

# Australian Securities and Investments Commission – Table of regulatory documents

## Documents released during July–Dec 2017

### New regulatory guides

Title	Release Date	Details	Media release and related documents
RG 261 Crowd-sourced funding: Guide for public companies	21/9/2017	<p>This is a guide for public companies seeking to raise funds through crowd-sourced funding.</p> <p>This guide explains when a public company is eligible to make an offer of shares under the crowd-sourced funding (CSF) regime in the Corporations Act and what obligations, including disclosure obligations, apply.</p> <p>This guide also explains the temporary concessions available to public companies making CSF offers from certain reporting, audit and corporate governance requirements that would usually apply to public companies.</p>	<p><b>Released 21/9/2017</b></p> <p>MR 17-321 (see also MR 17-312 released 12/9/2017)</p> <p>LI 17/339</p> <p>SLI 17/817</p> <p>SLI 17/821</p> <p>Attachment to RG 261: Template CSF offer document</p> <p>RG 262</p> <p>REP 544</p> <p>RG 166</p> <p>RG 148</p> <p><b>Soft release 29/9/2017</b></p> <p>RG 1</p> <p>RG 2</p> <p>RG 3</p> <p>PF 209</p>

<p>RG 262 Crowd-sourced funding: Guide for intermediaries</p>	<p>21/9/2017</p>	<p>This guide is for entities providing, or looking to provide, a crowd-funding service as a crowd-sourced funding (CSF) intermediary by operating a platform for CSF offers and investments.</p> <p>This guide explains the general ongoing obligations that apply to CSF intermediaries as Australian financial services (AFS) licensees and the specific obligations that apply under the CSF regime in the Corporations Act.</p>	<p><b>Released 21/9/2017</b></p> <p>MR 17-321 (see also MR 17-312 released 12/9/2017)</p> <p>LI 17/339 SLI 17/817 SLI 17/821 RG 261</p> <p>Attachment to RG 261: Template CSF offer document</p> <p>REP 544 RG 166 RG 148</p> <p><b>Soft release 29/9/2017</b></p> <p>RG 1 RG 2 RG 3 PF 209</p>
<p>RG 263 Financial Services and Credit Panel</p>	<p>16/11/2017</p>	<p>This guide sets out the principles and processes of the Financial Services and Credit Panel (FSCP).</p> <p>The FSCP sits alongside ASIC's existing administrative processes and assists us with making administrative decisions on certain matters relating to retail financial services and credit activities.</p>	<p>MR 17-388 (see also MR 17-381 released 10/11/2017)</p> <p>REP 551</p>
<p>RG 264 Sell side research</p>	<p>21/12/2017</p>	<p>This guide is for Australian financial services (AFS) licensees who are involved in providing research. It supplements our guidance in Regulatory Guide 79 <i>Research report providers: Improving the quality of investment research</i> (RG 79). This guide focuses on managing conflicts of interest and inside information when providing sell-side research.</p>	<p>MR 17-455 REP 560</p>

## Amended or reissued regulatory guides

Title	Release Date	Details	Media release and related documents
RG 190 Offering financial products in New Zealand and Australia under mutual recognition	25/7/2017	<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><b>Minor technical amendments have been made to clarify that offers should be registered on the Disclose Register online and that paper documents will not be accepted: see [RG 190.19]–[RG 190.20] and [RG 190.43]–[RG 190.44] and [RG 190.48].</b></p>	No MR
RG 108 No-action letters	7/8/2017	<p>This guide is for persons (and their professional advisers) who want to ask ASIC for a no-action letter.</p> <p>It explains how to make an application for a no-action letter and sets out the factors ASIC considers when dealing with a request for a no-action letter.</p> <p><b>Technical update to take account of the withdrawal of Regulatory Guide 52 <i>Enforcement action submissions</i> (RG 52) which was previously replaced by Information Sheet 151 <i>ASIC's approach to enforcement</i> (INFO 151).</b></p>	No MR RG 110 RG 216

Title	Release Date	Details	Media release and related documents
RG 110 Share buy-backs	7/8/2017	<p>This is a guide for companies, their advisers and investors involved in or affected by share buy-backs.</p> <p>This guide explains what a company should do to comply with Div 2 of Pt 2J.1 (the buy-back provisions) of the <i>Corporations Act 2001</i>, including the procedures that a company needs to follow in conducting a buy-back and the information that must be disclosed to shareholders. It also explains how ASIC may exercise its powers to grant relief from certain requirements to obtain shareholder approval.</p> <p><b>Technical update to take account of the withdrawal of Regulatory Guide 52 Enforcement action submissions (RG 52) which was previously replaced by Information Sheet 151 ASIC's approach to enforcement (INFO 151).</b></p>	<p>No MR</p> <p>RG 108</p> <p>RG 216</p>
RG 216 Markets Disciplinary Panel	7/8/2017	<p>This guide is aimed at those who are obliged to comply with ASIC market integrity rules, including the operators of, and participants in, licensed markets.</p> <p>The aim of the guide is to provide interested parties with:</p> <ul style="list-style-type: none"> <li>• an overview of the disciplinary framework for the market integrity rules</li> <li>• an outline of the constitution, role and independence of the Markets Disciplinary Panel (MDP)</li> <li>• our general approach to administering the remedies available for breaches of the market integrity rules</li> <li>• details of the stages in the infringement notice and enforceable undertaking processes, and</li> <li>• the policies that will be applied by the MDP in determining the penalties payable, and other remedial action that may be applied, for particular breaches of the market integrity rules.</li> </ul> <p><b>Technical update to take account of the withdrawal of Regulatory Guide 52 Enforcement action submissions (RG 52) which was previously replaced by Information Sheet 151 ASIC's approach to enforcement (INFO 151).</b></p>	<p>No MR</p> <p>RG 108</p> <p>RG 110</p>

Title	Release Date	Details	Media release and related documents
RG 257 Testing fintech products and services without holding an AFS or credit licence	23/8/2017	<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"> <li>• there are existing statutory exemptions or flexibility in the <i>Corporations Act 2001</i> and <i>National Consumer Credit Protection Act 2009</i>;</li> <li>• 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</li> <li>• for other services, where ASIC grants individual relief.</li> </ul> <p>All of these measures collectively form Australia's 'regulatory sandbox' framework.</p> <p><b>Technical amendments have been made to account for recent amendments made to <i>ASIC Corporations (Concept Validation Licensing Exemption) Instrument 2016/1175</i>.</b></p>	No MR
RG 126 Compensation and insurance arrangements for AFS licensees	29/8/2017	<p>This guide is for Australian financial services (AFS) licensees and their representatives, advisers and insurers.</p> <p>It sets out how ASIC administers the compensation requirements under s912B of the <i>Corporations Act 2001</i>.</p> <p><b>After a targeted review of professional indemnity (PI) insurance, ASIC has revised Regulatory Guide 126 <i>Compensation and insurance arrangements for AFS licensees (RG 126)</i> to clarify that fraud cover is not required by licensees that are single person companies. ASIC considers single person companies to be licensees that are companies with one director who is also the company's only financial adviser or representative, the only shareholder and only employee of the company.</b></p>	MR 17-286

Title	Release Date	Details	Media release and related documents
RG 148 Platforms that are managed investment schemes and nominee and custody services	21/9/2017	<p>This guide is for:</p> <ul style="list-style-type: none"> <li>• 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</li> <li>• operators and people involved in the operation of nominee and custody services.</li> </ul> <p>It explains:</p> <ul style="list-style-type: none"> <li>• our objectives when regulating, and the requirements for operating, platforms and nominee and custody services, and the related disclosure obligations; and</li> <li>• 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.</li> </ul> <p><b>ASIC has updated Regulatory Guide 148 <i>Platforms that are managed investment schemes and nominee and custody services</i> (RG 148), providing guidance on the requirements for a platform operator or nominee and custody service operator acquiring shares under a crowd-sourced funding offer on behalf of an investor.</b></p>	<p><b>Released 21/9/2017</b></p> <p>MR 17-321 (see also MR 17-312 released 12/9/2017)</p> <p>LI 17/339</p> <p>SLI 17/817</p> <p>SLI 17/821</p> <p>RG 261</p> <p>Attachment to RG 261: Template CSF offer document</p> <p>RG 262</p> <p>REP 544</p> <p>RG 166</p> <p><b>Soft release 29/9/2017</b></p> <p>RG 1</p> <p>RG 2</p> <p>RG 3</p> <p>PF 209</p>

Title	Release Date	Details	Media release and related documents
RG 166 Licensing: Financial requirements	21/9/2017	<p>This guide sets out the financial requirements you must meet as the holder of an Australian financial services (AFS) licence. The requirements vary depending on the financial products and services you offer.</p> <p>Information for licensees entering into a Deed of Subordination (Pro forma 63) or Deed of Mutual Release (Pro forma 225)</p> <p>If you are a body regulated by the Australian Prudential Regulation Authority (APRA), as defined in s3(2) of the <i>Australian Prudential Regulation Authority Act 1998</i> (APRA Act), and are not required to comply with s912A(1)(d) of the <i>Corporations Act 2001</i> (Corporations Act), RG 166 does not apply to you.</p> <p>Note: From 1 July 2015, if you are the holder of a registrable superannuation entity (RSE) licence from APRA that is also authorised to operate registered managed investment schemes, you will be required to comply with s912A(1)(d).</p> <p><b>ASIC has updated Regulatory Guide 166 Licensing: Financial requirements (RG 166), including new Appendix 9 which provides guidance on the financial resource requirements that will apply to a crowd-sourced funding intermediary.</b></p>	<p><b>Released 21/9/2017</b></p> <p>MR 17-321 (see also MR 17-312 released 12/9/2017)</p> <p>LI 17/339</p> <p>SLI 17/817</p> <p>SLI 17/821</p> <p>RG 261</p> <p>Attachment to RG 261: Template CSF offer document</p> <p>RG 262</p> <p>REP 544</p> <p>RG 148</p> <p><b>Soft release 29/9/2017</b></p> <p>RG 1</p> <p>RG 2</p> <p>RG 3</p> <p>PF 209</p>
RG 234 Advertising financial products and services (including credit): Good practice guidance	27/9/2017	<p>This guide is for promoters of financial products, financial advice services, credit products and credit services, and publishers of advertising for these products and services.</p> <p>It contains good practice guidance to help promoters comply with their legal obligations not to make false or misleading statements or engage in misleading or deceptive conduct.</p> <p><b>Partial update only (Nov 2012 release date retained) – instrument names have been updated to reflect remade sunseting class orders.</b></p>	<p>MR 17-324</p> <p>SLI 17/791</p> <p>LI 17/792</p> <p>LI 17/793</p> <p>INFO 112</p> <p>RG 203 (soft release 12/10/2017)</p>

Title	Release Date	Details	Media release and related documents
<p>RG 1 AFS Licensing Kit: Part 1—Applying for and varying an AFS licence</p>	<p>29/9/2017</p>	<p>This is a guide for applicants applying for an Australian financial services (AFS) licence or to vary their AFS licence.</p> <p>Applicants should also read Part 2 of the AFS Licensing Kit (RG 2), which outlines how to:</p> <ul style="list-style-type: none"> <li>• complete the online forms FS01 Application for AFS licence and FS03 Application for variation of authorisation and other conditions; and</li> <li>• prepare 'core' supporting proof documents.</li> </ul> <p>Applicants will need to read Part 3 (RG 3) if they are asked to send us 'additional' proof documents.</p> <p>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><b>Technical amendments to reflect the new licensing requirements for CSF intermediaries released on 21/9/2017.</b></p>	<p><b>Released 21/9/2017</b></p> <p>MR 17-321 (see also MR 17-312 released 12/9/2017)</p> <p>LI 17/339 SLI 17/817 SLI 17/821 RG 261 Attachment to RG 261: Template CSF offer document RG 262 REP 544 RG 166 RG 148</p> <p><b>Soft release 29/9/2017</b></p> <p>RG 2 RG 3 PF 209</p>



Title	Release Date	Details	Media release and related documents
RG 2 AFS Licensing Kit: Part 2— Preparing your AFS licence or variation application	29/9/2017	<p>This is a guide for applicants applying for an Australian financial services (AFS) licence or to vary their AFS licence. This guide forms Part 2 of the AFS Licensing Kit and outlines how to:</p> <ul style="list-style-type: none"> <li>• complete the online forms FS01 Application for AFS licence and FS03 Application for variation of authorisation and other conditions; and</li> <li>• prepare core proof documents.</li> </ul> <p>An application for an AFS licence or a licence variation comprises the relevant application form and supporting core proof documents, with all of these documents provided to us at the same time.</p> <p>Note: It is an offence under s915C(2) of the Corporations Act to provide false or misleading information to ASIC. False or misleading information in an application (including a material omission) may also be grounds to revoke any AFS licence granted based on the application.</p> <p>Applicants should also read Part 1 (RG 1), which explains the process of applying for and varying an AFS licence. Applicants will need to read Part 3 (RG 3) if they are asked to send us ‘additional’ proof documents.</p> <p><b>Technical amendments to reflect the new licensing requirements for CSF intermediaries released on 21/9/2017.</b></p>	<p><b>Released 21/9/2017</b></p> <p>MR 17-321            (see also MR 17-312 released 12/9/2017)            LI 17/339            SLI 17/817            SLI 17/821            RG 261            Attachment to RG 261:            Template CSF offer document            RG 262            REP 544            RG 166            RG 148</p> <p><b>Soft release 29/9/2017</b></p> <p>RG 1            RG 3            PF 209</p>

Title	Release Date	Details	Media release and related documents
<p>RG 3 AFS Licensing Kit: Part 3— Preparing your additional proofs</p>	<p>29/9/2017</p>	<p>This is a guide for applicants applying for an Australian financial services (AFS) licence or to vary their AFS licence.</p> <p>This guide forms Part 3 of the AFS Licensing Kit and explains the 'additional' proof documents applicants may be asked to send us.</p> <p>Before reading this guide, applicants should read:</p> <ul style="list-style-type: none"> <li>• Part 1 (RG 1), which explains the process of applying for and varying an AFS licence; and</li> <li>• Part 2 (RG 2), which helps applicants complete the AFS licence application form (FS01) or variation application form (FS03) and prepare 'core' proofs.</li> </ul> <p><b>Technical amendments to reflect the new licensing requirements for CSF intermediaries released on 21/9/2017.</b></p>	<p><b>Released 21/9/2017</b></p> <p>MR 17-321 (see also MR 17-312 released 12/9/2017)</p> <p>LI 17/339</p> <p>SLI 17/817</p> <p>SLI 17/821</p> <p>RG 261</p> <p>Attachment to RG 261: Template CSF offer document</p> <p>RG 262</p> <p>REP 544</p> <p>RG 166</p> <p>RG 148</p> <p><b>Soft release 29/9/2017</b></p> <p>RG 1</p> <p>RG 2</p> <p>PF 209</p>
<p>RG 203 Do I need a credit licence?</p>	<p>12/10/2017</p>	<p>This guide is for people who may engage in credit activities as defined in the <i>National Consumer Credit Protection Act 2009</i> (National Credit Act).</p> <p>It gives guidance to help you decide whether you need to obtain an Australian credit licence (credit licence).</p> <p><b>Technical amendments have been made to reflect remade legislative instruments providing relief to financial counselling agencies.</b></p>	<p>MR 17-324 (released 27/9/2017)</p> <p>INFO 112 (released 27/9/2017)</p> <p>SLI 17/791 (issued 19/9/2017)</p> <p>LI 17/792 (issued 19/9/2017)</p> <p>LI 17/793 (issued 19/9/2017)</p>

Title	Release Date	Details	Media release and related documents
RG 73 Continuous disclosure obligations: Infringement notices	31/10/2017	<p>This guide is for anyone who is subject to continuous disclosure obligations, including listed and unlisted disclosing entities. It covers:</p> <ul style="list-style-type: none"> <li>• our general approach to the infringement notice remedy; and</li> <li>• the stages in the infringement notice process.</li> </ul> <p><b>Technical amendments only.</b></p>	None
RG 175 Licensing: Financial product advisers—Conduct and disclosure	14/11/2017	<p>This guide is for persons who provide financial product advice to retail clients, and their professional advisers (such as lawyers). It considers how certain conduct and disclosure obligations in Pt 7.7 and Div 2 of Pt 7.7A of the <i>Corporations Act 2001</i> apply to the provision of financial product advice.</p> <p><b>ASIC has updated Regulatory Guide 175 <i>Licensing: Financial product advisers—conduct and disclosure</i> (RG 175) to include guidance that terms such as ‘independently owned’, ‘non-aligned’ and ‘non-institutionally owned’ are restricted under the Corporations Act.</b></p> <p><b>ASIC has also made minor changes to RG 175 to reflect the changes that will be made to Regulatory Guide 90 <i>Example Statement of Advice: Scaled advice for a new client</i> (RG 90).</b></p>	MR 17-383

Title	Release Date	Details	Media release and related documents
RG 182 Dollar disclosure	5/12/2017	<p>This guide is for Australian financial services (AFS) licensees and authorised representatives (providing entities) and product issuers.</p> <p>It sets out how we will administer the 'dollar disclosure provisions' under the <i>Corporations Act 2001</i> and the <i>Corporations Regulations 2001</i>, the relief we have granted from these provisions and our approach to granting relief.</p> <p>The dollar disclosure provisions require various costs, fees, charges, expenses, benefits and interests to be disclosed as Australian dollar amounts in Statements of Advice, Product Disclosure Statements and periodic statements, including exit statements, except when we have granted relief.</p> <p><b>ASIC has updated Regulatory Guide 182 <i>Dollar disclosure</i> (RG 182) to reflect the making of ASIC Corporations (<i>Disclosure in Dollars</i>) Instrument 2016/767 and the repeal of Class Orders [SCO 04/1430] <i>Dollar disclosure: Unknown facts or circumstances</i> and [SCO 04/1432] <i>Dollar disclosure: Interest payable on deposit products</i> from 19 August 2016.</b></p>	Editor's note to MR 16-274

Title	Release Date	Details	Media release and related documents
RG 90 Example Statement of Advice: Scaled advice for a new client	7/12/2017	<p>This guide is for Australian financial services (AFS) licensees, authorised representatives and advisers who give personal advice to retail clients.</p> <p>It explains how and why we have developed an example Statement of Advice (SOA) for scaled advice (i.e. personal advice that is limited in scope) on personal insurance for a new retail client.</p> <p>The example SOA was developed in consultation with stakeholders, and we acknowledge their valuable contribution throughout the process.</p> <p><b>ASIC has released a new example Statement of Advice (SOA) for life insurance as part of updates to Regulatory Guide 90 <i>Example Statement of Advice: Scaled advice for a new client</i> (RG 90).</b></p> <p><b>The example SOA in RG 90 is designed to assist advisers to produce an SOA that is compliant, concise, easy to understand, and written in plain English.</b></p> <p><b>The updates to RG 90 and the example SOA arise from the Australian Government’s incoming life insurance advice reform package.</b></p>	<p>MR 17-422</p> <p>(see also MR 17-383 released 14/11/2017)</p> <p>REP 557</p>

Title	Release Date	Details	Media release and related documents
RG 246 Conflicted and other banned remuneration	7/12/2017	<p>This guide is for Australian financial services (AFS) licensees and their representatives and other entities that must comply with the conflicted and other banned remuneration provisions in Divs 4 and 5 of Pt 7.7A of the <i>Corporations Act 2001</i>.</p> <p>It sets out our guidance on complying with these provisions and how we will administer them.</p> <p>The provisions apply to financial product advice given to retail clients and, from 1 January 2018, to certain benefits given in relation to life risk insurance products.</p> <p>ASIC has updated its guidance on conflicted remuneration to more closely reflect a range of regulatory changes since the guide was issued in 2013.</p> <p>The updated Regulatory Guide 246 <i>Conflicted and other banned remuneration</i> (RG 246), previously titled <i>Conflicted remuneration</i>, now includes guidance on the operation of the incoming life insurance remuneration reforms and additional working examples.</p>	MR 17-421

## Legislative instruments

Title	Dates	Details	Media release and related documents
ASIC Corporations (Chapter 5C— Miscellaneous Provisions) Instrument 2017/125	<p><i>Issued 4/7/2017</i></p> <p><i>Registered 4/7/2017: F2017L00874</i></p> <p><i>Effective 5/7/2017 (day after registration)</i></p>	<p>This instrument replaces the relief previously given by Class Orders:</p> <ul style="list-style-type: none"> <li>• [CO 98/50] <i>Incorporating parts of other compliance plans;</i></li> <li>• [CO 98/1806] <i>Related bodies corporate and external members of compliance committee; and</i></li> <li>• [CO 98/1808] <i>Allowing constitutions to use Appendix 15A of the ASX Listing Rules,</i></li> </ul> <p>by modifying the application of Chapter 5C of the Corporations Act.</p>	<p>MR 17-224</p> <p>LI 17/545</p>
ASIC Corporations (Amendment and Repeal) Instrument 2017/545	<p><i>Issued 4/7/2017</i></p> <p><i>Registered 4/7/2017: F2017L00875</i></p> <p><i>Effective 5/7/2017 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p>This instrument remakes the relief previously given by Class Order [CO 98/60] <i>Protecting class rights in a managed investment scheme</i> by amending Class Order [CO 09/552] <i>Changing scheme constitutions</i>. It also repeals Class Orders:</p> <ul style="list-style-type: none"> <li>• [CO 98/50] <i>Incorporating parts of other compliance plans;</i></li> <li>• [CO 98/60] <i>Protecting class rights in a managed investment scheme;</i></li> <li>• [CO 98/1806] <i>Related bodies corporate and external members of compliance committee; and</i></li> <li>• [CO 98/1808] <i>Allowing constitutions to use Appendix 15A of the ASX Listing Rules.</i></li> </ul> <p>Note that Class Orders [CO 98/50], [CO 98/1806] and [CO 98/1808] have been remade by <i>Corporations (Chapter 5C— Miscellaneous Provisions) Instrument 2017/125</i>.</p>	<p>MR 17-224</p> <p>LI 17/125</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Credit Union Member Shares) Instrument 2017/616	<p><i>Issued 5/7/2017</i></p> <p><i>Registered 10/7/2017: F2017L00898</i></p> <p><i>Effective 11/7/2017 (same day as SLI 17/621)</i></p>	<p><i>ASIC Corporations (Credit Union Member Shares) Instrument 2017/616</i> provides exemptions from AFS licensing and financial services disclosure requirements for 'eligible companies' (those registered under clause 3 of Sch 4 to the Corporations Act and who were permitted on 1 July 1999 to use the expression 'credit union', 'credit society' or 'credit co-operative' under the Banking Act) providing financial services by providing financial product advice to a member or prospective member of the company in relation to the issue of member shares. It also provides as exemption from the requirement under s1017F to confirm member share transactions involving the issue and redemption of member shares.</p>	<p>MR 17-232</p> <p>SLI 17/621</p>
ASIC Corporations (Repeal) Instrument 2017/621	<p><i>Issued 5/7/2017</i></p> <p><i>Registered 10/7/2017: F2017L00899</i></p> <p><i>Gazetted 11/7/2017: ASIC Gazette A30/17</i></p> <p><i>Effective 11/7/2017 (later of gazettal or day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2017/621</i> repeals the whole of sunseting Class Order [CO 02/1176] <i>Credit union member shares</i>, which has been replaced by <i>ASIC Corporations (Credit Union Member Shares) Instrument 2017/616</i>.</p>	<p>MR 17-232</p> <p>SLI 17/616</p>
ASIC Credit (Amendment) Instrument 2017/641	<p><i>Issued 6/7/2017</i></p> <p><i>Registered 10/7/2017: F2017L00904</i></p> <p><i>Effective 11/7/2017 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Credit (Amendment) Instrument 2017/641</i> extends the operation of Class Order [CO 13/18] <i>Funded representative proceedings and funded proof of debt arrangements</i> exclusion from the <i>National Consumer Credit Protection Act 2009</i> until 12 July 2019</p>	<p>No MR</p>
ASIC Corporations (Amendment) Instrument 2017/642	<p><i>Issued 6/7/2017</i></p> <p><i>Registered 10/7/2017: F2017L00905</i></p> <p><i>Effective 11/7/2017 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2017/642</i> extends the operation of Class Order [CO 13/898] <i>Representative proceedings and proof of debt arrangements funded by conditional costs agreements</i> until 12 July 2019.</p>	<p>No MR</p>



Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2017/684	<p><i>Issued 21/7/2017</i></p> <p><i>Registered 25/7/2017: F2017L00951</i></p> <p><i>Effective 26/7/2017 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2017/684</i> makes minor technical amendments to <i>ASIC Corporations (Concept Validation Licensing Exemption) Instrument 2016/1175</i> related to advice.</p>	No MR
ASIC Corporations (Disclosure Relief—Offers to Associates) Instrument 2017/737	<p><i>Issued 22/8/2017</i></p> <p><i>Registered 23/8/2017: F2017L01070</i></p> <p><i>Effective 24/8/2017 (day after registration)</i></p>	<p><i>ASIC Corporations (Disclosure Relief—Offers to Associates) Instrument 2017/737</i> remakes Class Order [CO 04/899] <i>Definition of 'senior manager'—modification</i>. It declares that Chapter 6D and Part 7.9 of the <i>Corporations Act 2001</i> apply as if paragraph (a) of the definition of 'senior manager' in section 9 were modified to include a director or secretary, preserving the former definition of 'executive officer'</p>	MR 17-281 SLI 17/738
ASIC Corporations (Repeal) Instrument 2017/738	<p><i>Issued 22/8/2017</i></p> <p><i>Registered 23/8/2017: F2017L01071</i></p> <p><i>Effective 24/8/2017 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2017/738</i> repeals sunseting Class Order [CO 04/899] <i>Definition of 'senior manager'—modification</i> which has been remade as <i>ASIC Corporations (Disclosure Relief—Offers to Associates) Instrument 2017/737</i>.</p>	MR 17-281 LI 17/737

Title	Dates	Details	Media release and related documents
<p>ASIC Corporations (Amendment) Instrument 2017/6</p>	<p><i>Issued 24/8/2017</i></p> <p><i>Registered 4/9/2017: F2017L01128</i></p> <p><i>Gazetted 5/9/2017: ASIC Gazette A39/17</i></p> <p><i>Effective 5/9/2017 (later of gazettal or day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2017/6 amends the following class orders/legislative instruments:</i></p> <ul style="list-style-type: none"> <li>• <i>[CO 08/10] Share and interest sale facilities</i></li> <li>• <i>[CO 12/752] Financial requirements for retail OTC derivative issuers</i></li> <li>• <i>[CO 13/655] Provisions about the amount of consideration to acquire interests and withdrawal amounts not covered by ASIC Corporations (Managed investment product consideration) Instrument 2015/847</i></li> <li>• <i>[CO 13/760] Financial requirements for responsible entities and operators of investor directed portfolio services</i></li> <li>• <i>[CO 13/761] Financial requirements for custodial or depository service providers</i></li> <li>• <i>[CO 14/1000] Employee incentive schemes: Listed bodies</i></li> <li>• <i>ASIC Corporations (Foreign Rights Issues) Instrument 2015/356</i></li> <li>• <i>ASIC Corporations (Foreign Scrip Bids) Instrument 2015/357</i></li> <li>• <i>ASIC Corporations (Foreign Securities—Publishing Notices) Instrument 2015/359</i></li> <li>• <i>ASIC Corporations (Foreign Small-Scale Offers) Instrument 2015/362</i></li> <li>• <i>ASIC Corporations (Managed investment product consideration) Instrument 2015/847</i></li> <li>• <i>ASIC Corporations (Minimum Bid Price) Instrument 2015/1068</i></li> <li>• <i>ASIC Corporations (Approved Foreign Financial Markets) Instrument 2015/1071</i></li> <li>• <i>ASIC Corporations (Consents to Statements) Instrument 2016/72</i></li> <li>• <i>ASIC Corporations (Definition of Approved Foreign Market) Instrument 2017/669</i></li> </ul>	<p>No MR</p> <p>LI 17/669</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Definition of Approved Foreign Market) Instrument 2017/669	<p><i>Issued 24/8/2017</i></p> <p><i>Registered 4/9/2017: F2017L01126</i></p> <p><i>Effective 5/9/2017 (day after registration)</i></p>	<p><i>ASIC Corporations (Definition of Approved Foreign Market) Instrument 2017/669</i> amends the definition of 'approved foreign market' in a number of legislative instruments so that the list now includes Euronext Brussels and Euronext Lisbon.</p>	<p>No MR</p> <p>LI 17/6</p>
ASIC Credit (Flexible Credit Cost Arrangements) Instrument 2017/780	<p><i>Issued 5/9/2017</i></p> <p><i>Registered 6/9/2017: F2017L01141</i></p> <p><i>Effective 1/11/2018</i></p>	<p><i>ASIC Credit (Flexible Credit Cost Arrangements) Instrument 2017/780</i> modifies Ch 2 of the <i>National Consumer Credit Protection Act 2009</i> to insert new sections 53A and 53B, which impose a prohibition on payment of commissions or other benefits in certain circumstances. This prohibition is to prevent payment of benefits under flexible credit cost arrangements that enable intermediaries to determine or influence the cost of a credit contract or consumer lease for the consumer, and incentivise the arrangement of higher cost credit or consumer leases for consumers and unfair conduct.</p>	<p>MR 17-301</p>
ASIC Corporations (Amendment) Instrument 2017/0723	<p><i>Issued 5/9/2017</i></p> <p><i>Registered 12/9/2017: F2017L01160</i></p> <p><i>Effective 13/9/2017 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2017/0723</i> amends the <i>ASIC Corporations (Derivative Transaction Reporting Exemption) Instrument 2015/844</i> to add Eurex Zurich to the list of Relevant Financial Markets under Exemption 1.</p>	<p>No MR</p>
ASIC Corporations (Amendment) Instrument 2017/664	<p><i>Issued 12/9/2017</i></p> <p><i>Registered 13/9/2017: F2017L01174</i></p> <p><i>Effective 14/9/2017 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2017/664</i> modifies the <i>Corporations Act 2001</i> by amending Class Order [CO 14/1252] <i>Technical modifications to Schedule 10 of the Corporations Regulations</i> to revise some of the definitions, including the indirect cost and management cost definitions and to clarify the costs that must be disclosed consistently with the intended effect of Schedule 10 to the Regulations. The class order also addresses some provisions that could be interpreted in an anomalous way that were included in the Regulations as part of the Stronger Super reforms.</p>	<p>MR 17-282</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2017/817	<p><i>Issued 12/9/2017</i></p> <p><i>Registered 14/9/2017: F2017L01185</i></p> <p><i>Effective 28/9/2017 (later of day after registration or date of commencement of Schedule 1 to the Corporations Amendment (Crowd-sourced Funding) Act 2017)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2017/817 amends ASIC Corporations (Consents to Statements) Instrument 2016/72 to extend to statements made in a crowd-sourced funding (CSF) offer document.</i></p>	<p><b>Released 21/9/2017</b></p> <p>MR 17-321</p> <p>(see also MR 17-312 released 12/9/2017)</p> <p>LI 17/339</p> <p>SLI 17/821</p> <p>RG 261</p> <p>Attachment to RG 261: Template CSF offer document</p> <p>RG 262</p> <p>REP 544</p> <p>RG 166</p> <p>RG 148</p> <p><b>Released 29/9/2017</b></p> <p>RG 1</p> <p>RG 2</p> <p>RG 3</p> <p>PF 209</p>
ASIC Corporations (Factoring Arrangements) Instrument 2017/794	<p><i>Issued 12/9/2017</i></p> <p><i>Registered 18/9/2017: F2017L01198</i></p> <p><i>Effective 19/9/2017 (same as 2017/796)</i></p>	<p><i>ASIC Corporations (Factoring Arrangements) Instrument 2017/794 provides relief for sellers and purchasers of accounts receivable under factoring arrangements in circumstances where the factoring arrangement would otherwise fall within the definition of a 'derivative'.</i></p>	<p>MR 17-318</p> <p>LI 17/795</p> <p>SLI 17/796</p>
ASIC Corporations (Mortgage Offset Accounts) Instrument 2017/795	<p><i>Issued 12/9/2017</i></p> <p><i>Registered 18/9/2017: F2017L01199</i></p> <p><i>Effective 19/9/2017 (same as 2017/796)</i></p>	<p><i>ASIC Corporations (Mortgage Offset Accounts) Instrument 2017/795 provides relief for persons providing certain financial services in relation to mortgage offset accounts.</i></p>	<p>MR 17-318</p> <p>LI 17/794</p> <p>SLI 17/796</p>

Title	Dates	Details	Media release and related documents
<p>ASIC Corporations (Repeal) Instrument 2017/796</p>	<p><i>Issued 12/9/2017</i></p> <p><i>Registered 18/9/2017: F2017L01200</i></p> <p><i>Gazetted 19/9/2017: ASIC Gazette A41/17</i></p> <p><i>Effective 19/9/2017 (later of gazettal or day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2017/796</i> repeals Class Orders:</p> <ul style="list-style-type: none"> <li>• [CO 03/1048] <i>Mortgage offset accounts</i>; and</li> <li>• [CO 04/239] <i>Factoring arrangements — licensing, hawking and disclosure relief</i>,</li> </ul> <p>which relate to factoring arrangements and mortgage offset accounts.</p>	<p>MR 17-318</p> <p>SLI 17/794</p> <p>LI 17/795</p>
<p>ASIC Corporations (Financial Requirements for CSF Intermediaries) Instrument 2017/339</p>	<p><i>Issued 19/9/2017</i></p> <p><i>Registered 20/9/2017: F2017L01215</i></p> <p><i>Effective 28/9/2017 (later of day after registration or date of commencement of Schedule 1 to the Corporations Amendment (Crowd-sourced Funding) Act 2017)</i></p>	<p><i>ASIC Corporations (Financial Requirements for CSF Intermediaries) Instrument 2017/339</i> modifies Part 7.6 of the Corporations Act to provide for financial resource requirements specific to Australian Financial Services (AFS) licensees providing a crowd-funding service.</p>	<p><b>Released 21/9/2017</b></p> <p>MR 17-321</p> <p>(see also MR 17-312 released 12/9/2017)</p> <p>SLI 17/817</p> <p>SLI 17/821</p> <p>RG 261</p> <p>Attachment to RG 261: Template CSF offer document</p> <p>RG 262</p> <p>REP 544</p> <p>RG 166</p> <p>RG 148</p> <p><b>Soft release 29/9/2017</b></p> <p>RG 1</p> <p>RG 2</p> <p>RG 3</p> <p>PF 209</p>

Title	Dates	Details	Media release and related documents
<p>ASIC Corporations (Amendment) Instrument 2017/821</p>	<p><i>Issued 19/9/2017</i></p> <p><i>Registered 20/9/2017: F2017L01216</i></p> <p><i>Effective 28/9/2017 (later of day after registration or date of commencement of Schedule 1 to the Corporations Amendment (Crowd-sourced Funding) Act 2017)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2017/821</i> amends the following instruments to provide that retail clients for whom securities offered under a crowd-sourced funding offer are held through a platform or a nominee and custody service have equivalent rights and protections as if they had acquired the shares directly:</p> <ul style="list-style-type: none"> <li>• Class Order [CO 13/762] <i>Investor directed portfolio services provided through a registered managed investment scheme;</i></li> <li>• Class Order [CO 13/763] <i>Investor directed portfolio services; and</i></li> <li>• <i>ASIC Corporations (Nominee and Custody Services) Instrument 2016/1156.</i></li> </ul>	<p><b>Released 21/9/2017</b></p> <p>MR 17-321</p> <p>(see also MR 17-312 released 12/9/2017)</p> <p>LI 17/339</p> <p>SLI 17/817</p> <p>SLI 17/821</p> <p>RG 261</p> <p>Attachment to RG 261: Template CSF offer document</p> <p>RG 262</p> <p>REP 544</p> <p>RG 166</p> <p>RG 148</p> <p><b>Soft release 29/9/2017</b></p> <p>RG 1</p> <p>RG 2</p> <p>RG 3</p> <p>PF 209</p>
<p>ASIC Corporations and Credit (Repeal) Instrument 2017/791</p>	<p><i>Issued 19/9/2017</i></p> <p><i>Registered 22/9/2017: F2017L01245</i></p> <p><i>Gazetted 26/9/2017: ASIC Gazette A42/17</i></p> <p><i>Effective 26/9/2017 (later of day after registration or gazettal)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations and Credit (Repeal) Instrument 2017/791</i> repeals the following class orders/legislative instruments:</p> <ul style="list-style-type: none"> <li>• Class Order [CO 03/1063] <i>Licensing relief for financial counselling agencies;</i></li> <li>• Class Order [CO 11/926] <i>Credit licensing exemptions for NGOs (non-government organisations) providing credit assistance to consumers; and</i></li> <li>• <i>ASIC Credit (Financial Counselling Agencies) Instrument 2015/992.</i></li> </ul>	<p>MR 17-324</p> <p>LI 17/792</p> <p>LI 17/793</p> <p>RG 234</p> <p>INFO 112</p> <p>RG 203 (soft release 12/10/2017)</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Financial Counselling Agencies) Instrument 2017/792	<p><i>Issued 19/9/2017</i></p> <p><i>Registered 22/9/2017: F2017L01244</i></p> <p><i>Effective 26/9/2017 (same as LI 17/791)</i></p>	<p><i>ASIC Corporations (Financial Counselling Agencies) Instrument 2017/792 continues the relief given in Class Order [CO 03/1063] Licensing relief for financial counselling agencies.</i></p>	<p>MR 17-324</p> <p>SLI 17/791</p> <p>LI 17/793</p> <p>RG 234</p> <p>INFO 112</p> <p>RG 203 (soft release 12/10/2017)</p>
ASIC Credit (Financial Counselling Agencies) Instrument 2017/793	<p><i>Issued 19/9/2017</i></p> <p><i>Registered 22/9/2017: F2017L01243</i></p> <p><i>Effective 26/9/2017 (same as LI 17/791)</i></p>	<p><i>ASIC Credit (Financial Counselling Agencies) Instrument 2017/793 continues the relief given in Class Order [CO 11/926] Credit licensing exemptions for NGOs (non-government organisations) providing credit assistance to consumers and ASIC Credit (Financial Counselling Agencies) Instrument 2015/992.</i></p>	<p>MR 17-324</p> <p>SLI 17/791</p> <p>LI 17/792</p> <p>RG 234</p> <p>INFO 112</p> <p>RG 203 (soft release 12/10/2017)</p>
ASIC Corporations (Amendment and Repeal) Instrument 2017/848	<p><i>Issued 21/9/2017</i></p> <p><i>Registered 26/9/2017: F2017L01250</i></p> <p><i>Gazetted 26/9/2017: ASIC Gazette A42/17</i></p> <p><i>Effective 27/9/2017 (later of day after registration or gazettal)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment and Repeal) Instrument 2017/848 repeals Class Order [CO 07/74] Wholesale equity schemes: licensing relief for trustees, which provides relief to trustees of wholesale equity schemes, and amends Class Orders:</i></p> <ul style="list-style-type: none"> <li>• [CO 13/760] <i>Financial requirements for responsible entities and operators of investor directed portfolio services; and</i></li> <li>• [CO 13/761] <i>Financial requirements for custodial or depository service providers,</i></li> </ul> <p>to align the new relief with the financial requirements in those class orders.</p>	<p>MR 17-330</p> <p>LI 17/849</p> <p>REP 545</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Wholesale Equity Scheme Trustees) Instrument 2017/849	<p><i>Issued 21/9/2017</i></p> <p><i>Registered 26/9/2017: F2017L01272</i></p> <p><i>Effective 27/9/2017 (same as LI 17/848)</i></p>	<p><i>ASIC Corporations (Wholesale Equity Scheme Trustees) Instrument 2017/849</i> remakes relief under Class Order [CO 07/74] <i>Wholesale equity schemes: licensing relief for trustees</i> for trustees of wholesale equity schemes from the requirement to hold an Australian financial services licence, subject to certain conditions.</p>	<p>MR 17-330</p> <p>SLI 17/848</p> <p>REP 545</p>
ASIC (Amendment, Repeal and Transitional) Instrument 2017/839	<p><i>Issued 22/9/2017</i></p> <p><i>Registered 26/9/2017: F2017L01269</i></p> <p><i>Effective 27/9/2017 (day after registration)</i></p>	<p><i>ASIC (Amendment, Repeal and Transitional) Instrument 2017/839</i> repeals Class Orders:</p> <ul style="list-style-type: none"> <li>• [CO 03/1110] <i>Prime brokerage services: relief from obligation to hold client property on trust,</i></li> <li>• [CO 03/1111] <i>Prime brokerage services: relief from obligation to hold scheme property separately, and</i></li> <li>• [CO 03/1112] <i>Relief from obligation to hold client money on trust,</i></li> </ul> <p>provides transitional relief for [CO 03/1110] and [CO 03/1112], and amends Class Orders:</p> <ul style="list-style-type: none"> <li>• [CO 13/1409] <i>Holding assets: Standards for responsible entities; and</i></li> <li>• [CO 13/1410] <i>Holding assets: Standards for providers of custodial and depository services,</i></li> </ul> <p>all relating to prime brokers and the holding of client monies and property.</p>	<p>MR 17-328</p>
ASIC Corporations (Mortgage Investment Schemes) Instrument 2017/857	<p><i>Issued 22/9/2017</i></p> <p><i>Registered 26/9/2017: F2017L01254</i></p> <p><i>Effective 27/9/2017 (same as 2017/858)</i></p>	<p><i>ASIC Corporations (Mortgage Investment Schemes) Instrument 2017/857</i> remakes with changes the relief provided by Class Order [CO 02/238] <i>Mortgage schemes — Chapter 5C and disclosure relief</i> in relation to certain mortgage investment schemes.</p>	<p>MR 17-332</p> <p>SLI 17/858</p>



Title	Dates	Details	Media release and related documents
<p>ASIC Corporations (Repeal) Instrument 2017/858</p>	<p><i>Issued 22/9/2017</i></p> <p><i>Registered 26/9/2017: F2017L01253</i></p> <p><i>Gazetted 26/9/2017: ASIC Gazette A42/17</i></p> <p><i>Effective 27/9/2017 (later of day after registration or gazettal)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2017/858 repeals Class Order [CO 02/238] Mortgage schemes — Chapter 5C and disclosure relief.</i></p>	<p>MR 17-332</p> <p>LI 17/857</p>
<p>ASIC Corporations (Amendment) Instrument 2017/861</p>	<p><i>Issued 27/9/2017</i></p> <p><i>Registered 28/9/2017: F2017L01294</i></p> <p><i>Effective 29/9/2017 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2017/861 amends the ASIC Corporations (Derivative Transaction Reporting Exemption) Instrument 2015/844 to extend the Identifier Reporting relief under the Exemption instrument until 31 March 2018 to address ongoing implementation issues.</i></p>	<p>No MR</p>
<p>ASIC Corporations (Amendment) Instrument 2017/571</p>	<p><i>Issued 6/11/2017</i></p> <p><i>Registered 9/11/2017: F2017L01458</i></p> <p><i>Effective 10/11/2017 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2017/571 amends ASIC Corporations (Division 4 Financial Products) Instrument 2015/1030 to apply the provisions that regulate and facilitate transfers of products through ASX Settlement Pty Ltd to transferable custody receipts. This amending instrument also removes the application to transferrable custody receipts of certain subregulations that deal with circumstances under which transferable custody receipts would be taken to have ceased quotation on a financial market.</i></p>	<p>No MR</p>
<p>ASIC Corporations (8 Daphne Street Botany Ltd–Real Estate Company) Instrument 2017/1063</p>	<p><i>Issued 27/11/2017</i></p> <p><i>Registered 29/11/2017: F2017L01549</i></p> <p><i>Effective 30/11/2017 (day after registration)</i></p>	<p><i>ASIC Corporations (8 Daphne Street Botany Ltd–Real Estate Company) Instrument 2017/1063 provides relief from the requirement to provide a disclosure document and hold a financial services licence in relation to an offer of shares in a real estate company.</i></p>	<p>No MR</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2017/1049	<p><i>Issued 1/12/2017</i></p> <p><i>Registered 5/12/2017: F2017L01582</i></p> <p><i>Effective 6/12/2017 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2017/1049</i> amends Class Order [CO 14/1000] <i>Employee incentive schemes: Listed bodies</i> to add disclosure, licensing and advertising relief for trustees and financial advisers in connection with an employee incentive scheme that has certain individual relief.</p>	No MR
ASIC Corporations (Amendment) Instrument 2017/1119	<p><i>Issued 19/12/2017</i></p> <p><i>Registered 21/12/2017: F2017L01696</i></p> <p><i>Effective 22/12/2017 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2017/1119</i> amends the following ASIC instruments to fix typographical and drafting errors:</p> <ul style="list-style-type: none"> <li>• <i>ASIC Corporations (Securities: NZ FASTER System) Instrument 2016/891;</i></li> <li>• <i>ASIC Corporations (Nominee and Custody Services) Instrument 2016/1156;</i> and</li> <li>• <i>ASIC Corporations (Definition of Approved Foreign Market) Instrument 2017/669.</i></li> </ul>	No MR
ASIC Corporations (Amendment) Instrument 2017/1138	<p><i>Issued 21/12/2017</i></p> <p><i>Registered 22/12/2017: F2017L01714</i></p> <p><i>Effective 23/12/2017 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</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 2017/1138</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>	No MR

## Consultation papers

Title	Release Date	Details	Media release and related documents
CP 291 Reporting rules: Derivative retail client money	11/7/2017	<p>This consultation paper sets out ASIC's proposals to make <i>ASIC Client Money Reporting Rules 2017</i> under s981J of the <i>Corporations Act 2001</i>.</p> <p>We are seeking feedback from our stakeholders on our proposals to make new rules that will impose record-keeping, reconciliation and reporting requirements on Australian financial services (AFS) licensees that hold derivative retail client money that is 'reportable client money'.</p> <p>Note: The draft rules are available on our website at <a href="http://www.asic.gov.au/cp">http://www.asic.gov.au/cp</a> under CP 291.</p>	MR 17-231 Attachment to CP 291 (Draft rules)
CP 292 Implementing the financial benchmark regulatory regime	17/7/2017	This consultation paper seeks feedback on draft rules proposed to apply to the administration of licensed financial benchmarks and proposed regulatory guidance on how we would administer the financial benchmark administrator licensing regime.	MR 17-237 Attachments 1-3 to CP 293 (Draft administration rules, draft regulatory guide & draft compelled rules)
CP 293 Revising the market licence regime for domestic and overseas operators	20/7/2017	This consultation paper seeks industry feedback on our proposals to implement a tiered market licence regime under amendments introduced through recent legislative reform.	MR 17-242 Attachment to CP 293 (Draft regulatory guide)
CP 294 The sale of add-on insurance and warranties through caryard intermediaries	24/8/2017	This paper seeks feedback from insurers, credit providers, car dealers, insurance and finance brokers, consumers, consumer representatives and other interested parties on options for reform to the sale of add-on insurance and warranties through caryard intermediaries.	MR 17-280

Title	Release Date	Details	Media release and related documents
CP 295 National Financial Literacy Strategy Consultation 2017	16/10/2017	<p>The <i>National Financial Literacy Strategy</i> (National Strategy) provides a framework to guide financial literacy initiatives. The <i>National Financial Literacy Strategy 2014–17</i>, led by ASIC, was released in 2014.</p> <p>ASIC is now leading a consultation process, to refine and update the National Strategy for 2018. This is an opportunity to further strengthen partnerships and collaborative efforts, and broaden stakeholder reach and engagement with the National Strategy.</p> <p>This consultation seeks views from all interested stakeholders to ensure the 2018 National Strategy effectively promotes relevant policy and program initiatives, and supports positive outcomes for individuals and communities.</p>	MR 17-348
CP 296 Funds management	26/10/2017	<p>This consultation paper seeks feedback on our proposed guidance in relation to managed investment schemes, corporate collective investment vehicles (CCIVs) and passport funds.</p> <p>This paper attaches the following draft guides:</p> <ul style="list-style-type: none"> <li>• draft Regulatory Guide 000 <i>Funds management: Establishing and registering a fund</i>;</li> <li>• draft updated Regulatory Guide 134 <i>Funds management: Constitutions</i>;</li> <li>• draft updated Regulatory Guide 132 <i>Funds management: Compliance and oversight</i>;</li> <li>• draft updated Regulatory Guide 133 <i>Funds management and custodial services: Holding assets</i>;</li> <li>• draft updated Regulatory Guide 136 <i>Funds management: Discretionary powers</i>; and</li> <li>• draft Regulatory Guide 000 <i>Foreign passport funds</i>.</li> </ul> <p>Note: This paper is based on the exposure drafts of the Treasury Laws Amendment (Corporate Collective Investment Vehicle) Bill 2017 and Corporations Amendment (Asia Region Funds Passport) Bill 2017, released 25 August 2017.</p>	MR 17-358 Attachments 1—6 to CP 296 (Draft regulatory guides)

Title	Release Date	Details	Media release and related documents
CP 297 Retaining ASIC's fintech licensing exemption	12/12/2017	<p>This consultation paper seeks feedback on our financial technology (fintech) licensing exemption, introduced through our Innovation Hub in December 2016.</p> <p>We are seeking feedback from fintech businesses, financial services providers, consumers and consumer representatives, and other interested parties.</p>	MR 17-429

## Reports

Title	Release Date	Details	Media release and related documents
REP 535 ASIC cost recovery arrangements: 2017–18	12/7/2017	<p>This report updates industry on the changes to ASIC's cost recovery arrangements since the Australian Government released its proposals paper <i>Proposed industry funding model for the Australian Securities and Investments Commission</i> in November 2016.</p>	MR 17-235
REP 537 Building Seniors' Financial Capability	17/8/2017	<p>ASIC's <i>Building Seniors' Financial Capability</i> report summarises the key findings from a number of research studies on Australian seniors conducted by market research agencies during 2016-17 on ASIC's behalf.</p> <p>The report reflects the diversity of the ageing Australian population and the importance of developing a range of responses to effectively address the complexity of financial decisions in and around retirement.</p>	No MR: See <a href="#">Moneysmart</a>
REP 536 ASIC enforcement outcomes: January to June 2017	22/8/2017	<p>This report outlines the enforcement results achieved by ASIC during the period from 1 January to 30 June 2017 (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.</p>	MR 17-274
REP 538 Assessment of National Stock Exchange of Australia Limited's listing standards	28/8/2017	<p>This report presents the findings of our assessment of National Stock Exchange of Australia Limited's listing standards under s794C of the <i>Corporations Act 2001</i>, for the period 1 July 2013 to 8 August 2016.</p>	MR 17-283

Title	Release Date	Details	Media release and related documents
REP 539 ASIC regulation of corporate finance: January to June 2017	28/8/2017	<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 2017.</p>	MR 17-284
REP 540 Investors in initial public offerings	31/8/2017	<p>This report contains our analysis of the findings from:</p> <ul style="list-style-type: none"> <li>• our inquiries with institutional investors about their approach to investing in an initial public offering (IPO), and with lead managers about the IPO process; and</li> <li>• qualitative research on the factors and information that retail investors rely on when investing in an IPO. This market research was conducted by Whereto Research, whose full report is attached to this document.</li> </ul> <p>This report explains how we will use the findings from this project to enhance our regulation of IPOs. It explains how companies, their advisers and other market participants can help investors in IPOs.</p>	MR 17-287 <i>Attachment to REP 540 (Investors in initial public offerings: Factors that influence retail investors in IPOs)</i>
REP 542 Market integrity report: January to June 2017	11/9/2017	<p>Report 542 <i>Market integrity report: January to June 2017</i> (REP 542) covers ASIC's work to help ensure Australia's financial markets operate fairly and efficiently.</p> <p>The report looks at ASIC's focus on cyber resilience, sell-side research and listing standards. It also looks at some of ASIC's key activities over the last six months in areas such as insider trading and the management of spot foreign exchange businesses.</p>	MR 17-305
REP 543 Response to feedback on REP 523 ASIC's Innovation Hub and our approach to regulatory technology	15/9/2016	<p>This report highlights the feedback received on Report 523 <i>ASIC's Innovation Hub and our approach to regulatory technology</i> (REP 523) and details our response to the feedback received.</p>	MR 17-315

Title	Release Date	Details	Media release and related documents
REP 544 Response to submissions on CP 288 and CP 289 on crowd-sourced funding	21/9/2017	This report highlights the key issues that arose out of the submissions received on Consultation Paper 288 <i>Crowd-sourced funding: Guide for public companies</i> (CP 288) and Consultation Paper 289 <i>Crowd-sourced funding: Guide for intermediaries</i> (CP 289). This paper details our responses to those issues.	<p><b>Released 21/9/2017</b></p> <p>MR 17-321 (see also MR 17-312 released 12/9/2017)</p> <p>LI 17/339</p> <p>SLI 17/817</p> <p>SLI 17/821</p> <p>RG 261</p> <p>Attachment to RG 261: Template CSF offer document</p> <p>RG 262</p> <p>RG 148</p> <p>RG 166</p> <p><b>Soft release 29/9/2017</b></p> <p>RG 1</p> <p>RG 2</p> <p>RG 3</p> <p>PF 209</p>
REP 541 Australian Financial Attitudes and Behaviour Tracker Wave 5: March 2017	28/9/2017	The <i>Australian Financial Attitudes and Behaviour Tracker</i> provides a snapshot at regular intervals of some key financial attitudes and behaviours of adult Australians.	No MR: See <a href="#">Moneysmart</a>
REP 545 Response to submissions on CP 280 ASIC class order on wholesale equity schemes	29/9/2017	This report highlights the key issues that arose out of the submissions received on Consultation Paper 280 <i>ASIC class order on wholesale equity schemes: Licensing relief for trustees—[CO 07/74]</i> (CP 280) and details our responses to those issues.	<p>MR 17-330</p> <p>SLI 17/848</p> <p>LI 17/849</p>

Title	Release Date	Details	Media release and related documents
REP 546 Response to submissions on CP 291 Reporting rules: Derivative retail client money	10/10/2017	This report highlights the key issues that arose out of the submissions received on Consultation Paper 291 <i>Reporting rules: Derivative retail client money</i> (CP 291) and details our responses to those issues.	MR 17-338 <i>ASIC Client Money Reporting Rules 2017</i> INFO 226
REP 548 Response to submissions on amendments to ASIC's Regulator Performance Framework evidence metrics	20/10/2017	This report highlights the key issues that arose out of the submissions received on proposed minor changes to <i>Regulator Performance Framework: ASIC evidence metrics</i> and details our responses to those issues.	MR 17-353 <a href="#">Regulator performance framework: ASIC evidence metrics (Oct 2017)</a>
REP 550 ASIC's work for older Australians	9/11/2017	This report outlines what we see as the major issues for older Australians and how we are addressing them.	TBC
REP 551 Response to submissions on CP 281 Financial Services Panel	16/11/2017	This report highlights the key issues that arose out of the submissions received on Consultation Paper 281 <i>Financial Services Panel</i> (CP 281) and details our responses to those issues.	MR 17-388 (MR 17-381 – released 10/11/2017) RG 263
REP 547 Response to submissions on CP 277 Proposals to consolidate the ASIC market integrity rules	17/11/2017	This report highlights the key issues that arose out of the submissions received on Consultation Paper 277 <i>Proposals to consolidate the ASIC market integrity rules</i> (CP 277) and details our responses to those issues.	MR 17-392
REP 552 Response to submissions on CP 273 Repealing ASIC class orders on holding client assets	20/11/2017	This report highlights the key issues that arose out of the submissions received on Consultation Paper 273 <i>Repealing ASIC class orders on holding client assets</i> (CP 273) and details our responses to those issues.	Editor's note to MR 17-328



Title	Release Date	Details	Media release and related documents
REP 553 Overview of licensing and professional registration applications: July 2016 to June 2017	30/11/2017	<p>This report outlines ASIC's decisions on applications for the period from 1 July 2016 to 30 June 2017 (relevant period) for:</p> <ul style="list-style-type: none"> <li>• new Australian financial services (AFS) licences and licence variations;</li> <li>• new Australian credit licences (credit licences) and licence variations;</li> <li>• the registration of liquidators, official liquidators, company auditors and approved self-managed superannuation fund (SMSF) auditors; and</li> <li>• financial markets, clearing and settlement (CS) facilities, and derivative trade repositories (trade repositories).</li> </ul>	MR 17-412
REP 555 Cyber resilience of firms in Australia's financial markets	30/11/2017	<p>This report provides a snapshot of the cyber resilience of firms operating in Australia's financial markets. It identifies key trends from self-assessment surveys completed by financial markets firms, and highlights existing good practices and areas for improvement.</p>	MR 17-413
REP 554 Independent evaluation of ASIC's MoneySmart Teaching Program	4/12/2017	<p>This report contains:</p> <ul style="list-style-type: none"> <li>• ASIC's response to the independent evaluation of ASIC's <i>MoneySmart Teaching Program</i>; and</li> <li>• EY Sweeney's final report <i>Independent evaluation of ASIC's MoneySmart Teaching Program</i> (Volume 1).</li> </ul>	MR 17-426 <a href="#">Case studies</a>

Title	Release Date	Details	Media release and related documents
REP 556 Overview of decisions on relief applications (April to September 2017)	6/12/2017	<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 to 30 September 2017. 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 to 30 September 2017 that may be relevant to prospective applicants for relief, including legislative instruments, consultation papers, regulatory guides and reports.</p>	MR 17-419
REP 557 Response to submissions on CP 284 Example Statement of Advice for life insurance: Update to RG 90	7/12/2017	This report highlights the key issues that arose out of the submissions received on Consultation Paper 284 <i>Example Statement of Advice for life insurance: Update to RG 90</i> (CP 284) and details our responses to those issues.	MR 17-422 RG 90
REP 558 Insolvency statistics: External administrators' reports (July 2016 to June 2017)	12/12/2017	<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 2016 to 30 June 2017, 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 17-428

Title	Release Date	Details	Media release and related documents
REP 559 Survey of marketplace lending providers: 2016–17	14/12/2017	<p>This report provides an overview of marketplace lending involving the provision of financial products or services, based on the findings from ASIC’s survey of a limited cross-section of marketplace lending providers for the 2016–17 financial year. This is our second survey on this segment of the marketplace lending industry, following Report 526 <i>Survey of marketplace lending providers</i> (REP 526).</p> <p>This report explains:</p> <ul style="list-style-type: none"> <li>• how we conducted the survey;</li> <li>• findings from the survey; and</li> <li>• our next steps.</li> </ul>	MR 17-435
REP 560 Response to submissions on CP 290 Sell-side research	21/12/2017	<p>This report highlights the key issues that arose out of the submissions received on Consultation Paper 290 <i>Sell-side research</i> (CP 290) and details our responses to those issues.</p>	MR 17-455 RG 264

## Rules

Title	Dates	Details	Media release and related documents
ASIC Client Money Reporting Rules 2017	<p><i>Issued 9/10/2017</i></p> <p><i>Registered 9/10/2017: F2017L01333</i></p> <p><i>Effective 4/4/2018 (later of day after registration or the day Schedule 5 to the Treasury Laws Amendment (2016 Measures No. 1) Act 2017 commences)</i></p>	<p><i>ASIC Client Money Reporting Rules 2017</i> impose record-keeping, reconciliation and reporting requirements on Australian financial services licensees in relation to their use of derivative retail client money</p>	<p>MR 17-338</p> <p>INFO 226</p> <p>REP 546</p>
ASIC Market Integrity Rules (Chi-X Australia Market) Amendment 2017 (No.1)	<p><i>Issued 10/11/2017</i></p> <p><i>Registered 13/11/2017: F2017L01461</i></p> <p><i>Effective 14/11/2018 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Market Integrity Rules (Chi-X Australia Market) Amendment 2017 (No. 1)</i> amends the <i>ASIC Market Integrity Rules (Chi-X Australia Market) 2011</i> to facilitate a proposal by Chi-X Australia Pty Ltd (Chi-X Australia) to admit a new class of financial product to quotation on the Chi-X Market under the Chi-X Operating Rules—Transferable Custody Receipts (TraCRs).</p>	<p>No MR</p>
ASIC Market Integrity Rules (Competition in Exchange Markets) Amendment 2017 (No. 1)	<p><i>Issued 10/11/2017</i></p> <p><i>Registered 14/11/2017: F2017L01461</i></p> <p><i>Effective 15/11/2018 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Market Integrity Rules (Competition in Exchange Markets) Amendment 2017 (No. 1)</i> amends the <i>ASIC Market Integrity Rules (Competition in Exchange Markets) Amendment 2017 (No. 1)</i> to facilitate a proposal by Chi-X Australia Pty Ltd (Chi-X Australia) to admit a new class of financial product to quotation on the Chi-X Market under the Chi-X Operating Rules—Transferable Custody Receipts (TraCRs)</p>	<p>No MR</p>

Title	Dates	Details	Media release and related documents
<p>ASIC Market Integrity Rules (Securities Markets) 2017</p>	<p><i>Issued 14/11/2017</i></p> <p><i>Registered 16/11/2017: F2017L01474</i></p> <p><i>Effective</i></p> <p><i>- each provision of this instrument other than Rule 1.1.3A: 4/12/2017</i></p> <p><i>- Rule 1.1.3A: 7/5/2018</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) 2017</i> sets out market integrity rules that apply in relation to the licensed markets operated by ASX Limited (ACN 008 624 691), Chi-X Australia Pty Ltd (ACN 129 584 667), IR Plus Securities Exchange Limited (ACN 087 708 898), National Stock Exchange of Australia Limited (ACN 000 902 063) and Sydney Stock Exchange Limited (ACN 080 399 220).</p> <p>This instrument repeals and supersedes the following market integrity rules from 7 May 2018:</p> <ul style="list-style-type: none"> <li>• <i>ASIC Market Integrity Rules (APX Market) 2013;</i></li> <li>• <i>ASIC Market Integrity Rules (ASX Market) 2010;</i></li> <li>• <i>ASIC Market Integrity Rules (Chi-X Australia Market) 2011;</i></li> <li>• <i>ASIC Market Integrity Rules (Competition in Exchange Markets) 2011;</i> and</li> <li>• <i>ASIC Market Integrity Rules (SIM VSE Market) 2010.</i></li> </ul>	<p>MR 17-392</p> <p>MIR 17/1033</p> <p>MIR 17/1034</p> <p>MIR 17/1035</p> <p>REP 547</p>
<p>ASIC Market Integrity Rules (Futures Markets) 2017</p>	<p><i>Issued 14/11/2017</i></p> <p><i>Registered 16/11/2017: F2017L01475</i></p> <p><i>Effective 7/5/2018 (later of day after registration or 7/5/2018)</i></p>	<p><i>ASIC Market Integrity Rules (Futures Markets) 2017</i> sets out market integrity rules that apply in relation to the licensed markets operated by Australian Securities Exchange Limited (ACN 000 943 377) and FEX Global Pty Ltd (ACN 124 127 224).</p> <p>This instrument repeals and supersedes the following market integrity rules from 7 May 2017:</p> <ul style="list-style-type: none"> <li>• <i>ASIC Market Integrity Rules (ASX 24 Market) 2010;</i> and</li> <li>• <i>ASIC Market Integrity Rules (FEX Market) 2013.</i></li> </ul>	<p>MR 17-392</p> <p>MIR 17/1032</p> <p>MIR 17/1034</p> <p>MIR 17/1035</p> <p>REP 547</p>

Title	Dates	Details	Media release and related documents
<p>ASIC Market Integrity Rules (Securities Markets – Capital) 2017</p>	<p><i>Issued 14/11/2017</i>  <i>Registered 16/11/2017: F2017L01476</i>  <i>Effective</i>  <i>- each provision of this instrument other than Rule 1.1.3A: 4/12/2017</i>  <i>- Rule 1.1.3A: 7/5/2018</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets – Capital) 2017</i> sets out capital requirements in market integrity rules that apply to participants in the licensed markets operated by ASX Limited (ACN 008 624 691), Chi-X Australia Pty Ltd (ACN 129 584 667), IR Plus Securities Exchange Limited (ACN 087 708 898), National Stock Exchange of Australia Limited (ACN 000 902 063) and Sydney Stock Exchange Limited (ACN 080 399 220).</p> <p>This instrument repeals and supersedes the following market integrity rules from 7 May 2017:</p> <ul style="list-style-type: none"> <li>• <i>ASIC Market Integrity Rules (APX Market-Capital) 2014;</i></li> <li>• <i>ASIC Market Integrity Rules (ASX Market-Capital) 2014;</i> and</li> <li>• <i>ASIC Market Integrity Rules (Chi-X Australia Market-Capital) 2014.</i></li> </ul>	<p>MR 17-392  MIR 17/1032  MIR 17/1033  MIR 17/1035  REP 547</p>
<p>ASIC Market Integrity Rules (Futures Markets – Capital) 2017</p>	<p><i>Issued 14/11/2017</i>  <i>Registered 16/11/2017: F2017L01478</i>  <i>Effective 7/5/2018 (later of day after registration or 7/5/2018)</i></p>	<p><i>ASIC Market Integrity Rules (Futures Markets – Capital) 2017</i> sets out capital requirements in market integrity rules that apply to participants in the licensed markets operated by Australian Securities Exchange Limited (ACN 000 943 377) and FEX Global Pty Ltd (ACN 124 127 224).</p> <p>This instrument repeals and supersedes the following market integrity rules from 7 May 2017:</p> <ul style="list-style-type: none"> <li>• <i>ASIC Market Integrity Rules (ASX 24 Market-Capital) 2014;</i> and</li> <li>• <i>ASIC Market Integrity Rules (FEX Market-Capital) 2014.</i></li> </ul>	<p>MR 17-392  MIR 17/1032  MIR 17/1033  MIR 17/1034  REP 547</p>

## Class rule waivers

Title	Dates	Details	Media release and related documents
ASIC Class Rule Waiver [CW 17/0583]	<i>Issued 7/7/2017</i> <i>Registered 10/7/2017: F2017L00900</i> <i>Effective 10/7/2017 (day of registration)</i>	ASIC Class Rule Waiver [CW 17/0583] provides relief to market participants from the requirement to comply with Rules 2.3.3, 2.3.4 and 2.3.5 of the <i>ASIC Market Integrity Rules (ASX Market) 2010</i> .	No MR CW 17/0584 CW 17/0586
ASIC Class Rule Waiver [CW 17/0584]	<i>Issued 7/7/2017</i> <i>Registered 10/7/2017: F2017L00903</i> <i>Effective 10/7/2017 (day of registration)</i>	ASIC Class Rule Waiver [CW 17/0584] provides relief to market participants from the requirement to comply with Rules 2.3.3, 2.3.4 and 2.3.5 of the <i>ASIC Market Integrity Rules (Chi-X Australia Market) 2011</i> .	No MR CW 17/0583 CW 17/0586
ASIC Class Rule Waiver [CW 17/0586]	<i>Issued 7/7/2017</i> <i>Registered 10/7/2017: F2017L00902</i> <i>Effective 10/7/2017 (day of registration)</i>	ASIC Class Rule Waiver [CW 17/0586] provides relief to market participants from the requirement to comply with Rules 2.3.3, 2.3.4 and 2.3.5 of the <i>ASIC Market Integrity Rules (APX Market) 2013</i> .	No MR CW 17/0583 CW 17/0584
ASIC Class Rule Waiver [CW 17/740]	<i>Issued 3/10/2017</i> <i>Registered 4/10/2017: F2017L01320</i> <i>Effective 5/10/2017 (day after registration)</i>	ASIC Class Rule Waiver [CW 17/740] provides relief from Rules 7.2.2(4), 7.2.5, 7.2.6 and 7.2.8 of the <i>ASIC Market Integrity Rules (ASX 24 Market) 2010</i> , to the extent that those rules apply the definition of 'Approved Securities' set out in Rule 7.1.1. The instrument introduces a new term 'Approved Collateral' which refers to securities, collateral and other property accepted by ASX Clear (Futures).	No MR

## Determinations

Title	Dates	Details	Media release and related documents
No determinations issued in July–Dec 2017			

## Information sheets

Title	Status	Release Date	Comments	Media release and related documents
INFO 39 Insolvency information for directors, employees, creditors and shareholders	Reissued	1/9/2017	Updated to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293
INFO 41 Insolvency - A glossary of terms	Reissued	1/9/2017	Updated to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293
INFO 42 Insolvency - A guide for directors	Reissued	1/9/2017	Updated to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293
INFO 43 Insolvency - A guide for shareholders	Reissued	1/9/2017	Updated to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293
INFO 45 Liquidation - A guide for creditors	Reissued	1/9/2017	Updated to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293
INFO 46 Liquidation - A guide for employees	Reissued	1/9/2017	Updated to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293
INFO 53 Providing assistance to external administrators	Reissued	1/9/2017	Updated to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293
INFO 54 Receivership - A guide for creditors	Reissued	1/9/2017	Updated to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293
INFO 55 Receivership - A guide for employees	Reissued	1/9/2017	Updated to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293



<b>Title</b>	<b>Status</b>	<b>Release Date</b>	<b>Comments</b>	<b>Media release and related documents</b>
INFO 74 Voluntary administration - A guide for creditors	Reissued	1/9/2017	Updated to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293
INFO 75 Voluntary administration - A guide for employees	Reissued	1/9/2017	Updated to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293
INFO 78 Winding up a solvent company	Reissued	1/9/2017	Updated to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293
INFO 80 How to interpret ASIC insolvency statistics	Reissued	1/9/2017	Updated to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293
INFO 84 Independence of external administrators	Reissued	1/9/2017	Updated to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293
INFO 85 Approving fees - A guide for creditors	Reissued	1/9/2017	Updated to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293
INFO 152 Public comment on ASIC	Reissued	1/9/2017	Updated to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293
INFO 160 Disputes about employee entitlements	Reissued	1/9/2017	Updated to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293
SINFO 163 Financial reporting compliance	Withdrawn	1/9/2017	Withdrawn to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293
INFO 212 Illegal phoenix activity	Reissued	1/9/2017	Updated to account for the start, from 1 September 2017, of the second and final tranche of reforms introduced by the <i>Insolvency Law Reform Act 2016</i> .	MR 17-293

Title	Status	Release Date	Comments	Media release and related documents
INFO 112 Guidance for financial counsellors	Reissued	27/9/2017	Legislative instrument names have been updated to reflect remade sunseting class orders.	MR 17-324 SLI 17/791 LI 17/792 LI 17/793 RG 234 RG 203 (soft release 12/10/2017)
INFO 225 Initial coin offerings	New	28/9/2017	This information sheet (INFO 225) gives guidance about the potential application of the <i>Corporations Act 2001</i> to businesses that are considering raising funds through an initial coin offering (ICO).	MR 17-325
INFO 226 Complying with the ASIC Client Money Reporting Rules 2017	New	10/10/2017	<p>Under the <i>ASIC Client Money Reporting Rules 2017</i> (client money reporting rules), licensees that hold 'reportable client money' are required to comply with a number of record-keeping, reconciliation and reporting requirements. 'Reportable client money' is derivative retail client money other than client money held in relation to derivatives traded on domestic exchanges.</p> <p>This information sheet (INFO 226) answers the following questions:</p> <ul style="list-style-type: none"> <li>• What information should you include in your reportable client money records?</li> <li>• What information should you include in your reconciliations?</li> <li>• How do you comply with the other reconciliation requirements?</li> <li>• What information should you include in your reports to ASIC?</li> <li>• Can you rely on the exemption for licensees subject to market integrity rules?</li> </ul>	MR 17-338 <i>ASIC Client Money Reporting Rules 2017</i> REP 546

Title	Status	Release Date	Comments	Media release and related documents
INFO 195 ePayments Code-Reporting data on unauthorised transactions	Reissued	9/10/2017	Technical amendments to the compliance reporting information to account for changes to the template for ePayments Code Compliance Reporting for 2017.	No MR
INFO 227 What can limited AFS licensees do?	New	22/11/2017	This information sheet (INFO 227) explains all the activities that limited Australian financial services (AFS) licensees can be authorised to carry out. However, some limited AFS licensees may only be authorised to carry out a subset of these activities. The scope of your limited AFS licence is made up of the financial services, financial products and the type of client covered by your limited AFS licence.	MR 17-399 INFO 228 INFO 229 <a href="#">Quick Guide</a> on the ASIC website
INFO 228 Limited AFS licensees: Advice conduct and disclosure obligations	New	22/11/2017	This information sheet (INFO 228) sets out the conduct and disclosure obligations that apply to a limited AFS licensee and, in some cases, a representative of a limited AFS licensee when providing advice to retail clients.	MR 17-399 INFO 227 INFO 229 <a href="#">Quick Guide</a> on the ASIC website
INFO 229 Limited AFS licensees: Complying with your licensing obligations	New	22/11/2017	As a limited Australian financial services (AFS) licensee, you must comply with a number of ongoing licensing obligations. This information sheet (INFO 229) sets out the licensing obligations that apply to a limited AFS licensee.	MR 17-399 INFO 227 INFO 228 <a href="#">Quick Guide</a> on the ASIC website
INFO 230 Exchange traded products: Admission guidelines	New	21/12/2017	This information sheet (INFO 230) sets clear and consistent standards for all licensed exchanges seeking to admit exchange traded products (ETPs)— including managed funds, exchange traded funds (ETFs) and structured products—to their market.	MR 17-453