



ASIC

Australian Securities &
Investments Commission

20 July 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 January 2015 to 30 June 2015.

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 January 2015 and 30 June 2015

Agency Contact:

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PHYSICAL FILES

File Number	File Name
FSR 2015/000532	FS 22 - CHANGE OF CONTROL NOTIFICATIONS
FSR 2015/000533	FS 64 - APPLICATION FOR SUSPENSION OF AN AFS LICENCE
FSR 2015/000534	FS 65 - APPLICATION FOR CANCELLATION OF AN AF S LICENCE
FSR 2015/000535	FORM 5107 - CHANGE OF RESPONSIBLE ENTITY
FSR 2015/000538	RG126 - DISCHARGE OF SECURITY BOND
FSR 2015/002495	FS65 CANCELLATIONS OF AUSTRALIAN FINANCIAL SERVICES LICENCES
FSR 2015/004403	SECTION 922J NOTIFICATION OF CONTROLLER OF A BODY CORPORATE LICENSEE
FSR 2015/004702	REVIEW OF SECURITY BOND DECISION
PMR 2015/001156	UNAUTHORISED FOREIGN INSURERS
PMR 2015/001159	UNAUTHORISED FOREIGN INSURERS
PMR 2015/001235	RECORDS AUTHORITY REVIEW PROJECT - FMI WORKING PAPERS
PMR 2015/002623	JORC AND DISCLOSURE RELATED REVIEWS 2015
PMR 2015/002868	AMENDMENTS TO THE SETTLEMENT RULES AND LISTING RULE APPENDIX 7A
PMR 2015/002962	2014/2015 FINANCIAL ADVISERS - SMSF ADVERTISING REVIEW
PMR 2015/003149	RISK MANAGEMENT BY RESPONSIBLE ENTITIES
PMR 2015/004013	USE OF TERM STOCKBROKER/ FUTURES BROKER
PMR 2015/005045	FOREIGN FINANCIAL SERVICE PROVIDERS - REPORTING DOCUMENTS IMS BRISBANE
PMR 2015/005277	CREDIT CARD CHARGEBACK CDRAC NATIONAL PROJECT
PMR 2015/005334	EXTENSION TO CLASS ORDER CO 10-630
PMR 2015/005389	NON-CASH PAYMENT FACILITIES PROJECT
PMR 2015/005526	DEBT REPAIR INTELLIGENCE
PMR 2015/005965	CONFLICTED REMUNERATION GUIDANCE ### ###
PMR 2015/005966	MORTGAGE EXIT FEES ### ###
PMR 2015/005967	UNIDENTIFIED FOREIGN INSURERS ### ###
PMR 2015/005990	CLASS ORDER 02/182 - SUNSETTING PROJECT REVIEW
PMR 2015/005991	CLASS ORDER 02/183 - SUNSETTING PROJECT REVIEW
PMR 2015/006000	CLASS ORDER 02/185 - SUNSETTING PROJECT REVIEW.
PMR 2015/006001	CLASS ORDER 02/245 - SUNSETTING PROJECT REVIEW
PMR 2015/006029	PROSPECTUS MASTER FILE
FSR 2015/003343	FS65 CANCELLATIONS OF AUSTRALIAN FINANCIAL SERVICES LICENCES

PHYSICAL FILES

File Number	File Name
PMR 2015/005964	FOFA GENERAL FEB 2012 - JULY 2012 ###

VIRTUAL FILES

File Number	File Name	Parent
2015 - 001114	2015 - Infrastructure funding - Chairman speech	2015
2015 - 001143	2015 - Intergenerational Report Summary	2015
2015 - 001199	2015 - IOSCO CER meeting Istanbul 201504	2015
2015 - 001124	2015 - OTC Derivatives - Enforcement Benchmark Project - FX Inquiries	2015
2015 - 001520	2015 - OTC Derivatives - Enforcement Benchmark Project - IR Entity Rankings	2015
2015 - 000920	2015 - OTC Derivatives - FMI Speech at FX Week 2015	2015
2015 - 001430	2015 - OTC Derivatives - FSB Survey on Markets Reform	2015
2015 - 000248	2015 - OTC Derivatives - FSB Thematic Peer Review	2015
2015 - 001101	Financial Literacy - AFAB Tracker Wave 1	Active
2015 - 000471	Financial Literacy - AFAB Tracker Wave 2	Active
2015 - 000832	FoFA MIS Digital Transformation	Active
2015 - 000056	Major Banks Analysis	Active
2015 - 000258	OTC Derivatives - 2015 Market Assessment	Active
2015 - 000356	OTC Derivatives - CFD Pilot	Active

VIRTUAL FILES

File Number	File Name	Parent
2015 - 002117	OTC Derivatives - Enforcement Systemically Important Benchmarks	Active
2015 - 001241	Share Purchase Plan Analysis	Active
2015 - 002120	Section 25 Project	Advice - Other
2015 - 004262	2014-2015	Annual Report
2015 - 004394	Annual Report - 2015	ASIC Annual Reports
2015 - 002966	Admission and Notification requirements (reducing red tape imitative)	ASX - Rule Changes
2015 - 004209	Admission and Notification requirements (reducing red tape imitative)	ASX - Rule Changes
2015 - 001403	CDRAC Credit Card Chargeback National Project	Australian Consumer Law
2015 - 000097	Collective Action by Investors - Update to RG 128	Consultation Papers
2015 - 001965	Questions on Notice	Culture
2015 - 002109	Thomson Reuters speech	Culture
2015 - 004386	13. MBR Parliamentary Inquiry Work	Escalated Matters
2015 - 001316	EWA	External Speeches & Presentations
2015 - 001111	2015-2016 Class Order Sunsetting Project	Financial Advisers Projects

VIRTUAL FILES

File Number	File Name	Parent
2015 - 001780	Tasmanian Regional Liaison Committee 2015	Industry & Market Participants
2015 - 001802	09f. Relief Applications and waivers - 2015	Legal & Policy
2015 - 000580	26.### ### Product Platform Class Orders	Legal & Policy
2015 - 002087	Project	Macro Data Management, Trading Analysis & Reporting
2015 - 004403	NSW Police	Memorandum of Understanding (MOU)
2015 - 002093	MOU with AEC - Update Dec 2014	MOUs
2015 - 002491	MOU with WAPOL	MOUs
2015 - 000335	Drafts	Productivity Commission : Business Set-up, Transfer and Closure
2015 - 001200	RG 064 Failure to lodge documents	Regulatory Guides
2015 - 001800	RG 167 Licensing: Discretionary Powers	Regulatory Guides
2015 - 004569	Annual Report 2015	Reporting
2015 - 000084	ASIC Annual Report 2014-15	Reporting
2015 - 004215	Information for Annual Reports	Reporting
2015 - 004483	PPSR Searches - 2015-2016	Reporting

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File Number	File Name	Parent
2015 - 003649	ADC Forum 2015	Speeches
2015 – 002408	AFR Banking and Wealth Summit	Speeches
2015 – 000475	ASIC's Opening Statement: Telecommunications (Interception and Access) Amendment (Data Retention) Bill 2014	Speeches
2015 – 001198	Financial Risk Day 2015	Speeches
2015 – 003206	G100 Congress 2015 - Innovation in Corporate Reporting	Speeches
2015 – 001294	SOPAC 2015	Speeches
2015 – 003558	Stockbrokers Association of Australia 2015	Speeches
2015 – 003578	Thomson Reuters Australian Regulatory Summit 2015	Speeches
2015 – 000628	Consumer Financial Protection Bureau (USA)	Stakeholder Liaison
2015 – 000675	Harvard Business School	Stakeholder Liaison
2015 – 002708	Strategic Outlook 2015-16	Strategic Outlook 2015-16
2015 – 004805	PJC	Submissions
2015 – 004183	PJC inquiry into the impairment of customer loans	Submissions
2015 – 002952	Consultation on PJC Inquiry into Raising Professional Standards in the Financial Advice Industry	Submissions & Government Relations

VIRTUAL FILES

File Number	File Name	Parent
2015 - 004604	Inquiry Into Home Ownership	Submissions & Government Relations
2015 – 000193	Senate Inquiry into Corporate Tax Avoidance and Minimisation	Submissions & Government Relations
2015 – 000603	Chapter 6 Sunsetting Project 2015	Sunsetting Class Orders Projects