

Australian Securities and Investments Commission – Table of regulatory documents

Documents released during Jan–June 2018

New regulatory guides

Title	Release Date	Details	Media release and related documents
RG 265 Guidance on ASIC market integrity rules for participants of securities markets	4/5/2018	<p>This guide is for market participants subject to the <i>ASIC Market Integrity Rules (Securities Markets) 2017</i> and <i>ASIC Market Integrity Rules (Securities Markets – Capital) 2017</i>.</p> <p>It gives guidance on how market participants can comply with their obligations under these rules. This replaces the following regulatory guides which have been withdrawn:</p> <ul style="list-style-type: none"> • Regulatory Guide 214 <i>Guidance on ASIC market integrity rules for ASX and ASX 24 markets</i> (RG 214), • Regulatory Guide 215 <i>Guidance on ASIC market integrity rules for IMB, NSXA and SIM VSE markets</i> (RG 215), • Regulatory Guide 223 <i>Guidance on ASIC market integrity rules for competition in exchange markets</i> (RG 223), • Regulatory Guide 224 <i>Guidance on ASIC market integrity rules for Chi-X and APX markets</i> (RG 224), • Regulatory Guide 226 <i>Guidance on ASIC market integrity rules for capital and related requirements: ASX, ASX 24, Chi X and APX markets</i> (RG 226), • Regulatory Guide 238 <i>Suspicious activity reporting</i> (RG 238). 	<p>(MR 17-392: issued 17/11/2017)</p> <p>MR 18-130</p> <p>RG 266</p> <p>RG 172</p> <p>RG 241</p> <p>REP 572</p> <p>Withdrawn regulatory guides</p> <p>SRG 214, SRG 223, SRG 224, SRG 226, SRG 238</p>

<p>RG 266 Guidance on ASIC market integrity rules for participants of futures markets</p>	<p>4/5/2018</p>	<p>This guide is for market participants subject to the <i>ASIC Market Integrity Rules (Futures Markets) 2017</i> and <i>ASIC Market Integrity Rules (Futures Markets – Capital) 2017</i>.</p> <p>It gives guidance on how market participants can comply with their obligations under these rules. This replaces the following regulatory guides which have been withdrawn:</p> <ul style="list-style-type: none"> • Regulatory Guide 214 <i>Guidance on ASIC market integrity rules for ASX and ASX 24 markets</i> (RG 214), • Regulatory Guide 223 <i>Guidance on ASIC market integrity rules for competition in exchange markets</i> (RG 223), • Regulatory Guide 226 <i>Guidance on ASIC market integrity rules for capital and related requirements: ASX, ASX 24, Chi X and APX markets</i> (RG 226), • Regulatory Guide 238 <i>Suspicious activity reporting</i> (RG 238) • Regulatory Guide 250 <i>Guidance on ASIC market integrity rules for risk management and other requirements: ASX 24 market</i> (SRG 250). 	<p>(MR 17-392: issued 17/11/2017)</p> <p>MR 18-130</p> <p>RG 265</p> <p>RG 172</p> <p>RG 241</p> <p>REP 572</p> <p>Withdrawn regulatory guides</p> <p>SRG 214, SRG 223, SRG 226, SRG 250</p>
<p>RG 268 Licensing regime for financial benchmark administrators</p>	<p>12/6/2018</p>	<p>This guide is for entities subject to the <i>ASIC Financial Benchmark (Administration) Rules 2018</i> and the <i>ASIC Financial Benchmark (Compelled) Rules 2018</i>.</p> <p>It explains how we administer the financial benchmark licensing regime and how licensed financial benchmark administrators may comply with their obligations under the <i>ASIC Financial Benchmark (Administration) Rules 2018</i>. This guide also explains when we may use our compulsion powers in relation to significant benchmarks.</p>	<p>MR 18-171</p> <p>ASIC Financial Benchmark (Administration) Rules 2018</p> <p>ASIC Financial Benchmark (Compelled) Rules 2018</p> <p>LI 18/420</p>
<p>RG 267 Oversight of the Australian Financial Complaints Authority</p>	<p>20/6/2018</p>	<p>This regulatory guidance sets out how we will perform our oversight role in relation to the Australian Financial Complaints Authority (AFCA). It also includes the financial firms' AFCA membership obligations.</p> <p>This guide should be read in conjunction with Regulatory Guide 165 <i>Licensing: Internal and external dispute resolution</i> (RG 165).</p>	<p>MR 18-180</p> <p>REP 577</p> <p>(RG 139)</p>

Amended or reissued regulatory guides

Title	Release Date	Details	Media release and related documents
RG 165 Licensing: Internal and external dispute resolution	14/2/2018	<p>This guide explains what AFS licensees, unlicensed product issuers, unlicensed secondary sellers, credit licensees, credit representatives, unlicensed carried over instrument lenders (unlicensed COI lenders) and securitisation bodies must do to have a dispute resolution system in place that meets ASIC's requirements.</p> <p>This guide should be read in conjunction with RG 139 <i>Approval and oversight of external dispute resolution schemes</i> (RG 139).</p> <p>RG 165 has been amended account for the establishment of the Australian Financial Complaints Authority (AFCA).</p>	MR 18-041
RG 161 Share and interest sale facilities	7/3/2018	<p>This guide is for companies and responsible entities, operators of their registries, and intermediaries involved in the operation of share and interest sale facilities and related purchase facilities.</p> <p>This guide explains:</p> <ul style="list-style-type: none"> • the relief available for share and interest sale facilities and related purchase facilities in <i>ASIC Corporations (Share and Interest Sale Facilities) Instrument 2018/99</i>; and • our approach to relief for facilities that are not covered by our relief instrument. <p>Regulatory Guide 161 <i>Share and interest sale facilities</i> (RG 161) has been updated to reflect remade sunseting' class order relief about share and interest sale facilities.</p>	MR 18-063 LI 18/98 LI 18/99

Title	Release Date	Details	Media release and related documents
RG 83 Reinstatement of companies	26/3/2018	<p>This guide is for company officeholders, third parties and liquidators who want a company to be reinstated.</p> <p>It explains:</p> <ul style="list-style-type: none"> • how to apply for reinstatement of a company; • when ASIC will reinstate a company; and • the consequences of reinstating a company deregistered under the Corporations Act 2001 (Corporations Act) and under previous legislation. <p>ASIC has updated Regulatory Guide 83 <i>Reinstatement of companies</i> (RG 83) on company reinstatements to simplify and improve the process, with new information to clarify existing guidance.</p> <p>The update reflects minor developments in the law relating to reinstatements and changes to ASIC's policies, management and administration of reinstatement applications. It also takes into account the introduction of the levy imposed by the <i>ASIC Supervisory Cost Recovery Levy Act 2017</i>.</p>	MR 18-084
RG 212 Client money relating to dealing in OTC derivatives	4/4/2018	<p>This is a guide for Australian financial services (AFS) licensees who are required to hold client money and for investors who pay money to an AFS licensee for the purpose of trading in derivatives in the over-the-counter (OTC) market.</p> <p>This guide provides an overview of the client money provisions in Div 2 of Pt 7.8 of the <i>Corporations Act 2001</i> (the client money provisions) generally and, in particular, the specific provisions that relate to derivatives. It also seeks better disclosure in connection with client money.</p> <p>Regulatory Guide 212 <i>Client money relating to dealing in OTC derivatives</i> (RG 212) has been updated to reflect the start of ASIC's Client Money Reporting Rules 2017 and other client money reforms on 4 April 2018 enacted under the <i>Treasury Laws Amendment (2016 Measures No. 1) Act 2017</i> and the <i>Corporations Amendment (Client Money) Regulations 2017</i>.</p>	MR 18-089

Title	Release Date	Details	Media release and related documents
RG 172 Financial markets: Domestic and overseas operators	4/5/2018	<p>This guide provides guidance about the licensing regime and regulatory obligations for operators of financial markets.</p> <p>This replaces Regulatory Guide 177 <i>Australian market licences: Overseas operators</i> (RG 177) and Regulatory Guide 223 <i>Guidance on ASIC market integrity rules for competition in exchange markets</i> (RG 223) which have been withdrawn.</p> <p>ASIC has consolidated and replaced guidance in seven regulatory guides for securities and futures markets participants. The guidance in RG 223 for market operators has been consolidated into Regulatory Guide 172 <i>Financial markets: Domestic and overseas operators</i> (RG 172), which has also been reissued: see MR 18-131.</p> <p>NOTE: This was formerly titled <i>Australian market licences: Australian operators</i>.</p>	<p>(MR 17-392: issued 17/11/2017)</p> <p>MR 18-130</p> <p>MR 18-131</p> <p>RG 265</p> <p>RG 266</p> <p>RG 241</p> <p>REP 572</p> <p>Withdrawn regulatory guides</p> <p>SRG 177</p> <p>SRG 223</p>
RG 241 Electronic trading	4/5/2018	<p>This guide is for trading participants of the markets operated by ASX Limited, Chi-X Australia Pty Ltd, IR Plus Securities Exchange Limited, National Stock Exchange Australia Limited and Sydney Stock Exchange Limited that use or intend to use their systems for automated order processing, including use in relation to a crossing system.</p> <p>It gives guidance on how trading participants can comply with their obligations under the <i>ASIC Market Integrity Rules (Securities Markets) 2017</i> that apply to the use of automated order processing.</p> <p>ASIC has reissued Regulatory Guide 241 <i>Electronic trading</i> (RG 241), which has been updated to reflect the new consolidated market integrity rule books.</p>	<p>(MR 17-392: issued 17/11/2017)</p> <p>MR 18-130</p> <p>RG 265</p> <p>RG 266</p> <p>REP 572</p>
RG 264 Sell-side research	18/5/2018	<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>Technical amendments to para RG 264.78 only. Issue date has not changed.</p>	None

Title	Release Date	Details	Media release and related documents
RG 165 Licensing: Internal and external dispute resolution	31/5/2018	<p>This guide explains what AFS licensees, unlicensed product issuers, unlicensed secondary sellers, credit licensees, credit representatives, unlicensed carried over instrument lenders (unlicensed COI lenders) and securitisation bodies must do to have a dispute resolution system in place that meets ASIC's requirements.</p> <p>This guide should be read in conjunction with Regulatory Guide 139 <i>Approval and oversight of external dispute resolution schemes</i> (RG 139).</p> <p>RG 165 has been amended to require information about predecessor schemes and AFCA to be provided to complainants from 21 September 2018</p>	<p>MR 18-158 LI 18/447 LI 18/448</p>
RG 165 Licensing: Internal and external dispute resolution	18/6/2018	<p>This guide explains what AFS licensees, unlicensed product issuers, unlicensed secondary sellers, credit licensees, credit representatives, unlicensed carried over instrument lenders (unlicensed COI lenders) and securitisation bodies must do to have a dispute resolution system in place that meets ASIC's requirements.</p> <p>This guide should be read in conjunction with Regulatory Guide 139 <i>Approval and oversight of external dispute resolution schemes</i> (RG 139).</p> <p>Technical amendments to para RG 165.88: AFCA website and email address details amended to account for transfer of address from the Australian Film Critics Association. Issue date has not changed.</p>	None

Title	Release Date	Details	Media release and related documents
RG 139 Approval and oversight of external dispute resolution schemes	20/6/2018	<p>This guide explains ASIC’s oversight of the two ASIC-approved external dispute resolution (EDR) schemes—the Financial Ombudsman Service (FOS) and the Credit and Investments Ombudsman (CIO).</p> <p>Coversheet note added to account for transition to Australian Financial Complaints Authority (AFCA) on 1 November 2018. ASIC will retain its existing guidance in Regulatory Guide 139 Approval and oversight of external dispute resolution schemes (RG 139) until all complaints made under the existing approved schemes, the Financial Ombudsman Service (FOS) and the Credit and Investments Ombudsman (CIO), have been resolved. ASIC will then withdraw that guidance.</p> <p>Issue date has not changed.</p>	<p>MR 18-180 RG 267 REP 577</p>

Legislative instruments

Title	Dates	Details	Media release and related documents
ASIC Credit (Amendment) Instrument 2018/114	<p><i>Issued 28/2/2018</i></p> <p><i>Registered 2/3/2018: F2018L00175</i></p> <p><i>Effective 2/3/2018 (day of registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Credit (Amendment) Instrument 2018/114 amends Class Order [CO 14/41] Extension of transitional credit hardship provisions to extend the relief granted by [CO 14/41] for a further 2 years until 1 March 2020.</i></p>	<p>MR 18-070</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment and Repeal) Instrument 2018/98	<p><i>Issued 1/3/2018</i></p> <p><i>Registered 6/3/2018: F2018L00203</i></p> <p><i>Gazetted 6/3/2018: ASIC Gazette A10/18</i></p> <p><i>Effective 7/3/2018 (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 2018/98</i> repeals ASIC Class Order [CO 08/10] <i>Share and interest sale facilities</i> and amends <i>ASIC Corporations (Definition of Approved Foreign Market) Instrument 2017/669</i> to refer to <i>ASIC Corporations (Share and Interest Sale Facilities) Instrument 2018/99</i> in the definition of applicable ASIC legislative instrument.</p>	<p>MR 18-063</p> <p>RG 161</p> <p>LI 18/99</p>
ASIC Corporations (Share and Interest Sale Facilities) Instrument 2018/99	<p><i>Issued 1/3/2018</i></p> <p><i>Registered 6/3/2018: F2018L00204</i></p> <p><i>Effective 7/3/2018 (later of day after registration or commencement of 2018/99)</i></p>	<p><i>ASIC Corporations (Share and Interest Sale Facilities) Instrument 2018/99</i> remakes ASIC Class Order [CO 08/10] <i>Share and interest sale facilities</i> as a new legislative instrument.</p>	<p>MR 18-063</p> <p>RG 161</p> <p>LI 18/98</p>
ASIC Corporations (Amendment) Instrument 2018/40	<p><i>Issued 9/3/2018</i></p> <p><i>Registered 13/3/2018: F2018L00241</i></p> <p><i>Effective 14/3/2018 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2018/40</i> amends <i>ASIC Corporations (Generic Calculators) Instrument 2016/207</i> to defer the commencement of the requirement for a generic financial calculator relating to superannuation and retirement to include the present value of future receipts and payments using an assumed rate of inflation of 2.5% until 1 July 2019.</p>	<p>MR 18-071</p>
ASIC Corporations (NZD Denominated Client Money) Instrument 2018/152	<p><i>Issued 9/3/2018</i></p> <p><i>Registered 13/3/2018: F2018L00239</i></p> <p><i>Effective 14/3/2018 (day after registration)</i></p>	<p><i>ASIC Corporations (NZD Denominated Client Money) Instrument 2018/152</i> allows ASX 24 participants to hold client money relating to NZD contracts in an account with any bank that is incorporated in New Zealand and which is prudentially regulated by the Reserve Bank of New Zealand.</p>	<p>No MR</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2018/172	<p><i>Issued 21/3/2018</i></p> <p><i>Registered 23/2018: F2018L00360</i></p> <p><i>Effective 24/3/2018 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2018/172</i> amends the <i>ASIC Corporations (Derivative Transaction Reporting Exemption) Instrument 2015/844</i> to extend the traditional time-limited exemptive relief provided under 2015/844 in the area of relief from the requirement to report a trade identifier that is a 'universal transaction identifier' or 'single transaction identifier', where the Reporting Entity reports other specified identifiers.</p>	No MR
ASIC Corporations (Repeal) Instrument 2018/193	<p><i>Issued 23/3/2018</i></p> <p><i>Registered 29/3/2018: F2018L00435</i></p> <p><i>Gazetted 27/3/2018: ASIC Gazette A13/18</i></p> <p><i>Effective 30/3/2018 (later of gazettal or day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2018/193</i> repeals Class Order [CO 07/753] <i>Singaporean collective investment schemes</i> as it is no longer operating effectively.</p>	No MR
ASIC Corporations (Amendment) Instrument 2018/213	<p><i>Issued 28/3/2018</i></p> <p><i>Registered 11/4/2018: F2018L00480</i></p> <p><i>Effective 12/4/2018 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2018/213</i> amends the <i>ASIC Corporations (Concept Validation Licensing Exemption) Instrument 2016/1175</i> to include the basic deposit products as an eligible product.</p>	No MR
ASIC Corporations (Derivative Clearing Exemption) Instrument 2018/209	<p><i>Issued 29/3/2018</i></p> <p><i>Registered 29/3/2018: F2018L00436</i></p> <p><i>Effective 30/3/2018 (day after registration)</i></p>	<p><i>ASIC Corporations (Derivative Clearing Exemption) Instrument 2018/209</i> provides relief to Clearing Entities under the <i>ASIC Derivative Transaction Rules (Clearing) 2015</i> from the requirement to centrally clear Australian denominated forward rate agreements until 2 April 2019.</p>	No MR

Title	Dates	Details	Media release and related documents
ASIC Corporations (Repeal) Instrument 2018/356	<p><i>Issued 8/5/2018</i></p> <p><i>Registered 10/5/2018: F2018L00596</i></p> <p><i>Gazetted 15/5/2018: ASIC Gazette A20/18</i></p> <p><i>Effective 15/5/2018 (later of gazettal or day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2018/356 repeals Class Order [CO 14/829] Amendment of Class Order [CO 02/312].</i></p>	No MR
ASIC Corporations (Amendment) Instrument 2018/3	<p><i>Issued 28/5/2018</i></p> <p><i>Registered 30/5/2018: F2018L00671</i></p> <p><i>Effective 31/5/2018 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2018/3 amends the following class orders:</i></p> <ul style="list-style-type: none"> • <i>[CO 10/288] Covered short sale transaction reporting relief for market makers</i> • <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> • <i>[CO 13/721] Relief to facilitate quotation of exchange traded funds on the AQUA Market</i> • <i>[CO 13/1200] Periodic statements relief for AQUA quoted and listed managed investment scheme manager</i> 	No MR
ASIC Corporations (AFCA transition) Instrument 2018/447	<p><i>Issued 29/5/2018</i></p> <p><i>Registered 30/5/2018: F2018L00677</i></p> <p><i>Effective 31/5/2018 (day after registration)</i></p>	<p><i>ASIC Corporations (AFCA transition) Instrument 2018/447 provides exemptions from various disclosure obligations in the Corporations Act relating to the commencement of the Australian Financial Complaints Authority.</i></p>	MR 18-158 RG 165 LI 18/448
ASIC Credit (AFCA transition) Instrument 2018/448	<p><i>Issued 29/5/2018</i></p> <p><i>Registered 30/5/2018: F2018L00678</i></p> <p><i>Effective 31/5/2018 (day after registration)</i></p>	<p><i>ASIC Credit (AFCA transition) Instrument 2018/448 provides exemptions from various disclosure obligations in the National Consumer Credit Protection Act relating to the commencement of the Australian Financial Complaints Authority.</i></p>	MR 18-158 RG 165 LI 18/448

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2018/473	<p><i>Issued 1/6/2018</i></p> <p><i>Registered 5/6/2018: F2018L00708</i></p> <p><i>Effective 6/6/2018 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2018/473</i> extends the period of operation of the declaration in Class Order [CO12/749] <i>Relief from the Shorter PDS regime</i> to the effect that certain superannuation and managed investment products need not comply with the obligation to prepare a shorter PDS under subdivs 4.2B or 4.2C of the <i>Corporations Regulations 2001</i>.</p>	<p>MR 18-164</p> <p>SLI 18/474</p>
ASIC Superannuation (Amendment) Instrument 2018/474	<p><i>Issued 1/6/2018</i></p> <p><i>Registered 5/6/2018: F2018L00709</i></p> <p><i>Effective 6/6/2018 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Superannuation (Amendment) Instrument 2018/474</i> amends <i>ASIC Superannuation (RSE Websites) Instrument 2017/570</i> to extend the exemption for an RSE licensee of a superannuation entity from section 29QB of the <i>Superannuation Industry (Supervision) Act 1993</i> to the extent it requires publication on the website for a superannuation fund of personal information or information that relates to a standard-employer sponsored sub-plan.</p>	<p>MR 18-164</p> <p>SLI 18/474</p>
ASIC Corporations (Significant Financial Benchmarks) Instrument 2018/420	<p><i>Issued 6/6/2018</i></p> <p><i>Registered 7/6/2018: F2018L00722</i></p> <p><i>Effective 8/6/2018 (day after registration)</i></p>	<p><i>ASIC Corporations (Significant Financial Benchmarks) Instrument 2018/420</i> declares five financial benchmarks as significant financial benchmarks which, in ASIC's opinion at the time of making the Instrument, meet each of the criteria in subsection 908AC(2) of the Corporations Act.</p>	<p>MR 18-171</p> <p>RG 268</p> <p>ASIC Financial Benchmark (Administration) Rules 2018</p> <p>ASIC Financial Benchmark (Compelled) Rules 2018</p>
ASIC Corporations (Amendment) Instrument 2018/549	<p><i>Issued 21/6/2018</i></p> <p><i>Registered 2/7/2018: F2018L00979</i></p> <p><i>Effective 2/7/2018 (day of registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2018/549</i> involves technical amendments to <i>ASIC Corporations (AFCA transition) Instrument 2018/447</i> which gives firms transitional relief from disclosure requirements relating to the commencement of the Australian Financial Complaints Authority.</p>	<p>None</p>

Consultation papers

Title	Release Date	Details	Media release and related documents
CP 298 Oversight of the Australian Financial Complaints Authority: Update to RG 139	5/3/2018	<p>This consultation paper sets out our proposals for two aspects of our oversight role regarding the Australian Financial Complaints Authority (AFCA). It also seeks feedback on whether financial firms need any transitional relief from external dispute resolution disclosure obligations in the lead up to commencement of AFCA.</p> <p>We seek the views of interested stakeholders, including scheme, industry and consumer representatives.</p> <p>Attached to this paper is a draft updated version of Regulatory Guide 139 <i>Oversight of the Australian Financial Complaints Authority</i> (draft RG 139).</p>	MR 18-062 (Draft RG 139)
CP 299 Short selling: Naked short selling relief, position reporting amendments and sunseting class orders	14/5/2018	<p>This consultation paper seeks feedback from short sellers on our proposals to:</p> <ul style="list-style-type: none"> • grant legislative relief from the naked short selling prohibition to market makers of certain exchange traded products (ETPs); • grant legislative relief from the naked short selling prohibition in the context of corporate actions and initial public offering (IPO) sell-downs; • change the relevant time short positions are calculated; and • remake a number of class orders on short selling which are due to expire (sunset) under the <i>Legislation Act 2003</i> (Legislation Act). <p>We propose to consolidate the relief into a single instrument.</p> <p>Note: The draft ASIC Corporations (Short Selling) Instrument 2018/XX (draft instrument) is available on the consultation papers page on our website under CP 299.</p>	MR 18-135

Title	Release Date	Details	Media release and related documents
CP 300 Approval and oversight of compliance schemes for financial advisers	15/5/2018	<p>From 1 January 2020, each individual who is authorised to provide personal advice to retail clients about relevant financial products (financial advisers) must comply with a code of ethics and be covered by a scheme under which their compliance with the code of ethics will be monitored and enforced (compliance scheme). Compliance schemes must be approved by ASIC.</p> <p>This consultation paper is primarily for applicants for compliance scheme approval, but it may also be of interest to financial advisers and Australian financial services (AFS) licensees who authorise financial advisers. It seeks feedback on our proposed process and criteria for determining whether to grant approval to a compliance scheme and our proposed oversight of compliance schemes on an ongoing basis.</p>	MR 18-138
CP 301 Foreign financial services providers	1/6/2018	<p>This consultation paper is for foreign financial services providers (FFSPs) and other relevant stakeholders, such as users of the services provided by FFSPs.</p> <p>It provides an update on the results of our comprehensive review of our relief for FFSPs—following the temporary extension of the relief for a further two years—from the requirement to hold an Australian financial services (AFS) licence when providing financial services to wholesale clients in Australia.</p> <p>This consultation paper seeks feedback on our proposals to:</p> <ul style="list-style-type: none"> • repeal <i>ASIC Corporations (Repeal and Transitional) Instrument 2016/396</i> and <i>ASIC Corporations (Foreign Financial Services Providers—Limited Connection) Instrument 2017/182</i>, with a 12-month transitional period; and • implement a modified AFS licensing regime for FFSPs to enable FFSPs to apply for and maintain a modified form of AFS licence (foreign AFS licence). 	MR 18-162

Reports

Title	Release Date	Details	Media release and related documents
REP 549 Compliance Report (Part 3) - Commonwealth Financial Planning Limited and Financial Wisdom Limited	23/1/2018	This report is prepared by KordaMentha Forensic as the compliance expert engaged by ASIC under the additional licence conditions imposed by ASIC on two AFS Licensees: Commonwealth Financial Planning Limited and Financial Wisdom Limited. Both Licensees are subsidiaries of the Commonwealth Bank of Australia. The report deals only with the issues set out in the Additional Licence Conditions.	MR 18-018
REP 562 Financial advice: Vertically integrated institutions and conflicts of interest	24/1/2018	ASIC has conducted a project to examine how Australia's largest banking and financial services institutions manage the conflict of interest that arises as a result of institutions engaging in both the provision of personal advice to retail clients and the manufacture of financial products under a vertically integrated business model. This report outlines the results of this project.	MR 18-019
REP 561 Regulator Performance Framework: ASIC self-assessment 2016–17	29/1/2018	The Regulator Performance Framework (Framework) provides a set of six common key performance indicators (KPIs) for Australian Government regulators. This report sets out our self-assessment of ASIC's performance against the KPIs in 2016–17.	No MR
REP 564 Annual general meeting season 2017	29/1/2018	This report provides an overview of the annual general meeting season in 2017 for S&P/ASX 200 listed entities. It sets out some key observations and related good governance recommendations.	MR 18-023
REP 566 Surveillance of credit rating agencies	15/2/2018	This report presents the findings of our surveillance under s912E of the Corporations Act of six credit rating agencies in Australia. The surveillance period was 1 January 2016 to 31 October 2017.	MR 18-042

Title	Release Date	Details	Media release and related documents
REP 567 ASIC regulation of corporate finance: July to December 2017	26/2/2018	<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 July to 31 December 2017.</p>	MR 18-053
REP 568 ASIC enforcement outcomes: July to December 2017	28/2/2018	<p>This report outlines the enforcement outcomes achieved by ASIC during the period from 1 July to 31 December 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 18-056
REP 563 National Financial Literacy Strategy Annual Highlights Report 2016-17	5/3/2018	<p>This report is a collective account of activity by ASIC and a range of organisations delivering financial literacy and capability initiatives in alignment with the National Strategy. It showcases the impact of programs and activities being undertaken around Australia, including highlights from 2016-17 and a summary of progress.</p>	MR 18-066
REP 565 Unfair contract terms and small business loans	15/3/2018	<p>This report details the changes made by the 'big four' banks to their small business loan contracts, in order to comply with the unfair contract terms law.</p> <p>This report will also be relevant for other lenders who provide loans to small business and assist them in meeting their obligations.</p>	MR 18-073
REP 569 Market integrity report: July to December 2017	15/3/2018	<p>Report 569 <i>Market integrity report: July to December 2017</i> (REP 569) looks at ASIC's focus on cyber resilience, client money and sell-side research. It also looks at some of ASIC's key activities over the last six months in areas such as financial benchmarks, continuous disclosure and binary options.</p>	MR 17-074
REP 570 Indicative levies for ASIC industry funding: 2017–18	26/3/2018	<p>ASIC industry funding commenced on 1 July 2017. This report sets out the indicative levies for industry funding for the 2017–18 financial year.</p>	MR 17-086 Summary of 2017-18 indicative levies

Title	Release Date	Details	Media release and related documents
REP 571 ASIC and small business	4/4/2018	This report provides an overview of our Small Business Strategy 2017–2020, and progress achieved to date.	MR 18-090
REP 572 Response to submissions on CP 293 Revising the market licence regime for domestic and overseas operators	4/5/2018	This report highlights the key issues that arose out of the submissions received on Consultation Paper 293 <i>Revising the market licence regime for domestic and overseas operators</i> (CP 293) and sets out our responses to those issues.	(MR 17-392: issued 17/11/2017) MR 18-130 MR 18-131 RG 265 RG 266 RG 172 RG 241 Withdrawn regulatory guides SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250
REP 573 Registered liquidators' compliance with lodgement and publication requirements	13/6/2018	ASIC has conducted a project to review how registered liquidators are complying with their obligations to: <ul style="list-style-type: none"> • lodge certain forms with ASIC; and • publish insolvency notices on ASIC's published notices website. <p>The period covered by our review was December 2013 to June 2017.</p> <p>This report outlines the results of the project and includes guidance for registered liquidators to help them improve their compliance with lodgement and publication requirements.</p> <p>Note: The commentary in this report relates to the law as existed at the time of the review, which was before the enactment of the <i>Insolvency Law Reform Act 2016</i>.</p>	MR 18-172

Title	Release Date	Details	Media release and related documents
REP 574 Overview of decisions on relief applications (October 2017 to March 2018)	15/6/2018	<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 October 2017 to 31 March 2018. 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 October 2017 to 31 March 2018 that may be relevant to prospective applicants for relief, including legislative instruments, consultation papers, regulatory guides and reports.</p>	MR 18-176
REP 577 Response to submissions on CP 298 Oversight of the Australian Financial Complaints Authority	20/6/2018	This report highlights the key issues that arose out of the submissions received on Consultation Paper 298 <i>Oversight of the Australian Financial Complaints Authority: Update to RG 139</i> (CP 298) and details our responses to those issues.	MR 18-180 RG 267 (RG 139)
REP 578 ASIC review of proxy adviser engagement practices	27/6/2018	The report provides an overview of ASIC's review of proxy adviser engagement practices and sets out some key observations and related good governance messages.	MR 18-187

Title	Release Date	Details	Media release and related documents
<p>REP 575 SMSFs: Improving the quality of advice and member experiences</p>	<p>28/6/2018</p>	<p>ASIC has undertaken a large research project to examine:</p> <ul style="list-style-type: none"> • member experiences in setting up and running a self-managed superannuation fund (SMSF) (member research); and • whether advice providers are complying with the law when providing personal advice to retail clients to set up an SMSF (advice review). <p>This report summarises the findings of our work. It also provides:</p> <ul style="list-style-type: none"> • a comprehensive overview of SMSF market characteristics; and • practical tips that advice providers can use to improve the quality of SMSF advice they provide to clients. <p>Note: For a comprehensive report on the member research, see Report 576 <i>Member experiences with self-managed superannuation funds</i> (REP 576).</p>	<p>MR 18-192 REP 576</p>
<p>REP 576 Member experiences with self-managed superannuation funds</p>	<p>28/6/2018</p>	<p>This report gives a comprehensive overview of research commissioned by ASIC into the experiences Australians have when setting up and running self-managed superannuation funds (SMSFs).</p> <p>The research was conducted by an independent market research agency, and was a mix of qualitative research (interviews) and quantitative research (online survey) to explore member experiences with SMSFs.</p> <p>Note: In conjunction with the member research, ASIC reviewed 250 files where personal advice to set up an SMSF was provided to clients by a financial adviser. For details of this advice review with a summary of the member research, see Report 575 <i>SMSFs: Improving the quality of advice and member experiences</i> (REP 575).</p>	<p>MR 18-192 REP 575</p>

Title	Release Date	Details	Media release and related documents
REP 579 Improving practices in the retail OTC derivatives sector	28/6/2018	<p>Recent ASIC activities have revealed practices in the retail over-the-counter (OTC) derivatives sector which fall short of our expectations.</p> <p>These practices include:</p> <ul style="list-style-type: none"> • misleading marketing materials • unclear pricing methodologies • inadequate risk management practices • inadequate monitoring of counterparties • inappropriate referral arrangements. <p>We will continue to take action to address these risks by raising industry standards and improving issuers' compliance. To better direct our activities, we recently conducted a review of 57 retail derivative issuers to gauge the size of the industry, the products offered and the risks posed to investors.</p>	MR 18-190

New rules

Title	Dates	Details	Media release and related documents
<p>ASIC Market Integrity Rules (Securities Markets and Futures Markets) Amendment 2018 (No. 1)</p>	<p><i>Issued 2/5/2018</i> <i>Registered 3/5/2018: F2018L00585</i> <i>Effective 4/5/2018 (day after registration)</i> Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Market Integrity Rules (Securities Markets and Futures Markets) Amendment 2018 (No. 1)</i> amends the <i>ASIC Market Integrity Rules (Securities Markets) 2017</i> to provide a default definition for Responsible Market Operator in relation to an Equity Market Product able to be traded on more than one Market where ASIC has not made a determination under paragraph 1.4.5(1)(b), provide for merits review in the Administrative Appeals Tribunal of ASIC decisions under Part 2.4 relating to adviser accreditation, and remove an unnecessary penalty provision in Rule 5A.3.3. It also amends the <i>ASIC Market Integrity Rules (Futures Markets) 2017</i> to remove an unnecessary penalty provision in Rule 5.3.3.</p>	<p>No MR</p>
<p>ASIC Financial Benchmark (Administration) Rules 2018</p>	<p><i>Issued 6/6/2018</i> <i>Registered 7/6/2018: F2018L00728</i> <i>Effective 8/6/2018 (day after registration)</i></p>	<p><i>ASIC Financial Benchmark (Administration) Rules 2018</i> imposes certain key obligations on licensed benchmark administrators and require contributors to licensed benchmarks to cooperate with ASIC.</p>	<p>MR 18-171 RG 268 LI 18/420 ASIC Financial Benchmark (Compelled) Rules 2018</p>
<p>ASIC Financial Benchmark (Compelled) Rules 2018</p>	<p><i>Issued 6/6/2018</i> <i>Registered 7/6/2018: F2018L00656</i> <i>Effective 8/6/2018 (day after registration)</i></p>	<p><i>ASIC Financial Benchmark (Compelled) Rules 2018</i> enables ASIC to compel contributors and licensed benchmark administrators at a significant financial benchmark to do certain things.</p>	<p>MR 18-171 RG 268 LI 18/420 ASIC Financial Benchmark (Administration) Rules 2018</p>

Class waivers

Title	Dates	Details	Media release and related documents
ASIC Class Rule Waiver [CW 18/0143]	<p><i>Issued 5/3/2018</i></p> <p><i>Registered 6/3/2018: F2018L00202</i></p> <p><i>Effective 7/3/2018 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p>ASIC Class Rule Waiver [CW 18/0143] amends the ASIC Class Rule Waiver [17-0251] by extending, for a further two years, the relief for a Market Participant from the aggregate loss limit obligations in subrules 2.2.1(1)(a), 2.2.1(ab) and 2.2.1(1)(c) of the <i>ASX 24 Market Integrity Rules</i>.</p>	No MR
ASIC Class Rule Waiver [CW 18/140]	<p><i>Issued 13/3/2018</i></p> <p><i>Registered 14/3/2018: F2018L00254</i></p> <p><i>Effective 15/3/2018 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p>Class Rule Waiver [CW 18/140] amends Class Rule Waiver [CW 17/740], by correcting a typographical error in Paragraph 9(4)(b) of Class Rule Waiver [CW 17/740]. In Paragraph 9(4)(b) a cross-reference to paragraphs “9(3)(i) and (ii)” should be a cross-reference to paragraphs “9(4)(a)(i) and (ii)”.</p>	No MR
ASIC Market Integrity Rules (Securities Markets) Class Waiver 2018/258	<p><i>Issued 20/4/2018</i></p> <p><i>Registered 24/4/2018: F2018L00511</i></p> <p><i>Effective 25/4/2018 (day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Class Waiver 2018/258</i> relieves a participant of the NSXA Market, other than an NSXA AOP participant, from its obligations to comply with the <i>ASIC Market Integrity Rules (Securities Markets) 2017</i> in connection with its activities or conduct in relation to the NSXA Market until Monday 5 November 2018. The instrument provides similar transitional relief to an NSXA Automated Order Processing (AOP) participant except that, in connection with the use of the NSXA AOP participant’s system for Automated Order Processing on the NSXA Market, the NSXA AOP participant is not given relief from its obligations under the provisions of Part 5.5, 5.6 or 5.7 of the Rules. The instrument provides transitional relief until 16 November 2020 to participants of the NSXA and SSX Markets from certain provisions of the Rules that are derived from the <i>ASIC Market Integrity Rules (Competition in Exchange Markets) 2011</i>.</p>	<p>(MR 17-392: issued 17/11/2017)</p> <p>(MIR 17/1032: issued 14/11/2017)</p> <p>MR 18-130</p> <p>RG 265</p> <p>RG 266</p> <p>RG 172</p> <p>RG 241</p> <p>REP 572</p> <p>Withdrawn regulatory guides</p> <p>SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>

<p>ASIC Market Integrity Rules (Securities Markets – Capital) Class Waiver 2018/259</p>	<p><i>Issued 20/4/2018</i> <i>Registered 24/4/2018: F2018L00513</i> <i>Effective 25/4/2018 (day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets – Capital) Class Waiver 2018/259</i> relieves a participant of the NSXA Market, other than a person who is an NSXA Automated Order Processing participant or a participant of the NSXA Market and one or more other Markets, from its obligations to comply with the <i>ASIC Market Integrity Rules (Securities Markets – Capital) 2017</i> until 6 May 2019.</p>	<p>(MR 17-392: issued 17/11/2017) (MIR 17/1034: issued 14/11/2017) MR 18-130 RG 265 RG 266 RG 172 RG 241 REP 572 Withdrawn regulatory guides SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>
<p>ASIC Market Integrity Rules (Futures Markets) Class Waiver 2018/265</p>	<p><i>Issued 23/4/2018</i> <i>Registered 26/4/2018: F2018L00519</i> <i>Effective 7/5/2018 (later of 7 May 2018 or day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Futures Markets) Class Waiver 2018/265</i> provides relief for a trading participant from Rules 7.2.2(4), 7.2.5, 7.2.6 and 7.2.8 (Relevant Rules) of the <i>ASIC Market Integrity Rules (Futures Markets) 2017</i> to the extent that those rules apply the definition of ‘Approved Securities’ in Rule 7.1.1. It introduces a new term ‘Approved Collateral’ which refers to securities, collateral and other property accepted by ASX Clear (Futures). The effect of the legislative instrument is to allow trading participants to rely on the list of accepted collateral published by ASX Clear (Futures), to meet their obligations under the Relevant Rules.</p>	<p>(MR 17-392: issued 17/11/2017) (MIR 17/1033: issued 14/11/2017) MR 18-130 RG 265 RG 266 RG 172 RG 241 REP 572 Withdrawn regulatory guides SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>

<p>ASIC Market Integrity Rules (Securities Markets) Class Waiver 2018/266</p>	<p><i>Issued 23/4/2018</i> <i>Registered 26/4/2018: F2018L00517</i> <i>Effective 27/4/2018 (day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Class Waiver 2018/266</i> relieves a Market Participant from the obligation to comply with paragraph 5A.2.2(1)(a) and subrule 5A.2.2(2) of the <i>ASIC Market Integrity Rules (Securities Markets) 2017</i>. The relief applies with respect to a client whose orders are not matched or executed in the Crossing System operated by the Market Participant.</p>	<p>(MR 17-392: issued 17/11/2017) (MIR 17/1032: issued 14/11/2017) MR 18-130 RG 265 RG 266 RG 172 RG 241 REP 572 Withdrawn regulatory guides SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>
<p>ASIC Market Integrity Rules (Futures Markets) Class Waiver 2018/267</p>	<p><i>Issued 23/4/2018</i> <i>Registered 26/4/2018: F2018L00518</i> <i>Effective 7/5/2018 (later of 7 May 2018 or day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Futures Markets) Class Waiver 2018/267</i> relieves a market participant from the obligation to comply with paragraph 5.2.2(1)(a) and subrule 5.2.2(2) of the <i>ASIC Market Integrity Rules (Futures Markets) 2017</i>. The relief applies with respect to a client whose orders are not matched or executed in the crossing system operated by the market participant.</p>	<p>(MR 17-392: issued 17/11/2017) (MIR 17/1033: issued 14/11/2017) MR 18-130 RG 265 RG 266 RG 172 RG 241 REP 572 Withdrawn regulatory guides SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>

<p>ASIC Market Integrity Rules (Futures Markets) Class Waiver 2018/264</p>	<p><i>Issued 24/4/2018</i> <i>Registered 27/4/2018: F2018L00523</i> <i>Effective 7/5/2018 (later of 7 May 2018 or day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Futures Markets) Class Waiver 2018/264</i> relieves a market participant from the obligation of having to comply with subparagraph 2.2.5(1)(b)(vi) of the <i>ASIC Market Integrity Rules (Futures Markets) 2017</i> in respect of a client that is a trustee of a trust or an operator of a managed investment scheme.</p>	<p>(MR 17-392: issued 17/11/2017) (MIR 17/1033: issued 14/11/2017) MR 18-130 RG 265 RG 266 RG 172 RG 241 REP 572 Withdrawn regulatory guides SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>
<p>ASIC Market Integrity Rules (Securities Markets) Class Waiver 2018/269</p>	<p><i>Issued 24/4/2018</i> <i>Registered 27/4/2018: F2018L00524</i> <i>Effective 28/4/2018 (day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Class Waiver 2018/269</i> relieves a participant of the ASX Market from complying with pre-trade transparency obligations in subrule 6.1.1(1) of the <i>ASIC Market Integrity Rules (Securities Markets) 2017</i> where the participant enters into a transaction by matching an Auction Imbalance Order on the ASX Market.</p>	<p>(MR 17-392: issued 17/11/2017) (MIR 17/1032: issued 14/11/2017) MR 18-130 RG 265 RG 266 RG 172 RG 241 REP 572 Withdrawn regulatory guides SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>

<p>ASIC Market Integrity Rules (Securities Markets) Class Waiver 2018/298</p>	<p><i>Issued 26/4/2018</i> <i>Registered 27/4/2018: F2018L00527</i> <i>Effective 28/4/2018 (day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Class Waiver 2018/298</i> relieves market participants, in certain circumstances, from obligations under subrule 3.5.8(1) to perform daily CSA reconciliations by 7.00 pm on the next trading day and applies where the participant is ordinarily unable to perform the reconciliation because the participant relies on information from a person outside Australia. The instrument also relieves market participants from obligations under paragraph 3.5.10(a) to notify ASIC, in writing, within two business days, if the reconciliation has not been performed by 7.00 pm on the next trading day.</p>	<p>(MR 17-392: issued 17/11/2017) (MIR 17/1032: issued 14/11/2017) MR 18-130 RG 265 RG 266 RG 172 RG 241 REP 572 Withdrawn regulatory guides SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>
<p>ASIC Market Integrity Rules (Futures Markets) Class Waiver 2018/302</p>	<p><i>Issued 26/4/2018</i> <i>Registered 30/4/2018: F2018L00534</i> <i>Effective 7/5/2018 (later of 7 May 2018 or day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Futures Markets) Class Waiver 2018/302</i> relieves market participants, in certain circumstances, from the obligation under subrule 2.3.2(1) to perform daily client segregated account (CSA) reconciliations by 7.00 pm on the next business day and also from the obligation under paragraph 2.3.4(a) to notify ASIC, in writing, within two business days, if the reconciliation has not been performed by 7.00 pm on the next business day.</p>	<p>(MR 17-392: issued 17/11/2017) (MIR 17/1033: issued 14/11/2017) MR 18-130 RG 265 RG 266 RG 172 RG 241 REP 572 Withdrawn regulatory guides SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>

<p>ASIC Market Integrity Rules (Securities Markets) Class Waiver 2018/303</p>	<p><i>Issued 26/4/2018</i> <i>Registered 30/4/2018:</i> <i>F2018L00543</i> <i>Effective 1/5/2018 (day</i> <i>after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Class Waiver 2018/303</i> provides relief until 30 June 2020 from Market Participants' obligation under Rule 3.4.1 of <i>the Market Integrity Rules (Securities Markets) 2017</i> (the Rules) to provide a confirmation (or alternative notifications under paragraph 3.4.3(1)(b) of the Rules, if applicable) to a wholesale client for a market transaction in a derivatives market contract.</p>	<p>(MR 17-392: issued 17/11/2017) (MIR 17/1032: issued 14/11/2017) MR 18-130 RG 265 RG 266 RG 172 RG 241 REP 572 Withdrawn regulatory guides SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>
<p>ASIC Market Integrity Rules (Securities Markets) Class Waiver 2018/304</p>	<p><i>Issued 26/4/2018</i> <i>Registered 27/4/2018:</i> <i>F2018L00522</i> <i>Effective 28/4/2018</i> <i>(day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Class Waiver 2018/304</i> provides conditional class waiver relief that is consistent with the relief given from the corresponding Competition Rules in [CW 14/6] that will be repealed on 7 May 2018 upon the repeal of the Pre-Commencement Market Integrity Rules.</p>	<p>(MR 17-392: issued 17/11/2017) (MIR 17/1032: issued 14/11/2017) MR 18-130 RG 265 RG 266 RG 172 RG 241 REP 572 Withdrawn regulatory guides SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>

<p>ASIC Market Integrity Rules (Futures Markets) Class Waiver 2018/305</p>	<p><i>Issued 26/4/2018</i> <i>Registered 27/4/2018:</i> <i>F2018L00525</i> <i>Effective 7/5/2018 (later of 7 May 2018 or day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Futures Markets) Class Waiver 2018/305</i> provides conditional class waiver relief that is consistent with the relief given from the corresponding Competition Rules in [CW 14/6] that will be repealed on 7 May 2018 upon the repeal of the Pre-Commencement Market Integrity Rules.</p>	<p>(MR 17-392: issued 17/11/2017) (MIR 17-1033: issued 14/11/2017) MR 18-130 RG 265 RG 266 RG 172 RG 241 REP 572 Withdrawn regulatory guides SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>
<p>ASIC Market Integrity Rules (Securities Markets) Class Waiver 2018/310</p>	<p><i>Issued 30/4/2018</i> <i>Registered 1/5/2018:</i> <i>F2018L00554</i> <i>Effective 2/5/2018 (day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Class Waiver 2018/310</i> provides that a Participant of the Chi-X Market does not have to comply with subrule 6.1.1(1) of the Rules where the Participant enters into a transaction as a result of placing a Market on Close Order on the Chi-X Market. It also provides that Chi-X does not have to comply with subrule 6.1.2(1) of the Rules in relation to a Market on Close Order it receives.</p>	<p>(MR 17-392: issued 17/11/2017) (MIR 17-1032: issued 14/11/2017) MR 18-130 RG 265 RG 266 RG 172 RG 241 REP 572 Withdrawn regulatory guides SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>

<p>ASIC Market Integrity Rules (Securities Markets) Class Waiver 2018/311</p>	<p><i>Issued 30/4/2018</i> <i>Registered 1/5/2018: F2018L00566</i> <i>Effective 2/5/2018 (day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Class Waiver 2018/311</i> relieves Market Participants from the obligation to comply with subrule 6.1.1(1) of the Rules where the Market Participant enters into a transaction:</p> <p>(i) as an ETF Special Trade, (ii) as a Crossing of a Derivative/Cash Combination, (iii) as a result of a Derived Order relating to a component leg of a Derivative/Cash Combination or a Cash Only Combination that is traded as a Tailor-Made Combination, (iv) as part of a contingent equity transaction (until 4 May 2020), (v) as an Exchange-Traded Fund Special Trade on the Chi-X Market, or (vi) a Trade with Price Improvement where the Best Available Bid and Best Available Offer does not include PureMatch data.</p>	<p>(MR 17-392: issued 17/11/2017) (MIR 17-1032: issued 14/11/2017) MR 18-130 RG 265 RG 266 RG 172 RG 241 REP 572 Withdrawn regulatory guides SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>
<p>ASIC Market Integrity Rules (Futures Markets) Class Waiver 2018/312</p>	<p><i>Issued 30/4/2018</i> <i>Registered 2/5/2018: F2018L00570</i> <i>Effective 7/5/2018 (later of 7 May 2018 or day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Futures Markets) Class Waiver 2018/312</i> relieves a Principal Trader from the obligation to comply with paragraphs 2.2.1(1)(ab), (b), (c) and (e) of the <i>ASIC Market Integrity Rules (Futures Markets) 2017</i>, in the case where the Principal Trader is a client of another Market Participant and the Principal Trader accesses the market through that Market Participant.</p>	<p>(MR 17-392: issued 17/11/2017) (MIR 17/1033: issued 14/11/2017) MR 18-130 RG 265 RG 266 RG 172 RG 241 REP 572 Withdrawn regulatory guides SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>

<p>ASIC Market Integrity Rules (Futures Markets) Class Waiver 2018/313</p>	<p><i>Issued 30/4/2018</i></p> <p><i>Registered 1/5/2018: F2018L00551</i></p> <p><i>Effective 7/5/2018 (later of 7 May 2018 or day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Futures Markets) Class Waiver 2018/313</i> relieves a Market Participant from the obligation to comply with:</p> <p>(a) subrule 2.2.1(1)(a), to the extent that subrule requires the Market Participant to set and document an appropriate pre-determined aggregate loss limit on each of its Client Accounts. This waiver is conditional on the Market Participant implementing appropriate processes to monitor the aggregate loss limit on each of its Client Accounts;</p> <p>(b) subrule 2.2.1(1)(ab), to the extent that subrule requires the Market Participant to set and document an appropriate pre-determined aggregate loss limit on each of its House Accounts. This waiver is conditional on the Market Participant implementing appropriate processes to monitor the aggregate loss limit on each of its House Accounts; and</p> <p>(c) subrule 2.2.1(1)(c), to the extent that subrule requires a Market Participant's risk manager to input the aggregate loss limits determined by the Market Participant in accordance with subrules 2.2.1(a) and 2.2.1(ab) into Trading Platform account maintenance</p> <p>The relief in the instrument will cease at the end of 20 March 2020.</p>	<p>(MR 17-392: issued 17/11/2017)</p> <p>(MIR 17/1033: issued 14/11/2017)</p> <p>MR 18-130</p> <p>RG 265</p> <p>RG 266</p> <p>RG 172</p> <p>RG 241</p> <p>REP 572</p> <p>Withdrawn regulatory guides</p> <p>SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>
----------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Determinations

Title	Dates	Details	Media release and related documents
<p>ASIC Market Integrity Rules (Securities Markets) Determination 2018/206</p>	<p><i>Issued 28/3/2018</i></p> <p><i>Registered 3/4/2018: F2018L00457</i></p> <p><i>Effective 3/5/2018 (20 business days after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Determination 2018/206 determines the Tier 1 Equity Market Products and the Tier 2 Equity Market Products for the purposes of paragraph 6.2.1(1)(c) of the ASIC Market Integrity Rules (Securities Markets) 2017.</i></p>	<p>No MR</p>
<p>ASIC Market Integrity Rules (Securities Markets) Determination 2018/208</p>	<p><i>Issued 29/3/2018</i></p> <p><i>Registered 3/4/2018: F2018L00458</i></p> <p><i>Effective 28/6/2018 (60 business days after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Determination 2018/208 determines the Responsible Market Operator for Equity Market Products that are able to traded on more than one Market, under paragraph 1.4.5(1)(b) of the ASIC Market Integrity Rules (Securities Markets) 2017</i></p>	<p>No MR</p>
<p>ASIC Market Integrity Rules (Securities Markets) Determination 2018/314</p>	<p><i>Issued 1/5/2018</i></p> <p><i>Registered 2/5/2018: F2018L00576</i></p> <p><i>Effective 3/5/2018 (day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Determination 2018/314 determines the execution venue code for identifying a market, for the purposes of subrules 3.4.3(4), 6.3.6A(4) and 7.4.4(3) of the ASIC Market Integrity Rules (Securities Markets) 2017 (Rules); the code for identifying a Crossing System, for the purposes of subrules 3.4.3(4), 5A.2.1(5), 6.3.6A(4) and 7.4.4(3) of the Rules; the notation referred to in item 2 (Capacity of Participant) of the table in Rule 7.4.4 for identifying that for an order or transaction the Participant is acting as Principal, as agent for a client or as both Principal and as agent for a client, for the purposes of subrule 7.4.4(3) of the Rules; and the notation referred to in item 5 (Directed wholesale indicator) of the table in rule 7.4.4 for indicating in relation to an order or transaction whether paragraphs (a) and (b) of item 5 are satisfied, for the purposes of subrule 7.4.4(3) of the Rules. It also maintains the existing policy settings under the Pre-Existing Market Integrity Rules by replicating the determinations made under those rules.</i></p>	<p>(MR 17-392: issued 17/11/2017)</p> <p>(MIR 17-1032: issued 14/11/2017)</p> <p>MR 18-130</p> <p>RG 265</p> <p>RG 266</p> <p>RG 172</p> <p>RG 241</p> <p>REP 572</p> <p>Withdrawn regulatory guides</p> <p>SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>

<p>ASIC Market Integrity Rules (Futures Markets) Determination 2018/315</p>	<p><i>Issued 1/5/2018</i> <i>Registered 2/5/2018:</i> <i>F2018L00571</i> <i>Effective 7/5/2018 (later of 7 May 2018 or day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Futures Markets) Determination 2018/315</i> determines the code for identifying a Crossing System, and maintains the existing policy settings under the Competition Rules by replicating the determinations made under those rules.</p>	<p>(MR 17-392: issued 17/11/2017) (MIR 17/1033: issued 14/11/2017) MR 18-130 RG 265 RG 266 RG 172 RG 241 REP 572 Withdrawn regulatory guides SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>
<p>ASIC Market Integrity Rules (Securities Markets) Determination 2018/317</p>	<p><i>Issued 1/5/2018</i> <i>Registered 3/5/2018:</i> <i>F2018L00582</i> <i>Effective 4/5/2018 (day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Determination 2018/317</i> determines the approved educational modules and subjects that are relevant to financial product advice of the kind that may be given by Accredited Futures Advisers, for the purposes of subrule 2.4.6(4) of the Rules and the approved examinations, educational modules and subjects that are relevant to financial product advice of the kind that may be given by Level One Accredited Derivatives Advisers, for the purposes of subrule 2.4.7(4) of the Rules and the approved examinations that are relevant to financial product advice of the kind that may be given by Level Two Accredited Derivatives Advisers, for the purposes of subrule 2.4.8(4) of the Rules. The instrument maintains the existing policy settings under the Pre-Existing Market Integrity Rules by replicating the approvals made under those rules.</p>	<p>(MR 17-392: issued 17/11/2017) (MIR 17-1032: issued 14/11/2017) MR 18-130 RG 265 RG 266 RG 172 RG 241 REP 572 Withdrawn regulatory guides SRG 214, SRG 215, SRG 223, SRG 224, SRG 226, SRG 238, SRG 250</p>

ASIC Market Integrity Rules (Securities Markets) Repeal Instrument 2018/401	<p><i>Issued 22/5/2018</i></p> <p><i>Registered 24/5/2018: F2018L00656</i></p> <p><i>Effective 17/8/2018 (60 business days after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Repeal Instrument 2018/401 repeals ASIC Market Integrity Rules (Securities Markets) Determination 2018/208.</i></p>	No MR
ASIC Market Integrity Rules (Securities Markets) Determination 2018/445	<p><i>Issued 7/6/2018</i></p> <p><i>Registered 8/6/2018: F2018L00732</i></p> <p><i>Effective 9/7/2018 (later of 9 July 2018 or 20 business days after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Determination 2018/445 determines the Tier 1 Equity Market Products and the Tier 2 Equity Market Products for the purposes of paragraph 6.2.1(1)(c) of the ASIC Market Integrity Rules (Securities Markets) 2017.</i></p>	SLI 18/489
ASIC Market Integrity Rules (Securities Markets) Repeal Instrument 2018/489	<p><i>Issued 7/6/2018</i></p> <p><i>Registered 8/6/2018: F2018L00733</i></p> <p><i>Effective 9/7/2018 (later of 9 July 2018 or 20 business days after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Repeal Instrument 2018/489 repeals the ASIC Market Integrity Rules (Securities Markets) Determination 2018/206, which will be superseded by the ASIC Market Integrity Rules (Securities Markets) Determination 2018/445.</i></p>	DET 18/445
ASIC Market Integrity Rules (Securities Markets) Determination 2018/546	<p><i>Issued 20/6/2018</i></p> <p><i>Registered 21/6/2018: F2018L00816</i></p> <p><i>Effective 23/7/2018 (later of 23 July 2018 or 20 business days after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Determination 2018/546 determines the Tier 1 Equity Market Products and the Tier 2 Equity Market Products for the purposes of paragraph 6.2.1(1)(c) of the ASIC Market Integrity Rules (Securities Markets) 2017.</i></p>	SLI 18/547
ASIC Market Integrity Rules (Securities Markets) Repeal Instrument 2018/547	<p><i>Issued 20/6/2018</i></p> <p><i>Registered 21/6/2018: F2018L00818</i></p> <p><i>Effective 23/7/2018 (later of 23 July 2018 or 20 business days after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Repeal Instrument 2018/547 repeals the ASIC Market Integrity Rules (Securities Markets) Determination 2018/445, which will be superseded by ASIC Market Integrity Rules (Securities Markets) Determination 2018/546.</i></p>	DET 18/546

Information sheets

Title	Status	Release Date	Comments	Media release and related documents
INFO 152 Public comment on ASIC's regulatory activities	Reissued	12/2/2018	<p>ASIC has updated Information Sheet 152 <i>Public comment on ASIC's regulatory activities</i> (INFO 152) to reflect ASIC's recent decision and action to remove media releases reporting regulatory outcomes 10 years after issue, except where they relate to ongoing outcomes.</p> <p>As a result, ASIC will usually take down media releases about its regulatory actions 10 years from the date of publication. For criminal matters, this will generally coincide with expiry of the waiting period for spent convictions under Part VIIC of the <i>Crimes Act 1914</i> (Cth). ASIC will not, however, take down a media release while the outcome is ongoing (for instance, where a person is permanently banned).</p> <p>INFO 152 has also been updated to clarify ASIC's position on giving advance notice of media releases about regulatory outcomes. Where ASIC gives a draft media release (or relevant extracts) to an affected party, it will do so:</p> <ul style="list-style-type: none"> • no more than one business day before publication; and • only for checking factual accuracy. 	No MR

Title	Status	Release Date	Comments	Media release and related documents
INFO 231 Guidance on the duties of directors of mutual companies	New	27/3/2018	<p>As the director of a mutual company, you must comply with a number of obligations under the Corporations Act. This information sheet (INFO 231) discusses the definition of a mutual company and sets out your duty, as a director of a mutual company, to:</p> <ul style="list-style-type: none"> • act in good faith and in the best interests of the company • act with care and diligence • not improperly use your position or information obtained through your position • disclose conflicts of interests. <p>It also covers criminal offences that apply to directors of mutual companies under the Corporations Act.</p>	No MR
SINFO 150 Market supervision and competition cost recovery (1 July 2013 to 30 June 2015) – billing arrangements for ASX and Chi-X market participants	Withdrawn	23/2/2018	Content is no longer relevant because of the introduction of industry funding.	No MR
INFO 216 AFS licensing requirements for accountants who provide SMSF services	Reissued	26/4/2018	Updated to provide guidance for accountants who provide services on self-managed superannuation funds (SMSFs) to cover the exemption from the Australian financial services (AFS) licensing requirements for tax agents and BAS agents	MR 18-115

Title	Status	Release Date	Comments	Media release and related documents
INFO 225 Initial coin offerings and crypto-currency	Reissued	1/5/2018	<p>On 19 April 2018, ASIC received delegated powers from the Australian Competition and Consumer Commission (ACCC) to take action under the Australian Consumer Law relating to crypto-assets. The delegation from the ACCC enables ASIC to take action against misleading or deceptive conduct in marketing or selling of ICOs, even if the ICO does not involve a financial product.</p> <p>ASIC has updated Information Sheet 225 <i>Initial coin offerings and crypto-currency</i> (INFO 225) to reflect these developments.</p>	MR 18-122