

Australian Securities and Investments Commission – Table of regulatory documents

Documents released during July–Dec 2016

New regulatory guides

Title	Release Date	Details	Media release and related documents
RG 255 Providing digital financial product advice to retail clients	30/8/2016	Digital advice (also known as robo-advice or automated advice) is the provision of automated financial product advice using algorithms and technology and without the direct involvement of a human adviser. This regulatory guide brings together some of the issues that persons providing digital advice to retail clients need to consider when operating in Australia—from the licensing stage (i.e. obtaining an Australian financial services (AFS) licence) through to the actual provision of advice.	MR 16-278 REP 490
RG 256 Client review and remediation conducted by licensees	15/9/2016	This guide sets out our guidance on review and remediation conducted by Australian financial services (AFS) licensees who provide personal advice to retail clients (advice licensees). The guidance should also be applied to review and remediation that is not related to personal advice to the extent relevant.	MR 16-311

RG 257 Testing fintech products and services without holding an AFS or credit licence	15/12/2016	<p>This is a guide for financial technology (fintech) businesses seeking to test products and services before they obtain an Australian financial services (AFS) licence or Australian credit licence (credit licence).</p> <p>We explain the options available for testing without a licence. This can occur where:</p> <ul style="list-style-type: none"> • there are existing statutory exemptions or flexibility in the <i>Corporations Act 2001</i> (Corporations Act) and <i>National Consumer Credit Protection Act 2009</i> (National Credit Act); • the business can rely on ASIC's relief under <i>ASIC Corporations (Concept Validation Licensing Exemption) Instrument 2016/1175</i> or <i>ASIC Credit (Concept Validation Licensing Exemption) Instrument 2016/1176</i> for testing certain specified products and services; or • for other services, where ASIC grants individual relief. <p>All of these measures collectively form Australia's 'regulatory sandbox' framework.</p>	<p>MR 16-440 Infographic – Licensing exemption for fintech testing Infographic – ASIC's financial services and credit frameworks - flexibility for new businesses REP 508 RG 105 RG 206 LI 16/1175 LI 16/1176</p>
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Amended or reissued regulatory guides

Title	Release Date	Details	Media release and related documents
RG 180 Auditor registration	11/8/2016	<p>This is a guide for auditors and prospective auditors who wish to audit companies and other entities under the <i>Corporations Act 2001</i> (<i>Corporations Act</i>).</p> <p>This guide explains what an applicant must do when applying for registration as a registered company auditor (RCA) or as an authorised audit company (AAC), and how we may exercise our power to approve an auditing competency standard, which may be relied on by individual applicants for registration.</p> <p>This guide also covers the lodgement of annual statements by RCAs and AACs.</p> <p>Minor changes to the stand-alone Document C in Appendix 1 of RG 180. The publication date of the stand-alone document has been changed to August 2016 but the publication date of RG 180 remains June 2016 so that users do not think we have updated our guidance.</p>	No MR
RG 71 Downstream acquisitions	24/8/2016	<p>This guide is for companies, listed managed investment schemes, investors and their advisers who are involved in, or affected by, downstream acquisitions.</p> <p>In some circumstances, a downstream acquisition may breach s606 of the <i>Corporations Act 2001</i>.</p> <p>This guide explains:</p> <ul style="list-style-type: none"> • the downstream acquisition exemption in item 14 of s611 (item 14) • when we may grant relief • the conditions that may apply to our relief, and • how to apply for relief. <p>Technical amendments: cross-references have changed because of sunsetting class orders that have been remade as new legislative instruments.</p>	No MR

Title	Release Date	Details	Media release and related documents
RG 1 AFS Licensing Kit: Part 1 – Applying for and varying an AFS licence	25/8/2016	<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 (RG 2), which outlines how to complete the AFS licence application form (FS01) or variation application form (FS03) and prepare ‘core’ supporting proof documents. Applicants will need to read Part 3 (RG 3) if they are asked to send us ‘additional’ proofs.</p> <p>Technical amendments: references to the expired limited licence regime for SMSF auditors have been removed and links to the ASIC website have been updated.</p>	No MR RG 2
RG 2 AFS Licensing Kit: Part 2 – Preparing your AFS licence application	25/8/2016	<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"> • complete the AFS licence application form (FS01), or an application to vary an AFS licence (FS03), and • prepare ‘core’ supporting proof documents. <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>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’ proofs.</p> <p>Technical amendments: references to the expired limited licence regime for SMSF auditors have been removed and links to the ASIC website have been updated.</p>	No MR RG 1

Title	Release Date	Details	Media release and related documents
RG 91 Horse breeding schemes and horse racing syndicates	30/8/2016	<p>This guide sets out our approach to regulating horse breeding schemes and horse racing syndicates under the <i>Corporations Act 2001</i> (Corporations Act).</p> <p>It explains:</p> <ul style="list-style-type: none"> • our general approach to regulating certain small-scale horse breeding schemes and horse racing syndicates; • the relief we give for certain types of horse breeding schemes and horse racing syndicates from the managed investment, Australian financial services (AFS) licensing and product disclosure provisions of the Corporations Act; and • our approach to the co-regulatory arrangements between ASIC and lead regulators for certain types of horse racing syndicates. <p>Consequential amendments have been made to take account of a new legislative instrument on horse schemes: ASIC Corporations (Horse Schemes) Instrument 2016/790, replacing three class orders on horse racing syndicates and horse breeding schemes that were due to expire ('sunset'). The class orders that have been replaced are [CO 02/319] Horse racing syndicates, [CO 02/172] Horse breeding schemes — private broodmare syndication and [CO 02/178] Horse breeding schemes — private stallion syndication.</p>	MR 16-282 REP 491 LI 16/790 SLI 16/791
RG 87 Charitable schemes and school enrolment deposits	28/9/2016	<p>This is a guide for charities that wish to raise funds by issuing debentures or interests in a managed investment scheme to help them meet their objectives. It sets out our policy on giving relief to those charities from the fundraising, managed investment, debenture and licensing provisions of the <i>Corporations Act 2001</i> (Corporations Act).</p> <p>It also covers our exemption for schools accepting enrolment deposits from the fundraising provisions of the Corporations Act.</p> <p>Amended to account for remake sunsetting class orders related to relief available to real estate agents who are engaged by investors to let out their strata unit for residential or commercial purposes but not as part of a serviced strata arrangement.</p>	MR 16-330 SLI 16/810 LI 16/812 LI 16/813 SLI 16/819 REP 495

Title	Release Date	Details	Media release and related documents
RG 179 Managed discretionary accounts	29/9/2016	<p>This is a guide for Australian financial services (AFS) licensees and their representatives who provide managed discretionary accounts (MDAs) or other MDA services to retail clients, and their professional advisers.</p> <p>It sets out how we regulate MDAs provided to retail clients under the <i>Corporations Act 2001</i> (Corporations Act).</p> <p>Amended to account for new <i>ASIC Corporations (Managed Discretionary Accounts) Instrument 2016/968</i> replacing ASIC's class order on MDAs that was due to expire ('sunset') on 1 October 2016.</p>	MR 16-333 LI 16/968 SLI 16/969 REP 496
RG 115 Audit relief for proprietary companies	30/9/2016	<p>This guide is for certain proprietary companies and their auditors.</p> <p>It explains:</p> <ul style="list-style-type: none"> • the relief that we give to proprietary companies under <i>ASIC Corporations (Audit Relief) Instrument 2016/784</i> from the requirement to have a financial report audited under the <i>Corporations Act 2001</i> (Corporations Act); and • the individual relief that we may give to proprietary companies on a case-by-case basis under s340 of the Corporations Act. <p>Amended to account for three new legislative instruments that affect financial reporting by companies which replace class orders which were due to expire ('sunset') under the <i>Legislation Act 2003</i>.</p>	MR 16-336 LI 16/784 LI 16/785 LI 16/786 SLI 16/914 PF 183 PF 24 PF 25 PF 26 PF 27 INFO 24 REP 497

Title	Release Date	Details	Media release and related documents
RG 228 Prospectuses: Effective disclosure for retail investors	3/11/2016	<p>This guide is for issuers and advisers on how to word and present prospectuses and other documents in a 'clear, concise and effective' manner.</p> <p>This guide also sets out our guidance about how to prepare prospectuses that satisfy the content requirements in s710 of the <i>Corporations Act 2001</i> (Corporations Act).</p> <p>Updated to help companies and their advisers improve the quality and quantity of historical financial information disclosure in prospectuses as part of their disclosure obligations.</p> <p>ASIC's update to RG 228 follows consultation launched in May 2016 (refer: MR 16-137).</p> <p>The updated guidance provides additional clarity on ASIC's disclosure expectations and describes:</p> <ul style="list-style-type: none"> • the level of disclosure expected for business acquisitions and asset acquisitions; • the types of audit and review opinions that are generally considered appropriate; • when historical financial information requires updating in a prospectus; • when cash flow information should be included in prospectuses; and • the circumstances where historical financial information disclosures may not be required. 	MR 16-372 REP 502

Title	Release Date	Details	Media release and related documents
RG 2 AFS Licensing Kit: Part 2—Preparing your AFS licence or variation application	29/11/2016	<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"> • complete the online forms <i>FS01 Application for AFS licence</i> and <i>FS03 Application for variation of authorisation and other conditions</i>; and • prepare core proof documents. <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>The following technical amendments have been made:</p> <ul style="list-style-type: none"> • minor wording updates have been made to align with changes to online form FS01 that were implemented on 28 November 2016; • information about the Australian Financial Security Authority's (AFSA) Bankruptcy Register Search has been amended to reflect updated information on AFSA's website; and • some cross-references have been updated to account for remade legislative instruments. 	No MR

Title	Release Date	Details	Media release and related documents
RG 9 Takeover bids	7/12/2016	<p>This guide is for listed and unlisted entities, their advisers, and investors involved in a takeover bid. It:</p> <ul style="list-style-type: none"> • discusses ASIC's regulatory role in relation to takeover bids and how we interpret and administer the requirements of the takeover provisions in Ch 6 of the <i>Corporations Act 2001</i> (Corporations Act); and • explains how we exercise our discretionary powers in relation to takeover bids, including the power to exempt from, or modify, the takeover provisions. <p>ASIC has reissued Regulatory Guide 9 <i>Takeover bids</i> (RG 9) to incorporate updated guidance on the minimum bid price rule in s621(3) of the Corporations Act.</p> <p>The rewrite of ASIC's previous guidance on the rule is designed to make it clearer and easier to use. There are no significant changes to the underlying policy.</p> <p>RG 9 also includes updated references to the new legislative instruments on takeovers, which were released in December 2015, and other minor updates.</p> <p>ASIC has withdrawn Regulatory Guide 163 <i>Takeovers: Minimum bid price principle - s621</i> (RG 163) because its guidance has been incorporated into RG 9.</p>	MR 16-423

Title	Release Date	Details	Media release and related documents
RG 80 Managed investment schemes: Interests not for money	8/12/2016	<p>This guide sets out our approach to the relief that we provide from the managed investment, Australian financial services (AFS) licensing, anti-hawking and product disclosure provisions of the <i>Corporations Act 2001</i> to certain managed investment schemes that:</p> <ul style="list-style-type: none"> • arise from arrangements negotiated with a person because of the particular nature of their business, profession or calling; and • do not involve raising money. <p>It explains the conditional relief we have given to certain interests-not-for-money schemes, including show schemes and film investment schemes.</p> <p>Updated to incorporate Regulatory Guide 19 <i>Film investment schemes</i> (RG 19), as well as reflecting the terms of a new legislative instrument on interests not for money schemes, replacing three class orders on show schemes, interests not for money schemes and film investment schemes that were due to expire ('sunset'). RG 19 has been withdrawn.</p>	MR 16-426 LI 16/1107 SLI 16/1108 REP 505

Title	Release Date	Details	Media release and related documents
RG 190 Offering financial products in New Zealand and Australia under mutual recognition	13/12/2016	<p>This is a guide for New Zealand and Australian issuers offering financial products or interests in managed or collective investment schemes in both countries.</p> <p>It explains what issuers have to do under the trans-Tasman mutual recognition scheme for offers of financial products.</p> <p>This is a joint guide published by the Australian Securities and Investments Commission (ASIC) and the New Zealand Financial Markets Authority (FMA).</p> <p>Updated to make the following technical amendments:</p> <ul style="list-style-type: none"> • references to transitional arrangements, which applied until 30 November 2016, have been removed; • certain references to Part 3 of the <i>Financial Markets Conduct Act 2013</i> of New Zealand have been removed to be consistent with regulation 8.2.01 of the <i>Corporations Regulations 2001</i> of Australia; • references to the <i>Financial Markets Conduct Regulations 2014</i> of New Zealand have been added to be consistent with regulation 8.2.01 of the <i>Corporations Regulations 2001</i> of Australia; and <p>ASIC's position on offers made during an exposure period, set out in RG 190.50, has been clarified.</p>	No MR

Title	Release Date	Details	Media release and related documents
RG 105 Licensing: Organisational competence	15/12/2016	<p>This is a guide for Australian financial services (AFS) licensees and AFS licence applicants.</p> <p>This guide describes what we look for when we assess compliance with the 'organisational competence obligation', which is one of the general obligations under s912A(1) of the <i>Corporations Act 2001</i>.</p> <p>Guidance updated for licensees on satisfying the requirements to maintain organisational competence as a consequence of ASIC's introduction of the fintech licensing exemption.</p>	MR 16-440 RG 257 Infographic – Licensing exemption for fintech testing Infographic – ASIC's financial services and credit frameworks - flexibility for new businesses REP 508 RG 206 LI 16/1175 LI 16/1176
RG 206 Credit licensing: Competence and training	15/12/2016	<p>This guide is for credit licensees, credit licence applicants and unlicensed carried over instrument lenders (unlicensed COI lenders).</p> <p>It provides guidance on how credit licensees and unlicensed COI lenders can meet their organisational competence and representative training obligations under the <i>National Consumer Credit Protection Act 2009</i> (National Credit Act).</p> <p>Guidance updated for licensees on satisfying the requirements to maintain organisational competence as a consequence of ASIC's introduction of the fintech licensing exemption.</p>	MR 16-440 RG 257 Infographic – Licensing exemption for fintech testing Infographic – ASIC's financial services and credit frameworks - flexibility for new businesses REP 508 RG 51 RG 105 LI 16/1175 LI 16/1176

Title	Release Date	Details	Media release and related documents
RG 101 Managed investment scheme buy-backs	15/12/2016	<p>This guide is for responsible entities of registered managed investment schemes, including schemes that form part of a stapled group, and their advisers involved in buy-backs of interests in such schemes.</p> <p>It explains:</p> <ul style="list-style-type: none"> • the relief we have given in <i>ASIC Corporations (ASX-listed Schemes On-market Buy-backs) Instrument 2016/1159</i> from certain provisions of the <i>Corporations Act 2001</i> and what a responsible entity of an ASX-listed scheme should do in conducting an on-market buy-back; and • our policy on applications for individual relief for scheme buy-backs. <p>Updated to include ASIC's broader policy on managed investment scheme buy-backs, in addition to our policy on market buy-backs by ASX-listed schemes, and the account for a sunsetting class order that has been remade as a new legislative instrument.</p>	MR 16-439 LI 16/1159 SLI 16/1209

Title	Release Date	Details	Media release and related documents
RG 148 Platforms that are managed investment schemes and nominee and custody services	15/12/2016	<p>This guide is for:</p> <ul style="list-style-type: none"> • platform operators (including operators of investor directed portfolio services (IDPSs) and responsible entities of IDPS-like schemes), issuers of investments available through platforms and people who provide financial product advice on platforms; and • operators and people involved in the operation of nominee and custody services. <p>It explains:</p> <ul style="list-style-type: none"> • our objectives when regulating, and the requirements for operating, platforms and nominee and custody services, and the related disclosure obligations; and • some of the obligations when issuing investments acquired through a platform or a nominee and custody service, and of financial product advisers who give advice about platforms. <p>General update, including accounting for sunsetting class orders that have been remade as new legislative instruments. Regulatory Guide 149 <i>Nominee and custody services (RG 149)</i> has been withdrawn.</p>	MR 16-438 LI 16/1156 SLI 16/1157 SLI 16/1158

Title	Release Date	Details	Media release and related documents
RG 167 Licensing: Discretionary powers	19/12/2016	<p>This guide is for Australian financial services (AFS) licensees and financial services providers.</p> <p>It explains:</p> <ul style="list-style-type: none"> • our approach to applications for relief from compliance with Pts 7.6–7.8 (other than Divs 4 and 8 of Pt 7.6 and Div 8 of Pt 7.8) of the <i>Corporations Act 2001</i> (Corporations Act); • how we use our powers to impose AFS licence conditions to support the AFS licensee obligations under the Corporations Act; and • our approach to relief for securitisation special purpose vehicles and for providers of generic financial calculators. <p>Updated to account for the extension, to 1 July 2018, of the time that providers of retirement and superannuation calculators have to comply with the new requirement that generic financial calculators must account for inflation.</p>	MR 16-446 LI 16/1090

Legislative instruments

Title	Dates	Details	Media release and related documents
ASIC Credit (Amendment) Instrument 2016/632	<i>Issued 1/7/2016</i> <i>Registered 8/7/2016: F2016L01171</i> <i>Effective 9/7/2016 (day after registration)</i> <i>Automatic repeal under s48A Legislation Act</i>	<i>ASIC Credit (Amendment) Instrument 2016/632 amends Class Order [CO 13/18] <i>Funded representative proceedings and funded proof of debt arrangements exclusion from the National Consumer Credit Protection Act 2009</i> to extend the relief until to 12 July 2017.</i>	SLI 16/476

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2016/476	<p><i>Issued 1/7/2016</i> <i>Registered 8/7/2016:</i> <i>F2016L01170</i> <i>Effective 9/7/2016 (day after registration)</i> Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2016/476 amends Class Order [CO 13/898] Representative proceedings and proof of debt arrangements funded by conditional costs agreements to extend the relief until 12 July 2017.</i></p>	SLI 16/632
ASIC Corporations (Amendment) Instrument 2016/566	<p><i>Issued 6/7/2016</i> <i>Registered 13/7/2016:</i> <i>F2016L01178</i> <i>Effective 14/7/2016 (day after registration)</i> Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2016/566 amends Class Order [CO 11/1340] Financial Claims Scheme contact number so that regulations 7.9.07FA(7A)(ca)(iii) and 7.9.14D(1)(c) of the Corporations Regulations 2001 are modified or varied with updated APRA contact details.</i></p>	No MR
ASIC Corporations (Client money - Cash common funds) Instrument 2016/671	<p><i>Issued 14/7/2016</i> <i>Registered 18/7/2016:</i> <i>F2016L01183</i> <i>Effective 19/7/2016 (day after registration)</i></p>	<p><i>ASIC Corporations (Client money - Cash common funds) Instrument 2016/671 remakes relief granted to enable money held under s981B to be held in cash common funds that are also registered schemes.</i></p>	MR 16-229 SLI 16/675
ASIC Corporations (Repeal) Instrument 2016/675	<p><i>Issued 14/7/2016</i> <i>Registered 18/7/2016:</i> <i>F2016L01184</i> <i>Effective 19/7/2016 (day after registration)</i> Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/675 repeals:</i></p> <ul style="list-style-type: none"> • <i>Class Order [CO 00/199] Trustee companies' common funds; and</i> • <i>Class Order [CO 04/1063] Section 981B money in cash common funds,</i> <p><i>which were replaced by ASIC Corporations (Client money - Cash common funds) Instrument 2016/671.</i></p>	MR 16-229 LI 16/671
ASIC Corporations (Derivative Transaction Reporting Exemption) Instrument 2016/0688	<p><i>Issued 12/8/2016</i> <i>Registered 12/8/2016:</i> <i>F2016L01280</i> <i>Effective 13/8/2016 (day after registration)</i> Automatic repeal under s48A Legislation Act</p>	<p>This instrument provides class order exemption from the Reporting Requirements under the ASIC Derivative Rules (Reporting) 2013 to OTC Participants of ASX Clear (Futures) Pty Ltd, where an OTC Participant submits a transaction for clearing on behalf of an OTC Affiliate or Client, and the transaction is accepted for clearing by ASX Clear (Futures) Pty Ltd.</p>	No MR

Title	Dates	Details	Media release and related documents
ASIC Corporations (Disclosure in Dollars) Instrument 2016/767	<p><i>Issued 11/8/2016</i></p> <p><i>Registered 18/8/2016: F2016L01299</i></p> <p><i>Effective 19/8/2016 (day after registration)</i></p>	<p><i>ASIC Corporations (Disclosure in Dollars) Instrument 2016/767</i> provides relief from the requirement to disclose certain amounts in dollars in disclosure documents.</p>	MR 16-274 SLI 16/768
ASIC Corporations (Repeal) Instrument 2016/768	<p><i>Issued 11/8/2016</i></p> <p><i>Registered 18/8/2016: F2016L01301</i></p> <p><i>Effective 19/8/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/768</i> repeals the following class orders providing relief from the requirement to disclose amounts in dollars in disclosure documents which are due to sunset in 2016 and 2017:</p> <ul style="list-style-type: none"> • [CO 04/1430] <i>Dollar disclosure: Unknown facts or circumstances</i> • [CO 04/1431] <i>Dollar disclosure: Costs of derivatives, foreign exchange contracts, general insurance products and life risk insurance products</i> • [CO 04/1432] <i>Dollar disclosure: Interest payable on deposit products</i> • [CO 04/1433] <i>Dollar disclosure: Non-monetary benefits and interests</i> • [CO 04/1435] <i>Dollar disclosure: Amounts denominated in a foreign currency</i> 	MR 16-274 LI 17/767
ASIC Corporations (Repeal) Instrument 2016/774	<p><i>Issued 12/8/2016</i></p> <p><i>Registered 17/8/2016: F2016L01292</i></p> <p><i>Effective 18/8/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/774</i> repeals Class Order [CO 02/0226] <i>Managed investment schemes: no issue required disclosure</i>.</p>	MR 16-263

Title	Dates	Details	Media release and related documents
ASIC Corporations (Uncontactable Members) Instrument 2016/187	<p><i>Issued 15/8/2016</i></p> <p><i>Registered 25/8/2016: F2016L01322</i></p> <p><i>Effective 26/8/2016 (day after registration)</i></p>	<p><i>ASIC Corporations (Uncontactable Members) Instrument 2016/187 relieves entities from the requirement to send hard copies of financial reports to members who are uncontactable</i></p>	MR 16-273 LI 16/188 LI 16/189 LI 16/190 LI 16/191 (issued 24/3/2016) LI 16/247
ASIC Corporations (Directors' Report Relief) Instrument 2016/188	<p><i>Issued 15/8/2016</i></p> <p><i>Registered 25/8/2016: F2016L01323</i></p> <p><i>Effective 26/8/2016 (day after registration)</i></p>	<p><i>ASIC Corporations (Directors' Report Relief) Instrument 2016/188 allows directors to transfer information from the directors' report to the financial report or an accompanying separate report.</i></p>	MR 16-273 LI 16/187 LI 16/189 LI 16/190 LI 16/191 (issued 24/3/2016) LI 16/247
ASIC Corporations (Synchronisation of Financial Years) Instrument 2016/189	<p><i>Issued 15/8/2016</i></p> <p><i>Registered 25/8/2016: F2016L01325</i></p> <p><i>Effective 26/8/2016 (day after registration)</i></p>	<p><i>ASIC Corporations (Synchronisation of Financial Years) Instrument 2016/189 allows an entity to change its financial year to synchronise it with that of an overseas parent where the overseas parent has a legal obligation to cause synchronisation.</i></p>	MR 16-273 LI 16/187 LI 16/188 LI 16/190 LI 16/191 (issued 24/3/2016) LI 16/247
ASIC Corporations (Disclosing Entities) Instrument 2016/190	<p><i>Issued 15/8/2016</i></p> <p><i>Registered 25/8/2016: F2016L01328</i></p> <p><i>Effective 26/8/2016 (day after registration)</i></p>	<p><i>ASIC Corporations (Disclosing Entities) Instrument 2016/190 provides relief from annual financial reporting to disclosing entities where they are no longer disclosing entities at their reporting deadline or from half-year financial reporting where their first financial year is 8 months or less.</i></p>	MR 16-273 LI 16/187 LI 16/188 LI 16/189 LI 16/191 (issued 24/3/2016) LI 16/247

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment and Repeal) Instrument 2016/247	<p><i>Issued 15/8/2016</i></p> <p><i>Registered 25/8/2016: F2016L01327</i></p> <p><i>Effective 26/8/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment and Repeal) Instrument 2016/247 amends ASIC Corporations (Disregarding Technical Relief) Instrument 2016/73 and repeals the following class orders:</i></p> <ul style="list-style-type: none"> • [CO 98/96] <i>Synchronisation of financial year with foreign parent company</i> • [CO 98/101] <i>Members of companies, registered schemes and disclosing entities who are uncontactable</i> • [CO 98/2016] <i>Entities which cease to be disclosing entities before their deadline</i> • [CO 98/2395] <i>Transfer of information from the director's report</i> • [CO 08/15] <i>Disclosing entities – half-year financial reporting relief</i> 	MR 16-273 LI 16/187 LI 16/188 LI 16/189 LI 16/190 LI 16/191 (issued 24/3/2016)
ASIC Corporations (Horse Schemes) Instrument 2016/790	<p><i>Issued 25/8/2016</i></p> <p><i>Registered 26/8/2016: F2016L01346</i></p> <p><i>Effective 30/8/2016 (same time as SLI 16/791)</i></p>	<p><i>ASIC Corporations (Horse Schemes) Instrument 2016/790</i> continues, with non-fundamental changes, the relief given under Class Orders [CO 02/319] <i>Horse racing syndicates</i> and [CO 02/172] <i>Horse breeding schemes — private broodmare syndication</i> and [CO 02/178] <i>Horse breeding schemes — private stallion syndication</i>. For horse racing syndicates, relief is provided from the managed investment scheme provisions of the Act. For horse breeding schemes, relief is provided from the managed investment scheme provisions, the requirement to hold an Australian Financial Services licence, the hawking provisions and some provisions of Part 7.9 of the <i>Corporations Act 2001</i>.</p>	MR 16-282 RG 91 REP 491 SLI 16/791

Title	Dates	Details	Media release and related documents
ASIC Corporations (Repeal) Instrument 2016/791	<p>Issued 25/8/2016 Registered 26/8/2016: F2016L01345</p> <p>Gazetted 30/8/2016: ASIC Gazette A043/16</p> <p>Effective 30/8/2016 (later of day of gazettal or day after registration)</p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/791</i> repeals Class Orders:</p> <ul style="list-style-type: none"> • [CO 02/319] <i>Horse racing syndicates</i> • [CO 02/172] <i>Horse breeding schemes — private broodmare syndication</i>, and • [CO 02/178] <i>Horse breeding schemes — private stallion syndication</i>. 	MR 16-282 RG 91 REP 491 LI 16/790
ASIC Corporations (Serviced Apartment and Like Schemes) Instrument 2016/869	<p>Issued 19/9/2016 Registered 23/9/2016: F2016L01476</p> <p>Effective 28/9/2016 (same time as SLI 16/898)</p>	<p><i>ASIC Corporations (Serviced Apartment and Like Schemes) Instrument 2016/869</i> remakes the following 7 class orders relating to serviced apartment and like schemes:</p> <ul style="list-style-type: none"> • [CO 99/463] <i>Serviced strata schemes valuation</i> • [CO 02/185] <i>Sale of strata units for \$500,000 or more</i> • [CO 02/245] <i>Closed schemes</i> • [CO 02/303] <i>Management rights schemes — amendment, and</i> • [CO 02/304] <i>Management rights schemes</i> • [CO 02/305] <i>Management rights schemes</i> • [CO 07/189] <i>Management rights schemes where the strata unit cannot be used as a residence</i> <p>This instrument provides certain managed investment, licensing, hawking and disclosure relief in relation to managed investments schemes that are strata schemes or management rights schemes</p>	MR 16-330 LI 16/870 SLI 16/898 PF 186
ASIC Corporations (Property Rental Schemes) Instrument 2016/870	<p>Issued 19/9/2016 Registered 23/9/2016: F2016L01474</p> <p>Effective 28/9/2016 (same time as SLI 16/898)</p>	<p><i>ASIC Corporations (Property Rental Schemes) Instrument 2016/870</i> remakes Class Order [CO 02/182] <i>Real property rental schemes</i> continuing the relief regarding commercial letting arrangements where the ordinary business of real estate agents in leasing or managing property, does not generally involve a managed investment scheme.</p>	MR 16-330 LI 16/869 SLI 16/898 PF 186

Title	Dates	Details	Media release and related documents
ASIC Corporations (Repeal) Instrument 2016/898	<p><i>Issued 19/9/2016</i></p> <p><i>Registered 23/9/2016: F2016L01488</i></p> <p><i>Gazetted 27/9/2016: ASIC Gazette A47/16</i></p> <p><i>Effective 28/9/2016 (later of day after gazettal or day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/898 repeals the following 9 class orders relating to property, managed investment and serviced strata schemes:</i></p> <ul style="list-style-type: none"> • [CO 99/463] <i>Serviced strata schemes valuation</i> • [CO 02/182] <i>Real property rental schemes</i> • [CO 02/183] <i>Small property syndicates</i> • [CO 02/185] <i>Sale of strata units for \$500,000 or more</i> • [CO 02/245] <i>Closed schemes</i> • [CO 02/303] <i>Management rights schemes — amendment</i> • [CO 02/304] <i>Management rights schemes</i> • [CO 02/305] <i>Management rights schemes, and</i> • [CO 07/189] <i>Management rights schemes where the strata unit cannot be used as a residence</i> 	MR 16-330 LI 16/869 LI 16/870 PF 186
ASIC Corporations (Dematerialised Securities: Austraclear) Instrument 2016/841	<p><i>Issued 20/9/2016</i></p> <p><i>Registered 27/9/2016: F2016L01503</i></p> <p><i>Effective 28/9/2016 (day after registration)</i></p>	<p><i>ASIC Corporations (Dematerialised Securities: Austraclear) Instrument 2016/841 ensures the equal legislative treatment of the electronic equivalent of promissory notes, certificates of deposit and bills of exchange ("dematerialised securities") traded on Austraclear Limited to that of their respective paper-based certificates of deposit, promissory notes and bills of exchange.</i></p>	MR 16-339 SLI 16/842, SLI 16/909, LI 16/881, LI 16/883, LI 16/886, LI 16/888, LI 16/889, LI 16/891, LI 16/893, SLI 16/882, SLI 16/885, SLI 16/887, SLI 16/890, SLI 16/892, SLI 16/894, SLI 16/894, SLI 16/895 and SLI 16/896
ASIC Corporations (Repeal) Instrument 2016/842	<p><i>Issued 20/9/2016</i></p> <p><i>Registered 27/9/2016: F2016L01504</i></p> <p><i>Effective 28/9/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/842 repeals Class Order [CO 02/281] Austraclear.</i></p>	MR 16-339 LI 16/842, SLI 16/909, LI 16/881, LI 16/883, LI 16/886, LI 16/888, LI 16/889, LI 16/891, LI 16/893, SLI 16/882, SLI 16/885, SLI 16/887, SLI 16/890, SLI 16/892, SLI 16/894, SLI 16/895 and SLI 16/896

Title	Dates	Details	Media release and related documents
ASIC Corporations (Disclosure of Directors' Interests) Instrument 2016/881	<p><i>Issued 19/9/2016</i></p> <p><i>Registered 23/9/2016: F2016L01478</i></p> <p><i>Effective 24/9/2016 (day after registration)</i></p>	<p><i>ASIC Corporations (Disclosure of Directors' Interests) Instrument 2016/881</i> exempts directors of public companies from complying with subsection 205G(1) of the <i>Corporations Act 2001</i> where the relevant listed company has made equivalent disclosure to ASX Limited in compliance with ASX Listing Rule 3.19A</p>	MR 16-339 LI 16/883, LI 16/886, LI 16/888, LI 16/889, LI 16/891, LI 16/893, SLI 16/882, SLI 16/885, SLI 16/887, SLI 16/890, SLI 16/892, SLI 16/894, SLI 16/895, SLI 16/896, LI 16/841, SLI 16/842 and SLI 16/909
ASIC Corporations (Repeal) Instrument 2016/882	<p><i>Issued 19/9/2016</i></p> <p><i>Registered 23/9/2016: F2016L01484</i></p> <p><i>Effective 24/9/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/882</i> repeals Class Order [CO 01/1519] <i>Disclosure of directors' interests</i>.</p>	MR 16-339 LI 16/881, LI 16/883, LI 16/886, LI 16/888, LI 16/889, LI 16/891, LI 16/893, SLI 16/885, SLI 16/887, SLI 16/890, SLI 16/892, SLI 16/894, SLI 16/895, SLI 16/896, LI 16/841, SLI 16/842 and SLI 16/909
ASIC Corporations (Exchange-Traded Derivatives: Multiple Issuers) Instrument 2016/883	<p><i>Issued 19/9/2016</i></p> <p><i>Registered 23/9/2016: F2016L01490</i></p> <p><i>Effective 24/9/2016 (day after registration)</i></p>	<p><i>ASIC Corporations (Exchange-Traded Derivatives: Multiple Issuers) Instrument 2016/883</i> provides that where more than one AFS licensee is involved in arranging for a derivative to be entered into or acquired on a financial market, only the market participant need prepare a PDS or a Short-Form PDS for the derivative</p>	MR 16-339 LI 16/881, LI 16/886, LI 16/888, LI 16/889, LI 16/891, LI 16/893, SLI 16/882, SLI 16/885, SLI 16/887, SLI 16/890, SLI 16/892, SLI 16/894, SLI 16/895, SLI 16/896, LI 16/841, SLI 16/842 and SLI 16/909
ASIC Corporations (Repeal) Instrument 2016/885	<p><i>Issued 19/9/2016</i></p> <p><i>Registered 23/9/2016: F2016L01477</i></p> <p><i>Effective 24/9/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/885</i> repeals Class Order [CO 06/682] <i>Multiple derivative issuers</i>.</p>	MR 16-339 LI 16/881, LI 16/883, LI 16/886, LI 16/888, LI 16/889, LI 16/891, LI 16/893, SLI 16/882, SLI 16/887, SLI 16/890, SLI 16/892, SLI 16/894, SLI 16/895, SLI 16/896, LI 16/841, SLI 16/842 and SLI 16/909

Title	Dates	Details	Media release and related documents
ASIC Corporations (Exchange-Traded Warrants) Instrument 2016/886	<i>Issued 19/9/2016</i> <i>Registered 23/9/2016: F2016L01489</i> <i>Effective 24/9/2016 (day after registration)</i>	<p><i>ASIC Corporations (Exchange-Traded Warrants) Instrument 2016/886</i> ensures that transfers of warrants quoted on markets operated by ASX and Chi-X as a result of a secondary sale do not require the provision of a PDS.</p> <p>This instrument also exempts issuers of ASX and Chi-X financial market traded instalment warrants over managed investment products from the PDS requirements in Part 7.9 of the <i>Corporations Act 2001</i>.</p>	MR 16-339 LI 16/881, LI 16/883, LI 16/888, LI 16/889, LI 16/891, LI 16/893, SLI 16/882, SLI 16/885, SLI 16/887, SLI 16/890, SLI 16/892, SLI 16/894, SLI 16/895, SLI 16/896, LI 16/841, SLI 16/842, SLI 16/909
ASIC Corporations (Repeal) Instrument 2016/887	<i>Issued 19/9/2016</i> <i>Registered 23/9/2016: F2016L01482</i> <i>Effective 24/9/2016 (day after registration)</i> Automatic repeal under s48A Legislation Act	<p><i>ASIC Corporations (Repeal) Instrument 2016/887</i> repeals Class Order [CO 02/608] <i>Warrants: relief from PDS requirements for secondary sales</i> and Class Order [CO 03/957] <i>ASX managed investment warrants — disclosure and reporting exemptions</i>.</p>	MR 16-339 LI 16/881, LI 16/883, LI 16/886, LI 16/888, LI 16/889, LI 16/891, LI 16/893, SLI 16/882, SLI 16/885, SLI 16/890, SLI 16/892, SLI 16/894, SLI 16/895, SLI 16/896, LI 16/841, SLI 16/842 and SLI 16/909
ASIC Corporations (Records: Dealings on Foreign Markets) Instrument 2016/889	<i>Issued 19/9/2016</i> <i>Registered 23/9/2016: F2016L01481</i> <i>Effective 24/9/2016 (day after registration)</i>	<p><i>ASIC Corporations (Records: Dealings on Foreign Markets) Instrument 2016/889</i> exempts AFS licensees from the requirement to keep market-related records for transactions under regulation 7.8.19 of the <i>Corporations Regulations 2001</i> when dealing with foreign wholesale clients on overseas markets.</p>	MR 16-339 LI 16/881, LI 16/883, LI 16/886, LI 16/888, LI 16/891, LI 16/893, SLI 16/882, SLI 16/885, SLI 16/887, SLI 16/890, SLI 16/892, SLI 16/894, SLI 16/895, SLI 16/896, LI 16/841, SLI 16/842 and SLI 16/909
ASIC Corporations (Repeal) Instrument 2016/890	<i>Issued 19/9/2016</i> <i>Registered 23/9/2016: F2016L01483</i> <i>Effective 24/9/2016 (day after registration)</i> Automatic repeal under s48A Legislation Act	<p><i>ASIC Corporations (Repeal) Instrument 2016/890</i> repeals Class Order [CO 03/826] <i>Market related records: Australian financial service licensees dealing on overseas markets</i>.</p>	MR 16-339 LI 16/881, LI 16/883, LI 16/886, LI 16/888, LI 16/889, LI 16/891, LI 16/893, SLI 16/882, SLI 16/885, SLI 16/887, SLI 16/892, SLI 16/894, SLI 16/895, SLI 16/896, LI 16/841, SLI 16/842 and SLI 16/909

Title	Dates	Details	Media release and related documents
ASIC Corporations (Securities: NZ FASTER System) Instrument 2016/891	<p><i>Issued 19/9/2016</i></p> <p><i>Registered 23/9/2016: F2016L01485</i></p> <p><i>Effective 24/9/2016 (day after registration)</i></p>	<p><i>ASIC Corporations (Securities: NZ FASTER System) Instrument 2016/891</i> exempts issues and transfers of company securities through NZX's FASTER system in the same way subsections 1071H(2) and (4) of the <i>Corporations Act 2001</i> exempt issues and transfers through Australia's CHESS.</p>	MR 16-339 LI 16/881, LI 16/883, LI 16/886, LI 16/888, LI 16/889, LI 16/893, SLI 16/882, SLI 16/885, SLI 16/887, SLI 16/890, SLI 16/892, SLI 16/894, SLI 16/895, SLI 16/896, LI 16/841, SLI 16/842 and SLI 16/909
ASIC Corporations (Repeal) Instrument 2016/892	<p><i>Issued 19/9/2016</i></p> <p><i>Registered 23/9/2016: F2016L01491</i></p> <p><i>Effective 24/9/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/892</i> repeals Class Order [CO 07/183] <i>Transfer of Australian securities traded in New Zealand</i>.</p>	MR 16-339 LI 16/881, LI 16/883, LI 16/886, LI 16/888, LI 16/889, LI 16/891, LI 16/893, SLI 16/882, SLI 16/885, SLI 16/887, SLI 16/890, SLI 16/894, SLI 16/895, SLI 16/896, LI 16/841, SLI 16/842 and SLI 16/909
ASIC Corporations (Transfers of Division 3 Securities) Instrument 2016/893	<p><i>Issued 19/9/2016</i></p> <p><i>Registered 23/9/2016: F2016L01479</i></p> <p><i>Effective 24/9/2016 (day after registration)</i></p>	<p><i>ASIC Corporations (Transfers of Division 3 Securities) Instrument 2016/893:</i></p> <p>(a) ensures that transfers of foreign securities covered by paragraphs 1073A(1)(a)-(d) benefit from statutory warranties and indemnities;</p> <p>(b) allows beneficial owners of Division 3 securities to give authority to designated brokers to sell or transfer those securities and execute an instrument of transfer on the transferor's behalf, even if no authority is given by the transferor;</p> <p>(c) allows brokers to stamp a transfer document with a broker's stamp in certain circumstances; and</p> <p>(d) ensures that, in relation to a transfer of unexercised company options, a transferee is not required to execute those options</p>	MR 16-339 LI 16/881, LI 16/883, LI 16/886, LI 16/888, LI 16/889, LI 16/891, SLI 16/882, SLI 16/885, SLI 16/887, SLI 16/890, SLI 16/892, SLI 16/894, SLI 16/895, SLI 16/896, LI 16/841, SLI 16/842 and SLI 16/909

Title	Dates	Details	Media release and related documents
ASIC Corporations (Repeal) Instrument 2016/894	<p><i>Issued 19/9/2016</i></p> <p><i>Registered 23/9/2016: F2016L01487</i></p> <p><i>Effective 24/9/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/894 repeals Class Order [CO 02/313] Part 7.11 — Transfers of securities under Division 3.</i></p>	MR 16-339 LI 16/881, LI 16/883, LI 16/886, LI 16/888, LI 16/889, LI 16/891, LI 16/893, SLI 16/882, SLI 16/885, SLI 16/887, SLI 16/890, SLI 16/892, SLI 16/895, SLI 16/896, LI 16/841, SLI 16/842, SLI 16/909
ASIC Corporations (Amendment and Repeal) Instrument 2016/895	<p><i>Issued 19/9/2016</i></p> <p><i>Registered 23/9/2016: F2016L01486</i></p> <p><i>Gazetted 27/9/2016: ASIC Gazette A47/16</i></p> <p><i>Effective 27/9/2016 (later of gazettal or day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment and Repeal) Instrument 2016/895 amends the ASIC Corporations (Financial Product Advice - Exempt Documents) Instrument 2016/356 to exempt bodies entitled to the self-dealing exemption under subsection 766C(4) of the Corporations Act 2001 from the requirement to hold an AFS licence when providing general product advice in offer documents to wholesale clients. This instrument also repeals Class Order [CO 03/911] Licensing relief for self-dealers who provide general product advice about own securities.</i></p>	MR 16-339 LI 16/881, LI 16/883, LI 16/886, LI 16/888, LI 16/889, LI 16/891, LI 16/893, SLI 16/882, SLI 16/885, SLI 16/887, SLI 16/890, SLI 16/892, SLI 16/894, SLI 16/896, LI 16/841, SLI 16/842 and SLI 16/909
ASIC Corporations (Repeal) Instrument 2016/896	<p><i>Issued 19/9/2016</i></p> <p><i>Registered 23/9/2016: F2016L01475</i></p> <p><i>Effective 24/9/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/896 repeals Class Order [CO 02/284] CHESS-approved foreign securities.</i></p>	MR 16-339 LI 16/881, LI 16/883, LI 16/886, LI 16/888, LI 16/889, LI 16/891, LI 16/893, SLI 16/882, SLI 16/885, SLI 16/887, SLI 16/890, SLI 16/892, SLI 16/894, SLI 16/895, LI 16/841, SLI 16/842 and SLI 16/909
ASIC Corporations (Repeal) Instrument 2016/909	<p><i>Issued 19/9/2016</i></p> <p><i>Registered 23/9/2016: F2016L01480</i></p> <p><i>Effective 24/9/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/909 repeals Class Orders [CO 00/2449] ASX Electronic Lodgment Facility - relief from paper form lodgment and [CO 02/1296] ASX managed investment warrants — FSR Act transition.</i></p>	MR 16-339 LI 16/841, SLI 16/842, LI 16/881, LI 16/883, LI 16/886, LI 16/888, LI 16/889, LI 16/891, LI 16/893, SLI 16/882, SLI 16/885, SLI 16/887, SLI 16/890, SLI 16/892, SLI 16/894, SLI 16/895, SLI 16/896, LI 16/841, SLI 16/842 and SLI 16/909

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2016/913	<p><i>Issued 21/9/2016</i></p> <p><i>Registered 27/9/2016: F2016L01496</i></p> <p><i>Effective 28/9/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2016/913 amends the ASIC Corporations (Derivative Transaction Reporting Exemption) Instrument 2015/844 to extend some elements of the existing relief under the Exemption Instrument, to address ongoing implementation issues</i></p>	No MR
ASIC Corporations (Repeal and Transitional) Instrument 2016/396	<p><i>Issued 22/9/2016</i></p> <p><i>Registered 27/9/2016: F2016L01497</i></p> <p><i>Gazetted 27/9/2016: ASIC Gazette A47/16</i></p> <p><i>Effective 28/9/2016 (later of day of gazettal or day after registration)</i></p> <p>Transitional provisions: Not automatically repealed under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal and Transitional) Instrument 2016/396 facilitates licensing relief for foreign financial services providers.</i></p> <p>The following class orders are repealed:</p> <ul style="list-style-type: none"> • [CO 03/1099] UK regulated financial service providers • [CO 03/1100] US SEC regulated financial service providers • [CO 03/1101] US Federal Reserve and OCC regulated financial service providers • [CO 03/1102] Singapore MAS regulated financial service providers • [CO 03/1103] Hong Kong SFC regulated financial service providers • [CO 04/829] US CFTC regulated financial services providers • [CO 04/1313] Germany BaFin regulated financial service providers 	MR 16-328
ASIC Corporations (Repeal) instrument 2016/810	<p><i>Issued 22/9/2016</i></p> <p><i>Registered 28/9/2016: F2016L01528</i></p> <p><i>Gazetted 27/9/2016: ASIC Gazette A47/16</i></p> <p><i>Effective 29/9/2016 (later of gazettal or day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/810 repeals Class Order [CO 02/184] Charitable investment schemes — fundraising.</i></p>	<p>MR 16-329</p> <p>LI 16/812</p> <p>LI 16/813</p> <p>SLI 18/819</p> <p>RG 87</p> <p>REP 495</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (School Enrolment Deposits) Instrument 2016/812	<p><i>Issued 22/9/2016</i></p> <p><i>Registered 28/9/2016: F2016L01536</i></p> <p><i>Effective 29/9/2016 (same day as SLI 16/819)</i></p>	<p><i>ASIC Corporations (School Enrolment Deposits) Instrument 2016/812</i> gives class exemption from certain fundraising, debenture and licensing requirements for school enrolment deposits, as well as exemption from the requirements for the operation of managed investment schemes involving school enrolment deposits.</p>	MR 16-329 SLI 16/810 LI 16/813 SLI 16/819 RG 87 REP 495
ASIC Corporations (Charitable Investment Fundraising) Instrument 2016/813	<p><i>Issued 22/9/2016</i></p> <p><i>Registered 28/9/2016: F2016L01532</i></p> <p><i>Effective 29/9/2016 (same day as SLI 16/810)</i></p>	<p><i>ASIC Corporations (Charitable Investment Fundraising) Instrument 2016/813</i> provides charitable investment fundraisers relief from fundraising, managed investment and debenture provisions, and licensing provisions, unless any financial products are issued to a person as a retail client, except if all retail clients are 'associates' of the charitable investment fundraiser.</p>	MR 16-329 SLI 16/810 LI 16/812 SLI 16/819 RG 87 REP 495
ASIC Corporations (Repeal) Instrument 2016/819	<p><i>Issued 22/9/2016</i></p> <p><i>Registered 28/9/2016: F2016L01525</i></p> <p><i>Gazetted 27/9/2016: ASIC Gazette A47/16</i></p> <p><i>Effective 29/9/2016 (later of gazettal or day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/819</i> repeals Class Order [CO 02/151] School enrolment deposits.</p>	MR 16-329 SLI 16/810 LI 16/812 LI 16/813 RG 87 REP 495

Title	Dates	Details	Media release and related documents
Corporations (Low Volume Financial Markets) Instrument 2016/888	<p><i>Issued 22/9/2016</i></p> <p><i>Registered 27/9/2016: F2016L01501</i></p> <p><i>Gazetted 27/9/2016: ASIC Gazette A47/16</i></p> <p><i>Effective 30/9/2016 (later of:</i></p> <ul style="list-style-type: none"> (a) 30 September 2016; (b) the date of gazettal; or (c) the day after registration) 	<p><i>Corporations (Low Volume Financial Markets) Instrument 2016/888 exempts low volume financial markets from the operation of Part 7.2 of the Corporations Act 2001.</i></p>	<p>MR 16-339</p> <p>LI 16/881, LI 16/883, LI 16/886, LI 16/889, LI 16/891, LI 16/893, SLI 16/882, SLI 16/885, SLI 16/887, SLI 16/890, SLI 16/892, SLI 16/894, SLI 16/895, SLI 16/896, LI 16/841, SLI 16/842 and SLI 16/909</p>
ASIC Corporations (Repeal) Instrument 2016/970	<p><i>Issued 27/9/2016</i></p> <p><i>Registered 29/9/2016: F2016L01539</i></p> <p><i>Effective 30/9/2016 (day of registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/970 repeals Class Order [CO 06/495] Extension of transitional compensation arrangements.</i></p>	<p>No MR</p>
ASIC Corporations (Audit Relief) Instrument 2016/784	<p><i>Issued 28/9/2016</i></p> <p><i>Registered 29/9/2016: F2016L01542</i></p> <p><i>Effective 24/9/2016 (day of registration)</i></p>	<p><i>ASIC Corporations (Audit Relief) Instrument 2016/784 provides relief to large proprietary companies from the need to appoint an auditor and have its financial report audited. This instrument replaces Class Order [CO 98/1417] Audit relief for proprietary companies.</i></p>	<p>MR 16-336</p> <p>LI 16/785, LI 16/786 and SLI 16/914</p> <p>RG 115</p> <p>PF 183, PF 24, PF 25, PF 26 and PF 27</p> <p>INFO 24</p> <p>REP 497</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Wholly-owned Companies) Instrument 2016/785	<p><i>Issued 28/9/2016</i></p> <p><i>Registered 29/9/2016: F2016L01538</i></p> <p><i>Effective 24/9/2016 (day of registration)</i></p>	<p><i>ASIC Corporations (Wholly-owned Companies) Instrument 2016/785</i> provides relief to companies from the financial reporting and auditing obligations where they enter into a deed of cross-guarantee. This instrument replaces Class Order [CO 98/1418] <i>Wholly-owned entities</i>.</p>	MR 16-336 LI 16/784, LI 16/786 and SLI 16/914 RG 115 PF 183, PF 24, PF 25, PF 26 and PF 27 INFO 24 REP 497
ASIC Corporations (Qualified Accountant) Instrument 2016/786	<p><i>Issued 28/9/2016</i></p> <p><i>Registered 29/9/2016: F2016L01541</i></p> <p><i>Effective 24/9/2016 (day of registration)</i></p>	<p><i>ASIC Corporations (Qualified Accountant) Instrument 2016/786</i> declares a qualified accountant for the purposes of the Corporations Act. This instrument replaces Class Order [CO 01/1256] <i>Qualified accountant</i>.</p>	MR 16-336 LI 16/784, LI 16/785 and SLI 16/914 RG 115 PF 183, PF 24, PF 25, PF 26 and PF 27 INFO 24 REP 497
ASIC Corporations (Amendment and Repeal) Instrument 2016/914	<p><i>Issued 28/9/2016</i></p> <p><i>Registered 29/9/2016: F2016L01541</i></p> <p><i>Effective 29/9/2016 (day of registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment and Repeal) Instrument 2016/914</i> amends <i>ASIC Corporations (Disregarding Technical Relief) Instrument 2016/73</i> and repeals the following class orders:</p> <ul style="list-style-type: none"> • [CO 98/106] <i>Financial reports of superannuation funds, approved deposit funds and pooled superannuation trusts</i>, • [CO 98/1417] <i>Audit relief for proprietary companies</i>, • [CO 98/1418] <i>Wholly-owned entities</i>, • [CO 99/1225] <i>Financial reporting requirements for benefit fund friendly societies</i>, and • [CO 01/1256] <i>Qualified accountant</i>, <p>which are being remade.</p>	MR 16-336 LI 16/784, LI 16/785 and LI 16/786 RG 115 PF 183, PF 24, PF 25, PF 26 and PF 27 INFO 24 REP 497

Title	Dates	Details	Media release and related documents
ASIC Corporations (Managed Discretionary Account Services) Instrument 2016/968	<p><i>Issued 29/9/2016</i></p> <p><i>Registered 30/9/2016: F2016L01565</i></p> <p><i>Effective 30/9/2016 (day of registration)</i></p>	<p><i>ASIC Corporations (Managed Discretionary Account Services) Instrument 2016/968 provides conditional relief to providers of managed discretionary account services from various provisions of the Corporations Act 2001.</i></p>	MR 16-333 SLI 16/969 RG 179 REP 496
ASIC Corporations (Repeal) Instrument 2016/969	<p><i>Issued 29/9/2016</i></p> <p><i>Registered 30/9/2016: F2016L01565</i></p> <p><i>Effective 30/9/2016 (day of registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/969 repeals Class Order [CO 04/194] Managed discretionary accounts.</i></p>	MR 16-333 LI 16/968 RG 179 REP 496
ASIC Corporations (Renounceable Rights Issue Notifications) Instrument 2016/993	<p><i>Issued 10/10/2016</i></p> <p><i>Registered 17/10/2016: F2016L01620</i></p> <p><i>Effective 18/10/2016 (day after registration)</i></p>	<p><i>ASIC Corporations (Renounceable Rights Issue Notifications) Instrument 2016/993 provides Chapter 6D and Part 7.9 disclosure relief to facilitate the sale or transfer of rights by offerees in a renounceable rights offer.</i></p>	MR 16-355 SLI 16/994 SLI 16/1005
ASIC Corporations (Repeal) Instrument 2016/994	<p><i>Issued 10/10/2016</i></p> <p><i>Registered 17/10/2016: F2016L01621</i></p> <p><i>Effective 18/10/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/994 repeals Class Order [CO 00/231] Money market deposits.</i></p>	MR 16-355 LI 16/993 SLI 16/1005
ASIC Corporations (Repeal) Instrument 2016/1005	<p><i>Issued 10/10/2016</i></p> <p><i>Registered 17/10/2016: F2016L01622</i></p> <p><i>Effective 18/10/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/1005 repeals Class Order [CO 02/225] Rights issue notifications — securities</i></p>	MR 16-355 LI 16/993 SLI 16/994

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2016/1006	<p><i>Issued 20/10/2016</i></p> <p><i>Registered 26/10/2016: F2016L01647</i></p> <p><i>Effective 27/10/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2016/1006 amends the Class Order [CO 14/923] Record-keeping obligations for Australian financial services licensees when giving personal advice to clarify that licensees must also have access at all times to records in relation to personal advice during the period in which the records are required to be kept, place a direct obligation on authorised representatives who are advisers to keep records in relation to personal advice, and give the records to the licensee if the licensee requests the records provided the request is made in connection with the obligations imposed on the licensee under Chapter 7 of the Act, during the period in which the records are required to be kept, and restore the original policy intent of the principal class order so that the exemption to the record-keeping obligation in the principal class order only applies where the modified best interests duty applies.</i></p>	MR 16-362 REP 500
ASIC Credit (Repeal) Instrument 2016/1087	<p><i>Issued 28/10/2016</i></p> <p><i>Registered 7/11/2016: F2016L01721</i></p> <p><i>Effective 1/2/2017(later of day after registration or 1/2/2017)</i></p> <p>Transitional provisions: Not automatically repealed under s48A Legislation Act</p>	<p><i>ASIC Credit (Repeal) Instrument 2016/1087 repeals Class Order [CO 13/818] Certain small amount credit contracts so that from 1 February 2017 a consumer can no longer be charged direct debit processing fees by a third party.</i></p>	MR 16-376

Title	Dates	Details	Media release and related documents
ASIC Corporations (CSSF-Regulated Financial Services Providers) Instrument 2016/1109	<p><i>Issued 8/11/2016</i></p> <p><i>Registered 15/11/2016: F2016L01757</i></p> <p><i>Effective 16/11/2016 (day after registration)</i></p>	<p><i>ASIC Corporations (CSSF-Regulated Financial Services Providers) Instrument 2016/1109</i> grants relief from the requirement to hold an AFS licence under s911A on behalf of Luxembourg fund managers (LFM) who hold a current licence or authorisation granted by the Commission de Surveillance du Secteur Financier (CSSF), the financial services regulator in Luxembourg, authorising them to provide financial services and are either:</p> <ul style="list-style-type: none"> (a) management companies, which can manage undertakings for collective investment in transferable securities (UCITS) established under Part I of the Law dated 17 December 2010 relating to the undertaking for collective investment of Luxembourg (2010 Law) that come under Chapter 15 of the 2010 Law (Chapter 15 Management Companies); or (b) investment companies established under Part I of the 2010 Law that have designated themselves as “self-managed” (Self-Managed UCITS). 	MR 16-401
ASIC Corporations (Repeal) Instrument 2016/1053	<p><i>Issued 14/11/2016</i></p> <p><i>Registered 16/11/2016: F2016L01766</i></p> <p><i>Effective 17/11/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p>This instrument repeals the following Class Orders:</p> <ul style="list-style-type: none"> • [CO 02/1072] <i>Top up relief for managed investment schemes,</i> • [CO 03/237] <i>Time-sharing schemes — operation of rental pool, and</i> • [CO 03/1092] <i>Further relief for joint product disclosure statements.</i> 	MR 16-395 LI 16/1054 LI 16/1055 LI 16/1056
ASIC Corporations (Top-up Product Disclosure Statements Relief) Instrument 2016/1054	<p><i>Issued 14/11/2016</i></p> <p><i>Registered 16/11/2016: F2016L01767</i></p> <p><i>Effective 17/11/2016 (day after registration)</i></p>	<p><i>ASIC Corporations (Top-up Product Disclosure Statements Relief) Instrument 2016/1054</i> continues the substantive effect of the relief granted by Class Order [CO 02/1072] <i>Top up relief for managed investment schemes</i> which grants an exemption from sections 1012A, 1012B and 1012C in certain circumstances.</p>	MR 16-395 LI 16/1053 LI 16/1055 LI 16/1056

Title	Dates	Details	Media release and related documents
ASIC Corporations (Updated Product Disclosure Statements) Instrument 2016/1055	<p><i>Issued 14/11/2016</i></p> <p><i>Registered 16/11/2016: F2016L01769</i></p> <p><i>Effective 17/11/2016 (day after registration)</i></p>	<p><i>ASIC Corporations (Updated Product Disclosure Statements) Instrument 2016/1055 continues the substantive effect of the relief granted by Class Order [CO 03/237] Updated information in product disclosure statements which grants relief from the requirements in s1012J in certain circumstances.</i></p>	MR 16-395 LI 16/1053 LI 16/1054 LI 16/1056
ASIC Corporations (Joint Product Disclosure Statements) Instrument 2016/1056	<p><i>Issued 14/11/2016</i></p> <p><i>Registered 16/11/2016: F2016L01768</i></p> <p><i>Effective 17/11/2016 (day after registration)</i></p>	<p><i>ASIC Corporations (Joint Product Disclosure Statements) Instrument 2016/1056 continues the substantive effect of the relief granted by Class Order [CO 03/1092] Further relief for joint product disclosure statements which modifies s1013A of the Corporations Act and omits reg 7.9.07J of the Corporations Regulations to permit joint Product Disclosure Statements in certain circumstances.</i></p>	MR 16-395 LI 16/1053 LI 16/1054 LI 16/1055
ASIC Corporations (Ongoing Fees Code) Instrument 2016/1129	<p><i>Issued 21/11/2016</i></p> <p><i>Registered 24/11/2016: F2016L01798</i></p> <p><i>Effective 1/7/2017 (date specified in commencement clause)</i></p>	<p><i>ASIC Corporations (Ongoing Fees Code) Instrument 2016/1129 approves the FPA Professional Ongoing Fees Code dated 28 September 2016 and issued by the FPA, as in force at the date of this instrument. This legislative instrument exempts a person who receives fees under an ongoing fee arrangement from giving the client a written renewal notice every two years which requires the client to opt-in to renew that agreement, on the conditions set out in the instrument.</i></p>	MR 16-404
ASIC Corporations (Managed Investment Schemes: Interests Not For Money) Instrument 2016/1107	<p><i>Issued 28/11/2016</i></p> <p><i>Registered 2/12/2016: F2016L01855</i></p> <p><i>Effective 5/12/2016 (same as LI 16/1108)</i></p>	<p><i>ASIC Corporations (Managed Investment Schemes: Interests Not For Money) Instrument 2016/1107 remakes the following class orders:</i></p> <ul style="list-style-type: none"> • [CO 02/0210] <i>Interests in film and theatrical ventures;</i> • [CO 02/0211] <i>Managed investment schemes — interests not for money; and</i> • [CO 02/0236] <i>Film investment schemes,</i> <p>with minor and technical changes, combining the terms of the three class orders into one legislative instrument.</p>	MR 16-426 SLI 16/1107 RG 80 REP 505

Title	Dates	Details	Media release and related documents
ASIC Corporations (Repeal) Instrument 2016/1108	<p><i>Issued 28/11/2016</i></p> <p><i>Registered 2/12/2016: F2016L01856</i></p> <p><i>Gazetted 6/12/2016: ASIC Gazette A58/16</i></p> <p><i>Effective 6/12/2016</i></p> <p><i>(later of day of gazettal or day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/1108 repeals the following sunsetting class orders that are being remade:</i></p> <ul style="list-style-type: none"> • [CO 02/0210] <i>Interests in film and theatrical ventures</i> • [CO 02/0211] <i>Managed investment schemes — interests not for money, and</i> • [CO 02/0236] <i>Film investment schemes.</i> 	MR 16-426 LI 16/1108 RG 80 REP 505
ASIC Corporations (Amendment) Instrument 2016/1090	<p><i>Issued 30/11/2016</i></p> <p><i>Registered 7/12/2016: F2016L01883</i></p> <p><i>Effective 8/12/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2016/1090 amends ASIC Corporations (Generic Calculators) Instrument 2016/207 so that a superannuation or retirement calculator does not need to comply with the requirement that an estimate of an amount payable at a future time of 2 years or more must set out the present value of the estimate calculated using a discount rate of 2.5% until 1 July 2018.</i></p>	MR 16-446 RG 167
ASIC Corporations (Recognised Accountants: Exempt Services) Instrument 2016/1151	<p><i>Issued 1/12/2016</i></p> <p><i>Registered 6/12/2016: F2016L01866</i></p> <p><i>Effective 7/12/2016 (day after registration)</i></p>	<p><i>ASIC Corporations (Recognised Accountants: Exempt Services) Instrument 2016/1151 declares that a limited AFS licensee, or an authorised representative of a limited licensee, is able to rely on the exemption in regulation 7.1.29(4) of the Corporations Regulations 2001 to provide tax advice (which is also financial product advice) on financial products that are not covered by their licence.</i></p>	MR 16-425
ASIC Corporations (Nominee and Custody Services) Instrument 2016/1156	<p><i>Issued 5/12/2016</i></p> <p><i>Registered 14/12/2016: F2016L01943</i></p> <p><i>Effective 15/12/2016 (day after registration)</i></p>	<p><i>ASIC Corporations (Nominee and Custody Services) Instrument 2016/1156 provides conditional relief from fundraising, financial product disclosure provisions for persons who are operating, or are involved in the operation or promotion of, a nominee and custody service</i></p>	MR 16-438 SLI 16/1157 SLI 16/1158 RG 148

Title	Dates	Details	Media release and related documents
ASIC Corporations (Repeal) Instrument 2016/1157	<p><i>Issued 5/12/2016</i></p> <p><i>Registered 14/12/2016: F2016L01944</i></p> <p><i>Effective 15/12/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/1157 repeals Class Order [CO 02/295] Nominee and custody services.</i></p>	MR 16-438 LI 16/1156 SLI 16/1158 RG 148
ASIC Corporations (Amendment) Instrument 2016/1158	<p><i>Issued 5/12/2016</i></p> <p><i>Registered 14/12/2016: F2016L01945</i></p> <p><i>Effective 15/12/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2016/1158 amends the following class orders:</i></p> <ul style="list-style-type: none"> • [CO 13/762] <i>Investor directed portfolio services provided through a registered managed investment scheme; and</i> • [CO 13/763] <i>Investor directed portfolio services.</i> 	MR 16-438 LI 16/1156 SLI 16/1157 RG 148
ASIC Corporations (ASX-listed Schemes On-market Buy-backs) Instrument 2016/1159	<p><i>Issued 9/12/2016</i></p> <p><i>Registered 14/12/2016: F2016L01946</i></p> <p><i>Effective 15/12/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (ASX-listed Schemes On-market Buy-backs) Instrument 2016/1159 replaces sunsetting Class Order [CO 07/422] On-market buy-backs by ASX-listed schemes and provides relief from s601GA(4), Pt 5C.6 and s606 of the Corporations Act to allow the responsible entity of a registered scheme listed on the ASX to carry out on-market buy-backs of interests on a similar basis as applies to buy-backs of shares in companies listed on ASX.</i></p>	MR 16-439 SLI 16/1209 RG 101
ASIC Corporations (Repeal) Instrument 2016/1209	<p><i>Issued 9/12/2016</i></p> <p><i>Registered 14/12/2016: F2016L01947</i></p> <p><i>Effective 15/12/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/1209 repeals Class Order [CO 07/422] On-market buy-backs by ASX-listed schemes.</i></p>	MR 16-439 LI 16/1159 RG 101

Title	Dates	Details	Media release and related documents
ASIC Corporations (Repeal) Instrument 2016/1048	<p><i>Issued 12/12/2016</i></p> <p><i>Registered 15/12/2016: F2016L01958</i></p> <p><i>Effective 16/12/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2016/1048 repeals [CO 98/67] Charitable investment schemes - continuous disclosure that provides relief from disclosing entity provisions.</i></p>	<p>No MR</p> <p>SLI 16/1173</p> <p>SLI 16/1182</p>
ASIC Corporations (Amendment) Instrument 2016/1173	<p><i>Issued 12/12/2016</i></p> <p><i>Registered 15/12/2016: F2016L01956</i></p> <p><i>Effective 16/12/2016 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2016/1173 amends the ASIC Corporations (Horse Schemes) Instrument 2016/790 by removing a requirement from the information that has to be included in a Product Disclosure Statement for a horse racing syndicate. It also amends the ASIC Corporations (Managed Discretionary Account Services) Instrument 2016/968 by correcting an error in a cross-reference to a section of that instrument.</i></p>	<p>No MR</p> <p>SLI 16/1048</p> <p>SLI 16/1182</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations and Credit (Amendment and Repeal) Instrument 2016/1182	<p><i>Issued 12/12/2016</i></p> <p><i>Registered 15/12/2016: F2016L01957</i></p> <p><i>Gazetted 20/12/2016: ASIC Gazette A60/16</i></p> <p><i>Effective 20/12/2016 (later of gazettal or day after registration)</i></p> <p><i>Automatic repeal under s48A Legislation Act</i></p>	<p><i>ASIC Corporations and Credit (Amendment and Repeal) Instrument 2016/1182 repeals Class Order [CO 14/757] <i>Relief in relation to the registration of auditors as it is no longer necessary following the commencement of the Corporations Amendment (Auditor Registration) Act 2016.</i></i></p> <p>The Instrument also amends any amendments made by [CO 14/757] in the following class orders to wind back the affects it had on them:</p> <ul style="list-style-type: none"> • [CO 02/237] <i>Time-sharing schemes — operation of rental pool</i> • [CO 09/425] <i>Share and interest purchase plans</i> • [CO 10/654] <i>Inclusion of parent entity financial statements in financial reports</i> • [CO 12/752] <i>Financial requirements for retail OTC derivative issuers</i> • [CO 13/760] <i>Financial requirements for responsible entities and operators of investor directed portfolio services</i> • [CO 13/761] <i>Financial requirements for custodial or depository service providers</i> • [CO 13/762] <i>Investor directed portfolio services provided through a registered managed investment scheme</i> • [CO 13/763] <i>Investor directed portfolio services</i> • <i>ASIC Corporations (Disregarding Technical Relief) Instrument 2016/73</i> • <i>ASIC Corporations (Disclosing Entities) Instrument 2016/190</i> 	<p>No MR</p> <p>SLI 16/1048</p> <p>SLI 16/1173</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2016/1211	<p><i>Issued 13/12/2016</i></p> <p><i>Registered 16/12/2016: F2016L01976</i></p> <p><i>Effective 17/12/2016 (day after registration)</i></p> <p><i>Automatic repeal under s48A Legislation Act</i></p>	<p><i>ASIC Corporations (Amendment) Instrument 2016/1211 amends ASIC Corporations (Wholly-owned Companies) Instrument 2016/785 in relation to ASIC Pro Forma 24 Deed of cross guarantee.</i></p>	No MR
ASIC Corporations (Concept Validation Licensing Exemption) Instrument 2016/1175	<p><i>Issued 15/12/2016</i></p> <p><i>Registered 19/12/2016: F2016L01991</i></p> <p><i>Effective 20/12/2016 (day after registration)</i></p> <p><i>Automatic repeal under s48A Legislation Act</i></p>	<p><i>ASIC Corporations (Concept Validation Licensing Exemption) Instrument 2016/1175 provides an exemption to allow eligible financial technology (fintech) businesses to test certain specified services without holding an Australian financial services or ('fintech licensing exemption').</i></p>	<p>MR 16-440</p> <p>LI 16/1176</p> <p>RG 257</p> <p>Infographic – Licensing exemption for fintech testing</p> <p>Infographic – ASIC's financial services and credit frameworks - flexibility for new businesses</p> <p>REP 508</p> <p>RG 105</p> <p>RG 206</p>

Title	Dates	Details	Media release and related documents
ASIC Credit (Concept Validation Licensing Exemption) Instrument 2016/1176	<p><i>Issued 14/12/2016</i></p> <p><i>Registered 19/12/2016: F2016L01992</i></p> <p><i>Effective 20/12/2016 (day after registration)</i></p> <p><i>Automatic repeal under s48A Legislation Act</i></p>	<p><i>ASIC Credit (Concept Validation Licensing Exemption) Instrument 2016/1176</i> provides an exemption to allow eligible financial technology (fintech) businesses to test certain specified services without holding an Australian credit licence ('fintech licensing exemption').</p>	MR 16-440 LI 16/1175 RG 257 Infographic – Licensing exemption for fintech testing Infographic – ASIC's financial services and credit frameworks - flexibility for new businesses REP 508 RG 105 RG 206
ASIC Superannuation (Amendment) Instrument 2016/1232	<p><i>Issued 14/12/2016</i></p> <p><i>Registered 19/12/2016: F2016L01990</i></p> <p><i>Effective 20/12/2016 (day after registration)</i></p> <p><i>Automatic repeal under s48A Legislation Act</i></p>	<p><i>ASIC Superannuation (Amendment) Instrument 2016/1232</i> amends Class Order [CO 14/541] <i>RSE licensee s29QC SIS Act disclosure exemption</i> with the ultimate effect that the compliance date for s 29QC <i>Superannuation Industry (Supervision) Act 1993</i> will be 1 January 2019.</p>	MR 16-447
ASIC Corporations (Amendment) Instrument 2016/1212	<p><i>Issued 15/12/2016</i></p> <p><i>Registered 21/12/2016: F2016L02014</i></p> <p><i>Effective 22/12/2016 (day after registration)</i></p> <p><i>Automatic repeal under s48A Legislation Act</i></p>	<p><i>ASIC Corporations (Amendment) Instrument 2016/1212</i> amends Class Order [CO 13/1621] <i>Exemption and declaration for the operation of mFund</i> so that the mFund system can be used by issuers of products other than simple managed investment schemes.</p>	MR 16-458

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2016/1224	<p><i>Issued 19/12/2016</i></p> <p><i>Registered 21/12/2016: F2016L02013</i></p> <p><i>Effective 22/12/2016 (day after registration)</i></p> <p><i>Automatic repeal under s48A Legislation Act</i></p>	<p>Schedule 10 to the <i>Corporations Regulations 2001</i> sets out requirements for the disclosure of fees and costs of superannuation and managed investment products in Product Disclosure Statements and in periodic statements that must be given to members. <i>ASIC Corporations (Amendment) Instrument 2016/1224</i> amends Class Order [CO 14/1252] <i>Technical modifications to Schedule 10 of the Corporations Regulations</i>, which modifies the fees and costs disclosure requirements in the Regulations to ensure that they have their intended effect, particularly in relation to the disclosure of costs that are incurred as a result of investing through interposed vehicles.</p>	MR 16-450
ASIC Corporations (Amendment) Instrument 2016/1246	<p><i>Issued 22/12/2016</i></p> <p><i>Registered 23/12/2016: F2016L02036</i></p> <p><i>Effective 24/12/2016 (day after registration)</i></p> <p><i>Automatic repeal under s48A Legislation Act</i></p>	<p><i>ASIC Corporations (Amendment) Instrument 2016/1246</i> amends <i>ASIC Corporations (Concept Validation Licensing Exemption) Instrument 2016/1175</i>.</p>	No MR

Consultation papers

Title	Release Date	Details	Media release and related documents
CP 262 Remaking and repealing ASIC class orders on markets and securities	13/7/2016	<p>This consultation paper sets out ASIC's proposals to remake an exemption instrument and eight class orders into ASIC instruments. Under the <i>Legislation Act 2003</i>, these instruments will expire ('sunset') if not remade.</p> <p>We are seeking feedback from stakeholders on our proposals to remake, without significant changes:</p>	MR 16-223 8 Attachments to CP 262 (Draft legislative instruments)

Title	Release Date	Details	Media release and related documents
CP 263 Risk management systems of responsible entities: Further proposals	21/7/2016	<p>This paper sets out our proposals to provide guidance to responsible entities on our expectations for compliance with their obligation to maintain adequate risk management systems under s912A(1)(h) of the <i>Corporations Act 2001</i> (<i>Corporations Act</i>).</p> <p>This paper builds on the proposals in Consultation Paper 204 <i>Risk management systems of responsible entities</i> (CP 204).</p> <p>We have set out our proposed guidance in the draft regulatory guide attached to this paper.</p>	MR 16-231 Attachment to CP 263 (Draft regulatory guide)
CP 264 Remaking ASIC class order on nominee and custody services and proposed changes to platforms policy	21/7/2016	<p>This consultation paper sets out ASIC's proposal to remake, with changes, Class Order [CO 02/295] <i>Nominee and custody services</i>, which is due to expire on 1 April 2017. Under the <i>Legislation Act 2003</i>, this class order will expire ('sunset') if not remade.</p> <p>We are also seeking feedback on our proposals:</p> <ul style="list-style-type: none"> • on access by retail clients to a financial product issuer's dispute resolution processes for investments through a nominee and custody service, or through an investor directed portfolio service (IDPS) or IDPS-like scheme (together, referred to as platforms); and • to amend the definitions of 'IDPS' and 'IDPS-like schemes' in our class orders for platforms. <p>Feedback is sought from nominee and custody service operators, platform operators, dealer groups and other interested stakeholders.</p> <p>Note: The draft ASIC instruments are available on our website at www.asic.gov.au/cp under CP 264.</p>	MR 16-230 3 Attachments to CP 264 (1 draft legislative instrument & 2 draft amended class orders)

Title	Release Date	Details	Media release and related documents
CP 265 Communicating audit findings to directors, audit committees or senior managers	25/7/2016	<p>The <i>Australian Securities and Investments Commission Act 2001</i> (ASIC Act) was amended in 2012 to allow ASIC to communicate specific financial reporting and audit findings identified from reviews of audit files directly to directors, audit committees or senior managers of companies, responsible entities or disclosing entities.</p> <p>This consultation paper seeks your feedback on our proposed criteria for determining which findings from our reviews of audit files we would communicate to directors, audit committees or senior managers.</p> <p>We are also seeking your feedback on our proposal to let an entity's board of directors know that we will be reviewing audit files relating to the entity as part of our routine audit firm inspections.</p>	MR 16-234
CP 266 Remaking ASIC class orders on managed investment schemes: Not for money	10/8/2016	<p>This consultation paper sets out ASIC's proposals to remake three of our class orders on managed investment schemes. Under the <i>Legislation Act 2003</i>, these class orders will expire ('sunset') if not remade.</p> <p>We are seeking feedback from operators and promoters of managed investment schemes on our proposals to remake, without significant changes, the following class orders:</p> <ul style="list-style-type: none"> • Class Order [CO 02/210] <i>Interests in film and theatrical ventures</i>, which is due to expire on 1 April 2017; • Class Order [CO 02/211] <i>Managed investment schemes: Interests not for money</i>, which is due to expire on 1 April 2017; and • Class Order [CO 02/236] <i>Film investment schemes</i>, which is due to expire on 1 April 2017. 	MR 16-251 Attachment to CP 266 (Draft legislative instrument)

Title	Release Date	Details	Media release and related documents
CP 267 Remaking ASIC class orders and guidance on audit and financial reporting	15/8/2016	<p>This consultation paper sets out ASIC's proposals to remake our class orders relating to audit and financial reporting relief. Under the <i>Legislation Act 2003</i>, these class orders will expire ('sunset') if not remade.</p> <p>We are seeking feedback from preparers of financial statements on our proposals to remake, without significant changes, [CO 98/1417] <i>Audit relief for proprietary companies</i> and [CO 98/1418] <i>Wholly-owned entities</i> which are due to expire on 1 October 2016, and [CO 01/1256] <i>Qualified accountant</i>, which is due to expire on 1 April 2017.</p> <p>We are also seeking feedback on our proposals to:</p> <ul style="list-style-type: none"> • update Regulatory Guide 115 <i>Audit relief for proprietary companies</i> (RG 115); • update pro formas—PFs 24, 25, 26, 27 and 183; and • repeal [CO 98/106] <i>Financial reports of superannuation funds</i>, which is due to expire on 1 October 2017, and [CO 99/1225] <i>Financial reporting requirements for benefit fund friendly societies</i>, which is due to expire on 1 October 2016. 	MR 16-256 Attachments 1–9 (Draft legislative instruments)
CP 268 Licensing relief for foreign financial services providers with a limited connection to Australia	28/9/2016	<p>This consultation paper seeks feedback on our proposal to repeal Class Order [CO 03/824] <i>Licensing relief for financial services providers with limited connection to Australia dealing with wholesale clients</i>, which is due to expire on 1 April 2017.</p> <p>It also provides an update for foreign financial services providers (FFSPs) and other relevant stakeholders on:</p> <ul style="list-style-type: none"> • the recent temporary extension of our relief for FFSPs from the United Kingdom, United States of America, Germany, France, Singapore and Hong Kong that provide a range of financial services to Australian wholesale clients; and • our plans to comprehensively review our relief for FFSPs during the extension period, which will involve us engaging with stakeholders about the terms of any relief. 	MR 16-328

Title	Release Date	Details	Media release and related documents
CP 269 Remaking ASIC class order on managed investment scheme buy-backs and updating related guidance	12/10/2016	<p>This consultation paper sets out ASIC's proposals to remake our class order on on-market buy-backs by ASX-listed schemes. Under the <i>Legislation Act 2003</i>, this class order will expire ('sunset') if not remade.</p> <p>We are seeking feedback from responsible entities of registered managed investment schemes on our proposal to remake, without significant changes, Class Order [CO 07/422] <i>On-market buy-backs by ASX-listed schemes</i>, which is due to expire on 1 April 2018.</p> <p>This paper also seeks feedback on our draft updated Regulatory Guide 101 <i>Managed investment scheme buy-backs</i> (draft updated RG 101), which provides guidance on our relief for managed investment scheme buy-backs.</p> <p>Note: The draft ASIC instrument and draft updated RG 101 are available on our website at www.asic.gov.au/cp under CP 269.</p>	MR 16-346 Attachment 1 (Draft legislative instrument) & Attachment 2 (Draft RG 101)

Title	Release Date	Details	Media release and related documents
CP 270 Remaking ASIC class orders on registered schemes	14/10/2016	<p>This consultation paper sets out ASIC's proposals to remake four of our class orders relating to registered schemes. Under the <i>Legislation 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"> • Class Order [CO 98/50] <i>Incorporating parts of other compliance plans</i>, which is due to expire on 1 April 2018; • Class Order [CO 98/60] <i>Protecting class rights in a managed investment scheme</i>, which is due to expire on 1 April 2018; • Class Order [CO 98/1806] <i>Related bodies corporate and external members of compliance committee</i>, which is due to expire on 1 October 2017; and • Class Order [CO 98/1808] <i>Allowing constitutions to use Appendix 15A of the ASX Listing Rules</i>, which is due to expire on 1 October 2017. <p>Note: The draft ASIC instrument is available on our website at www.asic.gov.au/cp under CP 270.</p>	MR 16-353 Attachment to CP 270 (Draft legislative instrument)
CP 271 Remaking and repealing ASIC class orders on internet offers, hawking and PDS obligations	10/11/2016	<p>This consultation paper sets out ASIC's proposals to remake our class orders on offers for securities on the internet and on hawking. Under the <i>Legislation 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, Class Orders [CO 02/246] <i>Offers of securities on the internet</i> and [CO 02/641] <i>Hawking: Securities and managed investments</i>, which are due to expire on 1 April 2017.</p> <p>Note: The draft ASIC instruments are available on our website at www.asic.gov.au/cp under CP 271.</p> <p>We are also seeking feedback on our proposal to repeal Class Order [CO 02/286] <i>Obligation to provide a PDS: s1012B(4)</i>, which sunsets on 1 April 2017.</p>	MR 16-382 Attachments 1 & 2 to CP 271 (Draft legislative instruments)

Title	Release Date	Details	Media release and related documents
CP 272 Remaking ASIC class orders on time-sharing schemes	17/11/2016	<p>This consultation paper sets out ASIC's proposals to remake our class orders on time-sharing schemes. Under the <i>Legislation Act 2003</i>, these class orders will expire ('sunset') if not remade.</p> <p>We are seeking feedback from the time-sharing industry, consumers and consumer advocates (including whether any additional consumer protections are needed), and other interested parties on our proposals to:</p> <ul style="list-style-type: none"> • remake, as a single new instrument, our class orders relating to time-sharing schemes—[CO 00/2460] <i>Time-sharing schemes – property valuations</i>, [CO 02/315] <i>Time-sharing schemes – use of loose-leaf price list</i> and [CO 03/104] <i>Relief facilitating the acquisition and sale of forfeited interests in registered time-sharing schemes</i>; and • change our approach to, or amend, [CO 02/237] <i>Time-sharing schemes — operation of rental pool</i>, related pro formas (PF 205, PF 206, PF 207, PF 208 and PF 209), [CO 13/760] <i>Financial requirements for responsible entities and operators of investor directed portfolio services</i>, the enhanced fee disclosure requirements and our guidance in Regulatory Guide 160 <i>Time-sharing schemes</i> (RG 160). <p>Our proposals relate to relief and obligations in relation to the managed investment, Australian financial services (AFS) licensing and product disclosure provisions of the <i>Corporations Act 2001</i>.</p> <p>Note: The draft ASIC instrument, and relevant pro formas, are available on our website at www.asic.gov.au/cp under CP 272.</p>	MR 16-393 Attachment 1 (Draft legislative instrument) Attachments 2–5 (Draft pro formas)

Title	Release Date	Details	Media release and related documents
CP 273 Repealing ASIC class orders on holding client assets	23/11/2016	<p>This consultation paper sets out ASIC's proposals to repeal class orders on holding client assets that are no longer required and do not form a necessary and useful part of the legislative framework. Under the <i>Legislation Act 2003</i>, these class orders will expire ('sunset') if not remade.</p> <p>We are seeking feedback on our proposals to repeal:</p> <ul style="list-style-type: none"> • Class Order [CO 03/1110] <i>Prime brokerage: Relief from holding client property on trust</i>, which is due to expire on 1 October 2017; • Class Order [CO 03/1111] <i>Prime brokerage: Relief from holding scheme property separately</i>, which is due to expire on 1 October 2017; and • Class Order [CO 03/1112] <i>Relief from obligation to hold client money on trust</i>, which is due to expire on 1 October 2017. 	MR 16-405

Title	Release Date	Details	Media release and related documents
CP 274 Remaking ASIC class orders on application form requirements	28/11/2016	<p>This consultation paper sets out ASIC's proposals to remake our class orders on the application form requirements under Div 2 of Pt 7.9 and Pt 6D.2 of the <i>Corporations Act 2001</i>. Under the <i>Legislation Act 2003</i>, these class orders will expire ('sunset') if not remade.</p> <p>We are seeking feedback from the financial services industry on our proposals to remake, with changes, as a single new instrument:</p> <ul style="list-style-type: none"> • [CO 02/260] <i>Product Disclosure Statements – application forms created by a licensee</i>, [CO 02/262] <i>Applications to switch managed investment products</i> and [CO 07/10] <i>Operation of certain instruments</i> (paragraphs 4 and 8), which sunset on 1 April 2017; and • [CO 02/437] <i>Eligible applications – relief from s 1016A(2)(a) for managed investment products</i>, which sunsets on 1 October 2017. <p>We are also seeking feedback on our proposals to incorporate <i>ASIC Corporations (Options: Bonus Issues) Instrument 2016/77</i> and [CO 14/26] <i>Personalised or Australian financial services licensee created application forms</i> into the new instrument.</p> <p>Note: The draft ASIC instrument is available on our website at www.asic.gov.au/cp under CP 274.</p>	MR 16-407
CP 275 Repealing ASIC class order on FSG exemption for market-making services on a licensed market: [CO 03/578]	6/12/2016	<p>This consultation paper sets out ASIC's proposal to repeal a class order that we consider is no longer required and does not form a necessary and useful part of the legislative framework. Under the <i>Legislation Act 2003</i>, this class order will expire ('sunset') if not remade.</p> <p>We are seeking feedback from our stakeholders on our proposal to repeal Class Order [CO 03/578] <i>Financial Services Guide exemption for market-making services on a licensed market</i>, which is due to expire on 1 April 2017.</p>	MR 16-416

Reports

Title	Release Date	Details	Media release and related documents
REP 484 Due diligence practices in initial public offerings	14/7/2016	This report outlines the key findings from reviews we conducted to examine the due diligence practices of issuers of securities under an initial public offering (IPO). This report is for issuers considering an IPO; its purpose is to help issuers, and their directors and advisers, conduct effective due diligence.	MR 16-224
REP 485 ASIC enforcement outcomes: January to June 2016	8/8/2016	This report outlines the enforcement results achieved by ASIC during the period from 1 January to 30 June 2016 (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 16-247
REP 486 Sell-side research and corporate advisory: Confidential information and conflicts of interest	9/8/2016	This report sets out key observations from our review of the way financial intermediaries handle material, non-public information and manage conflicts of interest. It considers the interaction between financial intermediaries' research and corporate advisory activities.	MR 16-250
REP 487 Review of Australian equity market cleanliness	9/8/2016	<p>In this report we seek to measure Australian equity market cleanliness with a focus on possible insider trading and information leakage ahead of material, price-sensitive announcements.</p> <p>We applied a number of methods, evaluated their efficacy and examined their differences through time and across industry sectors, market capitalisation and announcement types.</p>	MR 16-249
REP 488 Response to submissions on CP 240 Remaking ASIC class orders on rounding and other matters	26/8/2016	This report highlights the key issues that arose out of the submissions received on Consultation Paper 240 <i>Remaking ASIC class orders on rounding, directors' reports, disclosing entities and other matters</i> (CP 240) and details our responses to those issues.	MR 16-273 LI 16/187 LI 16/188 LI 16/189 LI 16/190 LI 16/191 (issued 24/3/2016) LI 16/247

Title	Release Date	Details	Media release and related documents
REP 489 ASIC regulation of corporate finance: January to June 2016	26/8/2016	<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 from 1 January to 30 June 2016.</p>	MR 16-276
REP 490 Response to submissions on CP 254 Regulating digital financial product advice	30/8/2016	<p>This report highlights the key issues that arose out of the submissions received on Consultation Paper 254 <i>Regulating digital financial product advice</i> (CP 254) and details our responses to those issues.</p>	RG 255
REP 491 Response to submissions on CP 242 Remaking ASIC class orders on horse racing syndicates and horse breeding schemes	30/8/2016	<p>This report highlights the key issues that arose out of the submissions received on Consultation Paper 242 <i>Remaking ASIC class orders on horse racing syndicates and horse breeding schemes</i> (CP 242) and details our responses to those issues.</p>	MR 16-282 RG 91 LI 16/790 SLI 16/791
REP 492 A market that is failing consumers: The sale of add-on insurance through car dealers	12/9/2016	<p>This report presents ASIC's findings on the sale of add-on insurance through car dealers. Our findings are based on data collected from seven general insurers who issue add-on insurance products.</p> <p>Our review suggests that add-on insurance sold through this distribution channel represents poor value for consumers and is designed and sold in a way that may not meet consumers' needs.</p>	MR 16-301
REP 493 Review of interest-only home loans: Mortgage brokers' inquiries into consumers' requirements and objectives	14/9/2016	<p>This report follows on from Report 445 <i>Review of interest-only home loans</i> (REP 445), which highlighted the importance of responsible lending practices for interest-only home loans.</p> <p>It describes the practices of 11 large mortgage brokers and trends in the market after REP 445. It identifies good practices as well as opportunities to improve brokers' practices.</p> <p>Our reviews are intended to promote responsible lending and consumer confidence in the credit industry.</p>	MR 16-307 Infographic – Australia's interest-only mortgages

Title	Release Date	Details	Media release and related documents
REP 494 Marketing practices in initial public offerings of securities	19/9/2016	<p>This report outlines the key findings from reviews we conducted to examine how initial public offerings (IPOs) are marketed to retail investors. We particularly considered the extent to which social media has become important for marketing.</p> <p>This report identifies some risks and recommendations that may be useful for firms and issuers to consider when developing an IPO marketing strategy.</p>	MR 16-315
REP 495 Response to submissions on CP 207 Charitable investment fundraisers	28/9/2016	<p>This report highlights the key issues that arose out of the submissions received in response to Consultation Paper 207 <i>Charitable investment fundraisers</i> (CP 207) and our follow-up consultation, and details our responses to those issues.</p>	MR 16-330 SLI 16/810 LI 16/812 SLI 16/819 RG 87
REP 496 Response to submissions on CP 200 Managed discretionary accounts: Update to RG 179	29/9/2016	<p>This report highlights the key issues that arose out of submissions received on Consultation Paper 200 <i>Managed discretionary accounts: Update to RG 179</i> (CP 200) and details our responses to these issues.</p>	MR 16-333 LI 16/968 SLI 16/969 SLI 16/970
REP 497 Response to submissions on CP 267 Remaking ASIC class orders on audit and financial reporting	30/9/2016	<p>This report highlights the key issues that arose out of the submissions received on Consultation Paper 267 <i>Remaking ASIC class orders and guidance on audit and financial reporting requirements</i> (CP 267) and details our responses to those issues.</p>	MR 16-336 LI 16/784, LI 16/785, LI 16/786 and SLI 16/914 RG 115 PF 183, PF 24, PF 25, PF 26 and PF 27 INFO 24

Title	Release Date	Details	Media release and related documents
REP 498 Life insurance claims: An industry review	12/10/2016	<p>This report contains the findings of an industry-wide review of claims handling in the life insurance industry.</p> <p>The purpose of our review was to determine if there were any systemic concerns that apply either to the industry as a whole or to particular insurers.</p> <p>We focused on life insurance claims by policyholders, assessing the outcome of claims and details of disputes about claims, as well as reviewing information about insurers' policy documentation, information about claims staffing, systems and procedures, and sales practices.</p>	MR 16-347 Infographic - Life insurance claims
REP 499 Financial advice: Fees for no service	27/10/2016	<p>In 2015, ASIC commenced a project to review the extent of failure to deliver ongoing advice services to financial advice customers who were paying fees to receive those services.</p> <p>The project covers Australian financial services (AFS) licensees that are product issuers or provide personal advice to retail clients, and that are part of AMP Limited, Australia and New Zealand Banking Group Limited, Commonwealth Bank of Australia, Macquarie Group Limited, National Australia Bank Limited and Westpac Banking Corporation.</p> <p>This report outlines the findings and outcomes to date.</p>	MR 16-365
REP 500 Response to submissions on CP 247 Client review and remediation programs and update to record-keeping requirements	27/10/2016	<p>This report highlights the key issues that arose out of the submissions received on Consultation Paper 247 <i>Client review and remediation programs and update to record-keeping requirements</i> (CP 247) and details our responses to those issues.</p>	MR 16-362 LI 16/1006
REP 501 Market Integrity Report: January to August 2016	3/11/2016	<p>Report 501 <i>Market Integrity Report: January to August 2016</i> (REP 501) is an overview of the work of ASIC's Market Integrity Group during this period. The Market Integrity Group is responsible for ensuring that Australia's licensed markets are fair and efficient. Regulatory activity focuses on deterrence, setting standards and education, and behavioural change.</p>	MR 16-373 REP 501 webpage REP 501 video REP 501 transcript

Title	Release Date	Details	Media release and related documents
REP 502 Response to submissions on CP 257 Improving disclosure of historical financial information in prospectuses: Update to RG 228	3/11/2016	This report highlights the key issues that arose out of the submissions received on Consultation Paper 257 <i>Improving disclosure of historical financial information in prospectuses: Update to RG 228 (CP 257)</i> and details our responses to those issues.	MR 16-372 RG 228
REP 444 ASIC enforcement outcomes: January to June 2015 (reissued)	30/11/2016 (first issued 5/8/2015)	Minor correction to data describing 'Corporate governance' and 'Small business compliance and deterrence' in Appendix 1, Table 3, including new Note to Table 3 to account for correction.	No MR
REP 504 Compliance report - Parts 1 and 2 -Commonwealth Financial Planning Limited and Financial Wisdom Limited	5/12/2016	Report prepared by KordaMentha Forensic This report assesses the steps taken by Commonwealth Financial Planning Limited (CFPL) and Financial Wisdom Limited (FWL) to communicate with and compensate customers of 15 former advisers for advice they provided between 2003 and 2012. This report was required under additional conditions imposed by ASIC, with consent, on the Australian financial services (AFS) licences of CFPL and FWL in August 2014 (refer MR 14-104 and MR 14-192).	MR 16-415
REP 503 Overview of licensing and professional registration applications: January to June 2016	7/12/2016	This report outlines ASIC's decisions on applications for the period from 1 January to 30 June 2016 (relevant period) for: <ul style="list-style-type: none">• new Australian financial services (AFS) licences and licence variations;• new Australian credit licences (credit licences) and licence variations;• the registration of liquidators, official liquidators, company auditors and approved self-managed superannuation fund (SMSF) auditors; and• financial markets, clearing and settlement (CS) facilities, and derivative trade repositories (trade repositories).	MR 16-422

Title	Release Date	Details	Media release and related documents
REP 505 Response to submissions on CP 266 Remaking ASIC class orders on managed investment schemes: Not for money	8/12/2016	This report highlights the key issues that arose out of the submissions received on Consultation Paper 266 <i>Remaking ASIC class orders on managed investment schemes: Not for money</i> (CP 266) and details our responses to those issues.	MR 16-426 LI 16/1107 SLI 16/1108 RG 80
REP 506 Overview of decisions on relief applications (April to September 2016)	12/12/2016	<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 our decisions on relief applications during the period from 1 April 2016 to 30 September 2016. It summarises examples of situations where we have exercised, or refused to exercise, ASIC's 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 April 2016 to 30 September 2016 that may be relevant to prospective applicants for relief, including legislative instruments, consultation papers, regulatory guides and reports.</p>	MR 16-434
REP 507 Insolvency statistics: External administrators' reports (July 2015 to June 2016)	14/12/2016	<p>This report is for insolvency practitioners and other interested stakeholders.</p> <p>It presents an overview of total lodgements of statutory reports lodged by liquidators, receivers and voluntary administrators (external administrators) from 1 July 2015 to 30 June 2016, as well as our statistical findings from external administrators' reports lodged electronically when a company enters external administration (EXAD) status (initial external administrators' reports).</p>	MR 16-436

Title	Release Date	Details	Media release and related documents
REP 508 Response to submissions on CP 260 Further measures to facilitate innovation in financial services	15/12/2016	This report highlights the key issues that arose out of the submissions received on Consultation Paper 260 <i>Further measures to facilitate innovation in financial services</i> (CP 260) and details our responses to those issues	MR 16-440 Infographic – Licensing exemption for fintech testing Infographic – ASIC's financial services and credit frameworks - flexibility for new businesses RG 256 REP 508 RG 105 RG 206 RG 51 LI 16/1175 LI 16/1176
REP 509 Review of the ASX equity market outage on 19 September 2016	21/12/2016	This report outlines the findings of our review of the ASX outage that affected the operation of the Australian equity market on 19 September 2016. It presents our observations on how ASX and various stakeholders responded to the outage, and highlights a number of recommendations designed to support the resilience and robustness of the Australian equity market.	MR 16-454

Rules

Title	Dates	Details	Media release and related documents
No rules issued in July–Dec 2016			

Class rule waivers

Title	Dates	Details	Media release and related documents

No class rule waivers issued in July–Dec 2016			
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Determinations

Title	Dates	Details	Media release and related documents
No determinations issued in July–Dec 2016			

Information sheets

Title	Status	Release Date	Comments	Media release and related documents
INFO 9 ASIC decisions: Your rights	Reissued	20/7/2016	Technical amendments only.	No MR
INFO 215 Companies limited by guarantee - Disputes about members' rights	New	16/8/2016	INFO 215 explains: <ul style="list-style-type: none"> • What a company limited by guarantee is • What kinds of disputes involve companies limited by guarantee • The rights of members of companies limited by guarantee • The obligations of companies limited by guarantee • ASIC's role when there are disputes about companies limited by guarantee • What you should do to resolve a dispute about your rights as a member of a company limited by guarantee 	No MR

Title	Status	Release Date	Comments	Media release and related documents
INFO 24 Deeds of cross-guarantee	Reissued	30/9/2016	<p>INFO 24 answers the most frequently asked questions and lists some of the common problems relating to deeds of cross-guarantee (deeds). Such deeds must be lodged with ASIC before a wholly owned company will be eligible for relief under <i>ASIC Corporations (Wholly-owned Companies) Instrument 2016/785</i>.</p> <p>Updated to reflect three remade legislative instruments which were due to sunset.</p>	SLI 16/914 RG 115 PF 183 PF 24 PF 25 PF 26 PF 27 REP 497
INFO 214 Mining and resources - Forward-looking statements	Reissued	12/10/2016	<p>INFO 214 aims to give stakeholders a better understanding of the existing rules that apply to forward-looking statements, thereby improving compliance and reducing any risk of litigation or regulatory action.</p> <p>Update incorporates some minor drafting changes to clarify ASIC's guidance. The changes have been made in response to concerns and misunderstandings that arose at the time of INFO 214's original release in April 2016.</p>	MR 16-349
INFO 88 Notifying ASIC of the appointment of and an AFS authorised representative	Reissued	4/11/2016	Technical amendments: References to Form FS30 removed with consequential amendments.	No MR
INFO 217 Licensing relief for low volume financial markets	New	6/12/2016	<p>INFO 217 answers the following questions:</p> <ul style="list-style-type: none"> • What is a low volume financial market? • What must you include in your application? • When may ASIC remove you from the register? 	No MR

Title	Status	Release Date	Comments	Media release and related documents
INFO 216 AFS licensing requirements for accountants who provide SMSF services	New	8/12/2016	INFO 216 covers how the Australian financial services (AFS) licensing regime applies to SMSF services provided by accountants. It sets out the various SMSF services an accountant might provide and whether a licensing exemption applies to them or whether the accountant must be covered by an AFS licence for those services.	MR 16-425
SINFO 179 Applying for a limited AFS licence	Withdrawn	8/12/2016	Replaced by new webpage at http://asic.gov.au/for-finance-professionals/afs-licensees/applying-for-and-managing-an-afs-licence/limited-financial-services/	MR 16-425 INFO 216