Document production guidelines

March 2020

About these guidelines

These guidelines are for people who will produce books to ASIC, whether in response to a notice to produce or voluntarily.

They set out:

- ASIC's powers to compel the production of original books and copies of books in hard copy (hard copy books) and electronic form (electronic books); and

- our preferred production methods for hard copy books and electronic books.

    Note: For an overview, see Information Sheet 242 *ASIC's document production guidelines* (INFO 242).

Contents

A Overview

Key points

We may give you a written notice that requires you to produce specified books. 'Books' includes documents and any other record of information, including:

* books stored in electronic form (electronic books); and

* books stored in hard copy (hard copy books).

We may also ask you to produce books voluntarily.

These guidelines set out ASIC's powers and explains how we prefer you to produce books. It covers the production of original books, copies of books, hard copy books and electronic books.

Purpose of these guidelines

1   We may give you a written notice that requires you to produce books (notice to produce). 'Books' includes documents and any other record of information, including electronic and hard copy books. ASIC's powers to issue a notice to produce are set out in:

(a)   the *Australian Securities and Investments Commission Act 2001* (ASIC Act)—see s19, 30, 30A, 30B, 31, 32A and 33;

(b)   the *National Consumer Credit Protection Act 2009*—see s256, 266 and 267;

(c)   the *Superannuation Industry (Supervision) Act 1993*—see s255 and 269; and

(d)   the *Insurance Contracts Act 1984*—see s11C and 11D.

2   We may also ask you to provide books voluntarily—that is, not in response to a notice to produce.

Benefits of producing books in accordance with these guidelines

3   These guidelines set out our preferred production methods for books we require or request in the course of carrying out ASIC's regulatory functions. Please produce books to ASIC using these methods. This will usually reduce the time, costs and resources:

(a)   you need to comply with a notice to produce; and

(b)   we need to process and review your books, including adding the books to the ASIC litigation support system.

Consequences of not following these guidelines

4   If you choose not to produce books in accordance with these guidelines and we consider it efficient to do so, we may:

(a)   ask you to produce the books again in a way that accords with these guidelines; or

(b)   serve a notice requiring you to produce the device on which the documents are stored.

5   If you choose not to produce books in accordance with these methods, it will likely cause ASIC to take more time and incur more costs in adding your books to its litigation support system and reviewing your books.

6   ASIC is likely to make an order under s91 of the ASIC Act to recover investigation expenses and costs if, as a result of our investigation, you are convicted of an offence or judgment is awarded, or a declaration or other order is made against you in a proceeding in a court. Any additional investigation expenses and costs that ASIC incurs because you did not produce books in accordance with these guidelines may be passed on to you if an order is made.

7   ASIC may also pass on costs indirectly via ASIC's industry funding model if we incur additional investigation expenses and costs because you did not produce books in accordance with these guidelines. Costs may be passed on even if you are not convicted of an offence or no order is made against you in a proceeding in a court or if you are not the subject of ASIC's investigation.

Working with ASIC

Contacting ASIC to discuss the notice to produce

8   If you have questions about any aspect of the notice to produce, you should contact the ASIC officer named in the notice. Discussing the scope of a notice, including the meaning of certain terms, can often result in significant time and cost savings.

9   You may also contact the ASIC officer to discuss the form of production. We may agree to a form of production in those discussions, but the final decision about production is yours. These guidelines set out our likely approach to various forms of production, to help you in those discussions.

10   We may also be able to:

(a)   clarify the scope of the notice and/or the meaning of terms used in the notice; and

(b)   provide some technical guidance on ASIC's preferred forms of production.

Our preferred production methods for books

11   ASIC has powers to compel the production of:

(a)   electronic books, including the metadata associated with the books; and

(b)   original hard copy books.

Electronic books

12   When producing electronic books, you must produce writing that reproduces the information in the books in a form we are able to understand. The exception to this is if the notice to produce directs you to produce the device on which the books are stored.

>   Note: See s25A of the *Acts Interpretation Act 1901*, as in force at 1 January 2005—see s5A of the ASIC Act.

13   Regardless, we prefer you to produce electronic books, including their metadata, in their original native file format. This can be either:

(a)   the form in which the books are stored—for example, a Microsoft Word document from a file server; or

(b)   the native form in which the system that stores the books exports them—for example, an MSG file exported from Microsoft Outlook.

14   You may also produce books using a litigation support system. If you use a litigation support system to review and produce the books, please follow the production protocol in Section D.

15   There will be some occasions when we are unable to interpret books in their original native file format. In this case, you must produce the books as writing that reproduces the information in a form we are able to understand. For guidance on working with ASIC to produce books in an alternative format, see paragraphs 9–10.

16   For further guidance on producing electronic books, see Section B.

Original hard copy books

17   We may require you to produce your original hard copy books. This will be set out in the notice to produce.

18   If we do not require original hard copy books, you may still produce hard copies of the original hard copy books. However, we ask that you scan the original hard copy books in accordance with the guidance in paragraphs 68–69 and produce these as electronic copies.

19   For further guidance on producing hard copy books, see Section C.

Use of different review methods

20   There are different approaches to reviewing books and identifying the documents that fall under the notice to produce. For example, you may undertake:

(a)   a manual review;

(b)   keyword or concept searches; or

(c)   a technology-assisted review, such as predictive coding.

21   We encourage you to carefully document your review, including:

(a)   your approach to the review;

(b)   how you conducted the review;

(c)   the decisions you made about the review; and

(d)   the outcome of the review.

22   We may require you to explain any matter relating to the compilation of any of the books or to which any of the books relate: see s37(9) of the ASIC Act.

B How to produce books in electronic form

> **Key points**
>
> This section sets out how we ask you to produce books in electronic form.
>
> We ask you to produce electronic books in their original native file format, including the metadata associated with the books.
>
> You may also produce books using a litigation support system. If you do produce books this way, please produce them in accordance with these guidelines.
>
> Note: For technical details of how we prefer you to produce books using a litigation support system, see Section D.

Original native file format and litigation support system production

23   We request that you produce electronic books in their original native file format. If you are producing electronic books using a litigation support system, please follow the production protocol in Section D.

24   If you use a litigation support system, the provider of the system may be able to give you guidance on the mechanics of responding to a notice to produce.

25   If you have questions arising from these guidelines, we may be able to provide some technical guidance: see paragraphs 9–10.

Metadata

26   Where you produce electronic books to ASIC in accordance with these guidelines, including when using a litigation support system, you should also produce the metadata set out at:

(a)   paragraphs 41–42, for recordings of telephone conversations;

(b)   paragraphs 43–44, for text messages;

(c)   paragraph 45, for electronic books from document or content management systems; and

(d)   paragraphs 93–103, for productions from litigation support systems.

Providing books to ASIC

File formats

27   We may not be able to understand some electronic books in their original native file format. Electronic books kept in an industry-specific or tailored software format present a particular risk of this. If we require you to produce books kept in one of these formats, we encourage you to contact us to discuss alternative production methods and formats for those books.

> Note: As set out in paragraph 12, you must produce electronic books in a form we are able to understand.

Host and attachment documents (document groups)

28   If a hard copy or electronic book is part of a document group (e.g. an email, its embedded files and attachments), you will usually need to produce the entire document group. This will be set out in the notice to produce.

> Note: A 'document group' may also be called a 'document family' in a notice to produce.

29   If you are producing electronic books in their original native file format, please ensure that the embedded files remain embedded and the attachments remain attached to their host document.

30   If you are producing hard copy or electronic books using a litigation support system, please provide the embedded or attached files as separate documents, with a host and attachment relationship. The native file of the host document should retain the embedded or attached file: see paragraphs 66–67 and 73–77.

31   The notice to produce will make it clear if you do not need to produce the document group associated with a hard copy or electronic book.

32   For more information about host and attachment documents generally, see paragraphs 73–77.

Media storage

33   You may produce books in electronic form on a CD, DVD, hard drive or USB drive, or by email or secure file transfer link.

34   You may password protect the media on which the books are produced to secure the information in transit to ASIC. However, you must provide the password for this media to ASIC when you produce the books in electronic form.

35   If you are responding to more than one notice to produce, please use a separate piece of media for each notice.

Cover letter

36   To ensure we correctly record productions in response to notices to produce, please provide a cover letter with each production. The cover letter should set out:

(a)   the identification number (recorded as 'Our reference' at the top of the covering letter to the notice to produce), the notice reference number and the name of the ASIC staff member who signed the notice;

(b)   a list of each piece of media included in the production; and

(c)   if producing under the production protocol, the time zone in which emails were standardised or normalised during conversion.

Virus free

37   Please ensure the books you produce to ASIC in electronic form are virus free.

Guidance on producing specific electronic books

Emails and chats

38   If electronic books are kept in one of the following email or chat systems, please export those emails or chats as follows:

(a)   Microsoft Exchange emails—PST file (one per custodian) or converted into properly formed MSG or EML files, grouped by custodian;

(b)   Lotus Notes emails—NSF file (one per custodian) or individual native EML files, grouped by custodian;

(c)   Reuters chat system—PST file (one per custodian) or individual native MSG files, grouped by custodian; and

(d)   Bloomberg chat system—PST file (one per custodian), individual native MSG files or as a native text package (including all text and XML files, attachment archives and audit logs).

39   If electronic books are kept in another kind of email or chat system, please contact ASIC to discuss how to export and produce these books.

> Note: As set out in paragraph 12, you must produce electronic books in a form we are able to understand.

40   We may be able to provide some technical guidance on the production of emails and/or chats.

Recordings of telephone conversations

41   If recordings of telephone conversations are stored as electronic books with associated metadata, you will usually need to produce the metadata associated with the recordings. This will be set out in the notice to produce. Please produce the metadata for the recordings:

    (a)   in their original native file format; or

    (b)   in a structured format agreed in advance with ASIC, along with the recordings.

42   For recordings of telephone conversations, you will usually need to provide the following metadata (assuming it exists):

    (a)   the time and date the call was made. If the call starts on one day and finishes on another, the date is the date the call started;

    (b)   the time zone the call was made from;

    (c)   the length of the call;

    (d)   the name and telephone number of the person who made the call;

    (e)   the name and telephone number of the person who received the call;

    (f)   if the call was made using a teleconferencing service, the names and numbers of the teleconference service and all telephone numbers that were involved in the teleconference; and

    (g)   the filename of the recording of the call.

Text messages

43   If you are required to produce text messages, you will usually need to produce the metadata associated with those text messages. The notice to produce will set this out. Please produce this metadata in a structured format. You should discuss preferred structured formats with ASIC before producing the text messages.

44   For text messages, you will usually need to provide the following metadata (assuming it exists):

    (a)   the date and time the message was sent;

    (b)   the time zone the message was sent from;

    (c)   the telephone number from which the message was sent;

    (d)   the telephone number or numbers to which the message was sent; and

    (e)   the filename of the message.

Document or content management systems

45   When electronic books are extracted from a document management system or content management system, or any other type of electronic system (other than litigation support systems mentioned at paragraph 52), you must also produce all metadata relevant to the books.

Audio and video files

46   The notice to produce may require you to produce audio or video files. If these files are not in a format playable using Microsoft Windows Media Player or VLC Media Player, you should contact ASIC to discuss how to produce them in a form capable of being understood by ASIC.

> Note: As set out in paragraph 12, you must produce electronic books in a form we are able to understand.

Encrypted files

47   You must produce electronic books to ASIC in a form we are able to understand: see paragraph 12. This includes encrypted files.

48   If you are producing documents in their original native file format, please provide the password for each encrypted document as part of your production.

49   If you are producing documents using a litigation support system, please decrypt the documents before producing them to ASIC. If you are unable to remove the encryption, you must provide ASIC with all necessary passwords to decrypt the data.

Databases

50   The notice to produce may require you to produce books containing information that is stored in a database. To comply with the notice strictly, you may need to produce the entire database. However, we may accept an extract from the database, rather than the whole database.

51   You should contact ASIC to discuss whether we require the production of the database as a whole or whether we would accept an extract from the database. Note that the extract must be in a form we can understand: see paragraph 12.

Litigation support system

52   If you produce hard copy or electronic books using a litigation support system, please produce the books in accordance with the production protocol in Section D.

De-duplication

53   The notice to produce may require you to produce all duplicate documents. If it does not, you may remove duplicate documents from the produced material (de-duplication).

54   If you are producing electronic books in original native format, please:

 (a)   carry out the process of identifying duplicate documents using an industry-approved hashing algorithm at the document-group level. That is, you should only treat all documents within a group (e.g. a host document and its attachments) as duplicates if the entire group of documents is duplicated elsewhere. A standalone document should only be de-duplicated against other standalone documents; and

 (b)   preserve the duplicate document(s) and metadata, as we may require you to produce the duplicates later.

55   If you are producing electronic books using a litigation support system, see paragraphs 90–92 for further guidance.

Legal professional privilege

56   Our position on legal professional privilege is set out in Information Sheet 165 *Claims of legal professional privilege* (INFO 165). The production protocol at paragraphs 85–89 provides further guidance about production of documents over which you claim legal professional privilege.

C How to produce hard copy books

> **Key points**
>
> This section sets out how we ask you to produce hard copy books.
>
> We usually prefer hard copy books to be scanned and produced in electronic form. However, a notice to produce may require the production of original hard copy books.

57 We may require you to produce your original hard copy books. If we require you to produce original hard copy books, the notice to produce will say so.

58 When you produce original hard copy books, they must be produced as they are and without any modification.

59 If you do not need to produce original hard copy books, please produce electronic copies that have been scanned in accordance with paragraphs 68–70.

60 When you produce hard copies or electronic copies of original hard copy books, please:

(a) ensure we are able to determine the way the originals are stapled or clipped in the copies;

(b) provide a copy of any page that has a note or flag and, where that note or flag obscures information recorded on the page, another copy of the page with the note or flag removed; and

(c) maintain the order of the pages as in the original.

D   Production protocol for books in a litigation support system

> **Key points**
>
> This section sets out how we ask you to produce books from a litigation support system.
>
> This section is drafted for people who work with litigation support systems and is, necessarily, technical in nature.

General

61   We assign a unique matter prefix to each of our investigations. Before you prepare documents for production, please consult with ASIC about the prefix we have used so that the duplication of document IDs can be avoided.

62   If you produce books that do not comply with this protocol, we may ask you to produce them again. If the books continue to be non-compliant, we may serve a notice requiring you to produce the device on which the documents are stored.

Document IDs and page numbers

63   Each page of each document should be marked with a unique page ID in the format 'PPP.BBBB.FFFF.NNNN' or 'PPP.BBBB.FFFF.NNNN_*XX(XX)*' ('*XX(XX)*' is an optional element). The page ID on the first page of each document is the document ID.

> Note: Page numbers following an underscore may be two, three or four digits in length.

64   For information on the meaning of each part of the document IDs and page numbers, see Table 1.

Table 1:   Document IDs and page numbers

Level	Description
PPP	The prefix (also known as 'party code' or 'source') identifies the source or owner of the documents and should be agreed with ASIC to ensure it does not clash with ASIC's document numbering.

Level	Description
BBBB	The box number identifies a specific physical archive box, email mailbox, or any other container or physical or virtual classification that is appropriate for you to use.
	It may be padded with zeros to ensure a consistent four-digit structure.
FFFF	The folder number identifies a physical folder, subfolder or any other subcontainer.
	It may be padded with zeros to ensure a consistent four-digit structure.
NNNN	The page number refers to each individual page within each folder for paper documents, unsearchable images and searchable images.
	It may be padded with zeros to ensure a consistent four-digit structure.
_XX(XX)	The suffix page number is an optional page number that you may use:
	• if additional pages need to be inserted into a document; or
	• to number the pages of multi-page PDF documents rendered from original native files.
	The number will be prefixed with a single underscore. It will also be padded with zeros to *consistently* result in a two-digit, three-digit or four-digit structure.

Documents

Hard copy books

65   If we do not require the production of original hard copy books, we ask you to scan all hard copy books as PDF files. Please ensure that the files comply with the requirements set out in paragraphs 68–70.

Electronic books

66   When producing electronic books using a litigation support system, please produce each document as both:

(a)   a PDF rendering of the file or, if the document is not suitable for PDF rendering, a placeholder (see paragraph 67(f)); and

(b)   the native file from which the PDF was generated. The original native file of the host document should retain the embedded or attached files. Documents subject to privilege are an exception to this (see paragraphs 85–89).

67   When producing books using a litigation support system, please:

(a)   process electronic files to extract attachments to emails and embedded files. Produce the extracted file as an individual document and treat it as an attachment;

(b)   fully extract the contents of container files (such as ZIP files) and produce them as separate documents. Do not produce the container file itself. If you are not able to extract the contents due to a technical issue, produce the container file with its contents in place;

(c)   decrypt all encrypted materials before production. If you are unable to remove encryption, you must provide ASIC with all necessary passwords to decrypt the data;

(d)   do not produce logos and email footers as individual attachments;

(e)   where practicable, directly render all electronic files to PDF files that comply with the requirements set out in paragraphs 68–70; and

(f)   if an electronic file is not suitable for PDF rendering, provide a PDF placeholder document that contains the document ID and the following (or similar) text:

This is a placeholder. Please refer to native. The PDF placeholder file is named 'PPP.BBBB.FFFF.NNNN_PH.pdf'.

Note: For more information, see paragraph 83.

PDF file specifications

68   When you create a PDF file—either by scanning a hard copy book or rendering an electronic book—please ensure the file is:

(a)   a multi-page PDF file (i.e. not one PDF file per page in the document); and

(b)   text searchable.

69   When you scan hard copy books, please ensure the file:

(a)   is in colour only if colour is necessary to understand the content; and

(b)   has a minimum 300 dpi resolution.

70   Only render electronic books in colour if the electronic form in which they are stored is in colour.

Native file specifications

71   Produce one file for each document in its original native file format.

72   If you cannot provide the file in its original native format, provide it:

(a)   in a near-native format, as agreed with ASIC; and

(b)   with the metadata of the original document.

Host and attachment documents (document groups)

73   A document is a 'host' where it has one or more documents attached to it.

>   Note: A container file (e.g. a ZIP file) is not a 'host' for the purposes of this protocol.

74   A document is an 'attachment' where it is embedded within or attached to another document. Insert the document ID of the host in the Host_Reference field of the attachment.

75   A group of two or more documents that bear host and/or attachment relationships to other documents in the group (e.g. email and attachments, embedded files) are a 'document group'.

>   Note: A 'document group' may also be called a 'document family' in the notice to produce.

76   If a document that must be produced is part of a document group, you must produce the entire document group (unless the notice to produce requires otherwise).

77   Produce document groups together and paginate them sequentially, with the attachment(s) following the host. Insert the document ID of the host in the Host_Reference field of the attachment.

Document labelling and stamping

78   Label all PDF document pages (other than native PDF files) with a standard page number in the format 'PPP.BBBB.FFFF.NNNN'.

79   If a document includes underscore pages, label those pages with an underscore page number in the format 'PPP.BBBB.FFFF.NNNN_*XX(XX)*', where '*XX(XX)*' is a two-digit, three-digit or four-digit suffix number.

Directory structure and file naming conventions

80   Place all files in directories and subdirectories. The subdirectory structure should reflect the levels in the numbering style (e.g. 'PPP\BBBB\FFFF\PPP.BBBB.FFFF.NNNN.ext') where:

(a)   PPP is a directory, which is the three-character prefix;

(b)   BBBB is a subdirectory, which is the four-digit box number; and

(c)   FFFF is a subdirectory, which is the four-digit folder number.

81   The filename structure for each scanned hard copy PDF file is 'PPP.BBBB.FFFF.NNNN.pdf'.

82   Only alphanumeric characters, underscores and full stops are permitted in file and folder names.

83   The filename structure for electronic books is based on whether the original native file was rendered to PDF or given a placeholder: for more information on placeholders, see paragraph 67. Name files in the PDF and original native file combinations are set out in Table 2 (also note the special case for naming of rendered and native PDF files).

Table 2:   PDF and original native file naming conventions

File type	PDF file	Original native file
Rendered	XYZ.0001.0001.0001.pdf	XYZ.0001.0001.0001.docx
Rendered PDF	XYZ.0001.0001.0001.pdf	XYZ.0001.0001.0001_N.pdf
Placeholder	XYZ.0001.0001.0007_PH.pdf	XYZ.0001.0001.0007.xls

84   The pages table—discussed at paragraph 103 and set out at Table 8—should refer to all files produced.

Documents subject to legal professional privilege

85   If part of a document is subject to legal professional privilege, convert the document to PDF in accordance with paragraphs 68–70 and apply redactions over the privileged content. Do not provide the original native file.

86   You do not need to produce wholly privileged documents that are *not part* of a document group containing documents captured by the notice to produce. If you do produce it, please replace the document with a placeholder indicating that the document is wholly privileged. Do not provide the original native file. The filename of the placeholder PDF should be the document ID only (e.g. 'XYZ.0001.0001.0001.pdf').

87   If a document is wholly privileged and *is part* of a document group containing documents that are captured by the notice to produce, you must produce it as part of the document group. Replace the document with a placeholder indicating that the document is wholly privileged. Do not provide the original native file. The filename of the placeholder PDF should be the document ID only (e.g. 'XYZ.0001.0001.0001.pdf').

88   If a host document contains attachment(s) that are partly or wholly privileged, you do not need to produce the original native file of the host document. Provide a PDF following the protocol in paragraphs 68–70 in its place.

89   You must substantiate any legal professional privilege claims: see INFO 165. The production protocol outlined at paragraphs 85–88 does not affect this obligation.

De-duplication

90 The notice to produce may require you to produce all duplicate documents. If it does not, you may remove duplicate documents from the produced material (de-duplication).

91 We ask you to carry out the process of identifying duplicate documents using an industry-approved hashing algorithm at the document group level. That is, you should only treat all documents within a group as duplicates if the entire group of documents is duplicated elsewhere. A standalone document should only be de-duplicated against other standalone documents.

92 Whenever you remove a duplicate from the documents you collect in response to the notice, please:

(a) provide metadata that records the Path Name of the removed duplicate documents. This should be provided in the Duplicate Path field against the produced document;

(b) where applicable, provide other unique metadata associated with the duplicate documents (e.g. custodian); and

(c) preserve the duplicate documents and metadata, as we may require you to produce the duplicates and their metadata later.

Provision of document metadata

93 Provide document metadata in a Microsoft Access MDB file named 'export.mdb' that contains the following tables:

(a) export table—contains the core field information for each document (see paragraph 95 and Table 3);

(b) export_extras tables—contains additional fields to the core fields for each document (see paragraph 96–99 and Table 4–Table 6);

(c) parties table—contains people and organisation information for each document (see paragraphs 100–102 and Table 7); and

(d) pages table—contains filename information for the files (native and/or PDF) provided for each document (see paragraph 103 and Table 8).

94 The format of the data in each of these tables is outlined below.

Export table

95 The export table contains core fields: see Table 3. All other tables refer to the export table via the Document_ID field.

Table 3:   Export table field names and values

Field name	Data type and length	Value	Mandatory
Document_ID	Text, 255 characters	The page number on the first page of the document (e.g. 'XYZ.0001.0001.0001').	Yes
Host_Reference	Text, 255 characters	For every record that is an attachment, the document ID of the host document to which it is attached (e.g. 'XYZ.0001.0001.0001').	No, can be left blank
Document_Date	Text, 11 characters	Dates in the format 'DD-MMM-YYYY', where: • 'DD' equals the day date; • 'MMM' equals the month; and • 'YYYY' equals the year. For example, 26 March 2017 would be represented as '26-Mar-2017'. If the document is undated, leave this field blank. **Hard copy books** Manually record the document date from the face of the document. **Electronic books** The document date for: • sent emails is the sent date; • unsent emails is the last saved date; • email attachments and other electronic files is the last modified date of the file. **Bloomberg chat system** Use the date of the first line in the chat. **Reuters chat system** Use the date of the first message in the chat. If you are only able to extract and produce the date of the last message in the chat, use that date and note what you have done in your covering letter to ASIC.	Yes, if information is available
Document_Type	Text, 255 characters	**Hard copy books** Manually record the document type from the face of the document. **Electronic books** Record the document type or generically describe it (e.g. 'email', 'attachment' or 'electronic file').	Yes

Field name	Data type and length	Value	Mandatory
Title	Text, 255 characters	The title, Re: or subject line. **Hard copy books** Manually record the document title from the face of the document. Where there is no legible title on the face of the document, leave the title field blank. **Emails and other electronic files** The document title for: • emails is the text in the subject metadata field; and • other electronic files is the filename of the original file. **Reuters and Bloomberg chat systems** For each chat, use the subject line of the chat.	Yes, if information is available
Estimated	Text, 3 characters	'Yes' if the date has been estimated, 'No' or blank if the date has not been estimated.	No, can be left blank
Level_1	Text, 20 characters	The prefix level of the directory structure and document ID (e.g. 'PPP').	Yes
Level_2	Text, 20 characters	The box level of the directory structure and document ID (e.g. 'BBBB').	Yes
Level_3	Text, 20 characters	The folder level of the directory structure and the document ID (e.g. 'FFFF').	Yes

Export_extras table

96   The export_extras table contains additional fields to those contained in the export table. It is linked to the export table via the Document_ID field.

97   Table 4 sets out the structure of the export_extras table, which is made up of:

(a)   the standard fields and values you should provide for all books in Table 5; and

(b)   the further fields and values you should provide for electronic books in Table 6.

Table 4:   Export_extras table—Access table structure

Field name	Data type and length	Value	Mandatory
Document_ID	Text, 255 characters	The page number on the first page of the document (e.g. 'XYZ.0001.0001.0001'). Note: This should match the Document_ID field in the export table.	Yes

Field name	Data type and length	Value	Mandatory
theCategory	Text, 4 characters	One of the following six character strings identifying the data type: 'TEXT', 'MEMO', 'DATE', 'PICK', 'BOOL' or 'NUMB'.	Yes
theLabel	Text, 255 characters	The name of the field (see Table 5–Table 6 for the list of fields).	Yes
theValue	Text, 255 characters	The actual data as a text string.	Yes, if theCategory is not MEMO
memoValue	Memo, more than 255 characters	The actual data as a memo string.	Yes, if theCategory is MEMO

98   Provide the standard fields and values in Table 5 where that information is available.

Table 5:   Export_extras table—Standard fields and values

theLabel	theCategory	theValue	Mandatory
Privileged	PICK	This field identifies whether a claim of privilege is made over all or part of the document. The values are 'Yes', 'No' or 'Part'.	Yes, if value is 'Yes' or 'Part'
Redacted	PICK	This field identifies whether a document has been redacted. Where applicable, the value is 'Yes'.	Yes, if value is 'Yes'
Custodian	PICK	**Email** Mailbox(es) where the email, including any duplicates, resided. **Native file (non-email)** Names of the individuals or departments from whose files the document, including any duplicates, originated (where available).	Yes, if information is available
Client Name	PICK	Identifies the name of the client (where financial advisers are producing client files). You should code the information in the format 'Last Name, First Name'. For example, 'Smith, John'.	Yes, if notice requests client files
Placeholder	PICK	If an electronic file is provided with a placeholder PDF, this value is 'Yes'.	Yes, if value is 'Yes'
Notice section	PICK	The section(s) or subsection(s) of the notice to produce the document is responding to. Please use the following format: '[Notice identifier or barcode] para [paragraph number, including sub-paragraph if relevant]'. The notice identifier or barcode will appear in the top right-hand corner of the notice.	Yes, if information is available

theLabel	theCategory	theValue	Mandatory
Source	PICK	The values are 'Hardcopy' or 'Electronic'.	Yes

99   If you are producing electronic books (i.e. the Source value is 'Electronic'), provide the metadata fields set out in Table 6 in the export_extras table (where the metadata is available).

Table 6:   Export_extras table—Further fields and values for electronic books

theLabel	theCategory	theValue or memoValue	Mandatory
Path Name	MEMO	Either the original file path of the native file (including filename and extension) or the file path prior to processing.	Yes
Duplicate Path	MEMO	The Path Name of all duplicates removed from the collection in accordance with paragraphs 90–92.	Yes, if duplicates have been removed
Name	TEXT	For all electronic files, the original filename (including extension).	Yes
MD5 Digest	TEXT	The MD5 (a message-digest algorithm) hash value of the file.	Yes
Date Sent	TEXT	The date and time the email was sent, in the time zone in which emails were standardised during conversion. It should be provided in the following or similar format: 'Day name, DD Month YYYY hh:mm:ss TZ' (e.g. 'Thursday, 28 June 2012 6:29:00 PM EST').	Yes, if document is an email
Created	TEXT	The application date and time the document was created. It should be provided in the following or similar format: 'Day name, DD Month YYYY hh:mm:ss TZ' (e.g. 'Thursday, 28 June 2012 6:29:00 PM EST').	Yes, if information is available
File Created	TEXT	The file system date and time the document was created. It should be provided in the following or similar format: 'Day name, DD Month YYYY hh:mm:ss TZ' (e.g. 'Thursday, 28 June 2012 6:29:00 PM EST').	Yes, if information is available
File Modified	TEXT	The file system date and time the document was last modified. It should be provided in the following or similar format: 'Day name, DD Month YYYY hh:mm:ss TZ' (e.g. 'Thursday, 28 June 2012 6:29:00 PM EST').	Yes, if information is available

Parties table

100   The parties table (see Table 7) contains people and organisation information about who:

(a)   wrote the correspondence (i.e. 'From');

(b)   received the correspondence (i.e. 'To'); and

(c)   was copied on the correspondence (i.e. 'Cc' and 'Bcc').

101   The parties table is linked to the export table via the Document_ID field.

102   If there are multiple parties for a particular document, there will be multiple entries in the parties table for that document.

Table 7:   Parties table fields and values

Field name	Data type and length	Values	Mandatory
Document_ID	Text, 255 characters	The page number on the first page of the document (e.g. 'XYZ.0001.0001.0001'). Note: This should match the Document_ID field in the export table.	Yes
Correspondence_Type	Text, 10 characters	Depending on who the parties are, select: • 'From' for the authors; • 'To' for the addressees; • 'Cc' for those carbon copied on the correspondence; and • 'Bcc' for those blind carbon copied on the correspondence.	Yes
Persons	Text, 255 characters	**Hard copy books** You should code the parties' information from the face of the document in the format 'Last Name, First Name' or 'Last Name, Initial'. **Emails and other electronic files** For emails and other electronic files, the parties' information should be in the format as extracted from the document metadata. **Bloomberg and Reuters chat systems** The name of every person who either created or received the chat. You may provide the data in its raw format.	No, can be left blank
Organisations	Text, 255 characters	**Hard copy books** You should code the organisation information from the face of the document.	No, can be left blank

Pages table

103   The pages table is used to describe the location of the images and native files: see Table 8. It is linked to the export table via the Document_ID field.

Table 8:   Pages table fields and values

Field name	Data type and length	Values	Mandatory
Document_ID	Text, 255 characters	The page number on the first page of the document (e.g. 'XYZ.0001.0001.0001'). Note: This should match the Document_ID field in the export table.	Yes
Image_File_Name	Text, 128 characters	The full filename (including any suffixes) of the PDF and any native file provided. **Hard copy books** The filename should match the format outlined in paragraph 81. **Electronic books** The filename should match the format outlined in paragraph 83.	Yes
page_label	Text, 32 characters	For PDFs, the page label should be the document ID. For native electronic files, the page label should be 'NATIVE'.	Yes
page_num	Number, double	An integer indicating the order in which the files related to the document ID should be viewed. The PDF file should have the value '1' and, if a native electronic file exists for the same document, it will have the value '2'.	Yes
num_pages	Number, double	The number of pages in the file. For rendered PDF files, this will be the number of pages in the PDF. For native electronic files (including native PDF files), this will be set to '1'.	Yes

Key terms

Term	Meaning in this document
ASIC	Australian Securities and Investments Commission
ASIC Act	*Australian Securities and Investments Commission Act 2001*
attachment	A document that is embedded within or attached to another document
books	Includes: • registers; • financial reports or financial records, however compiled, recorded or stored; • documents; • banker's books; and • any other record of information Note: This is the definition contained in s5(1) of the ASIC Act.
copies	True, accurate and complete copies
custodian	Someone who has administrative control of a document or electronic file. For example, the custodian of an email is the owner of the mailbox that contains the message
document	Includes: • any paper or other material on which there is writing; • any paper or other material on which there are marks, figures, symbols or perforations having a meaning for persons qualified to interpret them; and • any article or material from which sounds, images or writings are capable of being reproduced with or without the aid of any other article or device Note: This is the definition contained in s25 of the *Acts Interpretation Act 1901*.
document group	A group of documents that includes at least one parent and one child document. Examples include: • an email or other document type (the parent) and its attachments (the children); and • a document (the parent) that has an embedded document (the child)
electronic books	Books stored in electronic form
hard copy books	Books stored in hard copy
host	A document that has one or more documents attached to or embedded in it

Term	Meaning in this document
INFO 165 (for example)	An ASIC information sheet (in this example numbered 165)
metadata	Data that provides information about other data, including books
notice to produce	A notice issued by ASIC exercising our statutory power to compel the production of books
s19	A section of the ASIC Act, unless otherwise specified