

Australian Securities and Investments Commission – Table of regulatory documents

Documents released during March 2019

New regulatory guides

Title	Release Date	Details	Media release and related documents
No new regulatory guides issued in March 2019			

Amended or reissued regulatory guides

Title	Release Date	Details	Media release and related documents
RG 243 Registration of self-managed superannuation fund auditors	4/3/2019	<p>This guide is for people who wish to audit self-managed superannuation funds (SMSFs) under the <i>Superannuation Industry (Supervision) Act 1993</i> (SIS Act).</p> <p>This guide explains how to apply for registration as an approved SMSF auditor and the types of registers of SMSF auditors maintained by ASIC. It also gives guidance on the continuing legal obligations of approved SMSF auditors.</p> <p>Updated to account for inclusion of SMSF auditors on ASIC's Regulatory Portal.</p>	No MR

Title	Release Date	Details	Media release and related documents
RG 197 Warrants: Out-of-use notices	18/3/2019	<p>This guide is for issuers of warrants offered under a Product Disclosure Statement (PDS) or Supplementary PDS covering two or more warrant products.</p> <p>It explains relief ASIC has given in certain circumstances from the requirement in s1015D(2)(c) of the <i>Corporations Act 2001</i> (Corporations Act) to notify ASIC when a warrant ceases to be available.</p> <p>Note: A warrant is a financial product as defined in reg 1.0.02(1) of the <i>Corporations Regulations 2001</i>.</p> <p>Technical amendments only: References to Class Order [CO 08/781] Warrants: Out-of-use notices replaced with references to ASIC Corporations (Warrants: Out-of-use notices) Instrument 2019/148 and RG 197.7 amended to clarify the characteristics of a warrant. Issue date has note changed.</p>	<p>MR 19-056</p> <p>SLI 19/147</p> <p>LI 19/148</p>

Legislative instruments

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2019/169	<p><i>Issued 11/3/2019</i></p> <p><i>Registered 13/3/2019: F2019L00284</i></p> <p><i>Effective 14/3/2019 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2019/169</i> amends <i>ASIC Corporations (Derivative Transaction Reporting Exemption) Instrument 2015/844</i> to provide conditional continued time-limited exemptive relief for the industry for three elements of relief ('Entity Information', 'Privacy – Consent for historical counterparties' and 'Privacy – Foreign privacy restrictions') set to expire on 31 March 2019 and amends the transitional time-limited exemptive relief provided for 'Exchange-traded derivatives'.</p>	No MR
ASIC Corporations (Repeal) Instrument 2019/147	<p><i>Issued 12/3/2019</i></p> <p><i>Registered 14/3/2019: F2019L00292</i></p> <p><i>Effective 15/3/2019 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2019/147</i> repeals Class Order [CO 08/781] <i>Warrants: Out-of-use notices</i> which has been replaced by <i>ASIC Corporations (Warrants: Out-of-use notices) Instrument 2019/148</i>.</p>	MR 19-056 LI 19/148 RG 197
ASIC Corporations (Warrants: Out-of-use notices) Instrument 2019/148	<p><i>Issued 12/3/2019</i></p> <p><i>Registered 14/3/2019: F2019L00290</i></p> <p><i>Effective 15/3/2019 (day after registration)</i></p>	<p><i>ASIC Corporations (Warrants: Out-of-use notices) Instrument 2019/148</i> continues the relief provided by Class Order [CO 08/781] <i>Warrants: Out-of-use notices</i> in a new legislative instrument that reflects current drafting practice, without any significant changes.</p>	MR 19-056 SLI 19/147 RG 197
ASIC Corporations (Amendment) Instrument 2019/216	<p><i>Issued 19/3/2019</i></p> <p><i>Registered 20/3/2019: F2019L00325</i></p> <p><i>Effective 21/3/2019 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2019/216</i> amends <i>ASIC Corporations (Repeal and Transitional) Instrument 2017/186</i> to extend its effect until 1 April 2022.</p>	MR 19-067

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2019/202	<p><i>Issued 25/3/2019</i></p> <p><i>Registered 26/3/2019: F2019L00408</i></p> <p><i>Effective 27/3/2019 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2019/202 amends ASIC Corporations (Derivative Clearing Exemption) Instrument 2018/209.</i></p>	None
ASIC (Fees—Complexity Criteria) Amendment Instrument 2019/130	<p><i>Issued 26/3/2019</i></p> <p><i>Registered 27/3/2019: F2019L00425</i></p> <p><i>Effective 1/4/2019 (later of 1 April 2019 or day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC (Fees—Complexity Criteria) Amendment Instrument 2019/130 amends ASIC (Fees - Complexity Criteria) Instrument 2018/578 to determine a 'fees for service' determination criteria for whether certain applications are of low, medium or high complexity.</i></p>	MR 19-071

Consultation papers

Title	Release Date	Details	Media release and related documents
CP 310 Review of ePayments Code: Scope of the review	6/3/2019	<p>This consultation paper is the first of two papers ASIC plans to issue in 2019 on our review of the ePayments Code.</p> <p>This paper seeks feedback from stakeholders on the topics we propose to consider as part of our review.</p> <p>We anticipate engaging further with stakeholders to help us develop more detailed proposals for a second, more substantive, consultation paper later in 2019.</p>	MR 19-049

Reports

Title	Release Date	Details	Media release and related documents
REP 612 ASIC regulation of corporate finance: July to December 2018	15/3/2019	<p>This report is for companies, lawyers, corporate advisers and compliance professionals working in corporate finance.</p> <p>It discusses our key observations for the period from 1 July 2018 to 31 December 2018, and our areas of focus for the next six months.</p>	MR 19-054
REP 614 Financial advice: Mind the gap	28/3/2019	<p>This report summarises the key findings of research commissioned by ASIC into consumer awareness and understanding of general and personal advice.</p> <p>The research was conducted by Whereto Research, an independent market research agency.</p>	MR 19-069

New rules

Title	Dates	Details	Media release and related documents
No rules issued in March 2019			

Class rule waivers

Title	Dates	Details	Media release and related documents
No class rule waivers issued in March 2019			

Determinations

Title	Dates	Details	Media release and related documents
ASIC Market Integrity Rules (Securities Markets) Determination 2019/175	<p><i>Issued 7/3/2019</i></p> <p><i>Registered 8/3/2019: F2019L00267</i></p> <p><i>Effective 5/4/2019 (later of 5 April 2019 or 20 business days after the day of registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Determination 2019/175 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>	None
ASIC Market Integrity Rules (Securities Markets) Repeal Instrument 2019/176	<p><i>Issued 7/3/2019</i></p> <p><i>Registered 8/3/2019: F2019L00268</i></p> <p><i>Effective 5/4/2019 (later of 5 April 2019 or 20 business days after the day of registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Repeal Instrument 2019/176 repeals ASIC Market Integrity Rules (Securities Markets) Determination 2018/1131 which will be superseded by ASIC Market Integrity Rules (Securities Markets) Determination 2019/175.</i></p>	None

Information sheets

Title	Status	Release Date	Comments	Media release and related documents
No information sheets issued in March 2019				