

Australian Securities and Investments Commission – Table of regulatory documents

Documents released during August 2022

New regulatory guides

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

Amended or reissued regulatory guides

Title	Release Date	Details	Media release and related documents
RG 172 Financial markets: Domestic and overseas operators	2/8/2022	<p>This guide provides guidance about the licensing regime and regulatory obligations for operators of financial markets.</p> <p>Updated guidance on payment for order flow, operational resilience and ASIC portal transition.</p> <p>Updates made are a result of:</p> <ul style="list-style-type: none"> • CP 347 • CP 314 • CP 342 • amendments to the Capital Rules 2021 (commencing 21 June 2022), and • transition from MECS to the ASIC Regulatory Portal. 	<p>No MR</p> <p>RG 241</p> <p>RG 265</p> <p>RG 266</p>

Title	Release Date	Details	Media release and related documents
RG 241 Electronic trading	2/8/2022	<p>This guide is for trading participants of the markets operated by ASX Limited, Cboe Australia Pty Limited, National Stock Exchange Australia Limited and Sydney Stock Exchange Limited that use or intend to use their systems for automated order processing, including use in relation to a crossing system.</p> <p>It gives guidance on how trading participants can comply with their obligations under the ASIC Market Integrity Rules (Securities Markets) 2017 that apply to the use of automated order processing.</p> <p>Updated guidance on payment for order flow, operational resilience and ASIC portal transition.</p> <p>Updates made are a result of:</p> <ul style="list-style-type: none"> • CP 347 • CP 314 • CP 342 • amendments to the Capital Rules 2021 (commencing 21 June 2022), and • transition from MECS to the ASIC Regulatory Portal. 	<p>No MR</p> <p>RG 172</p> <p>RG 265</p> <p>RG 266</p>

Title	Release Date	Details	Media release and related documents
RG 265 Guidance on ASIC market integrity rules for participants of securities markets	2/8/2022	<p>This guide is for market participants subject to the ASIC Market Integrity Rules (Securities Markets) 2017 and ASIC Market Integrity Rules (Capital) 2021.</p> <p>It gives guidance on how market participants can comply with their obligations under these rules.</p> <p>Updated guidance on payment for order flow, operational resilience and ASIC portal transition.</p> <p>Updates made are a result of:</p> <ul style="list-style-type: none"> • CP 347 • CP 314 • CP 342 • amendments to the Capital Rules 2021 (commencing 21 June 2022), and • transition from MECS to the ASIC Regulatory Portal. 	<p>No MR</p> <p>RG 172</p> <p>RG 241</p> <p>RG 266</p>
RG 266 Guidance on ASIC market integrity rules for participants of futures markets	2/8/2022	<p>This guide is for market participants subject to the ASIC Market Integrity Rules (Futures Markets) 2017 and ASIC Market Integrity Rules (Capital) 2021.</p> <p>It gives guidance on how market participants can comply with their obligations under these rules.</p> <p>Updated guidance on payment for order flow, operational resilience and ASIC portal transition.</p> <p>Updates made are a result of:</p> <ul style="list-style-type: none"> • CP 347 • CP 314 • CP 342 • amendments to the Capital Rules 2021 (commencing 21 June 2022), and • transition from MECS to the ASIC Regulatory Portal. 	<p>No MR</p> <p>RG 172</p> <p>RG 241</p> <p>RG 265</p>

Title	Release Date	Details	Media release and related documents
RG 263 Financial Services and Credit Panel	3/8/2022	<p>This guide sets out the principles and processes of the Financial Services and Credit Panel (FSCP).</p> <p>The FSCP makes administrative decisions on matters referred to it by ASIC that relate to the conduct of financial advisers.</p> <p>Updated to provide new guidance in response to Consultation Paper 359 <i>Update to RG 263 Financial Services and Credit Panel (CP 359)</i>.</p>	MR 22-206 INFO 273 REP 734
RG 169 Hawking and disclosure: Discretionary powers	30/8/2022	<p>This guide is for AFS licensees and financial services providers, and any other person who offers financial products for issue or sale.</p> <p>It explains:</p> <ul style="list-style-type: none"> • our approach to relief from compliance with the hawking provisions of Div 8 of Pt 7.8 of the Corporations Act and the financial product disclosure provisions of Pt 7.9 of the Corporations Act; • how to apply for relief; and • relief we have provided for certain types of financial products. <p>There are no substantive changes to our guidance. Formatting updated and repealed legislative instruments removed. The title of the guide has been changed to 'Hawking and disclosure: Discretionary powers'.</p>	No MR

Legislative instruments

Title	Dates	Details	Media release and related documents
ASIC Corporations (Incidental Retail Cover) Instrument 2022/716	<p><i>Issued 12/8/2022</i></p> <p><i>Registered 15/8/2022: F2022L01069</i></p> <p><i>Effective 16/8/2022 (day after registration)</i></p>	<p><i>ASIC Corporations (Incidental Retail Cover) Instrument 2022/716</i> exempts insurers and brokers from retail client obligations under Chapter 7 of the Corporations Act in limited circumstances where a bundled general insurance contract includes incidental retail cover by permitting the insurer or broker to treat the client as a wholesale client.</p>	MR 22-222

Consultation papers

Title	Release Date	Details	Media release and related documents
No consultation papers issued in August 2022.			

Reports

Title	Release Date	Details	Media release and related documents
REP 734 Response to submissions on CP 359 Update to RG 263 Financial Services and Credit Panel	3/8/2022	This report highlights the key issues that arose out of the submissions received on Consultation Paper 359 Update to RG 263 Financial Services and Credit Panel (CP 359) and details our responses to those issues.	MR 22-206 RG 263 INFO 273
REP 735 Retail investor research	11/8/2022	This report was produced by SEC Newgate Research in close consultation with ASIC. It presents the findings of research into Australian retail investors' motivations, attitudes and behaviours. The results provide a point-in-time snapshot of the period following the onset of the COVID-19 pandemic.	MR 22-215
REP 733 ASIC enforcement and regulatory update: April to June 2022	15/8/2022 (first published 28/7/2022)	This report provides an update on ASIC's work between 1 April and 30 June 2022. Minor updates to the figures in Figure 1.	MR 22-193 Summary of enforcement outcomes: January to June 2022

Rules

Title	Dates	Details	Media release and related documents
No rules issued in August 2022			

Class rule waivers

Title	Dates	Details	Media release and related documents
No class rule waivers issued in August 2022			

Determinations

Title	Dates	Details	Media release and related documents
No determination issued in August 2022			

Information sheets

Title	Status	Release Date	Comments	Media release and related documents
INFO 273 FSCP decisions: Your rights	3/8/2022	New	New guidance about the Financial Services and Credit Panel including the rights of financial advisers affected by an FSCP decision, how to make an application to vary or revoke FSCP decisions and how to seek an independent review of FSCP decisions.	MR 22-206 RG 263 REP 734

Other documents

Title	Release Date	Details	MR and related documents
ASIC's Corporate Plan 2022-26 - Focus 2022-23	22/8/2022	Outlines ASIC's strategic priorities for the next four years and its plan of action for the year ahead.	MR 22-227