

Australian Securities and Investments Commission – Table of regulatory documents

Documents released during January–June 2022

New regulatory guides

Title	Release Date	Details	Media release and related documents
No new regulatory guides issued in January–June 2022			

Amended or reissued regulatory guides

Title	Release Date	Details	Media release and related documents
RG 242 ASIC's power to wind up abandoned companies	7/3/2022	<p>This guide is for employees of abandoned companies who are owed employee entitlements and other interested persons, including creditors, administrators and liquidators.</p> <p>It explains when we will use our power to wind up an abandoned company under Pt 5.4C of the Corporations Act.</p> <p>Minor technical changes related to the transfer of administrative responsibilities for the Fair Entitlements Guarantee scheme (FEG program) from the Department of Jobs to the Attorney-General's Department.</p>	No MR

Title	Release Date	Details	Media release and related documents
RG 1 AFS Licensing Kit: Part 1 – Applying for and varying an AFS licence	28/3/2022	<p>This is a guide for applicants applying for an AFS licence or to vary their licence, including foreign financial services providers relying on ASIC Corporations (Foreign Financial Services Providers—Foreign AFS Licensees) Instrument 2020/198.</p> <p>Applicants should also read Part 2 of the AFS Licensing Kit (RG 2), which outlines how to:</p> <ul style="list-style-type: none"> complete the online forms FS01 Application for AFS licence and FS03 Application for variation of authorisation and other conditions and prepare ‘core’ supporting proof documents. <p>Applicants will need to read Part 3 (RG 3) if they are asked to send us ‘additional’ proof documents.</p> <p>Note 1: It is an offence under s1308 of the Corporations Act to provide false or misleading information to ASIC. ASIC must not grant an AFS licence if an applicant provided false or misleading information in its application (including a material omission). False or misleading information in an application (including a material omission) is also grounds to revoke any licence granted based on the application.</p> <p>Note 2: From 27 July 2020, applications for relief should be submitted through the ASIC Regulatory Portal. For more information, see how you apply for relief.</p> <p>RG 1.86(b) updated to reflect the breach reporting reforms that commenced on 1 October 2021.</p> <p>NOTE: Partial update – issue date unchanged</p>	<p>No MR</p> <p>RG 1</p> <p>RG 36</p> <p>RG 121</p> <p>RG 236</p> <p>RG 255</p> <p>RG 259</p> <p>RG 262</p> <p>RG 275</p>

Title	Release Date	Details	Media release and related documents
RG 36 Licensing: Financial product advice and dealing	28/3/2022	<p>This guide is for persons who provide financial product advice or deal in a financial product as defined in the <i>Corporations Act 2001</i> (Corporations Act) and their professional advisers (such as lawyers).</p> <p>It gives guidance on the meaning of 'provide financial product advice' and the meaning of 'deal in a financial product'. It also provides guidance on the obligations that apply to providers of financial services.</p> <p>RG 36.96(a) (including Note 1) updated to reflect the breach reporting reforms that commenced on 1 October 2021.</p> <p>NOTE: Partial update only – issue date unchanged</p>	<p>No MR</p> <p>RG 1</p> <p>RG 36</p> <p>RG 121</p> <p>RG 236</p> <p>RG 255</p> <p>RG 259</p> <p>RG 262</p> <p>RG 275</p>
RG 121 Doing financial services business in Australia	28/3/2022	<p>This is a guide for people or companies from overseas who propose to conduct a financial services business in Australia.</p> <p>It provides general guidance on the financial services regime in Australia, including:</p> <ul style="list-style-type: none"> • when a person or company from outside Australia may be required to hold an Australian financial services (AFS) licence to carry on a financial services business in Australia • circumstances in which a person or company may be exempt from holding an AFS licence, and • some of the obligations associated with being an AFS licensee. <p>RG 121.72(a) (and its note) updated to reflect the breach reporting reforms that commenced on 1 October 2021.</p> <p>NOTE: Partial update only – issue date unchanged</p>	<p>No MR</p> <p>RG 1</p> <p>RG 36</p> <p>RG 121</p> <p>RG 236</p> <p>RG 255</p> <p>RG 259</p> <p>RG 262</p> <p>RG 275</p>

Title	Release Date	Details	Media release and related documents
RG 236 Do I need an AFS licence to participate in carbon markets?	28/3/2022	<p>This guide is for those who are involved in carbon abatement activities and who enter into carbon abatement contracts related to the Emissions Reduction Fund, as well as other carbon financial services and markets. It is also relevant for persons advising carbon market participants.</p> <p>You can use this guide to help you decide whether you need an Australian financial services (AFS) licence to participate in or provide financial product advice and other financial services in relation to carbon markets. This guide also indicates what other information ASIC has published that may be useful for you, and where you can find it.</p> <p>Note: From 27 July 2020, applications for relief should be submitted through the ASIC Regulatory Portal. For more information, see how you apply for relief.</p> <p>RG 236.167(b) (and its note) updated to reflect the breach reporting reforms that commenced on 1 October 2021.</p> <p>NOTE: Partial update only – issue date unchanged</p>	<p>No MR</p> <p>RG 1</p> <p>RG 36</p> <p>RG 121</p> <p>RG 236</p> <p>RG 255</p> <p>RG 259</p> <p>RG 262</p> <p>RG 275</p>
RG 255 Providing digital financial product advice to retail clients	28/3/2022	<p>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.</p> <p>This regulatory guide brings together some of the issues that persons providing digital advice to retail clients need to consider when operating in Australia—from the licensing stage (i.e. obtaining an Australian financial services (AFS) licence) through to the actual provision of advice.</p> <p>One of the sample questions at RG 255.41 and RG 255.115 (including its note) updated to reflect the breach reporting reforms that commenced on 1 October 2021.</p> <p>NOTE: Partial update only – issue date unchanged</p>	<p>No MR</p> <p>RG 1</p> <p>RG 36</p> <p>RG 121</p> <p>RG 236</p> <p>RG 255</p> <p>RG 259</p> <p>RG 262</p> <p>RG 275</p>

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RG 259 Risk management systems of responsible entities	28/3/2022	<p>This guide is for Australian financial services (AFS) licensees that are responsible entities.</p> <p>It gives specific guidance on how these entities may comply with their obligation under s912A(1)(h) of the <i>Corporations Act 2001</i> (Corporations Act) to maintain adequate risk management systems.</p> <p>Table 3 updated to reflect the breach reporting reforms that commenced on 1 October 2021.</p> <p>NOTE: Partial update only – issue date unchanged.</p>	<p>No MR</p> <p>RG 1</p> <p>RG 36</p> <p>RG 121</p> <p>RG 236</p> <p>RG 255</p> <p>RG 259</p> <p>RG 262</p> <p>RG 275</p>
RG 262 Crowd-sourced funding: Guide for intermediaries	28/3/2022	<p>This guide is for entities providing, or looking to provide, a crowd-funding service as a crowd-sourced funding (CSF) intermediary by operating a platform for CSF offers and investments.</p> <p>This guide explains the general ongoing obligations that apply to CSF intermediaries as Australian financial services (AFS) licensees and the specific obligations that apply under the CSF regime in the Corporations Act.</p> <p>Note: From 27 July 2020, applications for relief should be submitted through the ASIC Regulatory Portal. For more information, see how you apply for relief.</p> <p>The note at RG 262.13, RG 262.73 (and its note) and RG 262.193 updated to reflect the breach reporting reforms that commenced on 1 October 2021.</p> <p>NOTE: Partial update only – issue date unchanged</p>	<p>No MR</p> <p>RG 1</p> <p>RG 36</p> <p>RG 121</p> <p>RG 236</p> <p>RG 255</p> <p>RG 259</p> <p>RG 262</p> <p>RG 275</p>

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RG 275 The deferred sales model for add-on insurance	28/3/2022	<p>This guide is for issuers and distributors of add-on insurance. It provides guidance on the requirements that apply to providers of add-on insurance when complying with the deferred sales model, and how ASIC will approach applications for exemption from the deferred sales model.</p> <p>The note at RG 275.130 and RG 275.204 updated to reflect the breach reporting reforms that commenced on 1 October 2021.</p> <p>NOTE: Partial update only – issue date unchanged</p>	<p>No MR</p> <p>RG 1</p> <p>RG 36</p> <p>RG 121</p> <p>RG 236</p> <p>RG 255</p> <p>RG 259</p> <p>RG 262</p> <p>RG 275</p>
RG 268 Licensing regime for financial benchmark administrators	8/4/2022	<p>This guide is for entities subject to the <i>ASIC Financial Benchmark (Administration) Rules 2018</i> and the <i>ASIC Financial Benchmark (Compelled) Rules 2018</i>.</p> <p>It explains how we administer the financial benchmark licensing regime and how licensed financial benchmark administrators may comply with their obligations under the <i>ASIC Financial Benchmark (Administration) Rules 2018</i>. This guide also explains when we may use our compulsion powers in relation to significant benchmarks.</p>	<p>No MR</p>

Title	Release Date	Details	Media release and related documents
RG 1 AFS Licensing Kit: Part 1 – Applying for and varying an AFS licence	23/6/2022	<p>This is a guide for applicants applying for an AFS licence or to vary their licence, including foreign financial services providers relying on ASIC Corporations (Foreign Financial Services Providers—Foreign AFS Licensees) Instrument 2020/198.</p> <p>Applicants should also read Part 2 of the AFS Licensing Kit (RG 2), which outlines how to:</p> <ul style="list-style-type: none"> complete the online forms FS01 Application for AFS licence and FS03 Application for variation of authorisation and other conditions; and prepare ‘core’ supporting proof documents. <p>Applicants will need to read Part 3 (RG 3) if they are asked to send us ‘additional’ proof documents.</p> <p>Reissued to support the licensing and other requirements for corporate collective investment vehicles (CCIVs) which come into effect on 1 July 2022, when the CCIVs regime commences.</p>	MR 22-152 Reissued 23/6/2022: INFO 272, RG 1, RG 2, RG 3, RG 104, RG 105, RG 132, RG 133 Reissued 24/6/2022: INFO 240 Issued 1/7/2022: LI 22/449 Reissued 6/7/2022: RG 126, RG 134, RG 166, RG 168, INFO 155, PF 209
RG 2 AFS Licensing Kit: Part 2 – Preparing your AFS licence or variation application	23/6/2022	<p>This is a guide for applicants applying for an AFS licence or to vary their licence, including foreign financial services providers relying on ASIC Corporations (Foreign Financial Services Providers—Foreign AFS Licensees) Instrument 2020/198. This guide forms Part 2 of the AFS Licensing Kit and outlines how to:</p> <ul style="list-style-type: none"> complete the online Form FS01 Application for AFS licence and Form FS03 Application for variation of authorisation and other conditions; and prepare core proof documents. <p>An application for an AFS licence or a licence variation comprises the relevant application form and supporting core proof documents, with all of these documents provided to us at the same time.</p> <p>Reissued to support the licensing and other requirements for corporate collective investment vehicles (CCIVs) which come into effect on 1 July 2022, when the CCIVs regime commences.</p>	MR 22-152 Reissued 23/6/2022: INFO 272, RG 1, RG 2, RG 3, RG 104, RG 105, RG 132, RG 133 Reissued 24/6/2022: INFO 240 Issued 1/7/2022: LI 22/449 Reissued 6/7/2022: RG 126, RG 134, RG 166, RG 168, INFO 155, PF 209

Title	Release Date	Details	Media release and related documents
RG 3 AFS Licensing Kit: Part 3 – Preparing your additional proofs	23/6/2022	<p>This is a guide for applicants applying for an AFS licence or to vary their licence. It forms Part 3 of the AFS Licensing Kit and explains the ‘additional’ proof documents applicants may be asked to send us.</p> <p>Before reading this guide, applicants should read:</p> <ul style="list-style-type: none"> • Part 1 (RG 1), which explains the process of applying for and varying an AFS licence; and • Part 2 (RG 2), which helps applicants complete the AFS licence application form (FS01) or variation application form (FS03) and prepare ‘core’ proofs. <p>Reissued to support the licensing and other requirements for corporate collective investment vehicles (CCIVs) which come into effect on 1 July 2022, when the CCIVs regime commences.</p>	<p>MR 22-152</p> <p>Reissued 23/6/2022: INFO 272, RG 1, RG 2, RG 3, RG 104, RG 105, RG 132, RG 133</p> <p>Reissued 24/6/2022: INFO 240</p> <p>Issued 1/7/2022: LI 22/449</p> <p>Reissued 6/7/2022: RG 126, RG 134, RG 166, RG 168, INFO 155, PF 209</p>
RG 104 AFS licensing: Meeting the general obligations	23/6/2022	<p>This is a guide for AFS licensees and licence applicants.</p> <p>This guide describes what we look for when we assess compliance with most of the general obligations under s912A(1) of the Corporations Act.</p> <p>The general obligations not covered in this guide are covered in separate guides: see Table 1 in Section A.</p> <p>Reissued to support the licensing and other requirements for corporate collective investment vehicles (CCIVs) which come into effect on 1 July 2022, when the CCIVs regime commences</p>	<p>MR 22-152</p> <p>Reissued 23/6/2022: INFO 272, RG 1, RG 2, RG 3, RG 104, RG 105, RG 132, RG 133</p> <p>Reissued 24/6/2022: INFO 240</p> <p>Issued 1/7/2022: LI 22/449</p> <p>Reissued 6/7/2022: RG 126, RG 134, RG 166, RG 168, INFO 155, PF 209</p>

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RG 105 AFS licensing: Organisational competence	23/6/2022	<p>This is a guide for Australian financial services (AFS) licensees and AFS licence applicants.</p> <p>This guide describes what we look for when we assess compliance with the 'organisational competence obligation', which is one of the general obligations under s912A(1) of the Corporations Act.</p> <p>Reissued to support the licensing and other requirements for corporate collective investment vehicles (CCIVs) which come into effect on 1 July 2022, when the CCIVs regime commences</p>	<p>MR 22-152</p> <p>Reissued 23/6/2022: INFO 272, RG 1, RG 2, RG 3, RG 104, RG 105, RG 132, RG 133</p> <p>Reissued 24/6/2022: INFO 240</p> <p>Issued 1/7/2022: LI 22/449</p> <p>Reissued 6/7/2022: RG 126, RG 134, RG 166, RG 168, INFO 155, PF 209</p>
RG 132 Funds management: Compliance and oversight	23/6/2022	<p>This guide is for:</p> <ul style="list-style-type: none"> • responsible entities of registered managed investment schemes (registered schemes); and • Australian passport fund operators. <p>Parts of this guide are also relevant for:</p> <ul style="list-style-type: none"> • wholesale managed investment scheme operators; • investor directed portfolio service (IDPS) operators; and • managed discretionary account (MDA) providers. <p>Aspects of this guide are also relevant to those with oversight responsibilities, including compliance committees, independent oversight entities, compliance plan auditors and annual implementation reviewers.</p> <p>It gives guidance on the compliance and oversight obligations these entities must meet under the Corporations Act and other legal obligations.</p> <p>Reissued to support the licensing and other requirements for corporate collective investment vehicles (CCIVs) which come into effect on 1 July 2022, when the CCIVs regime commences</p>	<p>MR 22-152</p> <p>Reissued 23/6/2022: INFO 272, RG 1, RG 2, RG 3, RG 104, RG 105, RG 132, RG 133</p> <p>Reissued 24/6/2022: INFO 240</p> <p>Issued 1/7/2022: LI 22/449</p> <p>Reissued 6/7/2022: RG 126, RG 134, RG 166, RG 168, INFO 155, PF 209</p>

Title	Release Date	Details	Media release and related documents
RG 133 Funds management and custodial services: Holding assets	23/6/2022	<p>This guide is for:</p> <ul style="list-style-type: none"> responsible entities of registered managed investment schemes (registered schemes); licensed providers of custodial services (licensed custody providers); managed discretionary account (MDA) providers that are responsible to clients for assets held under an MDA; and investor directed portfolio service (IDPS) operators that are responsible to clients for assets held under an IDPS. <p>It explains the Australian financial services (AFS) licence obligations that apply to these entities in relation to holding assets and sets out minimum standards for asset holders.</p> <p>Reissued to support the licensing and other requirements for corporate collective investment vehicles (CCIVs) which come into effect on 1 July 2022, when the CCIVs regime commences</p>	<p>MR 22-152</p> <p>Reissued 23/6/2022: INFO 272, RG 1, RG 2, RG 3, RG 104, RG 105, RG 132, RG 133</p> <p>Reissued 24/6/2022: INFO 240</p> <p>Issued 1/7/2022: LI 22/449</p> <p>Reissued 6/7/2022: RG 126, RG 134, RG 166, RG 168, INFO 155, PF 209</p>
RG 274 Product design and distribution obligations	28/6/2022	<p>This guide is for issuers and distributors of financial products that must comply with the design and distribution obligations in Pt 7.8A of the Corporations Act.</p> <p>It explains our interpretation of the design and distribution obligations, our expectations for compliance, and our general approach to administering the obligations.</p> <p>Minor update: Note at RG 274.157 and RG 274.162 amended to state that issuers must provide significant dealing notifications to ASIC through the ASIC Regulatory Portal.</p>	No MR

Legislative instruments

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2022/20	<p><i>Issued 8/2/2022</i></p> <p><i>Registered 10/2/2022: F2022L00126</i></p> <p><i>Effective 11/2/2022 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2022/20</i> amends the <i>ASIC Corporations (Financial Counselling Agencies) Instrument 2017/792</i> to ensure that the relief which financial counselling agencies rely upon is not disrupted by the claims handling law reforms.</p>	No MR
ASIC Corporations (Cash Settlement Fact Sheet) Instrument 2022/59	<p><i>Issued 8/2/2022</i></p> <p><i>Registered 10/2/2022: F2022L00124</i></p> <p><i>Effective 11/2/2022 (day after registration)</i></p>	<p><i>ASIC Corporations (Cash Settlement Fact Sheet) Instrument 2022/59</i> exempts providing entities from the requirement to give a Cash Settlement Fact Sheet to the insured when a cash settlement offer is made, subject to conditions.</p>	MR 22-034 (issued 2/3/2022)
ASIC Corporations (Repeal) Instrument 2022/65	<p><i>Issued 16/2/2022</i></p> <p><i>Registered 17/2/2022: F2022L00143</i></p> <p><i>Effective 18/2/2022 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2022/65</i> repeals Class Order [CO 11/842] <i>PDS requirements where a quote for a general insurance product is given</i> which has been replaced by <i>ASIC Corporations (PDS Requirements for General Insurance Quotes) Instrument 2022/66</i>.</p>	No MR
ASIC Corporations (PDS Requirements for General Insurance Quotes) Instrument 2022/66	<p><i>Issued 16/2/2022</i></p> <p><i>Registered 17/2/2022: F2022L00145</i></p> <p><i>Effective 18/2/2022 (day after registration)</i></p>	<p><i>ASIC Corporations (PDS Requirements for General Insurance Quotes) Instrument 2022/66</i> modifies the requirement to give a PDS to enable a quote for a general insurance product to be given to a retail client during a telephone call without a PDS being given if the retail client does not want to be given the PDS.</p>	No MR
ASIC Credit (Amendment) Instrument 2022/81	<p><i>Issued 22/2/2022</i></p> <p><i>Registered 23/2/2022: F2022L00175</i></p> <p><i>Effective 24/2/2022 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Credit (Amendment) Instrument 2022/81</i> amends [CO 14/41] <i>Extension of transitional credit hardship provisions</i> to extend the relief for simple arrangements following a hardship notice to 1 April 2024.</p>	MR 22-031

Title	Dates	Details	Media release and related documents
ASIC Corporations (Virtual-only Meetings) Instrument 2022/129	<p><i>Issued 2/3/2022</i></p> <p><i>Registered 3/3/2022: F2022L00242</i></p> <p><i>Effective 1/4/2022 (later of 1 April 2022 or day after registration)</i></p>	<p><i>ASIC Corporations (Virtual-only Meetings) Instrument 2022/129</i> provides additional time for companies and registered schemes to hold virtual meetings, until either 31 May 2022 (for listed companies and all registered schemes) or 30 June 2022 (for unlisted public companies), subject to conditions.</p>	MR 22-034
ASIC Market Integrity Rules (Securities Markets) Repeal Instrument 2022/135	<p><i>Issued 7/3/2022</i></p> <p><i>Registered 8/3/2022: F2022L00287</i></p> <p><i>Effective 8/4/2022 (later of 8 April 2022 or 20 business days after day of registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Repeal Instrument 2022/135</i> repeals <i>ASIC Market Integrity Rules (Securities Markets) Determination 2021/991</i> which will be superseded by <i>ASIC Market Integrity Rules (Securities Markets) Determination 2022/134</i> (see 'Determinations' below).</p>	DET 22/134
ASIC Market Integrity Rules (Futures Markets) Class Waiver Amendment Instrument 2022/139	<p><i>Issued 15/3/2022</i></p> <p><i>Registered 16/3/2022: F2022L00321</i></p> <p><i>Effective 17/3/2022 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Market Integrity Rules (Futures Markets) Class Waiver Amendment Instrument 2022/139</i> amends <i>ASIC Market Integrity Rules (Futures Markets) Class Waiver 2018/313</i> to extend it to 22 March 2024.</p>	No MR
ASIC Corporations (Describing Debentures—Secured Notes) Instrument 2022/61	<p><i>Issued 23/3/2022</i></p> <p><i>Registered 28/3/2022: F2022L00390</i></p> <p><i>Effective 29/3/2022 (day after registration)</i></p>	<p><i>ASIC Corporations (Describing Debentures—Secured Notes) Instrument 2022/61</i> provides condition relief to introduce a "secured notes" category for the purposes of section 283BH of the <i>Corporations Act 2001</i> where security has been provided over intangible property, subject to various conditions.</p>	MR 22-068 SLI 22/62
ASIC Corporations (Repeal) Instrument 2022/62	<p><i>Issued 23/3/2022</i></p> <p><i>Registered 28/3/2022: F2022L00393</i></p> <p><i>Effective 29/3/2022 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Repeal) Instrument 2022/62</i> repeals sunseting Class Order [CO 12/1482] <i>When debentures can be called secured notes</i> which is being replaced by <i>ASIC Corporations (Describing Debentures—Secured Notes) Instrument 2022/61</i>.</p>	MR 22-068 LI 22/61

Title	Dates	Details	Media release and related documents
ASIC Corporations (Repeal and Transitional—Relief for Providers of Retirement Estimates) Instrument 2022/204	<p><i>Issued 28/3/2022</i></p> <p><i>Registered 28/3/2022: F2022L00402</i></p> <p><i>Effective 29/3/2022 (day after registration)</i></p>	<p><i>ASIC Corporations (Repeal and Transitional—Relief for Providers of Retirement Estimates) Instrument 2022/204</i> repeals ASIC Class Order [CO 11/1227] <i>Relief for providers of retirement estimates</i>, and provides transitional relief to extend its effect until the end of 31 December 2022.</p>	MR 22-073
ASIC Corporations (Amendment) Instrument 2022/206	<p><i>Issued 28/3/2022</i></p> <p><i>Registered 30/3/2022: F2022L00422</i></p> <p><i>Effective 31/3/2022 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2022/206</i> amends the <i>ASIC Corporations (Derivative Clearing Exemption) Instrument 2018/209</i> so that Clearing Entities are not required to comply with Rule 2.1.1 of the Rules in respect of AUD FRAs entered into before 2 April 2024.</p>	No MR
ASIC Corporations (Amendment) Instrument 2022/0077	<p><i>Issued 28/3/2022</i></p> <p><i>Registered 31/3/2022: F2022L00444</i></p> <p><i>Effective 1/4/2022 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2022/0077</i> amends <i>ASIC Corporations (Repeal and Transitional) Instrument 2017/186</i> to extend its effect until 1 October 2022</p>	MR 22-070 REP 723
ASIC Corporations (Commonwealth Financial Counselling—Financial Capability Services) Instrument 2022/221	<p><i>Issued 29/3/2022</i></p> <p><i>Registered 30/3/2022: F2022L00421</i></p> <p><i>Effective 1/4/2022 (later of day after registration or 1 April 2022)</i></p>	<p><i>ASIC Corporations (Commonwealth Financial Counselling—Financial Capability Services) Instrument 2022/221</i> provides Australian financial services licensing relief for financial capability service providers who provide financial product advice about basic deposit products</p>	No MR
ASIC Corporations (Internal Dispute Resolution Data Reporting) Instrument 2022/205	<p><i>Issued 30/3/2022</i></p> <p><i>Registered 30/3/2022: F2022L00430</i></p> <p><i>Effective 31/3/2022 (day after registration)</i></p>	<p><i>ASIC Corporations (Internal Dispute Resolution Data Reporting) Instrument 2022/205</i> establishes the framework for reporting internal dispute resolution information by financial firms to ASIC.</p>	MR 22-071 IDR data reporting handbook

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ASIC Corporations (Existing Providers) Instrument 2022/241	<p><i>Issued 31/3/2022</i></p> <p><i>Registered 1/4/2022: F2022L00473</i></p> <p><i>Effective 2/4/2022 (day after registration)</i></p>	<p><i>ASIC Corporations (Existing Providers) Instrument 2022/241</i> puts in place interim measures to address an unintended prohibition on AFS licensees authorising certain Existing Providers to provide personal advice to retail clients in relation to relevant financial products.</p>	<p>No MR</p> <p>INFO 260 (reissued 4/4/2022)</p>
ASIC Market Integrity Rules (Securities Markets and other ASIC-Made Rules) Amendment Instrument 2022/248	<p><i>Issued 1/4/2022</i></p> <p><i>Registered 5/4/2022: F2022L00532</i></p> <p><i>Effective 6/4/2022 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Market Integrity Rules (Securities Markets and other ASIC-Made Rules) Amendment Instrument 2022/248</i> amends the <i>ASIC Market Integrity Rules (Securities Markets and other ASIC-Made Rules) Amendment Instrument 2022/117</i>.</p>	<p>No MR</p>
ASIC Corporations (Product Intervention Order Extension— Contracts for Difference) Instrument 2022/259	<p><i>Issued 5/4/2022</i></p> <p><i>Registered 11/4/2022: F2022L00582</i></p> <p><i>Effective 12/4/2022 (day after registration)</i></p>	<p><i>ASIC Corporations (Product Intervention Order Extension— Contracts for Difference) Instrument 2022/259</i> declares that <i>ASIC Corporations (Product Intervention Order - Contracts for Difference) Instrument 2020/986</i>, a product intervention order made under subsection 1023D(3) of the <i>Corporations Act 2001</i>, remains in force for the period ending at the end of 23 May 2027, unless it is revoked earlier.</p>	<p>MR 22-082</p> <p>REP 724</p>
ASIC Corporations (Amendment) Instrument 2022/264	<p><i>Issued 11/4/2022</i></p> <p><i>Registered 13/4/2022: F2022L00599</i></p> <p><i>Effective 14/4/2022 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2022/264</i> extends the dollar disclosure relief introduced in the <i>ASIC Corporations (Amendment) Instrument 2021/292</i> so that the relief continues to operate until the <i>ASIC Corporations (Disclosure in Dollars) Instrument 2016/767</i> sunsets on 1 October 2026.</p>	<p>MR 22-093</p>
ASIC Derivative Transaction Rules (Clearing) Amendment Instrument 2022/224	<p><i>Issued 12/5/2022</i></p> <p><i>Registered 13/5/2022: F2022L00697</i></p> <p><i>Effective 13/8/2022 (3 months after day of registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Derivative Transaction Rules (Clearing) Amendment Instrument 2022/224</i> amends the <i>ASIC Derivative Transaction Rules (Clearing) 2015</i> (the Rules) to remove products which can no longer be traded or cleared from the definition of a Clearing Derivative in Rule 1.2.3 of the Rules.</p>	<p>No MR</p> <p>REP</p>

Title	Dates	Details	Media release and related documents
ASIC (Amendment) Instrument 2022/0427	<p><i>Issued 1/6/2022</i></p> <p><i>Registered 6/6/2022: F2022L00742</i></p> <p><i>Effective 7/6/2022 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC (Amendment) Instrument 2022/0427 amends ASIC (Amendment) Instrument 2022/0427 amends the ASIC (Senior Staff Members—Determination) Instrument 2019/117, expanding definitions and enabling certain ATO staff to perform and exercise registry functions and powers.</i></p>	No MR
ASIC Market Integrity Rules (Securities Markets) Repeal Instrument 2022/483	<p><i>Issued 6/6/2022</i></p> <p><i>Registered 8/6/2022: F2022LL00754</i></p> <p><i>Effective 11/7/2022 (later of 11 July 2022 or 20 business days after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Repeal Instrument 2022/483 repeals ASIC Market Integrity Rules (Securities Markets) Determination 2022/134 which is being replaced by ASIC Market Integrity Rules (Securities Markets) Determination 2022/482 (see 'Determinations' below).</i></p>	No MR
ASIC Market Integrity Rules (Securities Markets and Futures Markets) Amendment Instrument 2022/329	<p><i>Issued 7/6/2022</i></p> <p><i>Registered 8/6/2022: F2022L00751</i></p> <p><i>Effective 9/6/2022 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Market Integrity Rules (Securities Markets and Futures Markets) Amendment Instrument 2022/329 amends:</i></p> <ul style="list-style-type: none"> • <i>ASIC Market Integrity Rules (Securities Markets) Amendment 2022/73</i> • <i>ASIC Market Integrity Rules (Securities Markets and Futures Markets) Amendment Instrument 2022/74, and</i> • <i>Market Integrity Rules (Securities Markets and other ASIC-Made Rules) Amendment Instrument 2022/117,</i> <p>to provide for a specific date of commencement.</p>	No MR
ASIC Corporations (Notification of Authorised Representatives) Instrument 2022/301	<p><i>Issued 9/6/2022</i></p> <p><i>Registered 14/6/2022: F2022L00762</i></p> <p><i>Effective 15/6/2022 (day after registration)</i></p>	<p><i>ASIC Corporations (Notification of Authorised Representatives) Instrument 2022/301 exempts Authorised Representatives from the requirement to notify ASIC of the sub-authorisation of employees who provide a claims handling or settling service in relation to general or consumer credit insurance products.</i></p>	MR 22-146

Title	Dates	Details	Media release and related documents
<p>ASIC Corporations (In-use Notices for Employer-sponsored Superannuation and Superannuation Dashboards) Instrument 2022/496</p>	<p><i>Issued 8/6/2022</i> <i>Registered 9/6/2022: F2022L00756</i> <i>Effective 9/6/2022 (same day as SLI 22/499)</i></p>	<p><i>ASIC Corporations (In-use Notices for Employer-sponsored Superannuation and Superannuation Dashboards) Instrument 2022/496</i> defers commencement of choice product dashboards and the requirement to include a hard copy of the latest product dashboard in periodic statements to 1 October 2027. The instrument also provides flexibility in how PDS in-use notices for employer-sponsored superannuation products may be provided to ASIC.</p>	<p>MR 22-142 LI 22/497 LI 22/498 SLI 22/499</p>
<p>ASIC Corporations (Shorter PDS and Delivery of Accessible Financial Products Disclosure by Platform Operators and Superannuation Trustees) Instrument 2022/497</p>	<p><i>Issued 8/6/2022</i> <i>Registered 9/6/2022: F2022L00764</i> <i>Effective 9/6/2022 (same day as SLI 22/499)</i></p>	<p><i>ASIC Corporations (Shorter PDS and Delivery of Accessible Financial Products Disclosure by Platform Operators and Superannuation Trustees) Instrument 2022/497</i> relieves particular products from the shorter PDS regime, provides relief from the prohibition in paragraphs 1015C(3)(a) and (b) of the <i>Corporations Act 2001</i>, and modifies requirements in sections 1012IA, 1013D, 1013E and 1013F of the <i>Corporations Act 2001</i> to provide three alternate options for giving disclosure about accessible financial products.</p>	<p>MR 22-142 LI 22/496 LI 22/498 SLI 22/499</p>
<p>ASIC Corporations (Financial Services Guide Given in a Time Critical Situation) Instrument 2022/498</p>	<p><i>Issued 8/6/2022</i> <i>Registered 9/6/2022: F2022L00765</i> <i>Effective 9/6/2022 (same day as SLI 22/499)</i></p>	<p><i>ASIC Corporations (Financial Services Guide Given in a Time Critical Situation) Instrument 2022/498</i> provides relief in a time critical situation from the requirement under section 941E of the <i>Corporations Act 2001</i> that a Financial Services Guide (FSG) be up to date at the time it is given to the client.</p>	<p>MR 22-142 LI 22/496 LI 22/497 SLI 22/499</p>

Title	Dates	Details	Media release and related documents
<p>ASIC Corporations (Repeal) Instrument 2022/499</p>	<p><i>Issued 8/6/2022</i></p> <p><i>Registered 9/6/2022: F2022L00763</i></p> <p><i>Gazetted 14/6/2022: ASIC Gazette A24/22</i></p> <p><i>Effective 9/6/2022 (later of day after registration or gazettal)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p>ASIC Corporations (Repeal) Instrument 2022/499 repeals seven legislative instruments which concern relief related to product disclosure statements, superannuation dashboards and Financial Services Guides, and four further legislative instruments that are redundant.</p> <p>Repealed:</p> <ul style="list-style-type: none"> • Class Order [CO 10/630] <i>Long-term superannuation returns</i> • Class Order [CO 12/415] <i>In-use notices for employer-sponsored superannuation</i> • Class Order [CO 12/417] <i>Information in a Financial Services Guide given in a time-critical situation</i> • Class Order [CO 12/574] <i>Revocation of Class Orders [SCO 00/184] and [SCO 04/1570]</i> • Class Order [CO 12/749] <i>Relief from the Shorter PDS regime</i> • Class Order [CO 12/794] <i>Emissions units: Relief for representatives</i> • Class Order [CO 13/797] <i>Platform operators and trustees of superannuation entities using an agent to deliver a Product Disclosure Statement</i> • Class Order [CO 13/1534] <i>Deferral of Stronger Super amendments in relation to PDS and periodic statement disclosure</i> • Class Order [CO 14/443] <i>Deferral of choice product dashboard and portfolio holdings disclosure regimes</i> • ASIC Corporations (AFSL Audit Opinion) Instrument 2015/586 • ASIC Corporations (Superannuation: Investment Strategies) Instrument 2016/65 	<p>MR 22-142</p> <p>LI 22/496</p> <p>LI 22/497</p> <p>LI 22/498</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2022/519	<p><i>Issued 24/6/2022</i></p> <p><i>Registered 27/6/2022: F2022L00839</i></p> <p><i>Effective 28/6/2022 (day after registration)</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2022/519 amends the ASIC Corporations (Rounding in Financial/Directors' Reports) Instrument 2016/191 for changes to legislation impacting the financial reporting requirements of entities under the Corporations Act 2001.</i></p>	No MR
ASIC Corporations (Superannuation Calculators and Retirement Estimates) Instrument 2022/603	<p><i>Issued 29/6/2022</i></p> <p><i>Registered 30/6/2022: F2022L00895</i></p> <p><i>Effective 1/7/2022 (day after registration)</i></p>	<p><i>ASIC Corporations (Superannuation Calculators and Retirement Estimates) Instrument 2022/603 provides conditional relief from the AFS licensing requirements in the Act for superannuation fund trustees who prepare retirement estimates for their members, and for providers of superannuation calculators.</i></p>	<p>MR 22-173</p> <p>RG 276</p> <p>RG 167</p> <p>REP 731</p> <p>SLI 22/604</p>
ASIC Corporations (Amendment) Instrument 2022/604	<p><i>Issued 29/6/2022</i></p> <p><i>Registered 30/6/2022: F2022L00894</i></p> <p><i>Effective 1/7/2022 (day after registration) except Sch 2 1/1/2023</i></p> <p>Automatic repeal under s48A Legislation Act</p>	<p><i>ASIC Corporations (Amendment) Instrument 2022/604 amends ASIC Corporations (Generic Calculators) Instrument 2016/207 to remove relief for superannuation or retirement calculators in ASIC Corporations (Generic Calculators) Instrument 2016/207 from 1 January 2023 and other minor machinery changes.</i></p>	<p>MR 22-173</p> <p>RG 276</p> <p>RG 167</p> <p>REP 731</p> <p>LI 22/603</p>

Consultation papers

Title	Release Date	Details	Media release and related documents
<p>CP 356 ETP naming conventions: Updates to INFO 230</p>	<p>20/1/2022</p>	<p>This consultation paper sets out our proposals to update the guidance in Information Sheet 230 <i>Exchange traded products: Admission guidelines</i> (INFO 230) on naming conventions for licensed Australian exchanges that admit exchange traded products (ETPs).</p> <p>This paper seeks feedback on the proposed updates from licensed Australian exchanges, issuers of ETPs and investors (including their representatives, such as financial advisers).</p>	<p>MR 22-003</p> <p>Attachment to CP 356: Draft INFO 230</p>
<p>CP 357 Remaking relief for business introduction services: ASIC Instrument 2017/186</p>	<p>25/1/2022</p>	<p>This consultation paper sets out ASIC's proposals to amend our relief for business introduction services under <i>ASIC Corporations (Repeal and Transitional) Instrument 2017/186</i> (ASIC Instrument 2017/186), which is due to expire on 1 April 2022.</p> <p>We are seeking feedback from all interested stakeholders including operators of business introduction services on our proposals to:</p> <ul style="list-style-type: none"> • allow the relief for Ch 6D securities to expire • extend the relief for interests in managed investment schemes to 1 April 2025, and • amend the relief to clarify that the design and distribution obligations apply to business introduction services. 	<p>MR 22-007</p>

Title	Release Date	Details	Media release and related documents
CP 358 Remaking ASIC relief on PDSs, superannuation dashboards and FSGs	18/2/2022	<p>This consultation paper sets out ASIC’s proposals to remake our class orders and one legislative instrument on specific disclosure requirements for financial services. Under the <i>Legislation Act 2003</i>, some of these instruments will expire (‘sunset’) if not remade. The relief provided in two instruments will also cease if there is no extension.</p> <p>We are seeking feedback from financial services licensees, superannuation trustees, platform operators, responsible entities, consumer groups and other interested stakeholders on our proposals to:</p> <ul style="list-style-type: none"> • remake, in a single new instrument, relief in class orders relating to Product Disclosure Statement (PDS) in-use notices for employer-sponsored superannuation and product dashboard disclosure; • remake, in a single new instrument, relief in instruments that relate to shorter PDSs and PDS obligations of superannuation trustees, IDPS operators and responsible entities of IDPS-like schemes; and • remake, as a new instrument, a class order relating to Financial Services Guides (FSGs) in time critical situations. 	<p>MR 22-024</p> <p>Attachment 1 to CP 358: Draft legislative instrument</p> <p>Attachment 2 to CP 358: Draft legislative instrument</p> <p>Attachment 3 to CP 358: Draft legislative instrument</p>
CP 359 Update to RG 263 Financial Services and Credit Panel	28/2/2022	<p>This consultation paper sets out ASIC’s proposals to update Regulatory Guide 263 <i>Financial Services and Credit Panel</i> (RG 263) to reflect legislative changes in the <i>Financial Sector Reform (Hayne Royal Commission Response—Better Advice) Act 2021</i> (Better Advice Act).</p>	<p>MR 22-033</p> <p>Attachment to CP 359 (Draft RG 263)</p>

Title	Release Date	Details	Media release and related documents
CP 360 Corporate collective investment vehicles: Preparing for the commencement of the new regime	17/3/2022	<p>This consultation paper seeks feedback on our proposed guidance on corporate collective investment vehicles (CCIVs). It includes proposals on how we will:</p> <ul style="list-style-type: none"> • assess Australian financial services (AFS) licence applications from corporate directors seeking to operate a CCIV • assess AFS licence applications from persons seeking to provide financial product advice on and/or deal in CCIV securities, and • administer the licensee obligations that will apply to corporate directors 	<p>MR 22-050</p> <p>Attachments 1-5:</p> <ul style="list-style-type: none"> • Draft RG 2 • Draft RG 3 • Draft RG 105 • Draft RG 126 • Draft RG 166
CP 361 Proposed changes to simplify the ASIC Derivative Transaction Rules (Reporting): Second consultation	16/5/2022	<p>This consultation paper sets out further proposals to amend the <i>ASIC Derivative Transaction Rules (Reporting) 2013</i> made under s901A of the <i>Corporations Act 2001</i>, following our first round of consultation in Consultation Paper 334 Proposed changes to simplify the ASIC Derivative Transaction Rules (Reporting): First consultation (CP 334). We are also giving our feedback on the first round of consultation.</p>	<p>No MR</p> <p>CP 361</p> <p>Attachment 1 to CP 361: Draft remade ASIC Rules</p> <p>Attachment 2 to CP 361: Draft amended ASIC Rules</p>
CP 362 Extension of the binary options product intervention order	31/5/2022	<p>This paper summarises ASIC's analysis of the impact of our product intervention order banning the issue and distribution of binary options to retail clients.</p> <p>The paper also sets out our proposal to extend the order so that it will remain in force until it is revoked or sunsets. The proposal is subject to consultation and Ministerial approval.</p>	MR 22-118

Title	Release Date	Details	Media release and related documents
CP 363 Remaking ASIC class order on financial requirements for retail OTC derivative issuers: [CO 12/752]	30/6/2022	<p>This consultation paper sets out ASIC’s proposal to remake, without significant changes, Class Order [CO 12/752] <i>Financial requirements for retail OTC derivative issuers</i>.</p> <p>Under the <i>Legislation Act 2003</i>, this class order will expire (‘sunset’) if not remade. We are seeking feedback on our proposal.</p> <p>Note: The draft ASIC instrument is available on our website at www.asic.gov.au/cp under CP Error! Unknown document property name..</p>	<p>MR 22-166</p> <p>Attachment to CP 363: Draft legislative instrument</p>

Reports

Title	Release Date	Details	Media release and related documents
REP 717 ASIC quarterly update: October to December 2021	3/2/2022	This report provides an update on ASIC’s work undertaken between 1 October and 31 December 2021.	MR 22-011
REP 718 Response to submissions on CP 341 Review of the ePayments Code : Further consultation	7/3/2022	This report highlights the key issues that arose out of the submissions received on Consultation Paper 341 <i>Review of the ePayments Code: Further consultation (CP 341)</i> and details our responses to those issues.	MR 22-041
REP 719 Response to submissions on CP 314 Market integrity rules for technological and operational resilience	10/3/2022	This report highlights the key issues that arose out of the submissions received on Consultation Paper 314 <i>Market integrity rules for technological and operational resilience (CP 314)</i> and details our responses to those issues.	<p>MR 22-045</p> <p>REP 719</p> <p>SLI 22/74</p> <p>REP 720</p> <p>SLI 22/117</p> <p>REP 721</p> <p>SLI 22/73</p>

Title	Release Date	Details	Media release and related documents
REP 720 Response to submissions on CP 342 Proposed amendments to the ASIC market integrity rules and other ASIC-made rules	10/3/2022	This report highlights the key issues that arose out of the submissions received on Consultation Paper 342 <i>Proposed amendments to the ASIC market integrity rules and other ASIC-made rules</i> (CP 342) and details our responses to those issues.	MR 22-045 REP 719 SLI 22/74 REP 720 SLI 22/117 REP 721 SLI 22/73
REP 721 Response to submissions on CP 347 Proposed amendments to the prohibition on order incentives in the ASIC market integrity rules	10/3/2022	Response to submissions on CP 347 <i>Proposed amendments to the prohibition on order incentives in the ASIC market integrity rules</i> (CP 347).	MR 22-045 REP 719 SLI 22/74 REP 720 SLI 22/117 REP 721 SLI 22/73
REP 722 ASIC enforcement update July to December 2021	28/3/2022	This report provides an update on our enforcement action between 1 July and 31 December 2021. During this period, we continued to act against misconduct to maintain trust and integrity in Australia's financial system and promote a fair, strong and efficient financial system for all Australians.	MR 22-066
REP 723 Response to submissions on CP 357 Remaking relief for business introduction services	30/3/2022	This report highlights the key issues that arose out of the submissions received on Consultation Paper 357 <i>Remaking relief for business introduction services: ASIC Instrument 2017/186</i> (CP 357) and details our responses to those issues.	MR 22-070 LI 22/0077

Title	Release Date	Details	Media release and related documents
REP 724 Response to submissions on CP 348 Extension of the CFD product intervention order	6/4/2022	<p>This report summarises ASIC's analysis of the impact of its product intervention order imposing conditions on the issue and distribution of contracts for difference to retail clients.</p> <p>This report highlights the key issues raised in the submissions received on Consultation Paper 348 Extension of the CFD product intervention order (CP 348) and details our responses to those issues.</p>	MR 22-082 LI 22/259
REP 725 ASIC quarterly update: January to March 2022	28/4/2022	This report provides an update on ASIC's work undertaken between 1 January and 31 March 2022.	See article
REP 726 Response to submissions on CP 353 Proposed amendments to the ASIC Derivative Transaction Rules (Clearing) 2015	13/5/2022	Highlights the key issues that arose out of the submissions received on Consultation Paper 353 <i>Proposed amendments to the ASIC Derivative Transaction Rules (Clearing) 2015</i> (CP 353) and details our response to those issues.	No MR
REP 727 Regulator Performance Framework: ASIC self-assessment 2020–21	26/5/2022	<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 ASIC's self-assessment of its performance against the KPIs in 2020–21. It supplements ASIC's Annual report 2020–21.</p>	No MR

Title	Release Date	Details	Media release and related documents
<p>REP 728 Response to submissions on CP 360 Corporate collective investment vehicles: Preparing for the commencement of the new regime</p>	<p>23/6/2022</p>	<p>This report highlights the key issues that arose out of the submissions received on Consultation Paper 360 Corporate collective investment vehicles: Preparing for the commencement of the new regime (CP 360) and details our responses to those issues.</p>	<p>MR 22-152 INFO 272 INFO 240 (reissued 24/6/2022) RG 1 RG 2 RG 3 RG 104 RG 105 RG 132 RG 133</p>
<p>REP 729 Review of trustee communications about the MySuper performance test</p>	<p>24/6/2022</p>	<p>This report gives an update on ASIC’s work on superannuation trustee communications relating to the annual performance test introduced in 2021 as part of the Your Future, Your Super reforms. It sets out our findings and our expectations of trustees for future communications about performance.</p>	<p>MR 22-154</p>

New rules

Title	Dates	Details	Media release and related documents
<p>ASIC Market Integrity Rules (Securities Markets) Amendment 2022/73</p>	<p><i>Issued 9/3/2022</i></p> <p><i>Registered 9/3/2022: F2022L00292</i></p> <p><i>Effective 9/6/2022 (3 months after day of registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Amendment 2022/73 amends the ASIC Market Integrity Rules (Securities Markets) 2017 to vary prohibition on payment for order flow in Part 5.4B to close a regulatory gap in the current rules.</i></p>	<p>MR 22-045</p> <p>REP 719</p> <p>SLI 22/74</p> <p>REP 720</p> <p>SLI 22/117</p> <p>REP 721</p> <p>SLI 22/73</p>
<p>ASIC Market Integrity Rules (Securities Markets and Futures Markets) Amendment Instrument 2022/74</p>	<p><i>Issued 9/3/2022</i></p> <p><i>Registered 9/3/2022: F2022L00294</i></p> <p><i>Effective 9/3/2023 (12 months after day of registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets and Futures Markets) Amendment Instrument 2022/74 amends the ASIC Market Integrity Rules (Securities Markets) 2017 and the ASIC Market Integrity Rules (Futures Markets) 2017 by inserting Chapter 8A and Chapter 8B and repealing rule 9.1.3 of the ASIC Market Integrity Rules (Securities Markets) 2017.</i></p>	<p>MR 22-045</p> <p>REP 719</p> <p>SLI 22/74</p> <p>REP 720</p> <p>SLI 22/117</p> <p>REP 721</p> <p>SLI 22/73</p>
<p>ASIC Market Integrity Rules (Securities Markets and other ASIC-Made Rules) Amendment Instrument 2022/117</p>	<p><i>Issued 9/3/2022</i></p> <p><i>Registered 9/3/2022: F2022L00295</i></p> <p><i>Effective: See section 2</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets and other ASIC-Made Rules) Amendment Instrument 2022/117 updates and refines the market integrity rule books and other ASIC-made rules by amending a number of key areas, consistent with proposals set out in Consultation Paper 342 <i>Proposed amendments to the ASIC market integrity rules and other ASIC-made rules</i> (CP 342) and additional consultation.</i></p>	<p>MR 22-045</p> <p>REP 719</p> <p>SLI 22/74</p> <p>REP 720</p> <p>SLI 22/117</p> <p>REP 721</p> <p>SLI 22/73</p>

Class rule waivers

Title	Dates	Details	Media release and related documents
ASIC Market Integrity Rules (Capital, Securities Markets) Barclays Capital Asia Limited Waiver 2022/516	<p><i>Issued 10/6/2022</i></p> <p><i>Registered 14/6/2022: F2022L00761</i></p> <p><i>Effective 17/6/2022 (later of day of registration or 17 June 2022)</i></p>	<p><i>ASIC Market Integrity Rules (Capital, Securities Markets) Barclays Capital Asia Limited Waiver 2022/516 provides conditional waivers granted to Barclays Capital Asia Limited under the ASIC Market Integrity Rules (Capital) 2021 and the ASIC Market Integrity Rules (Securities Markets) 2017 in relation to capital reporting requirements and record keeping.</i></p>	No MR

Determinations

Title	Dates	Details	Media release and related documents
ASIC Market Integrity Rules (Securities Markets) Determination 2022/134	<p><i>Issued 7/3/2022</i></p> <p><i>Registered 8/3/2022: F2022L00286</i></p> <p><i>Effective 8/4/2022 (later of 8 April 2022 or 20 days after the day registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Determination 2022/134 maintains ASIC's policy of determining the allocation of Equity Market Products to tiers, replacing ASIC Market Integrity Rules (Securities Markets) Determination 2021/991.</i></p>	No MR SLI 22/135
ASIC Market Integrity Rules (Securities Markets) Determination 2022/482	<p><i>Issued 6/6/2022</i></p> <p><i>Registered 8/6/2022: F2022L00753</i></p> <p><i>Effective 11/7/2022 (later of 11 July 2022 or 20 days after the day registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Determination 2022/482 maintains ASIC's policy of determining the allocation of Equity Market Products to Tier 1 and Tier 2, replacing ASIC Market Integrity Rules (Securities Markets) Determination 2022/134.</i></p>	SLI 22/483

Notifiable instruments

ASIC Deferred Sales Model Exemption (TFAL—Business-Related Motor Vehicle Bailment Insurance) Instrument 2022/166	<p><i>Issued 29/3/2022</i></p> <p><i>Registered 30/3/2022: F2022N00076</i></p> <p><i>Effective 31/3/2022 (day after registration)</i></p>	<p><i>ASIC Deferred Sales Model Exemption (TFAL—Business-Related Motor Vehicle Bailment Insurance) Instrument 2022/166 gives effect to an exemption for the Deferred Sales Model granted under paragraph 12DY(1)(b) of the Australian Securities and Investments Commission Act 2001 to Toyota Finance Australia Ltd ABN 48 002 435 181 for business-related motor vehicle bailment insurance.</i></p>	No MR
ASIC Deferred Sales Model Exemption (IAL—Business-Related Livestock Insurance) Instrument 2022/167	<p><i>Issued 29/3/2022</i></p> <p><i>Registered 30/3/2022: F2022N00076</i></p> <p><i>Effective 31/3/2022 (day after registration)</i></p>	<p><i>ASIC Deferred Sales Model Exemption (IAL—Business-Related Livestock Insurance) Instrument 2022/167 gives effect to an exemption for the Deferred Sales Model granted under paragraph 12DY(1)(b) of the Australian Securities and Investments Commission Act 2001 to Australia Limited ABN 11 000 016 722 for business-related livestock insurance.</i></p>	No MR
ASIC Corporations (Law Societies—Fidelity and Indemnity Schemes) Instrument 2022/435	<p><i>Issued 29/3/2022</i></p> <p><i>Registered 30/3/2022: F2022N00076</i></p> <p><i>Effective 31/3/2022 (day after registration)</i></p>	<p><i>ASIC Corporations (Law Societies—Fidelity and Indemnity Schemes) Instrument 2022/435 exempts Law Societies of Australia's States and Territories from obligations under sections 601QA(1), 926A(2), 992B(1) and 1020F(1) of the Corporations Act 2001, in relation to the fidelity and indemnity schemes for which they are responsible</i></p>	No MR
ASIC Corporations (Law Societies—Statutory Deposit Accounts and Public Purpose Funds) Instrument 2022/436	<p><i>Issued 29/3/2022</i></p> <p><i>Registered 30/3/2022: F2022N00076</i></p> <p><i>Effective 31/3/2022 (day after registration)</i></p>	<p><i>ASIC Corporations (Law Societies—Statutory Deposit Accounts and Public Purpose Funds) Instrument 2022/436 exempts the law societies of Australia's States and Territories from obligations under section 911A of the Corporations Act 2001, in relation to the statutory deposit accounts and public purpose funds the law societies are responsible for.</i></p>	No MR
ASIC Corporations (Foreign Financial Services Provider—Queensland Fidelity and Indemnity Schemes) Instrument 2022/437	<p><i>Issued 29/3/2022</i></p> <p><i>Registered 30/3/2022: F2022N00076</i></p> <p><i>Effective 31/3/2022 (day after registration)</i></p>	<p><i>ASIC Corporations (Foreign Financial Services Provider—Queensland Fidelity and Indemnity Schemes) Instrument 2022/437 exempts Lexon from obligations under Chapter 5C, Part 7.9 Divisions 2 to 5, and sections 911A and 992A, of the Corporations Act 2001 in relation to the fidelity and indemnity schemes that it is responsible for.</i></p>	No MR
ASIC Corporations (Redraw Facility Transfer) Instrument 2022/599	<p><i>Issued 24/6/2022</i></p> <p><i>Registered 24/6/2022: F2022N00157</i></p> <p><i>Effective 24/6/2022 (date signed)</i></p>	<p><i>ASIC Corporations (Redraw Facility Transfer) Instrument 2022/599 provides an exemption under s994L(1)(a) of the Corporations Act 2001 from compliance with Part 7.8A in relation to certain replacement credit contracts.</i></p>	No MR

Information sheets

Title	Status	Release Date	Comments	Media release and related documents
INFO 24 Deeds of cross-guarantee	Reissued	15/2/2022	Updates in relation to electronic signing and lodgement of documents for the purposes of <i>ASIC Corporations (Wholly-owned Companies) Instrument 2016/785</i>	No MR ASIC Corporations (COVID-19 Email Lodgement Service—ASIC Corporations (Wholly-owned Companies) Instrument 2016/785) Instrument 2021/152 (PDF 280 KB) ASIC Corporations (COVID-19 Email Lodgement Service—ASIC Corporations (Wholly-owned Companies) Instrument 2016/785) Instrument 2021/722 (PDF 222 KB) ASIC Email Lodgement Service: User Agreement for ASIC Corporations (Wholly-owned Companies) Instrument 2016/785 (PDF 343 KB)
INFO 29 External administration, controller appointments and schemes of arrangement: Most commonly lodged forms	Reissued	22/2/2022	Technical amendments to ensure currency.	No MR

Title	Status	Release Date	Comments	Media release and related documents
INFO 269 Discussing financial products and services online	New	21/3/2022	<p>This information sheet (INFO 269) is for social media influencers who discuss financial products and services online. It sets out how financial services laws apply to you – it is your responsibility to ensure that any content you post complies with the law.</p> <p>INFO 269 is also for Australian financial services (AFS) licensees who use an influencer. You should be aware of your obligations as you may also be liable for any misconduct by the influencer.</p>	MR 22-054
INFO 260 FAQs: Timeframe for passing the financial adviser exam	Reissued	4/4/2022	<p>Technical updates to reflect amendments made to the Corporations Act by the Better Advice Act and ASIC Instrument 2022/241</p>	LI 22/241
INFO 226 Complying with the ASIC Client Money Reporting Rules 2017	Reissued	10/5/2022	<p>Updated guidance for AFS licensees lodging records and declarations:</p> <ul style="list-style-type: none"> • The monthly reconciliation records should be lodged through the ASIC Regulatory Portal. • The annual declarations under Rule 3.1.2 should also be lodged through the ASIC Regulatory Portal. • The reports under Rule 3.1.1 should be submitted on the ASIC Regulatory Portal using the relevant form. 	No MR
INFO 265 Reports of suspicious activity in FICC markets	Reissued	10/5/2022	<p>Updated guidance for market intermediaries about reporting suspicious activity in fixed income, currencies and commodities (FICC) markets (FICC SARs) and how these reports should be lodged on the ASIC Regulatory Portal using the relevant the form.</p>	No MR
INFO 270 Warnings and reprimands	New	9/6/2022	<p>Explains the new requirement for ASIC to give warnings and reprimands to financial advisers in specified circumstances from 1 January 2022. The requirement was introduced by the Financial Sector Reform (Hayne Royal Commission Response—Better Advice) Act 2021 (Better Advice Act) from 1 January 2022.</p>	MR 22-139

Title	Status	Release Date	Comments	Media release and related documents
INFO 24 Deeds of cross-guarantee	Reissued	10/6/2022	Updates in relation to electronic signing and lodgement of documents for the purposes of <i>ASIC Corporations (Wholly-owned Companies) Instrument 2016/785</i>	No MR ASIC Corporations (Email Lodgement Service—ASIC Corporations (Wholly-owned Companies) Instrument 2016/785) Instrument 2022/444 (PDF 214 KB) ASIC Email Lodgement Service: User Agreement for ASIC Corporations (Wholly-owned Companies) Instrument 2016/785 (ELS User Agreement) (PDF 364 KB)
INFO 271 How to avoid greenwashing when offering or promoting sustainability-related products	New	14/6/2022	Provides guidance to help issuers avoid 'greenwashing' when offering or promoting sustainability-related products and provide investors with the information they should have to make informed decisions	MR 22-141
INFO 272 How to register a corporate collective investment vehicle and sub-fund	New	23/6/2022	This information sheet (INFO 272) explains how to: <ul style="list-style-type: none"> • register a CCIV and initial sub-fund(s) • register further sub-funds of a CCIV. This information sheet also provides information on registering a sub-fund of a CCIV as an Australian passport fund.	MR 22-152 Reissued 23/6/2022: INFO 272, RG 1, RG 2, RG 3, RG 104, RG 105, RG 132, RG 133 Reissued 24/6/2022: INFO 240 Issued 1/7/2022: LI 22/449 Reissued 6/7/2022: RG 126, RG 134, RG 166, RG 168, INFO 155, PF 209

Title	Status	Release Date	Comments	Media release and related documents
INFO 240 AFS licence applications: Providing information for fit and proper people and certain authorisations	Reissued	24/6/2022	Updated to support the licensing and other requirements for corporate collective investment vehicles (CCIVs) which come into effect on 1 July 2022, when the CCIVs regime commences.	MR 22-152 Reissued 23/6/2022: INFO 272, RG 1, RG 2, RG 3, RG 104, RG 105, RG 132, RG 133 Reissued 24/6/2022: INFO 240 Issued 1/7/2022: LI 22/449 Reissued 6/7/2022: RG 126, RG 134, RG 166, RG 168, INFO 155, PF 209

Other documents

Title	Release Date	Details	MR and related documents
ASIC privacy policy	24/1/2022	Reissued to: <ul style="list-style-type: none"> • amend para 21 to include a permitted general situation • amend para 24 to include Financial Services and Credit Panels and liquidator committees • amend para 25 to include a permitted general situation • add new paras 38–47 to outline how we handle information obtained through our website, Google analytics and our subscription services • amend para 50 to reflect the timeframe for acknowledging a request to access or correct personal information, and • amend para 93 to clarify the purposes for which personal information may be collected. 	No MR
Governance of responsible entities (PPT 245KB)	31/1/2022	Presents the findings from a high-level review by ASIC of the governance practices of 10 large responsible entities of managed investment schemes.	See article
ASIC/APRA joint letter on implementation of the retirement income covenant (PDF 333 KB)	7/3/2022	ASIC and the Australian Prudential Regulation Authority (APRA) have issued a joint letter to all registrable superannuation entity (RSE) licensees on the implementation of a new retirement income covenant (the covenant).	See news item

Internal dispute resolution (IDR) reporting handbook	30/3/2022	<p>Outlines the final mandatory requirements for firms to report internal dispute resolution (IDR) data under the IDR data reporting framework</p>	<p>MR 22-071 LI 22/205</p>
ePayments Code	2/6/2022	<p>Updated to provide enhancements to and clarify a number of existing protections for consumers including covering payments made using the New Payments Platform. ASIC has also updated the following areas of the Code:</p> <ul style="list-style-type: none"> • compliance monitoring and data collection; • mistaken internet payments; • unauthorised transactions; • complaints handling; and • facility expiry dates. 	<p>MR 22-125</p>
Draft Cost Recovery Implementation Statement (CRIS) 2021–22 for feedback Summary of 2021-22 indicative levies (PDF 96 KB)	6/6/2022	<p>Draft CRIS outlines ASIC’s estimated regulatory costs for 2021-22 and how it is proposed these will be recovered as levies under the industry funding model.</p> <p>The indicative levies are based on ASIC’s planned regulatory work and associated costs for the 2021–22 financial year.</p> <p>Final industry levies will be based on ASIC’s actual regulatory costs and the business metrics submitted by entities in each subsector. Final levies will be published in December 2022 and invoiced between January and March 2023.</p>	<p>MR 22-130</p>