

# Attachment 5 to CP 262: Draft instrument



**ASIC**

Australian Securities & Investments Commission

---

---

## **ASIC Corporations (Records—Dealings on Foreign Markets) Instrument 2016/XX**

---

I, <insert name>, delegate of the Australian Securities and Investments Commission, make the following legislative instrument.

Date 2016

**[DRAFT ONLY – NOT FOR SIGNATURE]**

<signature>

<insert name>

---

## Contents

<b>Part 1—Preliminary</b>	<b>3</b>
1 Name of legislative instrument.....	3
2 Commencement .....	3
3 Authority.....	3
4 Definitions .....	3
<b>Part 2—Exemption</b>	<b>4</b>
5 Records of instructions to deal on foreign markets .....	4

## **Part 1—Preliminary**

### **1 Name of legislative instrument**

This instrument is *ASIC Corporations (Records—Dealings on Foreign Markets) Instrument 2016/XX*.

### **2 Commencement**

This instrument commences on the day after it is registered on the Federal Register of Legislation.

Note: The register may be accessed at [www.legislation.gov.au](http://www.legislation.gov.au).

### **3 Authority**

This instrument is made under subsection 992B(1) of the *Corporations Act 2001*.

### **4 Definitions**

In this instrument:

***Regulations*** means the *Corporations Regulations 2001*.

## **Part 2—Exemption**

### **5 Records of instructions to deal on foreign markets**

A financial services licensee does not have to comply with regulation 7.8.19 of the Regulations in relation to an instruction to deal in financial products received by the licensee to which both of the following apply:

- (a) the instruction is from or on behalf of a wholesale client who is not in this jurisdiction;
- (b) the instruction is for a dealing through a financial market that is not operated in this jurisdiction.