



Annual dashboard report

Under the Australian Securities and Investment Commission Act 2001 we are required to publish an annual dashboard report each year, setting out information about our regulatory costs for the previous financial year. The tables below comprise the annual dashboard report for 2017–18.

Table 1 shows how we have apportioned our regulatory costs in 2017–18 for each sector by the type of activity undertaken and the different kinds of expenses we have incurred.

Table 1: Total regulatory costs recoverable through levies in 2017–18 for each sector by regulatory activity

Expense	Corporate sector	Deposit taking and credit sector	Investment management, superannuation and related services sector	Market infrastructure and intermediaries sector	Financial advice sector	Insurance sector	All industry sectors
Stakeholder engagement	\$1.376m	\$0.550m	\$0.218m	\$3.110m	\$0.279m	\$0.315m	\$5.846m
Education	\$0.396m	\$0.258m	\$0.121m	\$0.159m	\$0.191m	\$0.146m	\$1.270m
Guidance	\$0.753m	\$0.149m	\$0.582m	\$1.202m	\$0.307m	\$0.085m	\$3.077m
Supervision and surveillance	\$12.841m	\$5.402m	\$3.835m	\$11.150m	\$3.974m	\$3.070m	\$40.267m
Enforcement	\$29.229m	\$6.658m	\$17.999m	\$6.323m	\$5.706m	\$1.641m	\$67.558m
Policy advice	\$0.617m	\$0.331m	\$0.479m	\$0.839m	\$0.228m	\$0.188m	\$2.681m
Financial capability work	\$0.000m	\$2.814m	\$2.028m	\$0.000m	\$1.253m	\$1.604m	\$7.699m
Governance, central strategy and policy and central legal functions	\$5.583m	\$3.078m	\$3.293m	\$2.880m	\$3.649m	\$1.260m	\$19.742m

Expense	Corporate sector	Deposit taking and credit sector	Investment management, superannuation and related services sector	Market infrastructure and intermediaries sector	Financial advice sector	Insurance sector	All industry sectors
IT support	\$7.642m	\$3.822m	\$4.654m	\$4.441m	\$3.258m	\$1.706m	\$25.523m
Operations support	\$3.750m	\$1.845m	\$2.360m	\$2.293m	\$1.548m	\$0.808m	\$12.604m
Property and corporate services	\$10.383m	\$5.074m	\$6.169m	\$5.979m	\$4.214m	\$2.204m	\$34.023m
<i>Total operating costs</i>	<i>\$72.572m</i>	<i>\$29.981m</i>	<i>\$41.737m</i>	<i>\$38.376m</i>	<i>\$24.601m</i>	<i>\$13.024m</i>	<i>\$220.289m</i>
<i>Adjustment for capital expenditure allowance</i>	<i>\$4.603m</i>	<i>\$2.657m</i>	<i>\$2.499m</i>	<i>\$3.118m</i>	<i>\$1.783m</i>	<i>\$1.264m</i>	<i>\$15.924m</i>
<i>Adjustment for ASIC-sourced revenue</i>	<i>(\$8.825m)</i>	<i>(\$1.155m)</i>	<i>(\$2.564m)</i>	<i>(\$1.856m)</i>	<i>(\$1.047m)</i>	<i>(\$0.664m)</i>	<i>(\$16,109m)</i>
<i>Adjustment for market competition cost recovery</i>	<i>\$0.658m</i>	<i>N/A</i>	<i>\$0.658m</i>	<i>\$3.070m</i>	<i>N/A</i>	<i>N/A</i>	<i>\$4.386m</i>
<i>Adjustment for new policy measures</i>	<i>\$1.689m</i>	<i>\$3.594m</i>	<i>\$2.413m</i>	<i>\$0.739m</i>	<i>\$2.923m</i>	<i>\$0.299m</i>	<i>\$12.082m</i>
Total costs recoverable	\$70.697m	\$35.077m	\$44.743m	\$43.446m	\$28.260m	\$14.361m	\$236.583m

Table 2 shows our total regulatory costs for 2017–18 and how we have apportioned those costs across each sector and subsector.

Table 2: Total regulatory costs recoverable through levies in 2017–18 by industry sector and subsector

All industry sectors

Sector	Cost
Corporate sector	\$70.697m
Deposit taking and credit sector	\$35.077m
Investment management, superannuation and related services	\$44.743m
Market infrastructure and intermediaries sector	\$43.446m
Financial advice sector	\$28.260m
Insurance sector	\$14.361m
Total	\$236.583m

Corporate sector

Subsector	Cost
Listed corporations	\$50.415m
Unlisted public companies	\$2.341m
Large proprietary companies	\$4.473m
Auditors of disclosing entities	\$5.666m
Registered company auditors	\$0.929m
Registered liquidators	\$6.870m
Total	\$70.697m

Deposit taking and credit sector

Subsector	Cost
Credit providers	\$24.124m

Subsector	Cost
Small amount credit providers	\$1.296m
Credit intermediaries	\$5.740m
Deposit product providers	\$3.114m
Payment product providers	\$0.655m
Margin lenders	\$0.148m
Total	\$35.077m

Investment management, superannuation and related services sector

Subsector	Cost
Superannuation trustees	\$9.593m
Responsible entities	\$22.770m
Wholesale trustees	\$9.380m
Custodians	\$0.741m
Investor directed portfolio services operators	\$1.222m
Managed discretionary account providers	\$0.742m
Traditional trustee company service providers	\$0.297m
Total	\$44.743m

Market infrastructure and intermediaries sector

Subsector	Cost
Large securities exchange operators	\$3.801m
Large futures exchange operators	\$1.436m
Small futures exchange operators	\$0.251m
Small securities exchange operators with self-listing function only	\$0.024m
Small securities exchange operators	\$0.536m

Subsector	Cost
Small derivatives market operators	\$0.480m
Overseas market operators	\$0.519m
Exempt CS facility operators	\$0.016m
Tier 1 CS facility operators	\$1.614m
Tier 2 CS facility operators	\$0.192m
Tier 3 CS facility operators	\$0.072m
Tier 4 CS facility operators	\$0.016m
Australian derivative trade repository operators	\$0.240m
Exempt market operators	\$1.135m
Credit rating agencies	\$0.232m
Large securities exchange participants	\$14.725m
Large futures exchange participants	\$3.321m
Securities dealers	\$1.483m
Corporate advisers	\$4.767m
OTC traders	\$3.846m
Retail OTC derivatives issuers	\$4.631m
Wholesale electricity dealers	\$0.110m
Total	\$43.446m

Financial advice sector

Subsector	Cost
Licensees that provide personal advice to retail clients on relevant financial products	\$25.634m
Licensees that provide personal advice to retail clients on products that are not relevant financial products	\$1.199m

Subsector	Cost
Licensees that provide general advice only	\$0.601m
Licensees that provide personal advice to wholesale clients only	\$0.826m
Total	\$28.260m

Insurance sector

Subsector	Cost
Insurance product providers	\$13.132m
Insurance product distributors	\$0.943m
Risk management product providers	\$0.286m
Total	\$14.361m