeking feedback on our proposals to repeal these class orders.</p>	MR 15-082
CP 230 Remaking ASIC class orders on banking and insurance	26/5/2015	<p>This consultation paper sets out ASIC’s proposals to remake three class orders on banking and insurance into ASIC instruments. Under the Legislative Instruments Act 2003, these class orders will expire if not remade.</p> <p>We are seeking feedback from the banking and insurance sectors on our proposals to remake, without significant changes, the following class orders:</p> <ul style="list-style-type: none"> • Class Order [CO 04/909] Agency banking, which is due to expire on 1 October 2017; • Class Order [CO 05/681] Transitional relief for deposit product providers—PDSs and periodic statements, which is due to expire on 1 October 2015; and • Class Order [CO 05/1070] General insurance distributors, which is due to expire on 1 April 2016. <p>Note: The draft ASIC instruments are available on our website at www.asic.gov.au/cp under CP 230.</p> <p>We are also seeking feedback on our proposal to repeal the following class order that we consider is no longer required:</p> <ul style="list-style-type: none"> • Class Order [CO 06/623] Relief for certain general insurers from s981B account requirements, which is due to expire on 1 October 2016. 	<p>MR 15-127</p> <p>Attachment 1 (ASIC Corporations (Distribution of Basic Deposit and General Insurance Products) Instrument 2015/XX)</p> <p>Attachment 2 (ASIC Corporations (Miscellaneous Disclosure Obligations for Deposit Products) Instrument 2015/XX)</p>

Title	Release Date	Details	Media release and related documents
CP 231 Mandatory central clearing of OTC interest rate derivative transactions	28/5/2015	<p>This consultation paper seeks feedback on our proposals to implement mandatory central clearing under Pt 7.5A of the Corporations Act 2001.</p> <p>The draft ASIC Derivative Transaction Rules (Clearing) 2015 (derivative transaction rules (clearing)) attached to this paper set out our proposed requirements for the mandatory central clearing of certain over-the-counter (OTC) interest rate derivative transactions through licensed or prescribed clearing and settlement facilities.</p>	<p>MR 15-132</p> <p>Attachment 1 (Draft ASIC Derivative Transaction Rules (Clearing) 2015)</p>
CP 232 Remaking ASIC class orders on superannuation: [CO 04/1574] and [CO 06/636]	2/6/2015	<p>This consultation paper sets out ASIC's proposals to remake our class orders on superannuation into ASIC instruments. Under the Legislative Instruments Act 2003, these class orders will expire ('sunset') if not remade.</p> <p>We are seeking feedback from the Australian superannuation industry on our proposals to remake, without significant changes, the following class orders:</p> <ul style="list-style-type: none"> • Class Order [CO 04/1574] Application form and cooling-off relief for certain transfers of members between financial products and interests within a superannuation fund, which is due to expire on 1 April 2016; and • Class Order [CO 06/636] Superannuation: Delivery of product disclosure for investment strategies, which is due to expire on 1 October 2016. <p>Note: The draft ASIC instruments are available on our website at www.asic.gov.au/cp under CP 232.</p>	<p>MR 15-138</p> <p>Attachment 1 (ASIC Corporations (Application Form and Cooling-off Period Relief— Intra-fund Transfers) Instrument 2015/XX)</p> <p>Attachment 2 (ASIC Superannuation (Product Disclosure for Investment Strategies) Instrument 2015/XX)</p>

Title	Release Date	Details	Media release and related documents
CP 233 Remaking ASIC class orders on financial reporting	16/6/2015	<p>This consultation paper sets out ASIC’s proposals to remake some of our class orders relating to financial reporting into ASIC instruments. Under the Legislative Instruments Act 2003, these class orders will expire (‘sunset’) if not remade. Other class orders relating to financial reporting due to sunset will be the subject of future consultation papers.</p> <p>We are seeking feedback from stakeholders on our proposals to remake, without significant changes, the following class orders:</p> <ul style="list-style-type: none"> • Class Order [CO 05/638] Anomalies preventing certain large proprietary companies from being grandfathered, which is due to expire on 1 October 2015; • Class Order [CO 05/639] Application of accounting standards by non-reporting entities, which is due to expire on 1 October 2015; • Class Order [CO 05/642] Combining financial reports of stapled security issuers, which is due to expire on 1 October 2015; • Class Order [CO 05/644] Disclosing post balance date acquisitions and disposals, which is due to expire on 1 October 2015; and • Class Order [CO 06/441] Including different registered scheme financial reports in a single document, which is due to expire on 1 October 2016. <p>Note: The draft ASIC instruments are available on our website at www.asic.gov.au/cp under CP 233.</p>	MR 15-148 Attachments 1-5 (Draft Legislative instruments)

Reports

Title	Release Date	Details	Media release and related documents
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Title	Release Date	Details	Media release and related documents
REP 420 Overview of decisions on relief applications (June to September 2014)	28/1/2015	<p>This is a report for participants in the capital markets and financial services industry who are prospective applicants for relief.</p> <p>This report outlines some of ASIC's decisions on relief applications during the period 1 June 2014 to 30 September 2014. It summarises examples of situations where we have exercised, or refused to exercise, our exemption and modification powers from the financial reporting, managed investment, takeovers, fundraising or financial services provisions of the Corporations Act 2001 and the National Consumer Credit Protection Act 2009.</p> <p>It also refers to a number of publications issued by ASIC during the period 1 June 2014 to 30 September 2014 that may be relevant to prospective applicants for relief, including class orders, consultation papers, regulatory guides and reports.</p>	MR 14-008
REP 421 ASIC enforcement outcomes: July to December 2014	30/1/2015	<p>This report outlines enforcement outcomes achieved by ASIC during the period 1 July 2014 to 31 December 2014 (the relevant period). The report identifies the entities and individuals enforcement action was taken against, and highlights examples of conduct targeted during this period.</p>	MR 15-009
REP 422 Response to submissions on CP 221 Proposed amendments to ASIC Derivative Transaction Rules (Reporting) 2013	13/2/2015	<p>This report highlights the key issues that arose out of the submissions received on Consultation Paper 221 OTC derivatives reform: Proposed amendments to ASIC Derivative Transaction Rules (Reporting) 2013 (CP 221) and details our responses to those issues.</p>	MR 15-023 RG 251
REP 423 ASIC regulation of corporate finance: July to December 2014	24/2/2015	<p>This report is for companies, lawyers, corporate advisers and compliance professionals working in corporate finance.</p> <p>It highlights and discusses key statistical information, observations and our work in the regulation and oversight of fundraising, mergers and acquisitions transactions, corporate governance, and other general corporate finance areas for the period 1 July to 31 December 2014.</p>	MR 15-035

Title	Release Date	Details	Media release and related documents
REP 424 Review of no-claims discount schemes	26/2/2015	This report examines the operation of no-claims discount (NCD) schemes for motor vehicle insurance policies, and finds that they do not operate in the way consumers might reasonably expect.	MR 15-040
REP 425 ASIC supervision of markets and participants: July to December 2014	12/3/2015	This report summarises key outcomes of ASIC's market and participant supervisory and surveillance functions and highlights markets-related enforcement outcomes for the period 1 July to 31 December 2014.	MR 15-053
REP 426 Payday lenders and the new small amount lending provisions	17/3/2014	This report sets out the findings of a review of the payday lending industry and its response to the additional protections for vulnerable consumers contained in the small amount lending provisions of the Consumer Credit Legislation Amendment (Enhancements) Act 2012 (Enhancements Act).	MR 15-056
REP 427 Investing in hybrid securities: Explanations based on behavioural economics	18/3/2015	This report was commissioned by ASIC and produced by Queensland Behavioural Economics Group (QuBE). It sets out the results of research into how behavioural biases may influence preferences towards hybrid securities over the less complex financial products of bonds and shares.	MR 15-059
REP 428 Improving communication with directors of firms in liquidation	18/3/2015	This report was commissioned by ASIC and produced by Queensland Behavioural Economics Group (QuBE). It sets out the results of research altering letters sent to directors of firms in involuntary liquidation to encourage them to comply with their legal obligations to report information to their liquidators.	MR 15-059
REP 429 Cyber resilience: Health check	19/3/2015	<p>This report highlights the importance of cyber resilience to ASIC's regulated population.</p> <p>It is intended to help our regulated population improve their cyber resilience by increasing their awareness of cyber risks, encouraging collaboration between industry and government, and identifying opportunities for them to improve their cyber resilience. It also aims to identify how cyber risks should be addressed as part of current legal and compliance obligations that are relevant to ASIC's jurisdiction.</p>	MR 15-060

Title	Release Date	Details	Media release and related documents
REP 430 ASIC regulation of registered liquidators: January to December 2014	16/4/2015	<p>This report is for registered liquidators and other interested stakeholders.</p> <p>It summarises the work undertaken and outcomes achieved by ASIC in supervising registered liquidators in the period 1 January to 31 December 2014.</p>	MR 15-080
REP 431 Comparison report: Commonwealth Financial Planning Limited and Financial Wisdom Limited	23/4/2015	<p>This comparison report has been prepared by KordaMentha Forensic pursuant to their appointment as Compliance Expert concerning the Additional AFS Licence Conditions imposed on two subsidiaries of the Commonwealth Bank of Australia: Commonwealth Financial Planning Limited (CFPL) and Financial Wisdom Limited (FWL).</p>	MR 15-083
REP 432 Response to submissions on CP 222 Reducing red tape: Proposed amendments to the market integrity rules	4/5/2015	<p>This report highlights the key issues that arose out of the submissions received on Consultation Paper 222 Reducing red tape: Proposed amendments to the market integrity rules (CP 222) and details our responses in relation to those issues.</p>	<p>MR 15-097 MIR 15/374 MIR 15/382 MIR 15/383 MIR 15/385 MIR 15/386 CW 15/0384 RG 214 RG 215 RG 223 RG 224</p>

Title	Release Date	Details	Media release and related documents
REP 433 Overview of licensing and professional registration registration applications: July to December 2014	20/5/2015	<p>This report outlines ASIC's decisions on applications for the period from 1 July 2014 to 31 December 2014 (relevant period) for:</p> <ul style="list-style-type: none"> • new Australian financial services (AFS) licences and licence variations; • new Australian credit licences (credit licences) and licence variations; • the registration of liquidators, official liquidators, company auditors and approved self-managed superannuation fund (SMSF) auditors; and • financial markets, clearing and settlement (CS) facilities, and derivative trade repositories (trade repositories). 	MR 15-118
REP 434 Response to submissions on CP 223 Relief for externally administered companies and registered schemes being wound up—RG 174 update	27/5/2015	<p>This report highlights the key issues that arose out of the submissions received on Consultation Paper 223 Relief for externally administered companies and registered schemes being wound up—RG 174 update (CP 223) and details our responses in relation to those issues.</p>	MR 15-131 RG 174 LI 15/251 SLI 15/275
REP 435 Overview of decisions on relief applications (October 2014 to January 2015)	28/5/2015	<p>This is a report for participants in the capital markets and financial services industry who are prospective applicants for relief.</p> <p>This report outlines some of ASIC's decisions on relief applications during the period 1 October 2014 to 31 January 2015. It summarises examples of situations where we have exercised, or refused to exercise, our exemption and modification powers from the financial reporting, managed investment, takeovers, fundraising or financial services provisions of the Corporations Act 2001.</p> <p>It also refers to a number of publications issued by ASIC during the period 1 October 2014 to 31 January 2015 that may be relevant to prospective applicants for relief, including class orders, consultation papers, regulatory guides and reports.</p>	MR 15-122

Title	Release Date	Details	Media release and related documents
<p>REP 436 Australian Financial Attitudes and Behaviour Tracker</p> <p>Wave 2: September 2014 – February 2015</p>	11/6/2015	<p>In 2014 ASIC launched the Australian Financial Attitudes and Behaviour Tracker (the Tracker) to track a number of financial attitudes and behaviours among adult Australians and inform financial literacy programs and initiatives.</p> <p>ASIC engaged EY Sweeney to conduct the Tracker in 2014/15. Wave 1 of the research, released in December 2014, covered the six month period from March to August 2014. Wave 2 covers the period from September 2014 to February 2015. This report contains the findings for Wave 2 of the Tracker and compares these with Wave 1 findings.</p>	No MR
<p>REP 437 Response to submissions on CP 209 Resignation, removal and replacement of auditors: Update to RG 26</p>	18/6/2015	<p>This report highlights the key issues that arose out of the submissions received on Consultation Paper 209 Resignation, removal and replacement of auditors: Update to RG 26 (CP 209)—in particular, those issues that arose out of our second round of consultation to CP 209. It details our responses to those issues.</p>	<p>MR 15-151 RG 26 RG 136 INFO 62 INFO 64 INFO 65 INFO 131 INFO 136</p>
<p>REP 438 Response to submissions on CP 228 Collective action by investors: Update to RG 128</p>	23/6/2015	<p>This report highlights the key issues that arose out of the submissions received on Consultation Paper 228 Collective action by investors: Update to RG 128 (CP 228) and details our responses in relation to those issues.</p>	<p>MR 15-155 RG 128 LI 15/532</p>

New Rules

Title	Dates	Details	Media release and related documents
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Title	Dates	Details	Media release and related documents
ASIC Derivative Transaction Rules (Reporting) Amendment 2015 (No. 1)	<i>Issued 9/2/2015 Registered 12/2/2015: F2015L00132 Effective 13/2/2015 (day after registration)</i>	This instrument amends the ASIC Derivative Transaction Rules (Reporting) 2013.	MR 15-023 RG 251 REP 422
ASIC Market Integrity Rules (SIM VSE Market) Amendment 2015 (No. 1)	<i>Issued 24/4/2015 Registered 1/5/2015: F2015L00627 Effective 2/5/2015 (day after registration) Automatic repeal under Part 5A LIA</i>	This instrument amends the ASIC Market Integrity Rules (SIM VSE Market) 2010)	MR 15-097 MIR 15/374 MIR 15/382 MIR 15/383 MIR 15/385 MIR 15/386 CW 15/0384 RG 214 RG 215 RG 223 RG 224 REP 432

Title	Dates	Details	Media release and related documents
ASIC Market Integrity Rules (NSXA Market) Amendment 2015 (No. 1)	<p><i>Issued 24/4/2015</i> <i>Registered 1/5/2015:</i> <i>F2015L00625</i> <i>Effective 2/5/2015 (day after registration)</i></p> <p><i>Automatic repeal under Part 5A LIA</i></p>	This instrument amends the ASIC Market Integrity Rules (NSXA Market) 2010).	<p>MR 15-097</p> <p>MIR 15/374</p> <p>MIR 15/383</p> <p>MIR 15/385</p> <p>MIR 15/386</p> <p>CW 15/0384</p> <p>RG 214</p> <p>RG 215</p> <p>RG 223</p> <p>RG 224</p> <p>REP 432</p>
ASIC Market Integrity Rules (APX Market) Amendment 2015 (No. 1)	<p><i>Issued 24/4/2015</i> <i>Registered 1/5/2015:</i> <i>F2015L00624</i> <i>Effective 2/5/2015 (day after registration)</i></p> <p><i>Automatic repeal under Part 5A LIA</i></p>	This instrument amends the ASIC Market Integrity Rules (APX Market) 2013 .	<p>MR 15-097</p> <p>MIR 15/374</p> <p>MIR 15/382</p> <p>MIR 15/385</p> <p>MIR 15/386</p> <p>CW 15/0384</p> <p>RG 214</p> <p>RG 215</p> <p>RG 223</p> <p>RG 224</p> <p>REP 432</p>

Title	Dates	Details	Media release and related documents
ASIC Market Integrity Rules (ASX Market) Amendment 2015 (No. 1)	<i>Issued 24/4/2015 Registered 1/5/2015: F2015L00622 Effective 2/5/2015 (day after registration) Automatic repeal under Part 5A LIA</i>	This instrument amends the ASIC Market Integrity Rules (ASX Market) 2010.	MR 15-097 MIR 15/374 MIR 15/382 MIR 15/383 MIR 15/386 CW 15/0384 RG 214 RG 215 RG 223 RG 224 REP 432
ASIC Market Integrity Rules (Chi-X Australia Market) Amendment 2015 (No. 1)	<i>Issued 24/4/2015 Registered 1/5/2015: F2015L00622 Effective 2/5/2015 (day after registration) Automatic repeal under Part 5A LIA</i>	This instrument amends the ASIC Market Integrity Rules (Chi-X Australia Market) 2011.	MR 15-097 MIR 15/374 MIR 15/382 MIR 15/383 MIR 15/385 CW 15/0384 RG 214 RG 215 RG 223 RG 224 REP 432

Class Rule Waivers

Title	Dates	Details	Media release and related documents
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CW 15/0384	<i>Issued 29/4/2015</i> <i>Registered 4/5/2015:</i> <i>F2015L00635</i> <i>Effective 4/5/2015 (day</i> <i>after registration)</i> <i>Automatic repeal under</i> <i>Part 5A LIA</i>	This instrument varies ASIC Class Rule Waiver [CW 13/680] allowing ASIC to relieve a Participant from the obligation to comply with Rule 4.1.1(1) of the Competition Rules, in the case where a Participant enters into a Transaction in an Equity Market Product that is part of a Contingent Equity Transaction.	MR 15-097 MIR 15/378 MIR 15/382 MIR 15/383 MIR 15/385 MIR 15/386 RG 214 RG 215 RG 223 RG 224 REP 432
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Determinations

Title	Dates	Details	Media release and related documents
No determinations made in July–December 2015			

Information sheets

Title	Status	Release Date	Comments	Media release and related documents
INFO 93 Practical guidance for operators of foreign collective investment schemes	Reissued	14/1/2015	Typos corrected only.	None
INFO 157 Practical guidance for foreign financial services providers	Reissued	14/1/2015	Typos corrected only.	None

Title	Status	Release Date	Comments	Media release and related documents
INFO 54 Receivership: a guide for creditors	Corrected	28/1/2015	Minor technical amendment: "for the cost of a local call" removed from reference to Infoline number	None
INFO 174 Disputes with financial services or credit providers	Reissued	2/2/2015	Technical update only to take into account change in name of Credit Ombudsman Service Limited (COSL) to Credit and Investments Ombudsman (CIO).	None
INFO 176 External dispute resolution - what to do if you are dissatisfied with a decision	Reissued	2/2/2015	Technical update only to take into account change in name of Credit Ombudsman Service Limited (COSL) to Credit and Investments Ombudsman (CIO).	None
INFO 199 Disputes about similar company names	New	10/2/2015	This information sheet explains what to do about disputes arising between two companies that have similar names.	None
INFO 200 Unregistered business names	New	10/2/2015	This information sheet explains when a business should register their name. It also includes information about dealing with unregistered businesses.	None
INFO 201 Failure to display a business name	New	10/2/2015	<p>This information sheet explains what you should do if you have a dispute with a business because they have not displayed their business name. It explains:</p> <ul style="list-style-type: none"> • some of the common disputes about how businesses use their names, and • steps you can take to resolve such disputes. 	None
INFO 132 Applying for a credit licence: Details of professional indemnity insurance	Reissued	11/2/2015	Technical amendments to Question 9 of questionnaire	None
INFO 28 Enforceable undertakings	Reissued	19/2/2015	Updated to include guidance on independent experts and publicity for enforceable undertakings, and make a number of minor technical changes.	MR 15-029 RG 100

Title	Status	Release Date	Comments	Media release and related documents
INFO 202 Reporting concerns about the information on the financial advisers register	New	13/4/2015	<p>This information sheet explains:</p> <ul style="list-style-type: none"> • the financial advisers register • what an Australian financial services (AFS) licensee's obligations are when maintaining their details on the register • what you should do if you are concerned about the information on the register. 	None
INFO 172 Cooperating with ASIC	Reissued	1/5/2015	Technical amendments including additional/clarified information on self-reporting	None
INFO 156 Regulated emissions units: Applying for or varying an AFS licence	Reissued	20/5/2015	<p>This information sheet is for anyone intending to apply for either a new Australian financial services (AFS) licence or a variation to an existing licence to authorise them to provide financial services in regulated emissions units and associated products. It covers:</p> <ul style="list-style-type: none"> • the requirement to hold an AFS licence for regulated emissions units; • what regulated emissions units are; • what 'financial services' in regulated emission units are; • the scope of the authorisations required in your AFS licence; • the information required when applying for a new AFS licence or to vary an existing AFS licence; • steps in the application process; and • how we assess your organisational competence in emissions units. <p>Update follows changes to the structure and regulation of carbon markets in Australia.</p>	MR 15-117 RG 236

Title	Status	Release Date	Comments	Media release and related documents
INFO 203 Impairment of non-financial assets: The role of directors and audit committees	Reissued	10/6/2015	<p>This information sheet (INFO 203) explains your responsibilities as a director in connection with the testing of non-financial assets for impairment in the financial report of a company. It discusses:</p> <ul style="list-style-type: none"> • what impairment testing is • why impairment testing is important • the assets covered by this information sheet • how impairment testing is performed • the role of directors and audit committees • the matters that may be considered in assessing the impairment of non-financial assets, including: <ul style="list-style-type: none"> ○ the need for impairment testing ○ the process for assessing impairment, and ○ common issues with impairment calculations, and • questions that may be asked of external auditors. 	MR 15-143
INFO 99 Disclosure of credit ratings in Australia	Reissued	17/6/2015	Updated to clarify ASIC's expectations of CRAs and of issuers of financial products. Example 9 amended in relation to descriptions of investment mandates.	No MR
INFO 62 Removal of an auditor of a company	Reissued	18/6/2015	<p>Revised to incorporate fundamental change to ASIC's approach to consenting to the resignation, removal and replacement of auditors.</p> <p>ASIC will now generally consent to the resignation of an auditor at any time of the year, subject to some conditions. Previously, ASIC only consented to the resignation of an auditor of a public company to take place at an annual general meeting (AGM) unless there were exceptional circumstances.</p>	MR 15-151 RG 26 RG 136 REP 437 INFO 64 INFO 65 INFO 131 INFO 136

Title	Status	Release Date	Comments	Media release and related documents
INFO 64 Resignation or removal of an auditor of a registered scheme financial report	Reissued	18/6/2015	<p>Revised to incorporate fundamental change to ASIC's approach to consenting to the resignation, removal and replacement of auditors.</p> <p>ASIC will now generally consent to the resignation of an auditor at any time of the year, subject to some conditions. Previously, ASIC only consented to the resignation of an auditor of a public company to take place at an annual general meeting (AGM) unless there were exceptional circumstances.</p>	MR 15-151 RG 26 RG 136 REP 437 INFO 62 INFO 65 INFO 131 INFO 136
INFO 65 Resignation of an auditor of a public company	Reissued	18/6/2015	<p>Revised to incorporate fundamental change to ASIC's approach to consenting to the resignation, removal and replacement of auditors.</p> <p>ASIC will now generally consent to the resignation of an auditor at any time of the year, subject to some conditions. Previously, ASIC only consented to the resignation of an auditor of a public company to take place at an annual general meeting (AGM) unless there were exceptional circumstances.</p>	MR 15-151 RG 26 RG 136 REP 437 INFO 62 INFO 64 INFO 131 INFO 136
INFO 131 Obligations of companies limited by guarantee	Reissued	18/6/2015	<p>Revised to incorporate fundamental change to ASIC's approach to consenting to the resignation, removal and replacement of auditors.</p> <p>ASIC will now generally consent to the resignation of an auditor at any time of the year, subject to some conditions. Previously, ASIC only consented to the resignation of an auditor of a public company to take place at an annual general meeting (AGM) unless there were exceptional circumstances.</p>	MR 15-151 RG 26 RG 136 REP 437 INFO 62 INFO 64 INFO 65 INFO 136

Title	Status	Release Date	Comments	Media release and related documents
INFO 136 Complying with your trust account obligations as a credit licensee	Reissued	18/6/2015	<p>Revised to incorporate fundamental change to ASIC's approach to consenting to the resignation, removal and replacement of auditors.</p> <p>ASIC will now generally consent to the resignation of an auditor at any time of the year, subject to some conditions. Previously, ASIC only consented to the resignation of an auditor of a public company to take place at an annual general meeting (AGM) unless there were exceptional circumstances.</p>	<p>MR 15-151</p> <p>RG 26</p> <p>RG 136</p> <p>REP 437</p> <p>INFO 62</p> <p>INFO 64</p> <p>INFO 65</p> <p>INFO 131</p>
INFO 155 Shorter PDSs - Complying with requirements for superannuation products and simple managed investment schemes	Reissued	18/6/2015	<p>Minor technical amendments to take account of extension of relief under Class Order [CO 12/749] Relief from the Shorter PDS regime.</p>	<p>No MR</p>

Title	Status	Release Date	Comments	Media release and related documents
INFO 152 Public comment on ASIC's regulatory activities	Reissued	30/6/2015	<p>This information sheet (INFO 152) explains:</p> <ul style="list-style-type: none"> • when ASIC may comment publicly on our regulatory activities, including: <ul style="list-style-type: none"> ○ our general approach to public comment ○ limitations on informing the public of our regulatory activities ○ how we handle the release of market sensitive information ○ how we handle the misreporting of an ASIC public statement resulting in a disorderly market • when we may comment publicly on: <ul style="list-style-type: none"> ○ investigations ○ matters with the Commonwealth Director of Public Prosecutions (CDPP) ○ regulatory actions ○ who our authorised spokespersons are. <p>Reissued to reflect updates to ASIC's external communications policy - in particular, our new policy on advance notice of media releases on negotiated outcomes and market sensitive information.</p>	No MR

Title	Status	Release Date	Comments	Media release and related documents
INFO 202 Disputes about the financial advisers register	Reissued	30/6/2015	<p>This information sheets explains:</p> <ul style="list-style-type: none"> • the financial advisers register • what an Australian financial services (AFS) licensee's obligations are when maintaining the details of financial advisers on the register • what you should do if you are concerned about the information on the register. <p>Note: Name has changed from 'Reporting concerns about the information on the financial advisers register'.</p> <p>Update clarifies that Reports of Misconduct can now be lodged about information on the FAR.</p>	No MR
SINFO 158 Short sale tagging	Withdrawn	30/6/2015	<p>This information sheet sets out how market participants of ASX and Chi-X can comply with the new short sale tagging requirements under Part 5.12 of the ASIC Market Integrity Rules (ASX Market) 2010 and Part 5.12 of the ASIC Market Integrity Rules (Chi-X Australia Market) 2011. Market participants will be required to comply with new Rule 5.12.1 from 10 March 2014</p> <p>INFO 158 relates to a requirement to tag short sales in real time, however ASIC repealed the rule before it came into effect. As a result, there is no point in time when participants actually had to tag their short sales this way. Therefore INFO 158 has been withdrawn because it could be seen to be misleading or confusing.</p>	No MR