# Glossary

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Full Form</th>
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<tr>
<td>AA Fund</td>
<td>Assetless Administration Fund</td>
</tr>
<tr>
<td>AAT</td>
<td>Administrative Appeals Tribunal</td>
</tr>
<tr>
<td>ABA</td>
<td>Australian Banking Association</td>
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<tr>
<td>ACCC</td>
<td>Australian Competition and Consumer Commission</td>
</tr>
<tr>
<td>AFCA</td>
<td>Australian Financial Complaints Authority</td>
</tr>
<tr>
<td>AFS licence</td>
<td>Australian financial services licence</td>
</tr>
<tr>
<td>ANZ</td>
<td>Australia and New Zealand Banking Group Limited</td>
</tr>
<tr>
<td>APRA</td>
<td>Australian Prudential Regulation Authority</td>
</tr>
<tr>
<td>APRC</td>
<td>Asia-Pacific Regional Committee</td>
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<tr>
<td>APS</td>
<td>Australian Public Service</td>
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<tr>
<td>APY</td>
<td>Anangu Pitjantjatjara Yankunytjatjara</td>
</tr>
<tr>
<td>ARFP</td>
<td>Asia Region Funds Passport</td>
</tr>
<tr>
<td>ASIC Act</td>
<td><em>Australian Securities and Investments Commission Act 2001</em></td>
</tr>
<tr>
<td>ASX</td>
<td>ASX Limited or the exchange market operated by ASX Limited</td>
</tr>
<tr>
<td>ATO</td>
<td>Australian Taxation Office</td>
</tr>
<tr>
<td>Austrac</td>
<td>Australian Transaction Reports and Analysis Centre</td>
</tr>
<tr>
<td>BBSW</td>
<td>Bank bill swap rate</td>
</tr>
<tr>
<td>CADB</td>
<td>Companies Auditors Disciplinary Board, formerly known as the Companies Auditors and Liquidators Disciplinary Board (CALDB)</td>
</tr>
<tr>
<td>CAP</td>
<td>Consumer Advisory Panel</td>
</tr>
<tr>
<td>CBA</td>
<td>Commonwealth Bank of Australia</td>
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<tr>
<td>CCI</td>
<td>Consumer credit insurance</td>
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<tr>
<td>CCM</td>
<td>Close and Continuous Monitoring</td>
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<tr>
<td>CDPP</td>
<td>Commonwealth Director of Public Prosecutions</td>
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<tr>
<td>CFR</td>
<td>Council of Financial Regulators</td>
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<td>CGTF</td>
<td>Corporate Governance Taskforce</td>
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<tr>
<td>Abbreviation</td>
<td>Definition</td>
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<tr>
<td>CHESS</td>
<td>ASX Clearing House Electronic Subregister System</td>
</tr>
<tr>
<td>Corporations Act</td>
<td>Corporations Act 2001</td>
</tr>
<tr>
<td>CP</td>
<td>Consultation Paper</td>
</tr>
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<td>CPRs</td>
<td>Commonwealth Procurement Rules</td>
</tr>
<tr>
<td>CRF</td>
<td>Corporate Registers Forum</td>
</tr>
<tr>
<td>CRIS</td>
<td>Cost Recovery Implementation Statement</td>
</tr>
<tr>
<td>crowd-sourced funding</td>
<td>A financial service where start-ups and small businesses raise funds, generally from a large number of investors that invest small amounts of money</td>
</tr>
<tr>
<td>CS</td>
<td>Clearing and settlement</td>
</tr>
<tr>
<td>cyber resilience</td>
<td>An organisation’s ability to prepare for, respond to and recover from a cyber attack</td>
</tr>
<tr>
<td>derivative</td>
<td>A financial instrument where the value is derived from an underlying asset, such as a share, commodity or index</td>
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<tr>
<td>digital advice</td>
<td>Digital advice (also known as robo-advice or automated advice) is the provision of automated financial product advice using algorithms and technology and without the direct involvement of a human adviser</td>
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<tr>
<td>EDR</td>
<td>External dispute resolution</td>
</tr>
<tr>
<td>ESA</td>
<td>Enforcement Special Account</td>
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<tr>
<td>FCA</td>
<td>UK Financial Conduct Authority</td>
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<tr>
<td>financial capability</td>
<td>The combination of an individual’s attitude, knowledge, skills, confidence and ability to make sound financial decisions</td>
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<tr>
<td>fintech</td>
<td>Financial technology</td>
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<tr>
<td>FOI Act</td>
<td>Freedom of Information Act 1982</td>
</tr>
<tr>
<td>FRC</td>
<td>Financial Reporting Council</td>
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<td>FSAP</td>
<td>Financial Sector Assessment Program</td>
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<td>FSCP</td>
<td>Financial Services and Credit Panel</td>
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<td>FTE</td>
<td>Full-time equivalent</td>
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<td>GAP</td>
<td>Guaranteed asset protection</td>
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<td>GFIN</td>
<td>Global Financial Innovation Network</td>
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<td>ICO</td>
<td>Initial coin offering</td>
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<td>Acronym</td>
<td>Definition</td>
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<tr>
<td>ICT</td>
<td>Information and communications technology</td>
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<tr>
<td>IDPS</td>
<td>Investor directed portfolio service</td>
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<tr>
<td>IDR</td>
<td>Internal dispute resolution</td>
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<tr>
<td>IMF</td>
<td>International Monetary Fund</td>
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<tr>
<td><strong>industry funding</strong></td>
<td>A funding model whereby those who create the need for and benefit from ASIC’s regulation bear the costs. Entities pay a share of the costs to regulate their subsector through industry levies based on a range of business activity metrics.</td>
</tr>
<tr>
<td>INFO</td>
<td>Information Sheet</td>
</tr>
<tr>
<td>Innovation Hub</td>
<td>ASIC’s online hub providing tailored content for fintech businesses that are developing innovative financial products or services</td>
</tr>
<tr>
<td>IOP</td>
<td>Indigenous Outreach Program</td>
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<td>IOSCO</td>
<td>International Organization of Securities Commissions</td>
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<tr>
<td>IPA</td>
<td>Institute of Public Accountants</td>
</tr>
<tr>
<td>IT</td>
<td>Information technology</td>
</tr>
<tr>
<td>LGBTIQ+</td>
<td>Lesbian, gay, bisexual, trans, intersex and queer</td>
</tr>
<tr>
<td>LIBOR</td>
<td>London Interbank Offered Rate</td>
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<tr>
<td><strong>marketplace lending</strong></td>
<td>Marketplace lending generally describes an arrangement through which retail or wholesale investors invest money (seeking to earn a return), which is then lent to borrowers (consumers or businesses)</td>
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<tr>
<td>MDA</td>
<td>Managed discretionary account</td>
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<td>MDP</td>
<td>Markets Disciplinary Panel</td>
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<td>MoneySmart</td>
<td>ASIC’s consumer website</td>
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<td>NAB</td>
<td>National Australia Bank</td>
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<td>NAIDOC</td>
<td>National Aborigines and Islanders Day Observance Committee</td>
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<td><strong>National Credit Act</strong></td>
<td><em>National Consumer Credit Protection Act 2009</em></td>
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<tr>
<td>OJK</td>
<td>Otoritas Jasa Keuangan, the Indonesian Financial Services Authority</td>
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<td>OTC</td>
<td>Over-the-counter</td>
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<td>Term</td>
<td>Definition</td>
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<tr>
<td>payday loans</td>
<td>Small-amount or short-term loans to individuals that generally attract significantly higher interest rates and costs than other types of loans</td>
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<td>PDS</td>
<td>Product disclosure statement</td>
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<tr>
<td>PGPA Act</td>
<td><em>Public Governance, Performance and Accountability Act 2013</em></td>
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<td>PGPA Rule</td>
<td><em>Public Governance, Performance and Accountability Rule 2014</em></td>
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<tr>
<td>phoenix activity (illegal)</td>
<td>Transferring assets of an indebted company to a new company to avoid paying creditors, tax or other employee entitlements</td>
</tr>
<tr>
<td>Phoenix Taskforce</td>
<td>A cross-agency taskforce the Government established in 2014 to combat illegal phoenix activity.</td>
</tr>
<tr>
<td>PJC</td>
<td>Parliamentary Joint Committee</td>
</tr>
<tr>
<td>RAP</td>
<td>Reconciliation Action Plan</td>
</tr>
<tr>
<td>RBA</td>
<td>Reserve Bank of Australia</td>
</tr>
<tr>
<td>RCA</td>
<td>Registered company auditor</td>
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<tr>
<td>RE</td>
<td>Responsible entity</td>
</tr>
<tr>
<td>regtech</td>
<td>Regulatory technology; technology designed to address regulatory challenges in the financial services sector</td>
</tr>
<tr>
<td>Regulatory Transformation program</td>
<td>ASIC’s program to increase efficiency by establishing a common language across ASIC, streamlining our regulatory business processes, making compliance and interaction with us easier through online portals, and implementing a single technology strategy</td>
</tr>
<tr>
<td>REP</td>
<td>Report</td>
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<td>RG</td>
<td>Regulatory Guide</td>
</tr>
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<td>Royal Commission</td>
<td>Royal Commission into Misconduct in the Banking, Superannuation and Financial Services Committee</td>
</tr>
<tr>
<td>SCT</td>
<td>Superannuation Complaints Tribunal</td>
</tr>
<tr>
<td>SES</td>
<td>Senior Executive Service</td>
</tr>
<tr>
<td>SFCT</td>
<td>Serious Financial Crime Taskforce</td>
</tr>
<tr>
<td>SIS Act</td>
<td><em>Superannuation Industry (Supervision) Act 1993</em></td>
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<td>SMSF</td>
<td>Self-managed superannuation fund</td>
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Compliance index

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<td>17AD(g)</td>
<td>Letter of transmittal</td>
<td></td>
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<tr>
<td>17AI</td>
<td>A copy of the letter of transmittal signed and dated by the accountable authority on the date the final text is approved, with a statement that the report has been prepared in accordance with section 46 of the PGPA Act and any enabling legislation that specifies additional requirements in relation to the annual report</td>
<td>Mandatory</td>
<td>1</td>
</tr>
<tr>
<td>17AD(h)</td>
<td>Aids to access</td>
<td></td>
<td></td>
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<tr>
<td>17AJ(a)</td>
<td>Table of contents</td>
<td>Mandatory</td>
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<td>17AJ(b)</td>
<td>Alphabetical index</td>
<td>Mandatory</td>
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<td>Glossary of abbreviations and acronyms</td>
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<td>17AJ(d)</td>
<td>List of requirements</td>
<td>Mandatory</td>
<td>274–284</td>
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<td>17AJ(e)</td>
<td>Details of contact officer</td>
<td>Mandatory</td>
<td>Inside back cover</td>
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<tr>
<td>17AJ(f)</td>
<td>Entity’s website address</td>
<td>Mandatory</td>
<td>Inside back cover</td>
</tr>
<tr>
<td>17AJ(g)</td>
<td>Electronic address of report</td>
<td>Mandatory</td>
<td>Inside back cover</td>
</tr>
<tr>
<td>17AD(a)</td>
<td>Review by accountable authority</td>
<td></td>
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<tr>
<td>17AD(a)</td>
<td>A review by the accountable authority of the entity</td>
<td>Mandatory</td>
<td>6–10</td>
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<td>17AD(b)</td>
<td>Overview of the entity</td>
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<tr>
<td>17AE(1)(a)(i)</td>
<td>A description of the role and functions of the entity</td>
<td>Mandatory</td>
<td>11–13</td>
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<tr>
<td>PGPA rule reference</td>
<td>Part of report/Description</td>
<td>Requirement</td>
<td>Location (page(s))</td>
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<tr>
<td>17AE(1)(a)(ii)</td>
<td>A description of the organisational structure of the entity</td>
<td>Mandatory</td>
<td>14–15</td>
</tr>
<tr>
<td>17AE(1)(a)(iii)</td>
<td>A description of the outcomes and programs administered by the entity</td>
<td>Mandatory</td>
<td>38–43, 70–74</td>
</tr>
<tr>
<td>17AE(1)(a)(iv)</td>
<td>A description of the purposes of the entity as included in the Corporate Plan</td>
<td>Mandatory</td>
<td>38, 44</td>
</tr>
<tr>
<td>17AE(1)(b)</td>
<td>An outline of the structure of the portfolio of the entity</td>
<td>Portfolio departments – mandatory</td>
<td>N/A</td>
</tr>
<tr>
<td>17AE(2)</td>
<td>Where the outcomes and programs administered by the entity differ from any Portfolio Budget Statement, Portfolio Additional Estimates Statement or other portfolio estimates statement that was prepared for the entity for the period, details of variation and reasons for change</td>
<td>Mandatory</td>
<td>210–218</td>
</tr>
</tbody>
</table>

**17AD(c) Report on the performance of the entity**

**Annual performance statement**

| 17AD(c)(i); 16F     | Annual performance statement in accordance with paragraph 39(1)(b) of the PGPA Act and section 16F of the PGPA Rule | Mandatory   | 37–78              |

**17AD(c)(ii) Reports on financial performance**

| 17AF(1)(a)         | A discussion and analysis of the entity’s financial performance                              | Mandatory   | 35–36, 159–218     |
| 17AF(1)(b)         | A table summarising the total resources and total payments of the entity                    | Mandatory   | 252–254            |
If there may be significant changes in the financial results during or after the previous or current reporting period, information on those changes, including the cause of any operating loss of the entity; how the entity has responded to the loss and the actions that have been taken in relation to the loss; and any matter or circumstances that it can reasonably be anticipated will have a significant impact on the entity’s future operation or financial results.

Management and accountability

Corporate governance

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<tbody>
<tr>
<td>17AF(2)</td>
<td></td>
<td>If applicable, mandatory</td>
<td>N/A</td>
</tr>
<tr>
<td>17AG(2)(a)</td>
<td>Information on compliance with section 10 (fraud systems) of the PGPA Act</td>
<td>Mandatory</td>
<td>247</td>
</tr>
<tr>
<td>17AG(2)(b)(i)</td>
<td>A certification by the accountable authority that fraud risk assessments and fraud control plans have been prepared</td>
<td>Mandatory</td>
<td>247</td>
</tr>
<tr>
<td>17AG(2)(b)(ii)</td>
<td>A certification by the accountable authority that appropriate mechanisms for preventing, detecting incidents of, investigating or otherwise dealing with, and recording or reporting, fraud that meet the specific needs of the entity are in place</td>
<td>Mandatory</td>
<td>247</td>
</tr>
<tr>
<td>17AG(2)(b)(iii)</td>
<td>A certification by the accountable authority that all reasonable measures have been taken to deal appropriately with fraud relating to the entity</td>
<td>Mandatory</td>
<td>247</td>
</tr>
<tr>
<td>17AG(2)(c)</td>
<td>An outline of structures and processes in place for the entity to implement principles and objectives of corporate governance</td>
<td>Mandatory</td>
<td>13, 14–15, 220–223</td>
</tr>
<tr>
<td>PGPA rule reference</td>
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<td>Requirement</td>
<td>Location (page(s))</td>
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<tr>
<td>17AG(2)(d)–(e)</td>
<td>A statement of significant issues reported to the Minister under paragraph 19(1)(e) of the PGPA Act that relate to non-compliance with finance law and action taken to remedy non-compliance</td>
<td>If applicable, mandatory</td>
<td>N/A</td>
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<tr>
<td><strong>External scrutiny</strong></td>
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<tr>
<td>17AG(3)</td>
<td>Information on the most significant developments in external scrutiny and the entity’s response to the scrutiny</td>
<td>Mandatory</td>
<td>247–251</td>
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<tr>
<td>17AG(3)(a)</td>
<td>Information on judicial decisions and decisions of administrative tribunals and by the Australian Information Commissioner that may have a significant effect on the operations of the entity</td>
<td>If applicable, mandatory</td>
<td>248</td>
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<tr>
<td>17AG(3)(b)</td>
<td>Information on any reports on operations of the entity by the Auditor-General (other than reports under section 43 of the Act), a Parliamentary Committee or the Commonwealth Ombudsman</td>
<td>If applicable, mandatory</td>
<td>249–250</td>
</tr>
<tr>
<td>17AG(3)(c)</td>
<td>Information on any capability review on the entity that was released during the period</td>
<td>If applicable, mandatory</td>
<td>249–250</td>
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<td><strong>Management of human resources</strong></td>
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<td>17AG(4)(a)</td>
<td>An assessment of the entity’s effectiveness in managing and developing employees to achieve entity objectives</td>
<td>Mandatory</td>
<td>146–150</td>
</tr>
<tr>
<td>17AG(4)(b)</td>
<td>Statistics on the entity’s APS employees on an ongoing and non-ongoing basis, including the following:</td>
<td>Mandatory</td>
<td>151, 155, 227–237</td>
</tr>
<tr>
<td></td>
<td>› Statistics on staffing classification levels</td>
<td></td>
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<tr>
<td></td>
<td>› Statistics on full-time employees</td>
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<td>› Statistics on part-time employees</td>
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<tr>
<td></td>
<td>› Statistics on gender</td>
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<td></td>
<td>› Statistics on staff location</td>
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<td></td>
<td>› Statistics on employees who identify as Indigenous</td>
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<tr>
<td>PGPA rule reference</td>
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<tr>
<td>17AG(4)(c)</td>
<td>Information on any enterprise agreements, individual flexibility arrangements, Australian workplace agreements, common law contracts, and determinations under subsection 24(1) of the Public Service Act</td>
<td>Mandatory</td>
<td>146, 231–232</td>
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<tr>
<td>17AG(4)(c)(i)</td>
<td>Information on the number of SES and non-SES employees covered by agreements, arrangements, contracts or determinations during this period</td>
<td>Mandatory</td>
<td>228–231</td>
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<td>17AG(4)(c)(ii)</td>
<td>The salary ranges available for APS employees by classification level</td>
<td>Mandatory</td>
<td>232</td>
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<td>17AG(4)(c)(iii)</td>
<td>A description of non-salary benefits provided to employees</td>
<td>Mandatory</td>
<td>146–150</td>
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<td>17AG(4)(d)(i)</td>
<td>Information on the number of employees at each classification level who received performance pay</td>
<td>If applicable, mandatory</td>
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<tr>
<td>17AG(4)(d)(ii)</td>
<td>Information on aggregate amounts of performance pay at each classification level</td>
<td>If applicable, mandatory</td>
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<td>17AG(4)(d)(iii)</td>
<td>Information on the average amount of performance payments, and the range of such payments, at each classification level</td>
<td>If applicable, mandatory</td>
<td>232</td>
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<tr>
<td>17AG(4)(d)(iv)</td>
<td>Information on the aggregate amount of performance payments</td>
<td>If applicable, mandatory</td>
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<td><strong>Assets management</strong></td>
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<td>17AG(5)</td>
<td>An assessment of the effectiveness of asset management where asset management is a significant part of the entity’s activities</td>
<td>If applicable, mandatory</td>
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<td><strong>Purchasing</strong></td>
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<td>17AG(6)</td>
<td>An assessment of the entity performance against the Commonwealth Procurement Rules</td>
<td>Mandatory</td>
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<td>PGPA rule reference</td>
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<tr>
<td>17AG(7)(a)</td>
<td>A summary statement detailing the number of new contracts engaging consultants entered into during the period; the total actual expenditure on all new consultancy contracts entered into during the period (inclusive of GST); the number of ongoing consultancy contracts that were entered into during a previous reporting period; and the total actual expenditure in the reporting year on the ongoing consultancy contracts (inclusive of GST)</td>
<td>Mandatory</td>
<td>261–262</td>
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<tr>
<td>17AG(7)(b)</td>
<td>A statement that ‘During [reporting period], [specified number] new consultancy contracts were entered into involving total actual expenditure of $[specified million]. In addition, [specified number] ongoing consultancy contracts were active during the period, involving total actual expenditure of $[specified million].’</td>
<td>Mandatory</td>
<td>261</td>
</tr>
<tr>
<td>17AG(7)(c)</td>
<td>A summary of the policies and procedures for selecting and engaging consultants and the main categories of purposes for which consultants were selected and engaged</td>
<td>Mandatory</td>
<td>262–263</td>
</tr>
<tr>
<td>17AG(7)(d)</td>
<td>A statement that ‘Annual reports contain information about actual expenditure on contracts for consultancies. Information on the value of contracts and consultancies is available on the AusTender website.’</td>
<td>Mandatory</td>
<td>262</td>
</tr>
<tr>
<td>PGPA rule reference</td>
<td>Part of report/Description</td>
<td>Requirement</td>
<td>Location (page(s))</td>
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<tr>
<td><strong>Australian National Audit Office access clauses</strong></td>
<td>If an entity entered into a contract with a value of more than $100,000 (inclusive of GST) and the contract did not provide the Auditor-General with access to the contractor’s premises, the report must include the name of the contractor, the purpose and value of the contract, and the reason why a clause allowing access was not included in the contract</td>
<td>If applicable, mandatory</td>
<td>N/A</td>
</tr>
<tr>
<td>17AG(8)</td>
<td></td>
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<tr>
<td><strong>Exempt contracts</strong></td>
<td>If an entity entered into a contract or there is a standing offer with a value greater than $10,000 (inclusive of GST) that has been exempted from being published in AusTender because it would disclose exempt matters under the FOI Act, the annual report must include a statement that the contract or standing offer has been exempted, and the value of the contract or standing offer, to the extent that doing so does not disclose the exempt matters</td>
<td>If applicable, mandatory</td>
<td>N/A</td>
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<tr>
<td>17AG(9)</td>
<td></td>
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<tr>
<td><strong>Small business</strong></td>
<td>A statement that ‘[Name of entity] supports small business participation in the Commonwealth Government procurement market. Small and Medium Enterprises (SME) and Small Enterprise participation statistics are available on the Department of Finance’s website.’</td>
<td>Mandatory</td>
<td>263</td>
</tr>
<tr>
<td>17AG(10)(a)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17AG(10)(b)</td>
<td>An outline of the ways in which the procurement practices of the entity support small and medium enterprises</td>
<td>Mandatory</td>
<td>263</td>
</tr>
<tr>
<td>PGPA rule reference</td>
<td>Part of report/Description</td>
<td>Requirement</td>
<td>Location (page(s))</td>
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<tr>
<td>17AG(10)(c)</td>
<td>If the entity is considered by the Department administered by the Finance Minister as material in nature – a statement that ‘[Name of entity] recognises the importance of ensuring that small businesses are paid on time. The results of the Survey of Australian Government Payments to Small Business are available on the Treasury’s website.’</td>
<td>If applicable, mandatory</td>
<td>263</td>
</tr>
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<tr>
<td><strong>Executive remuneration</strong></td>
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<tr>
<td>17AD(da)</td>
<td>Information about executive remuneration in accordance with Subdivision C of Division 3A of Part 2 – 3</td>
<td>Mandatory</td>
<td>233–235</td>
</tr>
<tr>
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</tr>
<tr>
<td><strong>Financial statements</strong></td>
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<tr>
<td>17AD(e)</td>
<td>Inclusion of the annual financial statements in accordance with subsection 43(4) of the PGPA Act</td>
<td>Mandatory</td>
<td>159–218</td>
</tr>
<tr>
<td></td>
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</tr>
<tr>
<td><strong>Other mandatory information</strong></td>
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<tr>
<td>17AH(1)(a)(i)</td>
<td>If the entity conducted advertising campaigns, a statement that ‘During [reporting period], [name of entity] conducted the following advertising campaigns: [name of advertising campaigns undertaken]. Further information on those advertising campaigns is available at [address of entity’s website] and in the reports on Australian Government advertising prepared by the Department of Finance. Those reports are available on the Department of Finance’s website.’</td>
<td>If applicable, mandatory</td>
<td>258</td>
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<tr>
<td>17AH(1)(a)(ii)</td>
<td>If the entity did not conduct advertising campaigns, a statement to that effect</td>
<td>If applicable, mandatory</td>
<td>N/A</td>
</tr>
<tr>
<td>PGPA rule reference</td>
<td>Part of report/Description</td>
<td>Requirement</td>
<td>Location (page(s))</td>
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<tr>
<td>17AH(1)(b)</td>
<td>A statement that ‘Information on grants awarded by [name of entity] during [reporting period] is available at [address of entity’s website].’</td>
<td>If applicable, mandatory</td>
<td>251</td>
</tr>
<tr>
<td>17AH(1)(c)</td>
<td>Outline of mechanisms of disability reporting, including reference to the website for further information</td>
<td>Mandatory</td>
<td>157</td>
</tr>
<tr>
<td>17AH(1)(d)</td>
<td>Website reference to where the entity’s Information Publication Scheme statement pursuant to Part II of the FOI Act can be found</td>
<td>Mandatory</td>
<td>251</td>
</tr>
<tr>
<td>17AH(1)(e)</td>
<td>Correction of material errors in previous annual report</td>
<td>If applicable, mandatory</td>
<td>284</td>
</tr>
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<td>17AH(2)</td>
<td>Information required by other legislation</td>
<td>Mandatory</td>
<td>247–250</td>
</tr>
</tbody>
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Note: N/A means not applicable.

## Additional compliance reporting requirements

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<th>Source of requirement</th>
<th>Location (page(s))</th>
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<td>Exercise of ASIC’s powers under Part 15 of the <em>Retirement Savings Accounts Act 1997</em> and under Part 29 of the <em>Superannuation Industry (Supervision) Act 1993</em></td>
<td>Mandatory</td>
<td>ASIC Act, s136(1)(a)</td>
<td>247</td>
</tr>
<tr>
<td>ASIC’s monitoring and promotion of market integrity and consumer protection in relation to the Australian financial system and the provision of financial services</td>
<td>Mandatory</td>
<td>ASIC Act, s136(1)(b)</td>
<td>81–111</td>
</tr>
<tr>
<td>ASIC’s activities in accordance with each agreement or arrangement entered into by ASIC under section 11(14) of the ASIC Act</td>
<td>Mandatory</td>
<td>ASIC Act, s136(1)(c)</td>
<td>247</td>
</tr>
<tr>
<td>The operation of the <em>Business Names Registration Act 2011</em>, including details of the level of access to the Business Names Register using the internet and other facilities, the timeliness with which ASIC carries out its duties, functions and powers under the Act, and the cost of registration of a business name under the Act</td>
<td>Mandatory</td>
<td>ASIC Act, s136(1)(d)</td>
<td>70–77</td>
</tr>
<tr>
<td>The number of times ASIC used an information-gathering power, the provision of the Corporations Act, the ASIC Act, or another law that conferred the power, and the number of times in the previous financial year that ASIC used the power</td>
<td>Mandatory</td>
<td>ASIC Act, s136(1)(e), reg 8AAA(1)</td>
<td>242–245</td>
</tr>
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</table>

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<table>
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<tr>
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<th>Requirement</th>
<th>Source of requirement</th>
<th>Location (page(s))</th>
</tr>
</thead>
<tbody>
<tr>
<td>ASIC’s regional administration in referring states and the Northern Territory, including a statement on our performance against service-level performance indicators during the relevant period</td>
<td>Mandatory</td>
<td>Corporations Agreement, s603(3)</td>
<td>117–121</td>
</tr>
<tr>
<td>Financial services and consumer credit external dispute resolution schemes</td>
<td>Suggested</td>
<td>Senate Economics References Committee inquiry into the performance of ASIC, Recommendation 4</td>
<td>143–144, 96–97</td>
</tr>
<tr>
<td>Court enforceable undertakings and their effectiveness</td>
<td>Suggested</td>
<td>Senate Economics References Committee inquiry into the performance of ASIC, Recommendation 27</td>
<td>10, 41, 48, 57–58, 59, 84, 224, 248</td>
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**Annual Report 2017–18 errata**

On page 37 of the 2017–18 Annual Report, we inadvertently reported the total number of surveillances as ‘Over 1200’. Over 300 financial reporting surveillances were omitted in error. In 2017–18, we completed over 1,500 surveillances.

On page 176 of the 2017–18 Annual Report, we inadvertently reported some ‘Initial reports’ in the ‘Supplementary Report’ numbers. Initial reports not alleging misconduct also included some Supplementary Reports, when they should not have. Accordingly, for the 2017–18 year, Initial Reports from liquidators, administrators and receivers alleging misconduct numbered 7,171 and not 6,840; Initial Reports not alleging misconduct numbered 1,036 and not 1,983; Supplementary Reports assessed alleging misconduct numbered 600 and not 931; and total statutory reports finalised (initial + supplementary) were 8,807 and not 9,754.
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Contact details

For general information about ASIC, specific information for ASIC’s regulated populations and to do business with ASIC, including searching ASIC’s registers, registering and searching business names, and lodging and updating company or licence details, go to www.asic.gov.au.

For consumer and investor information, go to www.moneysmart.gov.au.

**General inquiries**
Go to www.asic.gov.au/question or telephone 1300 300 630

**To report misconduct to, or complain about, ASIC**
Go to www.asic.gov.au/complain or telephone 1300 300 630

**Media inquiries**
Go to www.asic.gov.au/media, email media.unit@asic.gov.au or telephone 1300 300 630

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