

# Australian Securities and Investments Commission – Table of regulatory documents

Documents released during July—December 2015

## New regulatory guides

Title	Release Date	Details	Media release and related documents
No new regulatory guides issued in July—December 2015			

## Amended or reissued regulatory guides

Title	Release Date	Details	Media release and related documents
RG 1 AFS Licensing Kit: Part 1— Applying for and varying an AFS licence	1/7/2015	<p>This is a guide for applicants applying for an Australian financial services (AFS) licence or to vary their AFS licence.</p> <p>Applicants should also read Part 2 of the AFS Licensing Kit (RG 2), which outlines how to:</p> <ul style="list-style-type: none"> <li>• complete the online forms FS01 Application for AFS licence and FS03 Application for variation of authorisation and other conditions; and</li> <li>• prepare 'core' supporting proof documents.</li> </ul> <p>Applicants will need to read Part 3 (RG 3) if they are asked to send us 'additional' proof documents.</p> <p><b>On 26 June 2013, the Australian Government amended subsection 912A(1) of the <i>Corporations Act 2001</i> to improve governance arrangements for responsible entities of registered managed investment schemes.</b></p> <p><b>The amendments, effective from 1 July 2015, removed an exemption that applied to entities that are both a responsible entity of a registered managed investment scheme and a registrable superannuation entity (RSE) licensee. These entities must now meet the requirements under paragraphs 912A(1)(d) and (h) to have in place adequate resources and adequate risk management systems.</b></p> <p><b>Consequential amendments have been made to ASIC guidance to account for these changes.</b></p>	<p>No MR</p> <p>INFO 86</p> <p>RG 2</p> <p>RG 3</p> <p>RG 104</p> <p>RG 166</p> <p>PF 209</p>

Title	Release Date	Details	Media release and related documents
RG 2 AFS Licensing Kit: Part 2— Preparing your AFS licence or variation application	1/7/2015	<p>This is a guide for applicants applying for an Australian financial services (AFS) licence or to vary their AFS licence. This guide forms Part 2 of the AFS Licensing Kit and outlines how to:</p> <ul style="list-style-type: none"> <li>• complete the online forms FS01 Application for AFS licence and FS03 Application for variation of authorisation and other conditions; and</li> <li>• prepare core proof documents.</li> </ul> <p>An application for an AFS licence or a licence variation comprises the relevant application form and supporting core proof documents, with all of these documents provided to us at the same time.</p> <p>Note: It is an offence under s915C(2) of the Corporations Act to provide false or misleading information to ASIC. False or misleading information in an application (including a material omission) may also be grounds to revoke any AFS licence granted based on the application.</p> <p>Applicants should also read Part 1 (RG 1), which explains the process of applying for and varying an AFS licence. Applicants will need to read Part 3 (RG 3) if they are asked to send us 'additional' proof documents.</p> <p><b>On 26 June 2013, the Australian Government amended subsection 912A(1) of the <i>Corporations Act 2001</i> to improve governance arrangements for responsible entities of registered managed investment schemes.</b></p> <p><b>The amendments, effective from 1 July 2015, removed an exemption that applied to entities that are both a responsible entity of a registered managed investment scheme and a registrable superannuation entity (RSE) licensee. These entities must now meet the requirements under paragraphs 912A(1)(d) and (h) to have in place adequate resources and adequate risk management systems.</b></p> <p><b>Consequential amendments have been made to ASIC guidance to account for these changes.</b></p>	<p>No MR</p> <p>INFO 86</p> <p>RG 1</p> <p>RG 3</p> <p>RG 104</p> <p>RG 166</p> <p>PF 209</p>

Title	Release Date	Details	Media release and related documents
RG 3 AFS Licensing Kit: Part 3— Preparing your additional proofs	1/7/2015	<p>This is a guide for applicants applying for an Australian financial services (AFS) licence or to vary their AFS licence.</p> <p>This guide forms Part 3 of the AFS Licensing Kit and explains the 'additional' proof documents applicants may be asked to send us.</p> <p>Before reading this guide, applicants should read:</p> <ul style="list-style-type: none"> <li>• Part 1 (RG 1), which explains the process of applying for and varying an AFS licence; and</li> <li>• Part 2 (RG 2), which helps applicants complete the AFS licence application form (FS01) or variation application form (FS03) and prepare 'core' proofs.</li> </ul> <p><b>On 26 June 2013, the Australian Government amended subsection 912A(1) of the <i>Corporations Act 2001</i> to improve governance arrangements for responsible entities of registered managed investment schemes.</b></p> <p><b>The amendments, effective from 1 July 2015, removed an exemption that applied to entities that are both a responsible entity of a registered managed investment scheme and a registrable superannuation entity (RSE) licensee. These entities must now meet the requirements under paragraphs 912A(1)(d) and (h) to have in place adequate resources and adequate risk management systems.</b></p> <p><b>Consequential amendments have been made to ASIC guidance to account for these changes.</b></p>	<p>No MR</p> <p>INFO 86</p> <p>RG 1</p> <p>RG 2</p> <p>RG 104</p> <p>RG 166</p> <p>PF 209</p>

Title	Release Date	Details	Media release and related documents
RG 104 Licensing: Meeting the general obligations	1/7/2015	<p>This is a guide for Australian financial services (AFS) licensees and licence applicants.</p> <p>This guide describes what we look for when we assess compliance with most of the general obligations under s912A(1) of the Corporations Act 2001 (Corporations Act).</p> <p>The general obligations not covered in this guide are covered in separate guides: see Table 1 in Section A.</p> <p><b>On 26 June 2013, the Australian Government amended subsection 912A(1) of the <i>Corporations Act 2001</i> to improve governance arrangements for responsible entities of registered managed investment schemes.</b></p> <p><b>The amendments, effective from 1 July 2015, removed an exemption that applied to entities that are both a responsible entity of a registered managed investment scheme and a registrable superannuation entity (RSE) licensee. These entities must now meet the requirements under paragraphs 912A(1)(d) and (h) to have in place adequate resources and adequate risk management systems.</b></p> <p><b>Consequential amendments have been made to ASIC guidance to account for these changes.</b></p>	<p>No MR</p> <p>INFO 86</p> <p>RG 1</p> <p>RG 2</p> <p>RG 3</p> <p>RG 166</p> <p>PF 209</p>

Title	Release Date	Details	Media release and related documents
RG 166 Licensing: Financial requirements	1/7/2015	<p>This guide sets out the financial requirements you must meet as the holder of an Australian financial services (AFS) licence. The requirements vary depending on the financial products and services you offer.</p> <p>If you are a body regulated by the Australian Prudential Regulation Authority (APRA), as defined in s3(2) of the Australian Prudential Regulation Authority Act 1998 (APRA Act), and are not required to comply with s912A(1)(d) of the Corporations Act 2001 (Corporations Act), this guide does not apply to you.</p> <p>Note: From 1 July 2015, if you are the holder of a registrable superannuation entity (RSE) licence from APRA that is also authorised to operate registered managed investment schemes, you will be required to comply with s912A(1)(d).</p> <p><b>On 26 June 2013, the Australian Government amended subsection 912A(1) of the <i>Corporations Act 2001</i> to improve governance arrangements for responsible entities of registered managed investment schemes.</b></p> <p><b>The amendments, effective from 1 July 2015, removed an exemption that applied to entities that are both a responsible entity of a registered managed investment scheme and a registrable superannuation entity (RSE) licensee. These entities must now meet the requirements under paragraphs 912A(1)(d) and (h) to have in place adequate resources and adequate risk management systems.</b></p> <p><b>Consequential amendments have been made to ASIC guidance to account for these changes.</b></p>	<p>No MR</p> <p>INFO 86</p> <p>RG 1</p> <p>RG 2</p> <p>RG 3</p> <p>RG 104</p> <p>PF 209</p>
RG 165 Licensing: Internal and external dispute resolution	2/7/2015	<p>This guide explains what AFS licensees, unlicensed product issuers, unlicensed secondary sellers, credit licensees, credit representatives, unlicensed carried over instrument lenders (unlicensed COI lenders) and securitisation bodies must do to have a dispute resolution system in place that meets ASIC's requirements.</p> <p>This guide should be read in conjunction with Regulatory Guide 139 <i>Approval and oversight of external dispute resolution schemes</i> (RG 139).</p> <p><b>Note 2 added to Figure 1.</b></p>	<p>No MR</p>

Title	Release Date	Details	Media release and related documents
RG 96 Debt collection guideline: for collectors and creditors	10/7/2015	<p>The Australian Competition and Consumer Commission (ACCC) and ASIC have produced this guideline. The ACCC and ASIC enforce Commonwealth consumer protection laws, including laws relevant to debt collection.</p> <p><b>Minor changes have been made to the 'trespass to land' section and amendments have been made to reflect the change of name of the Credit and Investments Ombudsman (CIO), previously Credit Ombudsman Service Limited (COSL).</b></p>	No MR

Title	Release Date	Details	Media release and related documents
RG 221 Facilitating digital financial services disclosures	28/7/2015	<p>This is a guide for financial services providers that use (or plan to use) technology, including email and the internet, to deliver financial product and financial services disclosures to clients. It:</p> <ul style="list-style-type: none"> <li>• explains how under Pts 7.6–7.9 of the Corporations Act most disclosures can be delivered digitally;</li> <li>• outlines our view that in most cases it will be clear from the context that a client has provided or nominated their electronic address for the purpose of receiving disclosure under the Corporations Act, and no higher standard of consent is required to send to an electronic address compared to non-electronic methods;</li> <li>• describes the relief available under ASIC Corporations (Facilitating Electronic Delivery of Financial Services Disclosure) Instrument 2015/647 to facilitate the delivery of disclosures by making the disclosure available digitally and notifying the client;</li> <li>• describes the relief available under ASIC Corporations (Removing Barriers to Electronic Disclosure) Instrument 2015/649 to remove potential barriers to more innovative disclosure; and</li> <li>• sets out our ‘good practice guidance’ on digital disclosure.</li> </ul> <p><b>Updated to include new guidance and waivers to further help businesses provide disclosures through digital channels and to encourage innovative communication of information about financial products and services.</b></p> <p><b>The changes mean Product Disclosure Statements (PDSs) and other financial services disclosure documents will be delivered to consumers digitally as the default option, unless the consumer opts out.</b></p>	<p>MR 15-198  REP 443  LI 15/647  LI 15/649  SLI 15/681</p>

Title	Release Date	Details	Media release and related documents
RG 72 Foreign securities: Disclosure relief	2/9/2015	<p>This guide is for foreign entities and their advisers involved in the offer of foreign securities to Australian investors.</p> <p>This guide outlines the relief we have granted from Chs 6D and 7 of the Corporations Act for offers of foreign securities and interests.</p> <p><b>Updated to reflect remaking of six legislative instruments that facilitate Australian investors participating in foreign scrip offers, when appropriate safeguards are in place. ASIC remade these instruments without significant changes before they were due to sunset over the next few years under the <i>Legislative Instruments Act 2003</i>.</b></p>	<p>MR 15-240</p> <p>LI 15/356</p> <p>LI 15/357</p> <p>LI 15/358</p> <p>LI 15/359</p> <p>LI 15/360</p> <p>LI 15/362</p> <p>LI 15/363</p>
RG 134 Managed investments: Constitutions	21/10/2015	<p>This guide is for operators of managed investment schemes (schemes) seeking to register the scheme(s) and their advisers.</p> <p>It sets out our guidance on:</p> <ul style="list-style-type: none"> <li>• the requirements for scheme constitutions in s601GA and 601GB of the Corporations Act 2001 (Corporations Act); and</li> <li>• how we apply these requirements in deciding whether to register a scheme.</li> </ul> <p><b>On 1 October 2015, ASIC made ASIC Corporations (Managed investment product consideration) Instrument 2015/847 to replace Class Order [CO 05/26] <i>Constitutional provisions about the consideration to acquire interests</i>, which was due to sunset in 2015. Regulatory Guide 134 <i>Managed investments: Constitutions</i> (RG 134) has been updated to replace references to [CO 05/26] with references to the new instrument. Minor amendments have also been made to the format of the guide.</b></p> <p><b>ASIC has previously flagged its intention of updating RG 134 (refer: MR 15-280).</b></p>	Update flagged in MR 15-280

Title	Release Date	Details	Media release and related documents
RG 94 Unit pricing: Guide to good practice	23/10/2015	<p>Both APRA and ASIC have regulatory jurisdiction for aspects of the practice of life companies, superannuation providers and fund managers. After noting concerns about unit pricing practice in these entities in recent years, we undertook a joint review of unit pricing practice from July to December 2004.</p> <p><b>Cover page updated with following note:</b></p> <p><b>'Note: In September 2015, ASIC repealed [CO 04/1575] <i>Managed investment schemes: unit pricing as part of our bulk repeal process to repeal redundant instruments identified in our sunseting work. All references to [CO 04/1575] in this guide are historical because this class order no longer exists.</i></b></p>	No MR
RG 49 Employee incentive schemes	11/11/2015	<p>This guide sets out our guidance on when we will give relief from the disclosure, licensing, advertising, hawking, managed investment scheme, and on-sale provisions of the <i>Corporations Act 2001</i> (Corporations Act) for an employee incentive scheme.</p> <p>It explains:</p> <ul style="list-style-type: none"> <li>• who can make offers;</li> <li>• who can receive offers;</li> <li>• what financial products can be offered;</li> <li>• the specific structures that can be used under our relief; and</li> <li>• the general conditions of our relief.</li> </ul> <p>Sections B to F of this guide set out our policy and relief for listed bodies, while Section G does the same for unlisted bodies.</p> <p><b>Updated to account for amendments to Class Orders [CO 14/1000] <i>Employee incentive schemes: Listed bodies</i> and [CO 14/1001] <i>Employee incentive schemes: Unlisted bodies.</i></b></p>	MR 15-328 LI 15/943 LI 15/999

Title	Release Date	Details	Media release and related documents
RG 214 Guidance on ASIC market integrity rules for IMB, NSXA and SIM VSE markets	20/11/2015	<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><b>ASIC has updated a number of regulatory guides to to include information on the submission of applications and notifications using ASIC's Market Entity Compliance System (MECS) portal.</b></p>	<p>No MR</p> <p>RG 251</p> <p>RG 224</p> <p>RG 238</p> <p>RG 241</p>
RG 215 Guidance on ASIC market integrity rules for IMB, NSXA and SIM VSE markets	20/11/2015	<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><b>ASIC has updated a number of regulatory guides to to include information on the submission of applications and notifications using ASIC's Market Entity Compliance System (MECS) portal.</b></p>	<p>No MR</p> <p>RG 214</p> <p>RG 224</p> <p>RG 238</p> <p>RG 241</p>
RG 224 Guidance on ASIC market integrity rules for Chi-X and APX markets	20/11/2015	<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><b>ASIC has updated a number of regulatory guides to to include information on the submission of applications and notifications using ASIC's Market Entity Compliance System (MECS) portal.</b></p>	<p>No MR</p> <p>RG 214</p> <p>RG 215</p> <p>RG 238</p> <p>RG 241</p>
RG 238 Suspicious activity reporting	20/11/2015	<p>This guide is for market participants of the ASX market (operated by ASX Limited), the Chi-X market (operated by Chi-X Australia Pty Limited) and the APX market (operated by Asia Pacific Exchange Limited). This guide is also for market participants operating a crossing system on a financial market in this jurisdiction.</p> <p>It gives guidance on how market participants can comply with the ASIC market integrity rules relating to suspicious activity reporting.</p> <p><b>ASIC has updated a number of regulatory guides to to include information on the submission of applications and notifications using ASIC's Market Entity Compliance System (MECS) portal.</b></p>	<p>No MR</p> <p>RG 214</p> <p>RG 215</p> <p>RG 224</p> <p>RG 241</p>

Title	Release Date	Details	Media release and related documents
RG 241 Electronic trading	20/11/2015	<p>This guide is for market participants of the markets operated by ASX Limited (ASX), Chi-X Australia Pty Ltd (Chi-X) and Asia Pacific Exchange Limited (APX) that use or intend to use their systems for automated order processing (AOP), including use in relation to a crossing system.</p> <p>It gives guidance on how ASX, Chi-X and APX market participants can comply with their obligations under ASIC market integrity rules that apply to the use of AOP.</p> <p>Note 1: This guidance applies from May 2014. It reflects the ASIC market integrity rules for these markets as amended by the ASIC Market Integrity Rules (ASX Market) Amendment 2012 (No. 3), ASIC Market Integrity Rules (Chi-X Australia Market) Amendment 2012 (No. 3) and ASIC Market Integrity Rules (APX Market) Amendment 2013 (No. 1), which commenced in May 2014.</p> <p>Note 2: References to ASIC Market Integrity Rules (Competition in Exchange Markets) 2011 do not apply to APX because APX is a listing market and does not offer trading services in ASX-listed equity market products.</p> <p><b>ASIC has updated a number of regulatory guides to to include information on the submission of applications and notifications using ASIC's Market Entity Compliance System (MECS) portal.</b></p>	<p>No MR</p> <p>RG 214</p> <p>RG 215</p> <p>RG 224</p> <p>RG 238</p>
RG 67 Real estate companies	23/11/2015	<p>This guide is for vendors, real estate agents and valuers.</p> <p>It sets out our policy on relief from certain provisions of the <i>Corporations Act 2001</i> (Cth) (Corporations Act) for the sale and valuation of shares in a real estate company.</p> <p><b>Updated to take account of the remaking of Class Class Orders [CO 00/213] <i>Real estate companies</i> and [CO 05/1243] <i>Licensing relief for valuers providing valuations of shares in real estate companies</i>, which are sunsetting, and have been replaced with ASIC Corporations (Real Estate Companies) Instrument 2015/1049.</b></p>	<p>MR 15-354</p> <p>LI 15/1049</p> <p>SLI 15/1050</p>

Title	Release Date	Details	Media release and related documents
RG 97 Disclosing fees and costs in PDSs and periodic statements	24/11/2015	<p>This guide is for issuers of most superannuation products and managed investment products issued to retail clients, which are required to make disclosure in accordance with the enhanced fee disclosure regulations.</p> <p>It provides guidance on how to disclose fees and costs in Product Disclosure Statements (PDSs) and periodic statements.</p> <p>Note: Some information in this guide is also relevant to issuers of investment life insurance products and operators of investor directed portfolio services (IDPSs).</p> <p><b>ASIC has updated Regulatory Guide 97 <i>Disclosing fees and costs in PDSs and periodic statements</i> (RG 97) and amended Class Order [CO 14/1252] <i>Technical amendment to Schedule 10 to the Corporations Regulations</i> to clarify the requirements for disclosing fees and costs in the Corporations Regulations 2001.</b></p> <p><b>The amendments include a transition period for the application of the new requirements. The class order will now apply to all PDSs for superannuation and managed investment products from 1 February 2017. It will also apply to periodic statements that must be given for these products by 1 January 2018 or later.</b></p>	MR 15-350 LI 15/876 REP 457

## Legislative instruments

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2015/617	<p><i>Issued 7/7/2015</i></p> <p><i>Registered 13/7/2015: F2015L01140</i></p> <p><i>Effective 14/7/2015 (day after registration)</i></p> <p>Automatic repeal under Part 5A LIA</p>	ASIC Corporations (Amendment) Instrument 2015/617 amends the ASIC Corporations (Externally-Administered Bodies) Instrument 2015/251 to extend the exemption for registered schemes being wound up so that it is consistent with the exemption granted to companies being wound up, in relation to past financial years, and to remove an unintended consequence that arises from the definition of relevant period in relation to the alternative reporting requirements under section 601NFA of the Corporations Act for registered schemes being wound up.	No MR

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2015/624	<p><i>Issued 14/7/2015</i>  <i>Registered 17/7/2015:</i>  <i>F2015L01158</i>  <i>Gazetted 21/7/2015:</i>  <i>ASIC Gazette A31/15</i>  <i>Effective 22/7/2015</i>  <i>(later of day after registration or gazettal)</i></p> <p>Automatic repeal under Part 5A LIA</p>	ASIC Corporations (Amendment) Instrument 2015/624 amends Class Order [CO 08/1] <i>Group purchasing bodies</i> to extend the transitional period for compliance with the breach reporting conditions.	No MR
ASIC Corporations (Basic Deposit and General Insurance Product Distribution) Instrument 2015/682	<p><i>Issued 22/7/2015</i></p> <p><i>Registered 27/7/2015:</i>  <i>F2015L01184</i></p> <p><i>Effective 28/7/2015</i>  <i>(day after registration)</i></p>	ASIC Corporations (Basic Deposit and General Insurance Product Distribution) Instrument 2015/682 modifies sections 910A and 911B of the Corporations Act to allow AFS licensees who are authorised to deal in basic deposit products and general insurance products to appoint distributors to deal in these products on their behalf (avoiding the need to appoint the distributors as authorised representatives).	MR 15-196 LI 15/683 LI 15/684
ASIC Corporations (Deposit Product Disclosure) Instrument 2015/683	<p><i>Issued 22/7/2015</i></p> <p><i>Registered 27/7/2015:</i>  <i>F2015L01183</i></p> <p><i>Effective 28/7/2015</i>  <i>(day after registration)</i></p>	ASIC Corporations (Deposit Product Disclosure) Instrument 2015/683 provides exemptions from the requirements to disclose an interest rate in a Product Disclosure Statement for a deposit product and disclose a termination value in a periodic statement for a deposit product.	MR 15-196 LI 15/682 LI 15/683
ASIC Corporations (Repeal) Instrument 2015/684	<p><i>Issued 22/7/2015</i></p> <p><i>Registered 27/7/2015:</i>  <i>F2015L01181</i></p> <p><i>Effective 28/7/2015</i>  <i>(day after registration)</i></p> <p>Automatic repeal under Part 5A LIA</p>	<p>ASIC Corporations (Repeal) Instrument 2015/684 repeals the following class orders:</p> <ul style="list-style-type: none"> <li>• [CO 04/909] <i>Agency banking</i></li> <li>• [CO 05/681] <i>Transitional relief for deposit product providers – PDSs and periodic statements</i></li> <li>• [CO 05/1070] <i>General insurance distributors</i></li> <li>• [CO 06/623] <i>Relief for certain general insurers from s981B account requirements</i></li> </ul>	MR 15-196 LI 15/682 LI 15/683

Title	Dates	Details	Media release and related documents
ASIC Corporations (Facilitating Electronic Delivery of Financial Services Disclosure) Instrument 2015/647	<p><i>Issued 23/7/2015</i></p> <p><i>Registered 27/7/2015: F2015L01185</i></p> <p><i>Effective 28/7/2015 (day after registration)</i></p>	ASIC Corporations (Facilitating Electronic Delivery of Financial Services Disclosure) Instrument 2015/647 removes some barriers to the Electronic Provision of information required under Chapter 7 of the Corporations Act including by facilitating the use of electronic addresses supplied by employers to trustees of standard employer-sponsored superannuation funds	<p>MR 15-198</p> <p>RG 221</p> <p>REP 443</p> <p>LI 15/649</p> <p>SLI 15/681</p>
ASIC Corporations (Removing Barriers to Electronic Disclosure) Instrument 2015/649	<p><i>Issued 23/7/2015</i></p> <p><i>Registered 27/7/2015: F2015L01187</i></p> <p><i>Effective 28/7/2015 (day after registration)</i></p>	ASIC Corporations (Removing Barriers to Electronic Disclosure) Instrument 2015/649 facilitates innovative electronic disclosure in relation to financial products by removing technical barriers such as the requirement to provide printed copies of documents in circumstances where some of the material is not of a kind that can be printed.	<p>MR 15-198</p> <p>RG 221</p> <p>REP 443</p> <p>LI 15/647</p> <p>SLI 15/681</p>
ASIC Corporations (Repeal) Instrument 2015/681	<p><i>Issued 23/7/2015</i></p> <p><i>Registered 27/7/2015: F2015L01186</i></p> <p><i>Effective 28/7/2015 (day after registration)</i></p> <p>Automatic repeal under Part 5A LIA</p>	ASIC Corporations (Repeal) Instrument 2015/681 repeals Class Order [CO 10/1219] <i>Facilitating online delivery of PDSs, FSGs and SOAs.</i>	<p>MR 15-198</p> <p>RG 221</p> <p>REP 443</p> <p>LI 15/647</p> <p>SLI 15/649</p>
ASIC Corporations (Adara Advisors) Instrument 2015/628	<p><i>Issued 4/8/2015</i></p> <p><i>Registered 12/8/2015: F2015L01255</i></p> <p><i>Effective 13/8/2015 (day after registration)</i></p>	ASIC Corporations (Adara Advisors) Instrument 2015/628 extends the relief granted to nine individuals in ASIC Instrument 15/0474 to all Panel Members, as a discrete class of persons, so that they may be appointed as authorised representatives of Adara Advisors without also being authorised representatives of their respective Panel Member Firms, as would otherwise be required by s911B(1)(b)(iv).	No MR

Title	Dates	Details	Media release and related documents
ASIC Corporations (Advertising by Product Issuers) Instrument 2015/539	<p><i>Issued 18/8/2015</i></p> <p><i>Registered 24/8/2015: F2015L01306</i></p> <p><i>Effective 25/8/2015 (day after registration)</i></p>	ASIC Corporations (Advertising by Product Issuers) Instrument 2015/539 exempts issuers of financial products from the requirement to hold an AFS licence for providing financial advice, where they provide general financial product advice in advertisements, and exempts AFS licensees from the requirement to give an FSG and the requirement to give a general advice warning, where they provide general financial product advice on an offer or intended offer of their securities in advertisements.	<p>MR 15-230</p> <p>LI 15/540</p> <p>LI 15/541</p> <p>LI 15/542</p>
ASIC Corporations (General Advice Warning) Instrument 2015/540	<p><i>Issued 18/8/2015</i></p> <p><i>Registered 24/8/2015: F2015L01307</i></p> <p><i>Effective 25/8/2015 (day after registration)</i></p>	ASIC Corporations (General Advice Warning) Instrument 2015/540 exempts an AFS licensee or its authorised representative from the requirement to provide a general advice warning for oral general advice provided that a simplified oral warning is given by the advice provider which conveys that the advice is general advice and the advice may not be appropriate for the client.	<p>MR 15-230</p> <p>LI 15/539</p> <p>LI 15/541</p> <p>LI 15/542</p>
ASIC Corporations (Financial Services Guides) Instrument 2015/541	<p><i>Issued 18/8/2015</i></p> <p><i>Registered 24/8/2015: F2015L01308</i></p> <p><i>Effective 25/8/2015 (day after registration)</i></p>	ASIC Corporations (Financial Services Guides) Instrument 2015/541 exempts experts from the requirement to provide an FSG to a retail client where they give general advice in an expert's report and this is included in a disclosure document prepared by or on behalf of another person, and exempts arrangers from the requirement to provide an FSG to a retail client where they provide a financial service consisting of arranging for the issue of a financial product under an intermediary authorisation.	<p>MR 15-230</p> <p>LI 15/539</p> <p>LI 15/540</p> <p>LI 15/542</p>
ASIC Corporations (Amendment and Repeal) Instrument 2015/542	<p><i>Issued 18/8/2015</i></p> <p><i>Registered 24/8/2015: F2015L01309</i></p> <p><i>Gazetted 25/8/2015: ASIC Gazette A36/15</i></p> <p><i>Effective 25/8/2015 (later of registration or gazettal)</i></p> <p>Automatic repeal under Part 5A LIA</p>	<p>ASIC Corporations (Amendment and Repeal) Instrument 2015/542 amends Class Order [CO 05/1270] <i>Operation of certain instruments</i> to vary the definition of 'eligible instrument', and repeals Class Orders:</p> <ul style="list-style-type: none"> <li>• [CO 05/835] <i>General advice in advertising</i>, and</li> <li>• [CO 05/1195] <i>Simplified warning for oral general advice</i>.</li> </ul>	<p>MR 15-230</p> <p>LI 15/539</p> <p>LI 15/540</p> <p>LI 15/541</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Foreign Rights Issues) Instrument 2015/356	<p><i>Issued 25/8/2015</i></p> <p><i>Registered 1/9/2015: F2015L01377</i></p> <p><i>Effective 2/9/2015 (day after registration)</i></p>	ASIC Corporations (Foreign Rights Issues) Instrument 2015/356 provides relief from the prospectus provisions in Ch 6D of the Corporations Act for pro-rata offer of securities that are in a class quoted on an approved foreign market.	<p>MR 15-240</p> <p>RG 72</p> <p>LI 15/357</p> <p>LI 15/358</p> <p>LI 15/359</p> <p>LI 15/360</p> <p>LI 15/362</p> <p>LI 15/363</p>
ASIC Corporations (Foreign Scrip Bids) Instrument 2015/357	<p><i>Issued 25/8/2015</i></p> <p><i>Registered 1/9/2015: F2015L01378</i></p> <p><i>Effective 2/9/2015 (day after registration)</i></p>	ASIC Corporations (Foreign Scrip Bids) Instrument 2015/357 provides relief from the prospectus provisions in Ch 6D and the PDS provisions in Pt 7.9 for scrip bids where the securities offered as consideration under the bid are in the same class as those quoted on an approved foreign market	<p>MR 15-240</p> <p>RG 72</p> <p>LI 15/356</p> <p>LI 15/358</p> <p>LI 15/359</p> <p>LI 15/360</p> <p>LI 15/362</p> <p>LI 15/363</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Compromises or Arrangements) Instrument 2015/358	<p><i>Issued 25/8/2015</i></p> <p><i>Registered 1/9/2015: F2015L01379</i></p> <p><i>Effective 2/9/2015 (day after registration)</i></p>	ASIC Corporations (Compromises or Arrangements) Instrument 2015/358 gives relief from the PDS requirement where financial products are offered under a Pt 5.1 scheme. The instrument also gives relief from the prospectus and PDS requirements where securities or financial products are offered under a scheme regulated in Hong Kong, Malaysia, Singapore, South Africa or the United Kingdom.	<p>MR 15-240</p> <p>RG 72</p> <p>LI 15/356</p> <p>LI 15/357</p> <p>LI 15/359</p> <p>LI 15/360</p> <p>LI 15/362</p> <p>LI 15/363</p>
ASIC Corporations (Foreign Securities - Publishing Notices) Instrument 2015/359	<p><i>Issued 25/8/2015</i></p> <p><i>Registered 1/9/2015: F2015L01380</i></p> <p><i>Effective 2/9/2015 (day after registration)</i></p>	ASIC Corporations (Foreign Securities - Publishing Notices) Instrument 2015/359 gives relief from subsection 734(2) to bodies that are listed on an approved foreign market for notices or reports about its affairs that are given the market operator. It also gives relief for notices or reports of a body's general meeting. The relief is analogous to subparagraphs 734(7)(a) and (b).	<p>MR 15-240</p> <p>RG 72</p> <p>LI 15/356</p> <p>LI 15/357</p> <p>LI 15/358</p> <p>LI 15/360</p> <p>LI 15/362</p> <p>LI 15/363</p>
ASIC Corporations (Foreign Securities - Incidental Advertising) Instrument 2015/360	<p><i>Issued 25/8/2015</i></p> <p><i>Registered 1/9/2015: F2015L01381</i></p> <p><i>Effective 2/9/2015 (day after registration)</i></p>	ASIC Corporations (Foreign Securities - Incidental Advertising) Instrument 2015/360 gives relief from subsection 734(2) and section 1018A of the <i>Corporations Act 2001</i> to authors and publishers who publish an advertisement or statement relating to foreign securities that is only incidentally published in Australia.	<p>MR 15-240</p> <p>RG 72</p> <p>LI 15/356</p> <p>LI 15/357</p> <p>LI 15/358</p> <p>LI 15/359</p> <p>LI 15/362</p> <p>LI 15/363</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Foreign Small-Scale Offers) Instrument 2015/362	<p><i>Issued 25/8/2015</i></p> <p><i>Registered 1/9/2015: F2015L01382</i></p> <p><i>Effective 2/9/2015 (day after registration)</i></p>	<p>ASIC Corporations (Foreign Small-Scale Offers) Instrument 2015/362 gives conditional relief from the prospectus and PDS requirements for a small number of personal offers by entities that are listed on an approved foreign market.</p>	<p>MR 15-240</p> <p>RG 72</p> <p>LI 15/356</p> <p>LI 15/357</p> <p>LI 15/358</p> <p>LI 15/359</p> <p>LI 15/360</p> <p>LI 15/363</p>
ASIC Corporations (Repeal) Instrument 2015/363	<p><i>Issued 25/8/2015</i></p> <p><i>Registered 1/9/2015: F2015L01384</i></p> <p><i>Effective 2/9/2015 (day after registration)</i></p> <p>Automatic repeal under Part 5A LIA</p>	<p>ASIC Corporations (Repeal) Instrument 2015/363 amends Class Orders [CO 02/246] <i>Offers of securities on the internet</i> and [CO 07/10] <i>Technical disclosure relief for reconstructions and capital reductions</i>, and repeals a number of class orders primarily relating to offers of foreign securities and our policy in Regulatory Guide 72 <i>Foreign securities: Disclosure relief</i> (RG 72). The repealed class orders were due to sunset over the next few years and most were updated with the release of new instruments.</p> <p>Class orders repealed: [CO 00/178], [CO 00/179], [CO 00/180], [CO 00/181], [CO 00/183], [CO 00/185], [CO 00/214], [CO 02/144], [CO 02/150], [CO 02/263], [CO 07/9] and [CO 09/68].</p>	<p>MR 15-240</p> <p>RG 72</p> <p>LI 15/356</p> <p>LI 15/357</p> <p>LI 15/358</p> <p>LI 15/359</p> <p>LI 15/360</p> <p>LI 15/362</p>

Title	Dates	Details	Media release and related documents
<p>ASIC Redundant Class Orders (Amendment and Repeal) Instrument 2015/826</p>	<p><i>Issued 8/9/2015</i></p> <p><i>Registered 14/9/2015: F2015L01432</i></p> <p><i>Gazetted 15/9/2015: ASIC Gazette A39/15</i></p> <p><i>Effective 15/9/2015 (later of gazettal or registration)</i></p> <p>Automatic repeal under Part 5A LIA</p>	<p>Instrument amends Class Order [CO 05/1270] <i>Operation of certain instruments</i> and repeals the following 60 class orders that are no longer required:</p> <p>[CO 98/57], [CO 98/59], [CO 98/65], [CO 98/105], [CO 98/107], [CO 98/110], [CO 98/112],[CO 98/1416], [CO 98/1805], [CO 98/1807], [CO 98/2159], [CO 99/90], [CO 99/374], [CO 00/4], [CO 00/5], [CO 00/166], [CO 00/200], [CO 00/202], [CO 00/227], [CO 00/228], [CO 00/237], [CO 00/240], [CO 00/1067], [CO 00/1068], [CO 00/1087], [CO 00/1115], [CO 01/55], [CO 02/171], [CO 02/186], [CO 02/191], [CO 02/239], [CO 02/803], [CO 02/930], [CO 02/1022], [CO 02/1145], [CO 03/485], [CO 03/825], [CO 03/1096], [CO 03/1097], [CO 04/150], [CO 04/967], [CO 04/1434], [CO 04/1575], [CO 05/508], [CO 05/566], [CO 05/637], [CO 05/683], [CO 05/986], [CO 05/1254], [CO 06/50], [CO 06/105], [CO 06/538], [CO 06/602], [CO 07/409], [CO 07/447], [CO 10/746], [CO 10/907], [CO 11/261], [CO 11/407] and [CO 11/760].</p>	<p>MR 15-257</p>
<p>ASIC Corporations (Avia Syndicate) Instrument 2015/825</p>	<p><i>Issued 9/9/2015</i></p> <p><i>Registered 16/9/2015: F2015L01443</i></p> <p><i>Effective 17/9/2015 (day after registration)</i></p> <p>Automatic repeal under Part 5A LIA</p>	<p>ASIC Corporations (Avia Syndicate) Instrument 2015/825 grants registration, licensing and certain disclosure relief to the operators and promoters of fractional airplane owning syndicates that are time-sharing schemes on the conditions that prominent warnings are disclosed in a PDS, certain cooling-off rights exist and membership of an external dispute resolution scheme is maintained.</p>	<p>No MR</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Stapled Group Reports) Instrument 2015/838	<p><i>Issued 18/9/2015</i></p> <p><i>Registered 30/9/2015: F2015L01548</i></p> <p><i>Effective 1/10/2015 (day after registration)</i></p>	ASIC Corporations (Stapled Group Reports) Instrument 2015/838 allows issuers of stapled securities to present financial statements covering individual entities in a stapled group within the same document.	<p>MR 15-295</p> <p>LI 15/839</p> <p>LI 15/840</p> <p>LI 15/841</p> <p>LI 15/842</p> <p>LI 15/843</p> <p>CO 01/1455</p> <p>CO 04/672</p> <p>CO 07/571</p> <p>CO 09/425</p>
ASIC Corporations (Related Scheme Reports) Instrument 2015/839	<p><i>Issued 18/9/2015</i></p> <p><i>Registered 30/9/2015: F2015L01549</i></p> <p><i>Effective 1/10/2015 (day after registration)</i></p>	ASIC Corporations (Related Scheme Reports) Instrument 2015/839 allows the financial statements of related registered schemes to be presented in a single financial report.	<p>MR 15-295</p> <p>LI 15/838</p> <p>LI 15/840</p> <p>LI 15/841</p> <p>LI 15/842</p> <p>LI 15/843</p> <p>CO 01/1455</p> <p>CO 04/672</p> <p>CO 07/571</p> <p>CO 09/425</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Exempt Proprietary Companies) Instrument 2015/840	<p><i>Issued 18/9/2015</i></p> <p><i>Registered 30/9/2015: F2015L01545</i></p> <p><i>Effective 1/10/2015 (day after registration)</i></p>	ASIC Corporations (Exempt Proprietary Companies) Instrument 2015/840 allows grandfathered proprietary companies to preserve their exempt status in particular circumstances.	<p>MR 15-295</p> <p>LI 15/838</p> <p>LI 15/839</p> <p>LI 15/841</p> <p>LI 15/842</p> <p>LI 15/843</p> <p>CO 01/1455</p> <p>CO 04/672</p> <p>CO 07/571</p> <p>CO 09/425</p>
ASIC Corporations (Non-Reporting Entities) Instrument 2015/841	<p><i>Issued 18/9/2015</i></p> <p><i>Registered 30/9/2015: F2015L01546</i></p> <p><i>Effective 1/10/2015 (day after registration)</i></p>	ASIC Corporations (Non-Reporting Entities) Instrument 2015/841 allows non-reporting entities to take advantage of concessions in accounting standards available to reporting entities.	<p>MR 15-295</p> <p>LI 15/838</p> <p>LI 15/839</p> <p>LI 15/840</p> <p>LI 15/842</p> <p>LI 15/843</p> <p>CO 01/1455</p> <p>CO 04/672</p> <p>CO 07/571</p> <p>CO 09/425</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Post Balance Date Reporting) Instrument 2015/842	<p><i>Issued 18/9/2015</i></p> <p><i>Registered 30/9/2015: F2015L01552</i></p> <p><i>Effective 1/10/2015 (day after registration)</i></p>	<p>ASIC Corporations (Post Balance Date Reporting) Instrument 2015/842 allows disclosure in the financial statements of the financial effect of significant acquisitions or disposals after the reporting date.</p>	<p>MR 15-295</p> <p>LI 15/838</p> <p>LI 15/839</p> <p>LI 15/840</p> <p>LI 15/841</p> <p>LI 15/843</p> <p>CO 01/1455</p> <p>CO 04/672</p> <p>CO 07/571</p> <p>CO 09/425</p>
ASIC Corporations (Amendment and Repeal) Instrument 2015/843	<p><i>Issued 18/9/2015</i></p> <p><i>Registered 30/9/2015: F2015L01555</i></p> <p><i>Effective 1/10/2015 (day after registration)</i></p> <p><i>Sch 3 transitional provisions: No automatic repeal under Part 5A LIA</i></p>	<p>ASIC Corporations (Amendment and Repeal) Instrument 2015/843 repeals the following 5 sunseting class orders being remade as new instruments:</p> <ul style="list-style-type: none"> <li>• [CO 05/638] <i>Anomalies preventing certain large proprietary companies from being grandfathered;</i></li> <li>• [CO 05/639] <i>Application of accounting standards by non-reporting entities;</i></li> <li>• [CO 05/642] <i>Combining financial reports of stapled security issuers;</i></li> <li>• [CO 05/644] <i>Disclosing post balance date acquisitions and disposals; and</i></li> <li>• [CO 06/441] <i>Including different registered scheme financial reports in a single document.</i></li> </ul> <p>The following class orders are amended:</p> <ul style="list-style-type: none"> <li>• [CO 01/1455] <i>Continuously quoted securities;</i></li> <li>• [CO 04/672] <i>Extension of on-sales exemptions;</i></li> <li>• [CO 07/571] <i>Disclosure exemption for rights issues; and</i></li> <li>• [CO 09/425] <i>Share and interest purchase plans.</i></li> </ul>	<p>MR 15-295</p> <p>LI 15/838</p> <p>LI 15/839</p> <p>LI 15/840</p> <p>LI 15/841</p> <p>LI 15/842</p> <p>CO 01/1455</p> <p>CO 04/672</p> <p>CO 07/571</p> <p>CO 09/425</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Repeal) Instrument 2015/846	<p><i>Issued 18/9/2015</i>  <i>Registered 30/9/2015:</i>  <i>F2015L01559</i>  <i>Effective 1/10/2015</i>  <i>(day after registration)</i></p> <p>Automatic repeal under Part 5A LIA</p>	ASIC Corporations (Repeal) Instrument 2015/846 repeals Class Order [CO 05/26] <i>Constitutional provisions about the consideration to acquire interests</i> in its entirety.	MR 15-280 LI 15/847
ASIC Corporations (Managed investment product consideration) Instrument 2015/847	<p><i>Issued 18/9/2015</i>  <i>Registered 30/9/2015:</i>  <i>F2015L01561</i>  <i>Effective 1/10/2015</i>  <i>(day after registration)</i></p>	ASIC Corporations (Managed investment product consideration) Instrument 2015/847 replaces the relief underlying Class Order [CO 05/26] <i>Constitutional provisions about the consideration to acquire interests</i> . The instrument modifies the application of the Corporations Act in certain circumstances in relation to a managed investment scheme that became a registered scheme before 1 October 2013 and in relation to which the responsible entity is not relying on Class Order [CO 13/655] <i>Provisions about the amount of consideration to acquire interests and withdrawal amounts not covered by ASIC Corporations (Managed investment product consideration) Instrument 2015/847</i> .	MR 15-280 SLI 15/846
ASIC Corporations (Derivative Transaction Reporting Exemption) Instrument 2015/844	<p><i>Issued 21/9/2015</i>  <i>Registered 30/9/2015:</i>  <i>F2015L01530</i>  <i>Effective 1/10/2015</i>  <i>(later of day after registration or 1/10/2015)</i></p>	ASIC Corporations (Derivative Transaction Reporting Exemption) Instrument 2015/844 provides that ASIC may exempt a person or class of persons from all or specified provisions of the ASIC Derivative Transaction Rules (Reporting) 2013 (Rules).	None
ASIC Corporations (Repeal) Instrument 2015/859	<p><i>Issued 21/9/2015</i>  <i>Registered 30/9/2015:</i>  <i>F2015L01531</i>  <i>Effective 1/10/2015</i>  <i>(later of day after registration or 1/10/2015)</i></p> <p>Automatic repeal under Part 5A LIA</p>	ASIC Corporations (Repeal) Instrument 2015/859 repeals ASIC Instrument [14/0952] <i>Transitional exemptive relief for Reporting Entities from elements of the ASIC Derivative Transaction Rules (Reporting) 2013</i> .	None

Title	Dates	Details	Media release and related documents
ASIC Corporations (Derivative Transaction Reporting) Amendment Instrument 2015/0925	<p><i>Issued 8/10/2015</i></p> <p><i>Registered 9/10/2015: F2015L01642</i></p> <p><i>Effective 9/10/2015 (day of registration)</i></p> <p>Automatic repeal under Part 5A LIA</p>	ASIC Corporations (Derivative Transaction Reporting) Amendment Instrument 2015/0925 amends ASIC Instrument [14/0633] <i>Transitional exemptive relief for Phase 3 Reporting Entities from elements of the ASIC Derivative Transaction Rules (Reporting) 2013</i> to provide temporary transitional relief to extend the commencement date for phase 3B reporting to 4 December 2015.	None
ASIC Corporations (Amendment) Instrument 2015/943	<p><i>Issued 15/10/2015</i></p> <p><i>Registered 22/10/2015: F2015L01691</i></p> <p><i>Gazetted 10/11/2015: ASIC Gazette A47/10</i></p> <p><i>Effective 11/11/2015 (later of day after registration or day after gazetta)</i></p> <p>Automatic repeal under Part 5A LIA</p>	ASIC Corporations (Amendment) Instrument 2015/943 amends Class Order [CO 14/1000] <i>Employee incentive schemes: Listed bodies</i> and Class Order [CO 14/1001] <i>Employee incentive schemes: Unlisted bodies</i> .	MR 15-328 RG 49 SLI 15/999
ASIC Corporations (Amendment) Instrument 2015/991	<p><i>Issued 29/10/2015</i></p> <p><i>Registered 3/11/2015: F2015L01740</i></p> <p><i>Gazetted 3/11/2015: ASIC Gazette A45/15</i></p> <p><i>Effective 4/11/2015 (later of day after registration or day after gazetta)</i></p> <p>Automatic repeal under Part 5A LIA</p>	ASIC Corporations (Amendment) Instrument 2015/991 amends the licensing exemptions for financial counsellors in Class Order [CO 03/1063] <i>Licensing relief for financial counselling agencies</i> to allow those counsellors to continue to rely on the existing relief when they receive payments on behalf of a client from the Commonwealth or a State or Territory.	No MR LI 15/992
ASIC Credit (Financial Counselling Agencies) Instrument 2015/992	<p><i>Issued 29/10/2015</i></p> <p><i>Registered 3/11/2015: F2015L01743</i></p> <p><i>Effective 4/11/2015 (day after registration)</i></p>	ASIC Credit (Financial Counselling Agencies) Instrument 2015/992 amends the existing licensing exemption for financial counsellors in the National Consumer Credit Protection Regulations 2010 to allow financial counsellors to continue to rely on that exemption when they receive payments on behalf of a client from the Commonwealth or a State or Territory.	No MR SLI 15/991

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2015/999	<p><i>Issued 2/11/2015</i></p> <p><i>Registered 10/11/2015: F2015L01772</i></p> <p><i>Gazetted 10/11/2015: ASIC Gazette A47/15</i></p> <p><i>Effective 11/11/2014 (later of: day after registration; or day after gazettal; or immediately after the commencement of SLI 15/943)</i></p> <p>Automatic repeal under Part 5A LIA</p>	ASIC Corporations (Amendment) Instrument 2015/999 corrects amendment errors made to [CO 14/1001] <i>Employee incentive schemes: Unlisted bodies</i> by ASIC Corporations (Amendment) Instrument 2015/943.	MR 15-328 RG 49 SLI 19/943
ASIC Corporations (Amendment) Instrument 2015/963	<p><i>Issued 5/11/2015</i></p> <p><i>Registered 9/11/2015: F2015L01767</i></p> <p><i>Effective 10/11/2015 (day after registration)</i></p> <p>Automatic repeal under Part 5A LIA</p>	<p>ASIC Corporations (Amendment) Instrument 2015/963 amends class orders:</p> <ul style="list-style-type: none"> <li>• [CO 02/608] <i>Warrants: relief from PDS requirements for secondary sales</i></li> <li>• [CO 03/957] <i>ASX managed investment warrants — disclosure and reporting exemptions</i></li> <li>• [CO 10/1034] <i>Margin lending relief for ASX-traded instalment warrants, and</i></li> <li>• [CO 13/562] <i>Warrants: Relevant interests and associations,</i></li> </ul> <p>by extending the relief to warrants that are quoted and traded on the financial market operated by Chi-X Australia Pty Ltd.</p>	MR 15-314
ASIC Corporations (Division 4 Financial Products) Instrument 2015/1030	<p><i>Issued 6/11/2015</i></p> <p><i>Registered 10/11/2015: F2015L01771</i></p> <p><i>Effective 11/11/2015 (day after registration)</i></p>	ASIC Corporations (Division 4 Financial Products) Instrument 2015/1030 is a declaration that facilitates a class of financial products specified in the declaration to be transferred through ASX Settlement Pty Ltd. It also extends the statutory warranties and indemnities provided for in Part 7.11 of the <i>Corporations Act 2001</i> to the financial products specified in the legislative instrument.	No MR SLI 15/1031

Title	Dates	Details	Media release and related documents
ASIC Corporations (Repeal) Instrument 2015/1031	<p><i>Issued 6/11/2015</i></p> <p><i>Registered 10/11/2015: F2015L01770</i></p> <p><i>Effective 11/11/2015 (day after registration)</i></p> <p>Automatic repeal under Part 5A LIA</p>	ASIC Corporations (Repeal) Instrument 2015/1031 repeals Class Order [CO 02/312] <i>Part 7.11, Division 4 financial products for ASTC.</i>	No MR LI 15/1030
ASIC Corporations (Real Estate Companies) Instrument 2015/1049	<p><i>Issued 11/11/2015</i></p> <p><i>Registered 23/11/2015: F2015L01831</i></p> <p><i>Effective 24/11/2015 (day after registration)</i></p>	ASIC Corporations (Real Estate Companies) Instrument 2015/1049 remakes and consolidates Class Orders [CO 00/213] <i>Real estate companies</i> and Class Order [CO 05/1243] <i>Licensing relief for valuers providing valuations of shares in real estate companies</i> which are sunsetting. Class order provides relief from the licensing requirements of the Corporations Act for real estate agents who offer for sale shares in real estate companies and valuers who value shares in real estate companies. It also provides conditional relief for vendors and real estate agents offering for sale shares in a real estate company from the fundraising disclosure obligations of the Corporations Act.	MR 15-354 RG 67 SLI 15/1050
ASIC Corporations (Repeal) Instrument 2015/1050	<p><i>Issued 11/11/2015</i></p> <p><i>Registered 23/11/2015: F2015L01830</i></p> <p><i>Gazetted 24/11/2015: ASIC Gazette A49/15</i></p> <p><i>Effective 24/11/2015 (later of day of gazettal or day after registration)</i></p> <p>Automatic repeal under Part 5A LIA</p>	ASIC Corporations (Repeal) Instrument 2015/1050 repeals Class Orders [CO 00/213] <i>Real estate companies</i> and [CO 05/1243] <i>Licensing relief for valuers providing valuations of shares in real estate companies</i> , which are sunsetting and have been replaced with ASIC Corporations (Real Estate Companies) Instrument 2015/1049.	MR 15-354 RG 67 LI 15/1049

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment and Repeal) Instrument 2015/876	<p><i>Issued 16/11/2015</i></p> <p><i>Registered 24/11/2015: F2015L01835</i></p> <p><i>Effective 25/11/2015 (day after registration)</i></p> <p>Sch 2 transitional provisions: No automatic repeal under Part 5A LIA</p>	ASIC Corporations (Amendment and Repeal) Instrument 2015/876 amends Class Order [CO 14/1252] <i>Technical modifications to Schedule 10 of the Corporations Regulations</i> and repeals Class Order [CO 07/337] <i>Enhanced fee disclosure exemption – defined benefit superannuation pension products.</i>	MR 15-350 RG 97 REP 457
ASIC Corporations (Effect of Licensing Exemptions) Instrument 2015/1115	<p><i>Issued 25/11/2015</i></p> <p><i>Registered 3/12/2015: F2015L01936</i></p> <p><i>Effective 4/12/2015 (day after registration)</i></p>	ASIC Corporations (Effect of Licensing Exemptions) Instrument 2015/1115 modifies the <i>Corporations Act 2001</i> to ensure that subsection 911B(1) of the Act operates in the same way for any licensing exemption granted by ASIC, irrespective of the source of power used by ASIC to grant the exemption.	No MR
ASIC Corporations (Amendment) Instrument 2015/1073	<p><i>Issued 3/12/2015</i></p> <p><i>Registered 9/12/2015: F2015L01953</i></p> <p><i>Effective 10/12/2015 (day after registration)</i></p> <p>Automatic repeal under Part 5A LIA</p>	ASIC Corporations (Amendment) Instrument 2015/1073 amends Class Order [CO 10/630] <i>Long-term superannuation returns</i> to allow the existing relief to continue beyond 31 December 2015 indefinitely, in order to allow additional time for the proposed amending regulations to be made.	No MR
ASIC Corporations (IDPS - Relevant Interests) Instrument 2015/1067	<p><i>Issued 8/12/2015</i></p> <p><i>Registered 14/12/2015: F2015L01990</i></p> <p><i>Effective 15/12/2015 (day after registration)</i></p>	ASIC Corporations (IDPS - Relevant Interests) Instrument 2015/1067 provides relief to operators of an IDPS by modifying section 609 of the <i>Corporations Act 2001</i> .	MR 15-375 LI 15/1068 LI 15/1069 LI 15/1070 LI 15/1071 SLI 15/1079

Title	Dates	Details	Media release and related documents
ASIC Corporations (Minimum Bid Price) Instrument 2015/1068	<p><i>Issued 8/12/2015</i></p> <p><i>Registered 14/12/2015: F2015L01989</i></p> <p><i>Effective 15/12/2015 (day after registration)</i></p>	ASIC Corporations (Minimum Bid Price) Instrument 2015/1068 addresses certain technical and practical difficulties that arise in the takeovers process where the value of quoted securities offered under the bid decreases between the day the bidder lodged its statement with ASIC and the first day of the offer.	<p>MR 15-375</p> <p>LI 15/1067</p> <p>LI 15/1069</p> <p>LI 15/1070</p> <p>LI 15/1071</p> <p>SLI 15/1079</p>
ASIC Corporations (Takeovers - Accelerated Rights Issues) Instrument 2015/1069	<p><i>Issued 8/12/2015</i></p> <p><i>Registered 14/12/2015: F2015L01985</i></p> <p><i>Effective 15/12/2015 (day after registration)</i></p>	ASIC Corporations (Takeovers - Accelerated Rights Issues) Instrument 2015/1069 provides an exemption from the takeovers provisions in Chapter 6 for accelerated rights offers by notionally inserting item 10A of section 611 of the <i>Corporations Act 2001</i> .	<p>MR 15-375</p> <p>LI 15/1067</p> <p>LI 15/1068</p> <p>LI 15/1070</p> <p>LI 15/1071</p> <p>SLI 15/1079</p>
ASIC Corporations (Unsolicited Offers - Foreign Bids) Instrument 2015/1070	<p><i>Issued 8/12/2015</i></p> <p><i>Registered 14/12/2015: F2015L01986</i></p> <p><i>Effective 15/12/2015 (day after registration)</i></p>	ASIC Corporations (Unsolicited Offers - Foreign Bids) Instrument 2015/1070 provides relief from Division 5A of Part 7.9 of the <i>Corporations Act 2001</i> to persons who make unsolicited offers to Australian residents in connection with any takeover bid for a foreign company foreign jurisdictions with comparable regulatory requirements to Australia.	<p>MR 15-375</p> <p>LI 15/1067</p> <p>LI 15/1068</p> <p>LI 15/1069</p> <p>LI 15/1071</p> <p>SLI 15/1079</p>
ASIC Corporations (Approved Foreign Financial Markets) Instrument 2015/1071	<p><i>Issued 8/12/2015</i></p> <p><i>Registered 14/12/2015: F2015L01988</i></p> <p><i>Effective 15/12/2015 (day after registration)</i></p>	ASIC Corporations (Approved Foreign Financial Markets) Instrument 2015/1071 provides a uniform list of approved overseas financial markets for the purposes of section 257B(7) and item 14 of section 611 of the <i>Corporations Act 2001</i> .	<p>MR 15-375</p> <p>LI 15/1067</p> <p>LI 15/1068</p> <p>LI 15/1069</p> <p>LI 15/1070</p> <p>SLI 15/1079</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment and Repeal) Instrument 2015/1079	<p><i>Issued 8/12/2015</i></p> <p><i>Registered 14/12/2015: F2015L01983</i></p> <p><i>Effective 15/12/2015 (day after registration)</i></p> <p>Automatic repeal under Part 5A LIA</p>	<p>ASIC Corporations (Amendment and Repeal) Instrument 2015/1079 amends Class Order [CO 13/763] <i>Investor directed portfolio services</i> and repeals the following class orders:</p> <ul style="list-style-type: none"> <li>• [CO 00/2338] <i>Relief from the minimum bid price principle - s621(3)</i></li> <li>• [CO 02/249] <i>Approved overseas financial markets: s257B(7)</i></li> <li>• [CO 02/259] <i>Downstream acquisitions: foreign stock markets</i></li> <li>• [CO 04/523] <i>Investor directed portfolio services takeovers relief</i></li> <li>• [CO 05/850] <i>Unsolicited offers under a regulated foreign takeover bid</i></li> <li>• [CO 09/459] <i>Takeovers relief for accelerated rights issues.</i></li> </ul> <p>The repeals relate to takeovers and schemes of arrangement.</p>	<p>MR 15-375</p> <p>LI 15/1067</p> <p>LI 15/1068</p> <p>LI 15/1069</p> <p>LI 15/1070</p> <p>LI 15/1071</p>
ASIC Superannuation (Amendment) Instrument 2015/1098	<p><i>Issued 8/12/2015</i></p> <p><i>Registered 15/12/2015: F2015L02012</i></p> <p><i>Effective 16/12/2015 (day after registration)</i></p> <p>Automatic repeal under Part 5A LIA</p>	<p>ASIC Superannuation (Amendment) Instrument 2015/1098 amends the Class Order [CO 14/541] <i>RSE licensee s29QC S/S Act disclosure exemption</i> to extend an exemption for RSE licensees until 1 February 2017.</p>	<p>No MR</p>
ASIC Corporations (Employee Redundancy Funds Relief) Instrument 2015/1150	<p><i>Issued 9/12/2015</i></p> <p><i>Registered 16/12/2015: F2015L02021</i></p> <p><i>Effective 17/12/2015 (day after registration)</i></p>	<p>ASIC Corporations (Employee Redundancy Funds Relief) Instrument 2015/1150 provides interim relief from managed investment and associated provisions to operators of employee redundancy funds until 1 October 2018.</p>	<p>MR 15-392</p> <p>SLI 15/1157</p> <p>REP 463</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Repeal) Instrument 2015/1157	<i>Issued 9/12/2015</i> <i>Registered 16/12/2015: F2015L02020</i> <i>Gazetted 15/12/2015: ASIC Gazette A52/15</i> <i>Effective 17/12/2015 (later of day after registration or day after gazettal)</i>	ASIC Corporations (Repeal) Instrument 2015/1157 repeals Class Order [CO 02/314] <i>Employee redundancy funds: relief</i> which is due to sunset on 1 October 2016. [CO 02/314] was remade as ASIC Corporations (Employee Redundancy Funds Relief) Instrument 2015/1150.	MR 15-392 LI 15/1150 REP 463

## Consultation papers

Title	Release Date	Details	Media release and related documents
<p>CP 234 ASIC consults on remaking ASIC class orders on takeovers and schemes of arrangement</p>	<p>4/8/2015</p>	<p>This consultation paper sets out ASIC’s proposals to remake a number of our class orders relating to takeovers and schemes of arrangement into ASIC instruments. Under the <i>Legislative Instruments Act 2003</i>, these class orders will expire (‘sunset’) if not remade.</p> <p>We are seeking feedback from law firms, industry and other interested parties on our proposals to remake, without significant changes, the following class orders:</p> <ul style="list-style-type: none"> <li>• Class Order [CO 05/850] <i>Unsolicited offers under a regulated foreign takeover bid</i> and Class Order [CO 02/259] <i>Downstream acquisitions: foreign stock markets</i>, which are due to expire on 1 April 2016;</li> <li>• Class Order [CO 00/2338] <i>Relief from the minimum bid price principle—s621(3)</i>, which is due to expire on 1 October 2016;</li> <li>• Class Order [CO 02/249] <i>Approved overseas financial markets—s257B(7)</i> and Class Order [CO 04/523] <i>Investor directed portfolio services takeover relief</i>, which are due to expire on 1 April 2017; and</li> <li>• Class Order [CO 09/459] <i>Takeovers relief for accelerated rights issues</i>, which is due to expire on 1 October 2019.</li> </ul> <p>Note: The draft ASIC instruments are available on our website at <a href="http://www.asic.gov.au/cp">www.asic.gov.au/cp</a> under CP 234.</p> <p>Submissions close 2 October 2015.</p>	<p>MR 15-206</p> <p>Attachments 1- 5 to CP 234 (Draft legislative instruments)</p>

Title	Release Date	Details	Media release and related documents
CP 235 Proposed amendments to ASIC market integrity rules and instruments for the Chi-X investment product market	20/8/2015	<p>This consultation paper sets out our proposals to amend the ASIC Market Integrity Rules (Chi-X Australia Market) 2011, ASIC Market Integrity Rules (Competition in Exchange Markets) 2011 and existing ASIC instruments, for Chi-X's proposal to commence the quotation and trading of warrants and exchange traded funds on a new investment product market. We are also proposing minor amendments to the ASIC Market Integrity Rules (ASX Market) 2010.</p> <p>Submissions close 9 September 2015.</p>	<p>MR 15-221</p> <p>Attachments 1–3 to CP 235 (Draft market integrity rules for Chi-X, Competition &amp; ASX))</p>
CP 236 Remaking ASIC class orders on dematerialised securities and CHES units of foreign securities	24/8/2015	<p>This consultation paper sets out ASIC's proposals to remake two class orders into ASIC instruments. Under the <i>Legislative Instruments Act 2003</i>, these class orders will expire ('sunset') if not remade.</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"> <li>• Class Order [CO 02/281] <i>Dematerialised securities traded on Austraclear</i>, which is due to expire on 1 April 2017; and</li> <li>• Class Order [CO 02/312] <i>Part 7.11, Division 4 financial products for ASTC</i>, which is due to expire on 1 April 2017.</li> </ul> <p>We are also seeking feedback on our proposal to repeal:</p> <ul style="list-style-type: none"> <li>• Class Order [CO 00/2449] <i>ASX Online—relief from paper form lodgement</i>, which is due to expire on 1 October 2016; and</li> <li>• Class Order [CO 02/1296] <i>ASX managed investment warrants—FSR Act transition</i>, which is due to expire on 1 April 2017.</li> </ul> <p>Note: The draft ASIC instruments are available on our website at <a href="http://www.asic.gov.au/cp">www.asic.gov.au/cp</a> under CP 236.</p>	<p>MR 15-223</p> <p>Attachments 1- 2 to CP 236 (Draft legislative instruments)</p>

Title	Release Date	Details	Media release and related documents
CP 237 Remaking ASIC class orders on real estate companies: [CO 00/213] and [CO 05/1243]	26/8/2015	<p>This consultation paper sets out ASIC’s proposals to remake our class orders relating to real estate companies into ASIC instruments. Under the <i>Legislative Instruments Act 2003</i>, these class orders will expire (‘sunset’) if not remade.</p> <p>We are seeking feedback from real estate agents and valuers on our proposals to remake and consolidate, without significant changes, the following class orders:</p> <ul style="list-style-type: none"> <li>• Class Order [CO 00/213] <i>Real estate companies</i>, which is due to expire on 1 October 2015; and</li> <li>• Class Order [CO 05/1243] <i>Licensing relief for valuers providing valuations of shares in real estate companies</i>, which is due to expire on 1 April 2016.</li> </ul> <p>Note: The draft ASIC instruments are available on our website at <a href="http://www.asic.gov.au/cp">www.asic.gov.au/cp</a> under CP 237.</p>	MR 15-231
CP 238 Remaking ASIC class order on employee redundancy funds: [CO 02/314]	4/9/2015	<p>This consultation paper sets out ASIC’s proposals to remake our class order on employee redundancy funds into an ASIC instrument. Under the <i>Legislative Instruments Act 2003</i>, this class order will expire (‘sunset’) if not remade.</p> <p>We are seeking feedback from operators and promoters of employee redundancy funds, trade unions and employer associations on our proposal to remake, without significant changes, Class Order [CO 02/314] <i>Employee redundancy funds: relief</i>.</p> <p>Note: The draft ASIC instrument is available on our website at <a href="http://www.asic.gov.au/cp">www.asic.gov.au/cp</a> under CP 238.</p>	MR 15-243 Attachment to CP 238 (Draft legislative instrument)

Title	Release Date	Details	Media release and related documents
CP 239 Disclosure documents: Update to ASIC instruments and guidance	17/9/2015	<p>This consultation paper seeks feedback on our proposals to make new legislative instruments relating to Ch 6D of the <i>Corporations Act 2001</i>. It also seeks feedback on our proposals to remake or revoke a number of class orders relating to Ch 6D before they expire under the <i>Legislative Instruments Act 2003</i>.</p> <p>In addition, this consultation paper seeks feedback on our proposals to consolidate—and, in relation to certain discrete issues, update—our Ch 6D regulatory guidance, including our proposal to issue a new regulatory guide, draft Regulatory Guide 000 <i>Offering securities under a disclosure document</i> (draft RG 000).</p>	<p>MR 15-260</p> <p>21 Attachments:</p> <p>1 new draft regulatory guide 000</p> <p>15 draft legislative instruments</p> <p>5 draft amended regulatory guides (RG 55, RG 66, RG 173, RG 189 and RG 228)</p>
CP 240 Remaking ASIC class orders on foreign licensees and ADIs: [CO 06/68] and [CO 03/823]	1/10/2015	<p>This consultation paper sets out ASIC’s proposals to remake as a single new ASIC instrument our class orders relating to foreign entities that hold an Australian financial services (AFS) licence (foreign licensees). Under the <i>Legislative Instruments Act 2003</i>, these class orders will expire (‘sunset’) if not remade.</p> <p>We are seeking feedback from foreign licensees on our proposals to remake, without significant changes, the following class orders:</p> <ul style="list-style-type: none"> <li>• Class Order [CO 03/823] <i>Relief from licensing, accounting and audit requirements for foreign authorised deposit-taking institutions</i>, which is due to expire on 1 April 2017; and</li> <li>• Class Order [CO 06/68] <i>Conditional relief for foreign licensees from financial reporting and record keeping obligations</i>, which is due to expire on 1 April 2016.</li> </ul> <p>Note: The draft ASIC instrument is available on our website at <a href="http://www.asic.gov.au/cp">www.asic.gov.au/cp</a> under CP 240.</p>	<p>MR 15-277</p> <p>Attachment 1-5 to CP 240 (Draft legislative instruments)</p>

Title	Release Date	Details	Media release and related documents
CP 241 Remaking ASIC class orders on rounding, directors' reports, disclosing entities and other matters	1/10/2015	<p>This consultation paper sets out ASIC's proposals to remake our class orders relating to financial reporting into ASIC instruments. Under the <i>Legislative Instruments Act 2003</i>, these class orders will expire ('sunset') if not remade.</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"> <li>• Class Order [CO 98/100] <i>Rounding in financial reports and directors' reports</i>, which is due to expire on 1 April 2016;</li> <li>• Class Order [CO 98/101] <i>Members of companies, registered schemes and disclosing entities who are uncontactable</i> and Class Order [CO 98/2395] <i>Transfer of information from the directors' report</i>, which are due to expire on 1 October 2016;</li> <li>• Class Order [CO 98/96] <i>Synchronisation of financial year with foreign parent company</i> and Class Order [CO 98/2016] <i>Entities which cease to be disclosing entities before their deadline</i>, which are due to expire on 1 October 2017; and</li> <li>• Class Order [CO 08/15] <i>Disclosing entities—half-year financial reporting relief</i>, which is due to expire on 1 April 2018.</li> </ul> <p>Note: The draft ASIC instruments are available on our website at <a href="http://www.asic.gov.au/cp">www.asic.gov.au/cp</a> under CP 241.</p>	MR 15-277 Attachment to CP 241 (Draft legislative instruments)

Title	Release Date	Details	Media release and related documents
CP 242 Remaking ASIC class orders on horse racing syndicates and horse breeding schemes	13/11/2015	<p>This consultation paper sets out ASIC's proposals to remake our class orders on horse racing syndicates and horse breeding schemes. Under the <i>Legislative Instruments Act 2003</i>, these class orders will expire ('sunset') if not remade.</p> <p>We are seeking feedback on our proposals to remake, without significant changes, the following class orders:</p> <ul style="list-style-type: none"> <li>• Class Order [CO 02/319] <i>Horse racing syndicates</i>, which is due to expire on 1 October 2016;</li> <li>• Class Order [CO 02/172] <i>Horse breeding schemes: private broodmare syndication</i>, which is due to expire on 1 October 2017; and</li> <li>• Class Order [CO 02/178] <i>Horse breeding schemes: private stallion syndication</i>, which is due to expire on 1 October 2017.</li> </ul> <p>We also intend to update Regulatory Guide 91 <i>Horse racing and breeding</i> (RG 91) to reflect any changes in the remade ASIC instruments.</p> <p>Note: The draft ASIC instruments are available on our website at <a href="http://www.asic.gov.au/cp">www.asic.gov.au/cp</a> under CP 242.</p>	<p>MR 15-335</p> <p>Attachments 1 &amp; 2 to CP 242 (Draft legislative instruments)</p>

Title	Release Date	Details	Media release and related documents
CP 243 Remaking ASIC class orders on electronic lodgement of financial reports and dual lodgement relief	19/11/2015	<p>This consultation paper sets out ASIC's proposals to remake as a single new ASIC instrument our class orders on electronic lodgement of reports and dual lodgement relief. Under the <i>Legislative Instruments Act 2003</i>, these class orders will expire if not remade.</p> <p>We are seeking feedback on our proposals to remake, without significant changes, the following class orders:</p> <ul style="list-style-type: none"> <li>• Class Order [CO 00/2451] <i>Electronic lodgement of certain reports with the ASX: approval</i>, which is due to expire on 1 April 2017;</li> <li>• Class Order [CO 06/6] <i>Dual lodgement relief for NSX-listed disclosing entities</i>, which is due to expire on 1 April 2016; and</li> <li>• Class Order [CO 98/104] <i>Dual lodgement relief for ASX-listed entities</i>, which is due to expire on 1 October 2016.</li> </ul> <p>Note: The draft ASIC instrument is available on our website at <a href="http://www.asic.gov.au/cp">www.asic.gov.au/cp</a> under CP 243.</p>	<p>MR 15-344</p> <p>Attachment 1 to CP 243 (Draft legislative instrument)</p>

Title	Release Date	Details	Media release and related documents
CP 244 Remaking ASIC class orders on dealing in underlying investments	4/12/2015	<p>This consultation paper sets out ASIC’s proposals to remake our class orders on dealing in underlying investments. Under the <i>Legislative Instruments Act 2003</i>, these class orders will expire (‘sunset’) if not remade.</p> <p>We are seeking feedback from superannuation trustees and responsible entities of registered managed investment schemes on our proposals to remake, without significant changes, the following class orders:</p> <ul style="list-style-type: none"> <li>• Class Order [CO 02/1161] <i>Licensing relief (dealing) for public offer superannuation entities</i>, which is due to expire on 1 April 2017;</li> <li>• Class Order [CO 02/1073] <i>Financial Services Guide: Dealing in underlying investments by responsible entities</i>, which is due to expire on 1 April 2017; and</li> <li>• Class Order [CO 02/1074] <i>Financial Services Guide: Dealing in underlying investments by superannuation trustees</i>, which is due to expire on 1 April 2017.</li> </ul> <p>Note: The draft ASIC instrument is available on our website at <a href="http://www.asic.gov.au/cp">www.asic.gov.au/cp</a> under CP 244.</p>	MR 15-367 Attachment 1 to CP 244 (Draft instrument)
CP 245 Retail life insurance advice reforms	15/12/2015	<p>This consultation paper sets out ASIC’s proposals to implement the retail life insurance industry reforms by making a legislative instrument that will set out:</p> <ul style="list-style-type: none"> <li>• the maximum levels of upfront and ongoing commission payments to be paid to advisers; and</li> <li>• the amount of upfront commissions to be repaid to life insurers under ‘clawback’ arrangements.</li> </ul> <p>This paper also sets out the information we propose to obtain from life insurance providers (life insurers) to enable us to monitor the impact of the reforms.</p> <p>We are seeking feedback on our proposals from life insurers, Australian financial services (AFS) licensees and their representatives (including authorised representatives) who are authorised to provide life insurance advice, and consumers.</p>	MR 15-384

Title	Release Date	Details	Media release and related documents
CP 246 Remaking ASIC class order on securitisation special purpose vehicles: [CO 04/1526]	16/12/2015	<p>This consultation paper sets out ASIC’s proposal to remake our class order on securitisation special purpose vehicles. Under the <i>Legislative Instruments Act 2003</i>, this class order will expire (‘sunset’) if not remade.</p> <p>We are seeking feedback from the securitisation industry on our proposal to remake Class Order [CO 04/1526] <i>Securitisation special purpose vehicles</i>, which is due to expire on 1 April 2016.</p> <p>Note: The draft ASIC instrument is available on our website at <a href="http://www.asic.gov.au/cp">www.asic.gov.au/cp</a> under CP 246.</p>	MR 15-386 Attachment to CP 246 (Draft legislative instrument)
CP 247 Client review and remediation programs and update to record-keeping requirements	16/12/2015	<p>This consultation paper sets out ASIC’s proposed guidance on review and remediation programs conducted by Australian financial services (AFS) licensees who provide personal advice to retail clients.</p> <p>It also sets out our proposed amendments to the AFS licensee record-keeping requirements when providing personal advice to retail clients.</p> <p>We are seeking feedback on our proposals from AFS licensees and their representatives, external dispute resolution (EDR) schemes and consumers.</p>	MR 15-388

Title	Release Date	Details	Media release and related documents
CP 248 Remaking ASIC class orders on reporting by foreign entities: [CO 98/98] and [CO 02/1432]	22/12/2015	<p>This consultation paper sets out ASIC’s proposals to remake our class orders relating to reporting by foreign entities. Under the <i>Legislative Instruments Act 2003</i>, these class orders will expire (‘sunset’) if not remade.</p> <p>We are seeking feedback on our proposals to remake the following class orders:</p> <ul style="list-style-type: none"> <li>• Class Order [CO 98/98] <i>Small proprietary companies which are controlled by a foreign company but which are not part of a large group in Australia</i>, which is due to expire on 1 April 2017; and</li> <li>• Class Order [CO 02/1432] <i>Registered foreign companies: financial reporting requirements</i>, which is due to expire on 1 April 2017.</li> </ul> <p>Note: The draft ASIC instrument is available on our website at <a href="http://www.asic.gov.au/cp">www.asic.gov.au/cp</a> under CP 248.</p>	MR 15-407 Attachment to CP 248
CP 249 Remaking ASIC class order on generic financial calculators: [CO 05/1122]	22/12/2015	<p>This consultation paper sets out ASIC’s proposals to remake our class order on generic financial calculators. Under the <i>Legislative Instruments Act 2003</i>, this class order will expire (‘sunset’) if not remade.</p> <p>We are seeking feedback from providers of generic financial calculators, consumers and other interested parties on our proposals to remake, without significant changes, Class Order [CO 05/1122] <i>Relief for providers of generic calculators</i>, which is due to expire on 1 April 2016.</p> <p>Note: The draft ASIC instrument is available on our website at <a href="http://www.asic.gov.au/cp">www.asic.gov.au/cp</a> under CP 249.</p>	MR 15-409 Attachment to CP 249

## Reports

Title	Release Date	Details	Media release and related documents
REP 439 Snapshot of the Australian hedge funds sector	1/7/2015	The purpose of this report is to provide an overview of the Australian hedge funds sector and to present the results of ASIC's 2014 hedge funds survey, which covers the 12 months to 30 September 2014.	MR 15-167
REP 440 Financial benchmarks	8/7/2015	<p>This report addresses the potential manipulation of financial benchmarks and related conduct issues.</p> <p>It provides an overview of the importance of financial benchmarks and the need for financial benchmarks to be robust and reliable, and touches on investigations ASIC is undertaking into the occurrence of financial benchmark-related conduct issues.</p> <p>It also addresses the international and Australian regulatory reforms and other responses to concerns about financial benchmarks, and sets out the measures we encourage financial institutions and benchmark administrators to adopt to avoid conduct issues in the future.</p>	MR 15-177
REP 441 Response to submissions on ASIC's Regulator Performance Framework evidence metrics	10/7/2015	This report highlights the key issues that arose out of the submissions received on ASIC's proposed <a href="#">Regulator Performance Framework</a> evidence metrics and details our responses to those issues.	MR 15-180 <a href="#">Regulator performance framework: ASIC evidence metrics</a> (PDF 116 KB)
REP 442 Response to submissions on CP 216 Advice on SMSFs: Specific disclosure requirements and SMSF costs	23/7/2015	This report highlights the key issues that arose out of the submissions received on Consultation Paper 216 <i>Advice on self-managed superannuation funds: Specific disclosure requirements and SMSF costs</i> (CP 216) and details our responses to those issues.	MR 15-192 INFO 205 INFO 206

Title	Release Date	Details	Media release and related documents
REP 443 Response to submissions on CP 224 Facilitating electronic financial services disclosures	28/7/2015	This report highlights the key issues that arose in the submissions received on Consultation Paper 224 <i>Facilitating electronic financial services disclosures</i> (CP 224) and details our responses to those issues.	MR 15-198 RG 221 LI 15/647 LI 15/649 SLI 15/681
REP 444 ASIC enforcement outcomes: January to June 2015	5/8/2015	This report outlines enforcement outcomes achieved by ASIC during the period from 1 January 2015 to 30 June 2015 (the relevant period). The report provides a high-level overview of some of our enforcement priorities and highlights some important cases and decisions during this period.	MR 15-210
REP 281 ASIC enforcement outcomes: July to December 2011	Reissued 5/8/2015 (first issued 29/3/2012)	Minor correction to data describing market integrity rules enforcement outcomes in Appendix 1, Table 1, including new note to Table 1 to account for correction.	No MR
REP 402 ASIC enforcement outcomes: January to June 2014	Reissued 5/8/2015 (first issued 30/7/2014)	Minor correction to: <ul style="list-style-type: none"> <li>• data describing enforcement outcomes in the categories of financial services, credit, Small Business Compliance and Deterrence, and 'Actions against directors' in Appendix 1, Table 1; and</li> <li>• related statistics at para [402.11],</li> </ul> including Note to Table 1 to account for corrections.	No MR
REP 421 ASIC enforcement outcomes: July to December 2014	Reissued 5/8/2015 (first issued 30/1/2015)	Minor correction to data describing 'Actions against directors' and 'Efficient registration and licensing' in Appendix 1, Table 3, including new Note to Table 3 to account for correction.	No MR

Title	Release Date	Details	Media release and related documents
REP 445 Review of interest-only home loans	20/8/2015	<p>This report is for holders of Australian credit licences (credit licensees) and highlights the importance of responsible lending practices for interest-only home loans.</p> <p>It is intended to help credit licensees improve their lending practices by increasing their awareness of their obligations and identifying opportunities for them to improve their practices.</p> <p>The information gathered through our review has helped inform our strategic response, which is aimed at minimising any potential detrimental impact of interest-only home lending on consumers.</p>	MR 15-220
REP 446 ASIC regulation of corporate finance: January to June 2015	21/8/2015	<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 January to 30 June 2015.</p>	MR 15-222
REP 446 ASIC regulation of corporate finance: January to June 2015	Reissued 21/8/2015	Paragraph 121 amended to clarify a reference to scrip-for-scrip rollover tax relief.	No MR
REP 447 Cost of consumer leases for household goods	11/9/2015	<p>This report sets out ASIC's findings on the costs charged by providers of leases of household goods. In undertaking our review, we analysed data from two sources:</p> <ul style="list-style-type: none"> <li>• advertised price data collected by the Royal Melbourne Institute of Technology (RMIT); and</li> <li>• a targeted review by ASIC of leases to consumers in receipt of Centrelink payments.</li> </ul>	MR 15-249

Title	Release Date	Details	Media release and related documents
REP 448 Overview of licensing and professional registration applications: January to June 2015	24/9/2015	<p>This report outlines ASIC's decisions on applications for the period from 1 January to 30 June 2015 (relevant period) relating to:</p> <ul style="list-style-type: none"> <li>• new Australian financial services (AFS) licences and licence variations;</li> <li>• new Australian credit licences (credit licences) and licence variations;</li> <li>• the registration of liquidators, official liquidators, company auditors and approved self-managed superannuation fund (SMSF) auditors; and</li> <li>• Australian financial markets, clearing and settlement (CS) facilities, and derivative trade repositories (trade repositories).</li> </ul>	MR 15-268
REP 449 Overview of decisions on relief applications (February to May 2015)	28/9/2015	<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 from 1 February 2015 to 31 May 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 <i>Corporations Act 2001</i> and the <i>National Consumer Credit Protection Act 2009</i>.</p> <p>It also refers to a number of publications issued by ASIC during the period from 1 February 2015 to 31 May 2015 that may be relevant to prospective applicants for relief, including legislative instruments, consultation papers, regulatory guides and reports.</p>	MR 15-272
REP 450 Market integrity report: 1 January to 31 June 2015	7/10/2015	<p>The market integrity report highlights some of ASIC's achievements from 1 January 2015 to 30 June 2015, and outlines our key priorities for the rest of 2015.</p> <p>The market integrity report consists of a three minute video and a webpage.</p>	MR 15-287 <a href="#">REP 450 webpage</a> <a href="#">REP 450 video</a> <a href="#">REP 450 video transcript</a>

Title	Release Date	Details	Media release and related documents
REP 451 Book up in Indigenous communities in Australia: A national overview	13/10/2015	<p>This report is for providers of book up in Indigenous communities and government and other agencies that work with Indigenous consumers (e.g. financial counselling services).</p> <p>It presents the findings of a survey of financial counsellors and other stakeholders who work with Indigenous consumers across Australia on book up and other financial services. It also offers proposals for improving book up practices and access to financial services for these consumers.</p>	MR 15-291
REP 452 Review of high-frequency trading and dark liquidity	26/10/2015	<p>This report presents findings from our 2015 reviews of high-frequency trading and dark liquidity.</p> <p>This report:</p> <ul style="list-style-type: none"> <li>• builds on our analysis of equity markets published in Report 331 <i>Dark liquidity and high-frequency trading</i> (REP 331)</li> <li>• analyses specific trading attributes associated with high-frequency trading in both equities and futures admitted to trading on Australian exchange markets, and dark liquidity in equities, and</li> <li>• informs investors and consumers, market participants and listed entities about the markets in which they invest and raise capital.</li> </ul>	MR 15-311 INFO 209
REP 454 Funeral insurance: A snapshot	29/10/2015	<p>This report is for providers of funeral insurance products, consumers of these products and other interested parties (e.g. consumer agencies and advocacy groups).</p> <p>It gives a snapshot of the funeral insurance market in Australia in 2013 and 2014, describing common features of policies and providing data about sales, claims and cancellations to better understand the benefits and risks associated with these products.</p> <p>It also includes recommendations for improving the features of funeral insurance products to potentially address issues raised in this report.</p>	MR 15-315

Title	Release Date	Details	Media release and related documents
REP 453 Response to submissions on CP 235 Proposed amendments to ASIC market integrity rules for the Chi-X investment product market	30/10/2015	This report highlights the key issues that arose in the submissions received on Consultation Paper 235 <i>Proposed amendments to ASIC market integrity rules for the Chi-X investment product market</i> (CP 235) and details our responses to those issues.	MR 15-314 MIR 15/957 MIR 15/958 MIR 15/959
REP 456 Insolvency statistics: External administrators' reports (July 2014 to June 2015)	17/11/2015	This report is for insolvency practitioners and other interested stakeholders.  It presents an overview of total lodgements of statutory reports lodged by liquidators, receivers and voluntary administrators (external administrators) from 1 July 2014 to 30 June 2015, as well as our statistical findings from external administrators' reports lodged electronically when a company enters external administration (EXAD) status (initial external administrators' reports).	MR 15-337
REP 458 National Financial Literacy Strategy Annual Highlights Report 2014–15	19/11/2015	This report is a collective account of activity by ASIC and a range of organisations across the government, business, community and education sectors in support of the 2014 Strategy. It showcases achievements and new projects, and highlights the richness and diversity of financial literacy initiatives being undertaken around Australia.	No MR
REP 457 Response to submissions on draft Regulatory Guide 97 Disclosing fees and costs in PDSs and periodic statements	23/11/2015	This report highlights the key issues that arose out of the submissions received on the draft version of Regulatory Guide 97 <i>Disclosing fees and costs in PDSs and periodic statements</i> (RG 97) and the proposed amendments to Class Order [CO 14/1252] <i>Technical modifications to Schedule 10 of the Corporations Regulations</i> , and details our responses to those issues.	MR 15-350 RG 97 LI 15/876
REP 455 Consumer testing of the Choice product dashboard	11/12/2015	This report was commissioned by ASIC and produced by Latitude Insights.  It sets out the results of the consumer testing of the Choice product dashboard.	MR 15-378

Title	Release Date	Details	Media release and related documents
REP 459 Professional indemnity insurance market for AFS licensees providing financial product advice	14/12/2015	<p>This report contains our findings about the state of the professional indemnity (PI) insurance market for Australian financial services (AFS) licensees that provide financial product advice to retail clients on Tier 1 products.</p> <p>We also analyse where there may be a risk of non-compliance with current law and policy, as well as other regulatory risk such as the potential lack of practical availability of adequate PI insurance.</p>	MR 15-379
REP 460 Response to submissions on Consultation Paper 231 Mandatory central clearing of OTC interest rate derivative transactions	14/12/2015	This report highlights the key issues that arose out of the submissions received on Consultation Paper 231 <i>Mandatory central clearing of OTC interest rate derivative transactions</i> (CP 231) and details our response to those issues.	MR 15-381 TR 15/1411
REP 461 Audit inspection program report for 2014–15	15/12/2015	<p>This report summarises the observations and findings identified by ASIC’s audit inspection program in the 18 months to 30 June 2015.</p> <p>We expect this report to be of significant interest both to the inspected firms and those firms we have not inspected, as well as companies, audit committees, investors and other stakeholders interested in financial reporting.</p>	MR 15-385
REP 462 Identification Report: Commonwealth Financial Planning Limited and Financial Wisdom Limited	17/12/2015	KordaMentha Forensic’s second report on past activities by Commonwealth Financial Planning Limited (CFPL) and Financial Wisdom Limited (FWL) to identify high-risk advisers and to review and compensate affected customers	MR 15-390
REP 463 Response to submissions on CP 238 Remaking ASIC class order on employee redundancy funds: [CO 02/314]	17/12/2015	This report highlights the key issues that arose out of the submissions received on Consultation Paper 238 <i>Remaking ASIC class order on employee redundancy funds: [CO 02/314]</i> (CP 238) and details our responses to those issues.	MR 15-392 LI 15/1150 SLI 15/1157
REP 464 Australian financial attitudes and behaviour tracker  Key findings from Wave 3: March – August 2015	18/12/2015	The Australian Financial Attitudes and Behaviour Tracker provides a snapshot at regular intervals of some key financial attitudes and behaviours of adult Australians.	See <a href="http://www.financialliteracy.gov.au/research-and-evaluation/financial-attitudes-and-behaviour-tracker">http://www.financialliteracy.gov.au/research-and-evaluation/financial-attitudes-and-behaviour-tracker</a>

## New rules

Title	Dates	Details	Media release and related documents
ASIC Market Integrity Rules (Competition in Exchange Markets) Amendment 2015 (No. 1)	<p><i>Issued 19/10/2015</i></p> <p><i>Registered 26/10/2015: F2015L01694</i></p> <p><i>Effective 27/10/2015 (day after registration)</i></p> <p>Automatic repeal under Part 5A LIA</p>	ASIC Market Integrity Rules (Competition in Exchange Markets) Amendment 2015 (No. 1) amends the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011 to ensure warrants and exchange traded funds admitted to quotation on the new Chi-X Australia Pty Ltd investment product market are subject to an appropriate regulatory regime.	<p>MR 15-314</p> <p>REP 453</p> <p>MIR 15/958</p> <p>MIR 15/959</p>
ASIC Market Integrity Rules (Chi-X Australia Market) Amendment 2015 (No. 2)	<p><i>Issued 19/10/2015</i></p> <p><i>Registered 26/10/2015: F2015L01696</i></p> <p><i>Effective 27/10/2015 (day after registration)</i></p> <p>Automatic repeal under Part 5A LIA</p>	ASIC Market Integrity Rules (Chi-X Australia Market) Amendment 2015 (No. 2) amends the ASIC Market Integrity Rules (Chi-X Australia Market) 2011 to ensure warrants and exchange traded funds admitted to quotation on the new Chi-X Australia Pty Ltd investment product market are subject to an appropriate regulatory regime.	<p>MR 15-314</p> <p>REP 453</p> <p>MIR 15/957</p> <p>MIR 15/959</p>
ASIC Market Integrity Rules (ASX Market) Amendment 2015 (No. 2)	<p><i>Issued 19/10/2015</i></p> <p><i>Registered 26/10/2015: F2015L01695</i></p> <p><i>Effective 27/10/2015 (day after registration)</i></p> <p>Automatic repeal under Part 5A LIA</p>	ASIC Market Integrity Rules (ASX Market) Amendment 2015 (No. 2) amends the ASIC Market Integrity Rules (ASX Market) 2010 to incorporate the relevant changes to the ASIC Market Integrity Rules (Chi-X Market) 2011 to ensure warrants and exchange traded funds admitted to quotation on the new Chi-X Australia Pty Ltd investment product market are subject to an appropriate regulatory regime. It also amends the definition of 'ETF' and 'Managed Fund' to incorporate the recent changes to the ASX Operating Rules.	<p>MR 15-314</p> <p>REP 453</p> <p>MIR 15/957</p> <p>MIR 15/958</p>
ASIC Derivative Transaction Rules (Clearing) 2015	<p><i>Issued 3/12/2015</i></p> <p><i>Registered 11/12/2015: F2015L01960</i></p> <p><i>Effective 12/12/2015 (day after registration)</i></p>	ASIC Derivative Transaction Rules (Clearing) 2015 introduces mandatory central clearing of OTC interest rate derivatives in Australia	<p>MR 15-381</p> <p>REP 460</p>

## Class rule waivers

Title	Dates	Details	Media release and related documents
Class Rule Waiver [CW 15/932]	<i>Issued 8/12/2015</i> <i>Registered 15/12/2015:</i> <i>F2015L02009</i> <i>Effective 15/12/2015</i> <i>(day of registration)</i>	Conditional class rule waiver under ASIC Market Integrity Rules (ASX Market) 2010: Class Rule Waiver [CW 15/932] relieves certain market participants from the obligation under Rule 3.5.8(1) to perform daily reconciliations of their clients' segregated accounts (CSA) by 7:00 pm on the next trading day, subject to the condition that the reconciliation be performed by 12:00 pm on the second trading day. It applies to market participants that rely on information from overseas parties to perform these reconciliations. It also requires those market participants to report any issues with the CSA reconciliations to ASIC within one business day.	No MR
Class Rule Waiver [CW 15/933]	<i>Issued 8/12/2015</i> <i>Registered 15/12/2015:</i> <i>F2015L02010</i> <i>Effective 15/12/2015</i> <i>(day of registration)</i>	Conditional class rule waiver under ASIC Market Integrity Rules (ASX 24 Market) 2010: Class Rule Waiver [CW 15/933] relieves certain market participants from the obligation under Rule 2.3.2(1) to perform daily reconciliations of their clients' segregated accounts (CSA) by 7:00 pm on the next business day, subject to the condition that the reconciliation be performed by 12:00 pm on the second business day. It applies to market participants that rely on information from overseas parties to perform these reconciliations. It also requires those market participants to report any issues with the CSA reconciliations to ASIC within one business day.	No MR

## Determinations

Title	Dates	Details	Media release and related documents
No determinations released in July—December 2015			

## Information sheets

Title	Release date	Status	Comments	Media release and related documents
INFO 86 How do RSE and AFS licensing application processes work together	1/7/2015	Reissued	<p>This information sheet provides guidance for:</p> <ul style="list-style-type: none"> <li>public offer superannuation trustees who need an Australian financial services (AFS) licence to deal in financial products in their capacity as a trustee (such as interests in securities); and</li> <li>superannuation trustees who need an AFS licence to provide financial product advice (usually in relation to interests in their own funds or investment life products associated with those funds).</li> </ul> <p><b>On 26 June 2013, the Australian Government amended subsection 912A(1) of the Corporations Act to improve governance arrangements for responsible entities of registered managed investment schemes.</b></p> <p><b>The amendments, effective from 1 July 2015, removed an exemption that applied to entities that are both a responsible entity of a registered managed investment scheme and a registrable superannuation entity (RSE) licensee. These entities must now meet the requirements under paragraphs 912A(1)(d) and (h) to have in place adequate resources and adequate risk management systems.</b></p> <p><b>Consequential amendments have been made to ASIC guidance to account for these changes.</b></p>	<p>No MR</p> <p>RG 1</p> <p>RG 2</p> <p>RG 3</p> <p>RG 104</p> <p>RG 166</p> <p>PF 209</p>

Title	Release date	Status	Comments	Media release and related documents
INFO 4 Reinstating a deregistered company	1/7/2015	Reissued	<p>Here you will find information about reinstating a deregistered company.</p> <p>When a company is deregistered it is unable to trade or take action as a body corporate. Reinstatement returns the company to registered status as if it was never deregistered.</p> <p><b>Updated to implement an online reinstatement calculator which allows customers to get an indication of how much it will cost to reinstate their company. Content under the headings 'Applying to ASIC for reinstatement' and 'Applying to the court for reinstatement' moved to separate linked web pages.</b></p>	No MR

Title	Release date	Status	Comments	Media release and related documents
INFO 205 Advice on self-managed superannuation funds: Disclosure of risks	23/7/2015	New	<p>This information sheet provides guidance for Australian financial services (AFS) licensees (including limited AFS licensees) and their representatives who provide personal advice to retail clients about self-managed superannuation funds (SMSFs).</p> <p>It explains:</p> <ul style="list-style-type: none"> <li>• the relevant conduct and disclosure obligations</li> <li>• the risks that should be considered by the adviser and disclosed to the client when providing personal advice about SMSFs, including: <ul style="list-style-type: none"> <li>○ the lack of statutory compensation</li> <li>○ the impact on insurance</li> <li>○ access to complaints mechanisms</li> <li>○ the appropriateness of different SMSF structures</li> <li>○ trustee obligations and the time and skills necessary to operate an SMSF</li> <li>○ trustee obligations to develop an investment strategy</li> <li>○ the need to consider an exit strategy</li> </ul> </li> <li>• the additional information that must be included in a Statement of Advice (SOA).</li> </ul>	MR 15-192 INFO 206 REP 442

Title	Release date	Status	Comments	Media release and related documents
INFO 206 Advice on self-managed superannuation funds: Disclosure of costs	23/7/2015	New	<p>This information sheet provides guidance for Australian financial services (AFS) licensees (including limited AFS licensees) and their representatives who provide personal advice to retail clients about self-managed superannuation funds (SMSFs).</p> <p>It explains:</p> <ul style="list-style-type: none"> <li>• the relevant conduct and disclosure obligations</li> <li>• the need for advice on the cost-effectiveness of an SMSF – in particular, if the starting balance is below \$200,000</li> <li>• the need for advice on the costs of setting up, operating and winding up an SMSF</li> <li>• the need for advice on the continued suitability of an SMSF for the client.</li> </ul>	MR 15-192 INFO 206 REP 442
INFO 204 Recovery of investigation expenses and costs	29/7/2015	New	<p>This information sheet is for people who:</p> <ul style="list-style-type: none"> <li>• are being investigated by ASIC</li> <li>• have been convicted of an offence in a prosecution begun as a result of an ASIC investigation</li> <li>• have had judgment, a declaration or other order made against them in court proceedings begun as a result of an ASIC investigation.</li> </ul> <p>It explains our power to make orders to recover the expenses and costs of investigations we conduct, and a change in our approach to exercising that power.</p>	MR 15-200
INFO 52 Guidance for whistleblowers	3/8/2015	Reissued	<p><b>Technical amendments – guidance restructured and refined.</b></p> <p><b>Note: Title has changed from "Whistleblowers and whistleblower protection".</b></p>	None
INFO 107 Guidelines for managing allegations of misconduct against ASIC officers	21/9/2015	Reissued	<p><b>Technical amendments to bring content into line with ASIC's new complaints framework and provide consistency with new APS Values and Code of Conduct</b></p>	None

Title	Release date	Status	Comments	Media release and related documents
INFO 145 ASIC's compulsory information gathering powers	28/9/2015	Reissued	<b>Technical amendments – penalty unit value corrected.</b>	None
INFO 174 Disputes with financial services or credit providers	15/10/2015	Reissued	<b>Technical amendment – Financial Ombudsman Service phone number updated.</b>	None
INFO 209 Review of high-frequency trading and dark liquidity	26/10/2015	New	On 26 October 2015, ASIC released Report 452 <i>Review of high-frequency trading and dark liquidity</i> (REP 452), examining the effect of high-frequency trading and dark liquidity on Australian equity markets. REP 452 also looks at high-frequency trading on our futures exchange market. This information sheet summarises the findings of REP 452 and the implications for investors and listed entities.	MR 15-311 REP 452
INFO 147 Credit rating agencies - lodging compliance report with ASIC	3/12/2015	Reissued	<b>Updated to improve credit rating agencies' annual compliance reports.</b>  <b>The amendments introduce an overall standard that the annual compliance report be guided by the four principles of the IOSCO Code – quality and integrity of the rating process, independence and conflicts of interest, transparency and timeliness of ratings disclosure, and protection of confidential information – as well as an increased emphasis on the practical implementation, testing and validation of credit rating agencies' compliance measures.</b>	No MR
INFO 208 When companies break laws that ASIC does not enforce	23/12/2015	New	This information sheet (INFO 208) explains who to contact if you are concerned that a company, company director or other company officer may have breached a law that ASIC does not enforce. It explains: <ul style="list-style-type: none"> <li>• what happens when someone reports alleged misconduct to ASIC about laws that we are not responsible for (but that involves companies and company directors)</li> <li>• misconduct for which ASIC is responsible</li> <li>• what you should do to report misconduct for which ASIC is not responsible.</li> </ul>	No MR

