

Australian Securities and Investments Commission – Table of regulatory documents

Documents released during April 2019

New regulatory guides

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

Amended or reissued regulatory guides

Title	Release Date	Details	Media release and related documents
No regulatory guides amended or reissued in April 2019			

Legislative instruments

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2019/240	<p><i>Issued 2/4/2019</i></p> <p><i>Registered 5/4/2019: F2019L00541</i></p> <p><i>Effective 6/4/2019 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2019/240 amends Class Orders:</i></p> <ul style="list-style-type: none"> • <i>[CO 13/1534] Deferral of Stronger Super amendments in relation to PDS and periodic statement disclosure, and</i> • <i>[CO 14/443] Deferral of choice product dashboard and portfolio holdings disclosure regimes</i> <p>to continue the deferral of the requirements for superannuation trustees to publish a dashboard for a choice superannuation product and to include product dashboards with periodic statements sent to superannuation fund members. The continued deferral will facilitate the government considering and settling its policy positions on these aspects, including making regulations to prescribe the content of a dashboard for a choice superannuation product.</p>	MR 19-081

Consultation papers

Title	Release Date	Details	Media release and related documents
No consultation papers issued in April 2019			

Reports

Title	Release Date	Details	Media release and related documents
REP 615 ASIC Enforcement Update: July to December 2018	9/4/2019	<p>Report 615 <i>ASIC Enforcement Update: July to December 2018</i> (REP 615) outlines key enforcement outcomes between July and December 2018, and also identifies the focus areas for ASIC's enforcement work in 2019.</p> <p>In his Foreword to the report, ASIC Deputy Chair Daniel Crennan QC discusses recent reforms enabling ASIC to pursue harsher civil penalties and criminal sanctions against banks, their executives and others who have breached corporate and financial services law.</p>	MR 19-083
REP 613 Compliance Report (Part 4) - Commonwealth Financial Planning Limited and Financial Wisdom Limited	10/4/2019	<p>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.</p>	MR 19-085
REP 616 Survey of crowd-sourced funding intermediaries: 2017–2018	12/4/2019	<p>This report is for existing and prospective crowd-sourced funding (CSF) intermediaries, existing and prospective eligible CSF companies, and interested stakeholders.</p> <p>It sets out the key information and findings from our survey of CSF intermediaries, which covered the period from the start of the CSF regime on 29 September 2017 to 30 June 2018.</p>	MR 19-089

Title	Release Date	Details	Media release and related documents
REP 617 Survey of marketplace lending providers: 2017–18	12/4/2019	<p>This report provides an overview of marketplace lending platforms structured as managed investment schemes. It is based on the findings from ASIC’s survey of 13 marketplace lending providers for the 2017–18 financial year. This is our third survey on this segment of the marketplace lending sector.</p> <p>By conducting surveys of marketplace lending providers, we have been able to better understand new and existing business models, monitor activity levels and assess risks.</p> <p>This report explains:</p> <ul style="list-style-type: none"> • how we conducted the 2017–18 survey; • findings from the 2017–18 survey; and • our next steps. 	MR 19-089
REP 618 Regulator Performance Framework: ASIC self-assessment 2017–18	16/4/2019	<p>The Regulator Performance Framework (Framework) provides a set of six common key performance indicators (KPIs) for Australian Government regulators.</p> <p>This report sets out our self-assessment of ASIC’s performance against the KPIs in 2017–18.</p>	None

Rules

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

Class rule waivers

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

Determinations

Title	Dates	Details	Media release and related documents
ASIC Regulated Foreign Markets Determination (Amendment) Instrument 2019/324	<i>Issued 10/4/2019</i> <i>Registered 11/4/2019: F2019L00607</i> <i>Effective 12/4/2019 (day after registration)</i> Automatic repeal under s48A Legislation Act	<i>ASIC Regulated Foreign Markets Determination (Amendment) Instrument 2019/324 amends ASIC Regulated Foreign Markets Determination [OTC DET 13/1145] to add regulated markets, a change necessitated by the withdrawal of the UK from the EU</i>	None

Information sheets

Title	Status	Release Date	Comments	Media release and related documents
INFO 185 Using ASIC's reverse mortgage calculator	Reissued	1/5/2019	Amended to account for relaunch of the MoneySmart reverse mortgage calculator.	None