

# Australian Securities and Investments Commission – Table of regulatory documents

## Documents released during July–December 2021

### New regulatory guides

Title	Release Date	Details	Media release and related documents
RG 275 The deferred sales model for add-on insurance	28/7/2021	<p>This guide is for issuers and distributors of add-on insurance.</p> <p>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>MR 21-189</p> <p><a href="#">Attachment 1 to RG 275</a> - Compliant form for hard copy provision of Customer Information (PDF 138 KB)</p> <p><a href="#">Attachment 2 to RG 275</a> - Data template for applications for exemption from the deferred sales model for add-on insurance (Excel 92 KB)</p> <p>LI 21/632</p> <p>REP 695</p>

## Amended or reissued regulatory guides

Title	Release Date	Details	Media release and related documents
RG 104 AFS licensing: Meeting the general obligations	20/7/2021	<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><b>Content updated for the introduction of the ASIC reference checking and information sharing protocol – new reference checking requirements for AFS licensees and credit licensees under the <a href="#">Financial Sector Reform (Hayne Royal Commission Response) Act 2020</a>, commencing 1 October 2021.</b></p>	<p>MR 21-180</p> <p>INFO 257</p> <p>LI 21/429</p> <p>REP 694</p> <p>RG 205</p> <p>INFO 126</p> <p>INFO 134</p> <p>INFO 229</p> <p><a href="#">Example references</a></p>

Title	Release Date	Details	Media release and related documents
RG 205 Credit licensing: General conduct obligations	20/7/2021	<p>Credit licensees must comply with general conduct obligations: see s47(1) of the <i>National Consumer Credit Protection Act 2009</i>.</p> <p>Licence applicants must be able to demonstrate in their licence application that they can comply with these general conduct obligations.</p> <p>As a credit licensee or licence applicant, you are responsible for deciding how to comply with the general conduct obligations.</p> <p>To help you comply, Regulatory Guide 205 <i>Credit licensing: General conduct obligations</i> (RG 205):</p> <ul style="list-style-type: none"> <li>• outlines key compliance concepts that apply to all of the general conduct obligations</li> <li>• describes what we look for when we assess compliance with various general conduct obligations, and</li> <li>• includes questions to help you design and test your measures for complying with the general conduct obligations.</li> </ul> <p>The general conduct obligations not covered in this guide are covered in separate guides: see Table 1 in Section A.</p> <p><b>Content updated for the introduction of the ASIC reference checking and information sharing protocol – new reference checking requirements for AFS licensees and credit licensees under the <a href="#">Financial Sector Reform (Hayne Royal Commission Response) Act 2020</a>, commencing 1 October 2021.</b></p>	<p>MR 21-180</p> <p>INFO 257</p> <p>LI 21/429</p> <p>REP 694</p> <p>RG 104</p> <p>INFO 126</p> <p>INFO 134</p> <p>INFO 229</p> <p><a href="#">Example references</a></p>
RG 94 Unit pricing: Guide to good practice	22/7/2021	<p>Both APRA and ASIC have regulatory jurisdiction for aspects of the practice of life companies, superannuation providers and fund managers. After noting concerns about unit pricing practice in these entities in recent years, we undertook a joint review of unit pricing practice from July to December 2004.</p> <p><b>New cover page making minor technical updates to account for amendment of the <i>Superannuation Industry (Supervision) Act 1993</i>.</b></p> <p><b>NOTE: Updated only – issued date unchanged)</b></p>	<p>INFO 216</p>

Title	Release Date	Details	Media release and related documents
RG 221 Facilitating digital financial services disclosures	28/7/2021	<p>This is a guide for financial services providers that use (or plan to use) technology, including email and the internet, to deliver financial product and financial services disclosures to clients. It:</p> <ul style="list-style-type: none"> <li>• explains how under Pts 7.6–7.9 of the <i>Corporations Act 2001</i> (Corporations Act) most disclosures can be delivered digitally;</li> <li>• outlines our view that in most cases it will be clear from the context that a client has provided or nominated their electronic address for the purpose of receiving disclosure under the Corporations Act, and no higher standard of consent is required to send to an electronic address compared to non-electronic methods;</li> <li>• describes the relief available under <i>ASIC Corporations (Facilitating Electronic Delivery of Financial Services Disclosure) Instrument 2015/647</i> to facilitate the delivery of disclosures by making the disclosure available digitally and notifying the client;</li> <li>• describes the relief available under <i>ASIC Corporations (Removing Barriers to Electronic Disclosure) Instrument 2015/649</i> to remove potential barriers to more innovative disclosure; and</li> <li>• sets out our ‘good practice guidance’ on digital disclosure.</li> </ul> <p><b>Minor updates at RG 221.12 and Table 3 to include written consent to fees under fee arrangements.</b></p> <p><b>NOTE: Issue date unchanged.</b></p>	No MR
RG 274 Product design and distribution obligations	1/9/2021	<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>Note added at RG 274.157 explaining how issuers can notify ASIC of a significant dealing.</p> <p><b>NOTE: Minor update – issue date unchanged</b></p>	No MR

Title	Release Date	Details	Media release and related documents
RG 267 Oversight of the Australian Financial Complaints Authority	2/9/2021	<p>This regulatory guidance sets out how we will perform our oversight role in relation to the Australian Financial Complaints Authority (AFCA). It also includes the financial firms' AFCA membership obligations.</p> <p>This guide should be read in conjunction with Regulatory Guide 271 <i>Internal dispute resolution</i> (RG 271).</p> <p>Note: Regulatory Guide 165 <i>Licensing: Internal and external dispute resolution</i> (RG 165) applies to complaints received by financial firms before 5 October 2021, when RG 271 comes into effect. We will withdraw RG 165 on 5 October 2022.</p> <p>Note: From 27 July 2020, applications for relief should be submitted through the <a href="#">ASIC Regulatory Portal</a>. For more information, see <a href="#">how you apply for relief</a>.</p> <p><b>Minor amendments to incorporate the update of RG 271 (see below), which comes into force on 5 October 2021.</b></p>	<p>MR 21-230</p> <p><a href="#">Summary of survey findings (infographic - PDF 661 KB)</a></p> <p>RG 271</p> <p>SLI 21/753</p>

Title	Release Date	Details	Media release and related documents
RG 271 Internal dispute resolution	2/9/2021	<p>This guide is for Australian financial services (AFS) licensees, unlicensed product issuers, unlicensed secondary sellers, trustees of regulated superannuation funds (other than self-managed superannuation funds (SMSFs)), trustees of approved deposit funds, retirement savings account providers, Australian credit licensees (credit licensees) and unlicensed carried over instrument lenders (unlicensed COI lenders).</p> <p>The standards and requirements highlighted in this guide are enforceable.</p> <p>It explains what these financial firms must do to have an internal dispute resolution (IDR) system in place that meets ASIC's standards and requirements.</p> <p>Note: This guide comes into effect on 5 October 2021. For complaints received by financial firms before that date, Regulatory Guide 165 <i>Licensing: Internal and external dispute resolution</i> (RG 165) applies. We will withdraw RG 165 on 5 October 2022.</p> <p>This guide should be read in conjunction with Regulatory Guide 267 <i>Oversight of the Australian Financial Complaints Authority</i> (RG 267).</p> <p><b>Technical and clarifying amendments made to ASIC's IDR standards and requirements in RG 271 arising from stakeholder feedback: see <a href="#">REP 665 and summary of changes to RG 271</a>.</b></p>	<p>MR 21-230</p> <p><a href="#">Summary of survey findings (infographic - PDF 661 KB)</a></p> <p>RG 267</p> <p>SLI 21/753</p> <p><a href="#">REP 665 and summary of changes to RG 271</a></p>
RG 78 Breach reporting by AFS licensees and credit licensees	7/9/2021	<p>This guide is for Australian financial services (AFS) licensees and Australian credit licensees (credit licensees).</p> <p>It gives guidance on your obligation to report to ASIC certain breaches of the law under Div 3 of Pt 7.6 of the <i>Corporations Act 2001</i> (Corporations Act) and Div 5 of Pt 2-2 of the <i>National Consumer Credit Protection Act 2009</i> (National Credit Act).</p> <p>Note: This guide does not cover certain reporting obligations: see RG 78.12.</p> <p><b>Updated to include new regulatory guidance to help credit and Australian financial services (AFS) licensees meet new breach reporting obligations commencing 1 October 2021.</b></p> <p><b>NOTE: <a href="#">Superseded SRG 78 (PDF 782 KB)</a> continues to apply with respect to certain breaches before 1 October 2021</b></p>	<p>MR 21-235</p> <p>SRG 78C (ASIC Digest numbering)</p> <p>INFO 259</p> <p>REP 698</p>

Title	Release Date	Details	Media release and related documents
RG 38 The hawking prohibition	23/9/2021	<p>This guide is for people who offer financial products for issue or sale. It sets out our guidance on the hawking provisions in s992A and 992AA of the Corporations Act. In particular, this guide explains how to comply with the hawking prohibition contained in s992A, a prohibition that aims to protect consumers from unsolicited offers of financial products.</p> <p><b>Updated to reflect reforms to the anti-hawking regime under the <a href="#">Financial Sector Reform (Hayne Royal Commission Response) Act 2020</a>, commencing 5 October 2021.</b></p> <p><b>Note: Title has changed from ‘The hawking prohibitions’</b></p>	<p>REP 701</p> <p>SLI 21/799</p>
RG 174 Relief for externally administered companies and registered schemes being wound up	6/10/2021	<p>This guide is for registered liquidators and other persons who are externally administering the affairs of companies and winding up registered managed investment schemes (registered schemes).</p> <p>It explains when we will grant relief relating to:</p> <ul style="list-style-type: none"> <li>• the financial reporting obligations of the Corporations Act</li> <li>• the Australian financial services (AFS) licensee financial reporting obligations (for companies and responsible entities that are or have been AFS licensees)</li> <li>• the compliance plan audit obligations (for registered schemes), and</li> <li>• the requirement to hold an annual general meeting (for public companies).</li> </ul> <p><b>Updated to reflect new conditional relief provided to companies in external administration by:</b></p> <ul style="list-style-type: none"> <li>• <b>extending the time by which a company is required to prepare and lodge financial reports for a minimum period of six months and a maximum period of up to 24 months (deferral relief), and</b></li> <li>• <b>extending the time by which a public company is required to hold an AGM until two months after the deferral relief ends.</b></li> </ul>	<p>MR 21-263</p> <p>SLI 21/506</p> <p>REP 703</p>

Title	Release Date	Details	Media release and related documents
RG 21 How ASIC charges fees for relief applications	8/10/2021	<p>This guide is for applicants for relief and their advisers. It explains how we calculate the fees we charge when we receive applications to exercise our discretionary powers. It also describes:</p> <ul style="list-style-type: none"> <li>• when we charge fees for relief applications;</li> <li>• how we calculate those fees; and</li> <li>• the fees we charge for standard applications.</li> </ul> <p><b>Technical updates to reflect recent legislative changes relating to insurance.</b></p> <p><b>NOTE: Updated – issue date unchanged</b></p>	<p>No MR</p> <p>RG 51</p> <p>RG 234</p> <p>RG 275</p> <p>INFO 82</p> <p>INFO 198</p>
RG 51 Applications for relief	8/10/2021	<p>This guide is for applicants and advisers who are applying to ASIC for relief (i.e. by exemption or declaration (to omit, vary or modify)) under:</p> <ul style="list-style-type: none"> <li>• the <i>Corporations Act 2001</i></li> <li>• the <i>Superannuation Industry (Supervision) Act 1993</i></li> <li>• the <i>National Consumer Credit Protection Act 2009</i></li> <li>• the <i>National Consumer Credit Protection (Transitional and Consequential Provisions) Act 2009</i></li> <li>• the <i>Australian Securities and Investments Commission Act 2001</i>, or</li> <li>• the <i>Insurance Act 1973</i>.</li> </ul> <p>It sets out the types of applications that can be made, how to submit applications, our general approach to applications for relief, and the types of relief available.</p> <p><b>Technical updates to reflect recent legislative changes relating to insurance.</b></p> <p><b>NOTE: Updated – issue date unchanged</b></p>	<p>No MR</p> <p>RG 21</p> <p>RG 234</p> <p>RG 275</p> <p>INFO 82</p> <p>INFO 198</p>



Title	Release Date	Details	Media release and related documents
RG 234 Advertising financial products and services (including credit): Good practice guidance	8/10/2021	<p>This guide is for promoters of financial products, financial advice services, credit products and credit services, and publishers of advertising for these products and services.</p> <p>It contains good practice guidance to help promoters comply with their legal obligations not to make false or misleading statements or engage in misleading or deceptive conduct.</p> <p><b>Technical updates to reflect recent legislative changes relating to insurance.</b></p> <p><b>NOTE: Updated – issue date unchanged</b></p>	<p>No MR</p> <p>RG 21</p> <p>RG 51</p> <p>RG 275</p> <p>INFO 82</p> <p>INFO 198</p>
RG 275 The deferred sales model for add-on insurance	8/10/2021	<p>This guide is for issuers and distributors of add-on insurance.</p> <p>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><b>Technical updates to reflect recent legislative changes relating to insurance.</b></p> <p><b>NOTE: Updated – issue date unchanged</b></p>	<p>No MR</p> <p>RG 21</p> <p>RG 51</p> <p>RG 234</p> <p>INFO 82</p> <p>INFO 198</p>

Title	Release Date	Details	Media release and related documents
RG 100 Court enforceable undertakings	22/11/2021	<p>A court enforceable undertaking is an administrative remedy for contraventions of legislation administered by ASIC. It contains a set of undertakings provided by another person to ASIC that ASIC has accepted. This guide is for an entity or person and their legal advisers who are considering offering a court enforceable undertaking to ASIC.</p> <p>It explains our approach to accepting court enforceable undertakings under the legislation we administer, including:</p> <ul style="list-style-type: none"> <li>• s93A or 93AA of the <i>Australian Securities and Investments Commission Act 2001</i> (ASIC Act),</li> <li>• s322 of the <i>National Consumer Credit Protection Act 2009</i> (National Credit Act), and</li> <li>• s262A of the <i>Superannuation Industry (Supervision) Act 1993</i> (SIS Act).</li> </ul> <p><b>Updated guidance explaining ASIC’s approach to accepting court enforceable undertakings under the legislation it administers.</b></p> <p><b>Note: Title has changed from ‘Enforceable undertakings’.</b></p>	No MR INFO 151
RG 72 Foreign securities disclosure relief	3/12/2021	<p>This guide is for foreign entities and their advisers involved in the offer of foreign securities to Australian investors.</p> <p>This guide outlines the relief we have granted from Chs 6D and 7 of the <i>Corporations Act 2001</i> (Corporations Act) for offers of foreign securities and interests.</p> <p><b>Technical amendment to add Oslo Bors (also known as the Oslo Stock Exchange) as an ‘approved foreign market’.</b></p> <p><b>Note: Update only – issue date unchanged</b></p>	No MR SLI 21/895 (issued 4/11/2021)

Title	Release Date	Details	Media release and related documents
RG 121 Doing financial services business in Australia	8/12/2021	<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"> <li>• 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</li> <li>• circumstances in which a person or company may be exempt from holding an AFS licence, and</li> <li>• some of the obligations associated with being an AFS licensee.</li> </ul> <p><b>Minor technical update related to insurance: RG 121.24, RG 121.27, RG 121.36–RG 121.38 and Table 4–Table 7 updated to reflect that a person also provides a financial service if they provide a crowd-funding service (from 28 September 2017), or a superannuation trustee service or claims handling and settling service (from 1 January 2021).</b></p> <p><b>Note: Issue date unchanged</b></p>	RG 121 RG 166 RG 175 RG 244 INFO 105 INFO 218 INFO 243
RG 166 Licensing: Financial requirements	8/12/2021	<p>This guide sets out the financial requirements you must meet as the holder of an Australian financial services (AFS) licence. The requirements vary depending on the financial products and services you offer.</p> <p>Information for licensees entering into a Deed of Subordination (Pro forma 63) or Deed of Mutual Release (Pro forma 225)</p> <p>If you are a body regulated by the Australian Prudential Regulation Authority (APRA), as defined in s3(2) of the <i>Australian Prudential Regulation Authority Act 1998</i> (APRA Act), and are not required to comply with s912A(1)(d) of the <i>Corporations Act 2001</i> (Corporations Act), RG 166 does not apply to you.</p> <p><b>Minor technical update related to insurance: Note to RG 166.69 amended to remove a reference to reg 7.1.33(2)(b) (now repealed) of the Corporations Regulations.</b></p> <p><b>Note: Issue date unchanged</b></p>	RG 121 RG 175 RG 244 INFO 105 INFO 218 INFO 243

Title	Release Date	Details	Media release and related documents
RG 175 Licensing: Financial product advisers—Conduct and disclosure	8/12/2021	<p>This guide is for persons who provide financial product advice to retail clients, and their professional advisers (such as lawyers). It considers how certain conduct and disclosure obligations in Pt 7.7 and Div 2 of Pt 7.7A of the <i>Corporations Act 2001</i> apply to the provision of financial product advice.</p> <p><b>Minor technical update related to insurance: RG 175.106(d) inserted to clarify that an FSG is not required for certain claims handling and settling services.</b></p> <p><b>Note: Issue date unchanged</b></p>	RG 121 RG 166 RG 244 INFO 105 INFO 218 INFO 243
RG 244 Giving information, general advice and scaled advice	8/12/2021	<p>This guide is for Australian financial services (AFS) licensees, authorised representatives and advice providers who give information and advice to retail clients, and explains:</p> <ul style="list-style-type: none"> <li>• the differences between giving factual information, general advice and personal advice, and</li> <li>• how to meet the advice obligations in Ch 7 of the <i>Corporations Act 2001</i>, including the best interests duty and related obligations, when giving ‘scaled’ advice (i.e. personal advice that is limited in scope).</li> </ul> <p>Our guidance aims to facilitate access for retail clients to good quality information and advice about all financial products.</p> <p><b>Minor technical update related to insurance: Note added to RG 244.27 about certain communications in relation to handling and settling an insurance claim.</b></p> <p><b>Note: Issue date unchanged</b></p>	RG 121 RG 166 RG 175 INFO 105 INFO 218 INFO 243

Title	Release Date	Details	Media release and related documents
RG 1 AFS Licensing Kit: Part 1 – Applying for and varying an AFS licence	21/12/2021	<p>This is a guide for applicants applying for an AFS licence or to vary their licence, including foreign financial services providers relying on <i>ASIC Corporations (Foreign Financial Services Providers—Foreign AFS Licensees) Instrument 2020/198</i>.</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"> <li>• complete the online forms <a href="#">FS01</a> Application for AFS licence and <a href="#">FS03</a> Application for variation of authorisation and other conditions and</li> <li>• prepare ‘core’ supporting proof documents.</li> </ul> <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 <a href="#">ASIC Regulatory Portal</a>. For more information, see <a href="#">how you apply for relief</a>.</p> <p><b>Technical updates to reflect the requirement that entities providing a superannuation trustee service must have an AFS licence.</b></p>	No MR RG 2

Title	Release Date	Details	Media release and related documents
RG 2 AFS Licensing Kit: Part 2 – Preparing your AFS licence application	21/12/2021	<p>This is a guide for applicants applying for an AFS licence or to vary their licence, including foreign financial services providers relying on <i>ASIC Corporations (Foreign Financial Services Providers—Foreign AFS Licensees) Instrument 2020/198</i>. This guide forms Part 2 of the AFS Licensing Kit and outlines how to:</p> <ul style="list-style-type: none"> <li>• complete the online forms <a href="#">FS01</a> Application for AFS licence and <a href="#">FS03</a> Application for variation of authorisation and other conditions; and</li> <li>• prepare core proof documents.</li> </ul> <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>Note: 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 provides materially false or misleading information in its application (including by omission). ASIC may also cancel an AFS licence granted based on the application that contained materially false or misleading information (including by omission).</p> <p>Applicants should also read Part 1 (RG 1), which explains the process of applying for and varying an AFS licence. Applicants will need to read Part 3 (RG 3) if they are asked to send us ‘additional’ proof documents.</p> <p><b>Technical updates to reflect the requirement that entities providing a superannuation trustee service must have an AFS licence.</b></p>	No MR RG 1

## Legislative instruments

Title	Dates	Details	Media release and related documents
<p>ASIC Corporations and Credit (Reference Checking and Information Sharing Protocol) Instrument 2021/429</p>	<p><i>Issued 19/7/2021</i>  <i>Registered 20/7/2021: F2021L01003</i>  <i>Effective 1/10/2021 (later of 1 October 2021 or day after registration)</i></p>	<p><i>ASIC Corporations and Credit (Reference Checking and Information Sharing Protocol) Instrument 2021/429 gives effect to the reference checking and information sharing protocol for the purposes of the Corporations Act 2001 and the National Consumer Credit Protection Act 2009.</i></p>	<p>MR 21-180            INFO 257            LI 21/429            REP 694            RG 104            RG 205            INFO 126            INFO 134            INFO 229  <a href="#">Example references</a></p>
<p>ASIC (Information under the Deferred Sales Model for Add-On Insurance) Instrument 2021/632</p>	<p><i>Issued 26/7/2021</i>  <i>Registered 29/7/2021: F2021L01042</i>  <i>Effective 5/10/2021 (later of 5 October 2021 or day after registration)</i></p>	<p><i>ASIC (Information under the Deferred Sales Model for Add-On Insurance) Instrument 2021/632 determines the information to be given to a customer, and the form and manner in which it is to be given, for the purposes of starting the add-on insurance deferral period as part of the Deferred Sales Model</i></p>	<p>MR 21-189            RG 275  <a href="#">Attachment 1 to RG 275</a> - Compliant form for hard copy provision of Customer Information (PDF 138 KB)  <a href="#">Attachment 2 to RG 275</a> - Data template for applications for exemption from the deferred sales model for add-on insurance (Excel 92 KB)            LI 21/632            REP 695</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations and Credit (Breach Reporting—Reportable Situations) Instrument 2021/716	<p><i>Issued 13/8/2021</i></p> <p><i>Registered 17/8/2021: F2021L01128</i></p> <p><i>Effective 5/10/2021 (later of 5 October 2021 or day after registration)</i></p>	<p><i>ASIC Corporations and Credit (Breach Reporting—Reportable Situations) Instrument 2021/716</i> amends licensees' breach reporting obligation contained in s 912DAA of the Corporations Act and 50B of the National Consumer Credit Protection Act so that individual breaches of our enforceable IDR standards contained in Regulatory Guide 271 <i>Internal Dispute Resolution</i> (RG 271) are not deemed to be 'significant' and so not automatically reportable. This amendment has been made so that licensees are not obliged to report minor and technical breaches of the IDR standards to us that are unlikely to cause consumer detriment, alleviating unnecessary reporting. Licensees will still have to consider the general 'significance' test as well as the other deeming provisions (such as where the breach results in material loss to consumers) where they breach the IDR standards.</p>	No MR
ASIC Corporations (Extension of Time to Hold AGM) Instrument 2021/770	<p><i>Issued 7/9/2021</i></p> <p><i>Registered 8/9/2021: F2021L01243</i></p> <p><i>Effective 9/9/2021 (day after registration)</i></p>	<p><i>ASIC Corporations (Extension of Time to Hold AGM) Instrument 2021/770</i> extends the time for certain classes of companies to hold an annual general meeting (AGM) to allow companies to plan and prepare for holding their AGMs in the context of the ongoing COVID-19 pandemic restrictions on gathering and movement.</p>	MR 21-236
ASIC Corporations (Amendment) Instrument 2021/767	<p><i>Issued 7/9/2021</i></p> <p><i>Registered 8/9/2021: F2021L01245</i></p> <p><i>Effective 9/9/2021 (day after registration)</i></p>	<p><i>ASIC Corporations (Amendment) Instrument 2021/767</i> extends the relief provided to employee redundancy funds under the <i>ASIC Corporations (Employee redundancy funds relief) Instrument 2015/1150</i> until 1 October 2024.</p>	MR 21-241
ASIC Market Integrity Rules (Securities Markets) Repeal Instrument 2021/773	<p><i>Issued 8/9/2021</i></p> <p><i>Registered 9/9/2021: F2021L01247</i></p> <p><i>Effective 11/10/2021 (later of 11 October 2021 or 20 business days after day of registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Repeal Instrument 2021/773</i> repeals the <i>ASIC Market Integrity Rules (Securities Markets) Determination 2021/509</i>, which will be superseded by the <i>ASIC Market Integrity Rules (Securities Markets) Determination 2021/772</i> (see 'Determinations' below).</p>	DET 21/772



Title	Dates	Details	Media release and related documents
<p>ASIC Corporations (Amendment and Repeal) Instrument 2021/799</p>	<p><i>Issued 21/9/2021</i></p> <p><i>Registered 22/9/2021: F2021L01310</i></p> <p><i>Effective 5/10/2021 (later of 5 October 2021 or day after registration)</i></p>	<p><i>ASIC Corporations (Amendment and Repeal) Instrument 2021/799</i> provides consequential amendments to the following legislative instruments and class orders by updating statutory references to the prohibition on the hawking of financial products:</p> <ul style="list-style-type: none"> <li>• <i>Class Order [CO 13/762] Investor directed portfolio services provided through a registered managed investment scheme</i></li> <li>• <i>Class Order [CO 13/763] Investor directed portfolio services</i></li> <li>• <i>Class Order [CO 14/1000] Employee incentive schemes: Listed bodies</i></li> <li>• <i>Class Order [CO 14/1001] Employee incentive schemes: Unlisted bodies</i></li> <li>• <i>ASIC Corporations (Avia Syndicate) Instrument 2015/825</i></li> <li>• <i>ASIC Corporations (Employee redundancy funds relief) Instrument 2015/1150</i></li> <li>• <i>ASIC Corporations (Horse Schemes) Instrument 2016/790</i></li> <li>• <i>ASIC Corporations (School Enrolment Deposits) Instrument 2016/812</i></li> <li>• <i>ASIC Corporations (Charitable Investment Fundraising) Instrument 2016/813</i></li> <li>• <i>ASIC Corporations (Serviced Apartment and Like Schemes) Instrument 2016/869</i></li> <li>• <i>ASIC Corporations (Property Rental Schemes) Instrument 2016/870</i></li> <li>• <i>ASIC Corporations (Managed Discretionary Account Services) Instrument 2016/968</i></li> <li>• <i>ASIC Corporations (Managed Investment Schemes: Interests Not For Money) Instrument 2016/1107</i></li> <li>• <i>ASIC Corporations (Nominee and Custody Services) Instrument 2016/1156</i></li> <li>• <i>ASIC Corporations (Mortgage Investment Schemes) Instrument 2017/857</i></li> <li>• <i>ASIC Corporations (Share and Interest Purchase Plans) Instrument 2019/547</i></li> <li>• <i>ASIC Corporations (Conditional Costs Schemes) Instrument 2020/38</i></li> </ul> <p>The instrument also repeals two legislative instruments:</p> <ul style="list-style-type: none"> <li>• <i>ASIC Corporations (Securities and Managed Investment Scheme Hawking Relief) Instrument 2017/184</i> and</li> <li>• <i>ASIC Corporations (Life Risk Insurance and Consumer Credit Insurance) Instrument 2019/839</i>,</li> </ul> <p>the function of which are made redundant by the new amendments made by the <i>Financial Sector Reform (Hayne Royal Commission Response) Act 2020</i> and amendments made to the <i>Corporations Regulations 2001</i>.</p>	<p>MR 21-257</p> <p>RG 38</p> <p>REP 701</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2021/754	<p><i>Issued 27/9/2021</i></p> <p><i>Registered 29/9/2021: F2021L01334</i></p> <p><i>Effective 30/9/2021 (day after registration)</i></p>	<p><i>ASIC Corporations (Amendment) Instrument 2021/754 amends the ASIC Corporations (Short Selling) Instrument 2018/745 so that the relief for deferred settlement trading arrangement will continue in effect with the remainder of ASIC Instrument 2018/745.</i></p>	<p>SLI 21/820</p> <p>LI 21/821</p>
ASIC Corporations (Repeal) Instrument 2021/820	<p><i>Issued 27/9/2021</i></p> <p><i>Registered 29/9/2021: F2021L01335</i></p> <p><i>Effective 30/9/2021 (day after registration)</i></p>	<p><i>ASIC Corporations (Repeal) Instrument 2021/820 repeals ASIC Class Order [CO 11/272] Substantial holding disclosure: securities lending and prime broking.</i></p>	<p>SLI 21/754</p> <p>LI 21/821</p>
ASIC Corporations (Securities Lending Arrangements) Instrument 2021/821	<p><i>Issued 27/9/2021</i></p> <p><i>Registered 29/9/2021: F2021L01333</i></p> <p><i>Effective 30/9/2021 (day after registration)</i></p>	<p><i>ASIC Corporations (Securities Lending Arrangements) Instrument 2021/821 modifies sections 608, 609 and 671B of the Corporations Act 2001 granting relief in relation to reporting substantial holdings, for certain entities involved in securities lending as part of their financial service business.</i></p>	<p>SLI 21/754</p> <p>SLI 21/820</p>
ASIC Credit (Breach Reporting—Prescribed Commonwealth Legislation) Instrument 2021/801	<p><i>Issued 28/9/2021</i></p> <p><i>Registered 30/9/2021: F2021L01364</i></p> <p><i>Effective 1/10/2021 (later of 1 October 2021 or day after registration)</i></p>	<p><i>ASIC Credit (Breach Reporting—Prescribed Commonwealth Legislation) Instrument 2021/801 provides temporary relief to limit the Commonwealth legislation in relation to which the breach reporting obligation in the National Consumer Credit Protection Act 2009 applies.</i></p>	<p>No MR</p>
ASIC Corporations, Credit and Superannuation (Amendment) Instrument 2021/753	<p><i>Issued 28/9/2021</i></p> <p><i>Registered 29/9/2021: F2021L01343</i></p> <p><i>Effective 30/9/2021 (day after registration)</i></p>	<p><i>ASIC Corporations, Credit and Superannuation (Amendment) Instrument 2021/753 amends the ASIC Corporations, Credit and Superannuation (Internal Dispute Resolution) Instrument 2020/98 to incorporate an updated version of Regulatory Guide 271 Internal dispute resolution (RG 271) and remove enforceability from four paragraphs that overlapped with existing legislative requirements.</i></p>	<p>MR 21-230</p> <p><a href="#">Summary of survey findings (infographic - PDF 661 KB)</a></p> <p>RG 271</p> <p><a href="#">REP 665 and summary of changes to RG 271</a></p> <p>RG 267</p> <p>SLI 21/753</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2021/506	<p><i>Issued 1/10/2021</i></p> <p><i>Registered 5/10/2021: F2021L01387</i></p> <p><i>Effective 6/10/2021</i></p>	<p><i>ASIC Corporations (Amendment) Instrument 2021/506 amends the ASIC Corporations (Externally-Administered Bodies) Instrument 2015/251 to provide conditional relief to companies in external administration in relation to annual general meetings and financial reporting</i></p>	<p>MR 21-263</p> <p>RG 174</p> <p>REP 703</p>
ASIC Corporations (Design and Distribution Obligations Interim Measures) Instrument 2021/784	<p><i>Issued 1/10/2021</i></p> <p><i>Registered 1/10/2021: F2021L01382</i></p> <p><i>Effective 5/10/2021 (later of 5 October 2021 or day after registration)</i></p>	<p><i>ASIC Corporations (Design and Distribution Obligations Interim Measures) Instrument 2021/784, together with ASIC Corporations (Amendment) Instrument 2021/785, puts in place interim measures to provide certainty on the application of the design and distribution obligations regime consistent with the Australian Government's publicly stated policy intention, using ASIC's modification and exemption powers.</i></p>	<p>SLI 21/785</p> <p>INFO 264</p>
ASIC Corporations (Amendment) Instrument 2021/785	<p><i>Issued 1/10/2021</i></p> <p><i>Registered 1/10/2021: F2021L01382</i></p> <p><i>Effective 5/10/2021 (later of 5 October 2021 or day after registration)</i></p>	<p><i>ASIC Corporations (Amendment) Instrument 2021/785 amends the ASIC Corporations (Basic Deposit and General Insurance Product Distribution) Instrument 2015/682 and the Class Order [CO 14/1262] Relief for 31 day notice term deposits to put in place interim measures to provide certainty on the application of the design and distribution obligations regime.</i></p>	<p>SLI 21/784</p> <p>INFO 264</p>
ASIC Corporations (Amendment) Instrument 2021/848	<p><i>Issued 13/10/2021</i></p> <p><i>Registered 13/10/2021: F2021L01425</i></p> <p><i>Effective 14/10/2021 (later of 14 October 2021 or day after registration)</i></p>	<p><i>ASIC Corporations (Amendment) Instrument 2021/848 amends ASIC Corporations (COVID-19—Advice-related Relief) Instrument 2021/268 to extend two temporary relief measures that facilitate access to timely and affordable personal advice for existing clients of providing entities that is in connection with the adverse economic effects of COVID-19.</i></p>	<p>MR 21-269</p> <p>INFO 262</p>

Title	Dates	Details	Media release and related documents
ASIC Corporations (Amendment) Instrument 2021/868	<p><i>Issued 27/10/2021</i></p> <p><i>Registered 28/10/2021: F2021L01472</i></p> <p><i>Effective 29/10/2021 (later of 14 October 2021 or day after registration)</i></p>	<p><i>ASIC Corporations (Amendment) Instrument 2021/868 amends multiple instruments to update references and correct drafting errors:</i></p> <ul style="list-style-type: none"> <li>• <i>ASIC Corporations (Non-Reporting Entities) Instrument 2015/841</i></li> <li>• <i>ASIC Corporations (Audit Relief) Instrument 2016/784</i></li> <li>• <i>ASIC Corporations (Wholly-owned Companies) Instrument 2016/785</i></li> <li>• <i>ASIC Corporations (Qualified Accountant) Instrument 2016/786</i></li> <li>• <i>ASIC Corporations (Extended Reporting and Lodgment Deadlines—Unlisted Entities) Instrument 2020/395</i></li> </ul>	No MR
ASIC Corporations (Amendment) Instrument 2021/895	<p><i>Issued 4/11/2021</i></p> <p><i>Registered 4/11/2021: F2021L01514</i></p> <p><i>Effective 5/11/2021 (day after registration)</i></p>	<p><i>ASIC Corporations (Amendment) Instrument 2021/895 amends the definition of 'approved foreign market' in ASIC Corporations (Definition of Approved Foreign Market) Instrument 2017/669 so that the list now includes the Oslo Bors (also known as the Oslo Stock Exchange).</i></p>	No MR
ASIC Market Integrity Rules (Securities Markets) Class Waiver (Amendment) Instrument 2021/926	<p><i>Issued 9/11/2021</i></p> <p><i>Registered 10/11/2021: F2021L01527</i></p> <p><i>Effective 11/11/2021 (day after registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Class Waiver (Amendment) Instrument 2021/926 extends the term of ASIC Market Integrity Rules (Securities Markets) Class Waiver 2020/870 to 30 November 2023.</i></p>	No MR
ASIC (Supervisory Cost Recovery Levy—Annual Determination) Instrument 2021/0936	<p><i>Issued 15/11/2021</i></p> <p><i>Registered 16/11/2021: F2021L01563</i></p> <p><i>Effective 17/11/2021 (day after registration)</i></p>	<p><i>ASIC (Supervisory Cost Recovery Levy—Annual Determination) Instrument 2021/0936 specifies certain matters about the size and composition of the Australian Securities and Investments Commission's regulated population and of the metrics that apply to each industry sub-sector within that regulated population for the 2020-21 financial year.</i></p>	No MR LI 21/938

Title	Dates	Details	Media release and related documents
ASIC (Supervisory Cost Recovery Levy—Regulatory Costs) Instrument 2021/0938	<p><i>Issued 15/11/2021</i></p> <p><i>Registered 16/11/2021: F2021L01565</i></p> <p><i>Effective 17/11/2021 (day after registration)</i></p>	<p><i>ASIC (Supervisory Cost Recovery Levy—Regulatory Costs) Instrument 2021/0938</i> specifies the Australian Securities and Investments Commission’s regulatory costs and their attribution to each industry sub-sector for the 2020-21 financial year.</p>	<p>No MR</p> <p>LI 21/936</p>
ASIC Corporations (Amendment) Instrument 2021/976	<p><i>Issued 1/12/2021</i></p> <p><i>Registered 2/12/2021: F2021L01691</i></p> <p><i>Effective 3/12/2021 (day after registration)</i></p>	<p><i>ASIC Corporations (Amendment) Instrument 2021/976</i> implements temporary measures aimed at facilitating financial reporting by unlisted entities whose reporting processes take additional time due to pressures on audit resources and other impacts of COVID-19 by amending the following instruments:</p> <ul style="list-style-type: none"> <li>• <i>ASIC Corporations (Exempt Proprietary Companies) Instrument 2015/840</i></li> <li>• <i>ASIC Corporations (Wholly-owned Companies) Instrument 2016/785</i></li> <li>• <i>ASIC Corporations (Extended Reporting and Lodgment Deadlines—Unlisted Entities) Instrument 2020/395</i></li> <li>• <i>ASIC Corporations (Extension of Time to Hold AGM) Instrument 2021/770</i></li> </ul>	<p>MR 21-323</p>
ASIC Market Integrity Rules (Securities Markets) Repeal Instrument 2021/992	<p><i>Issued 3/12/2021</i></p> <p><i>Registered 6/12/2021: F2021L01715</i></p> <p><i>Effective 12/1/2022 (later of 12 January 2022 or 20 business days after day of registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Repeal Instrument 2021/992</i> repeals <i>ASIC Market Integrity Rules (Securities Markets) Determination 2021/772</i> which is being replaced by <i>ASIC Market Integrity Rules (Securities Markets) Determination 2021/991</i> (see ‘Determinations’ below)</p>	<p>No MR</p>

## Notifiable instruments

Title	Dates	Details	Media release and related documents
ASIC Credit (Mandatory Credit Reporting—Auditor Appointment) Instrument 2021/829	<i>Issued 30/9/2021</i> <i>Registered 1/10/2021: F2021N00249</i> <i>Effective 2/10/2021 (day after registration)</i>	<i>ASIC Credit (Mandatory Credit Reporting—Auditor Appointment) Instrument 2021/829</i> appoints persons as auditors for the purposes of Division 4 of Part 3-2CA of the <i>National Consumer Credit Protection Act 2009</i> .	No MR

## Consultation papers

Title	Release Date	Details	Media release and related documents
CP 344 Remaking ASIC class order on when debentures can be called secured notes: [CO 12/1482]	1/7/2021	<p>This consultation paper sets out ASIC’s proposals to remake our class order on when debentures can be called secured notes. Under the <i>Legislation Act 2003</i>, this class order will expire (‘sunset’) if not remade.</p> <p>We are seeking feedback from issuers of debentures and unsecured notes, law firms and other interested people on our proposal to remake, without significant changes, Class Order [CO 12/1482] <i>When debentures can be called secured notes</i>, which is due to expire (‘sunset’) on 1 April 2022.</p> <p>Note: The draft ASIC instrument is available on our website under CP 344..</p>	MR 21-156
CP 345 Litigation funding schemes: Guidance and relief	9/7/2021	<p>This consultation paper seeks feedback from litigation funding industry participants and other stakeholders.</p> <p>It sets out ASIC’s proposals about:</p> <ul style="list-style-type: none"> <li>• providing guidance on key definitions; and</li> <li>• relief for litigation funding schemes.</li> </ul>	MR 21-168
CP 346 Updates to Revised RG 38	21/7/2021	<p>This consultation paper seeks your feedback on our proposals for updating Regulatory Guide 38 <i>The hawking prohibitions</i> (RG 38) to reflect new legislative changes</p> <p>In particular, we are proposing to revise and clarify our guidance on the types of communications and the nature and scope of consent to which the hawking prohibition applies. We are also proposing to add guidance on the right of return, which is a consumer remedy.</p>	MR 21-181

Title	Release Date	Details	Media release and related documents
CP 347 Proposed amendments to the prohibition on order incentives in the ASIC market integrity rules	25/8/2021	<p>This paper sets out our proposal to amend the prohibition on order incentives in Part 5.4B of the <i>ASIC Market Integrity Rules (Securities Markets) 2017</i>. The purpose of our proposed amendments is to close a regulatory gap in the current rules, to circumvent the emergence of payment for order flow arrangements in Australia.</p> <p>We are seeking the views of interested stakeholders on our proposal.</p>	MR 21-224
CP 348 Extension of the CFD Product Intervention Order	18/10/2021	<p>This paper summarises ASIC’s analysis to date of the impact of its product intervention order imposing conditions on the issue and distribution of contracts for difference to retail clients.</p> <p>The paper also sets out ASIC’s proposal to extend the order so that it will remain in force until it is revoked. The proposal is subject to consultation, further analysis of the effectiveness of the order and Ministerial approval.</p>	MR 21-274
CP 349 Remaking ASIC class order on PDS requirements where a general insurance quote is given: <a href="#">[CO 11/842]</a>	15/11/2021	<p>This consultation paper sets out ASIC’s proposal to remake our class order on PDS requirements where a quote for a general insurance product is given during a telephone call that is not unsolicited. Under the <i>Legislation Act 2003</i>, this class order will automatically repeal (‘sunset’) if not remade.</p> <p>We are seeking feedback from general insurers, law firms and other interested people on our proposal to remake, without significant changes, the following class order:</p> <ul style="list-style-type: none"> <li>• Class Order [CO 11/842] <i>PDS requirements where a quote for a general insurance product is given</i>, which is due to expire on 1 April 2022.</li> </ul>	MR 21-301 Attachment to CP 349: Draft instrument



Title	Release Date	Details	Media release and related documents
CP 350 Consumer remediation: Further consultation	17/11/2021	<p>This consultation paper is about our updated draft guidance on consumer remediation conducted by:</p> <ul style="list-style-type: none"> <li>• Australian financial services (AFS) licensees;</li> <li>• Australian credit licensees (credit licensees); and</li> <li>• retirement savings account (RSA) providers.</li> </ul> <p>We are seeking feedback from these stakeholders, and also consumers and consumer representatives who have participated in a remediation.</p> <p>This further consultation follows Consultation Paper 335 <i>Consumer remediation: Update to RG 256 (CP 335)</i>.</p>	<p>MR 21-307</p> <p>Attachment to CP 350: Draft regulatory guide REP 707</p>
CP 351 Superannuation forecasts: Update to relief and guidance	18/11/2021	<p>This consultation paper sets out ASIC's proposals to amend our legislative instruments on superannuation calculators and retirement estimates.</p> <p>We seek feedback from superannuation trustees, consumer groups, actuaries and other interested stakeholders on our proposals, which include:</p> <ul style="list-style-type: none"> <li>• a single instrument of relief for superannuation calculators and retirement estimates, and</li> <li>• adopting a common framework for setting economic and financial assumptions.</li> </ul> <p>We also propose to update our guidance on superannuation forecasts as outlined in this paper.</p>	<p>MR 21-309</p> <p><a href="#">Attachment 1 to CP 351: Draft instrument (PDF 470 KB)</a></p> <p><a href="#">Attachment 2 to CP 351: Draft regulatory guide (PDF 630 KB)</a></p>
CP 352 Communicating audit findings to directors, audit committees or senior managers	2/12/2021	<p>The <i>Australian Securities and Investments Commission Act 2001</i> (ASIC Act) allows the direct communication of specific financial reporting and audit quality findings from our reviews of audit files to directors, audit committees or senior managers of companies, responsible entities or disclosing entities.</p> <p>This consultation paper seeks your feedback on our proposal to communicate findings from our reviews of audit files to directors of the entities audited on a routine basis rather than an exception basis.</p>	<p>MR 21-327</p> <p>Attachment to CP 352: Draft regulatory guide</p>

Title	Release Date	Details	Media release and related documents
CP 353 Proposed amendments to the ASIC Derivative Transaction Rules (Clearing) 2015	6/12/2021	<p>This consultation paper sets out our proposals to modify the contract types that are subject to the <i>ASIC Derivative Transaction Rules (Clearing) 2015</i> made under s901A of the Corporations Act.</p> <p>We are seeking the views of interested stakeholders on our proposals.</p>	No MR
CP 354 ASIC relief for simple arrangements following a hardship notice: [CO 14/41]	8/12/2021	<p>This consultation paper seeks feedback from interested stakeholders on whether ASIC should:</p> <ul style="list-style-type: none"> <li>• extend until 1 April 2024 the relief available for simple arrangements following a hardship notice under Class Order [CO 14/41] <i>Extension of transitional credit hardship provisions, without significant changes</i>; or</li> <li>• allow this relief to expire if it is no longer a useful part of the regulatory framework.</li> </ul> <p>Class Order [CO 14/41] is due to expire on 1 March 2022.</p>	MR 21-339
CP 355 ASIC seeks feedback on proposed intervention orders for short term credit and continuing credit contracts	9/12/2021	<p>ASIC has released Consultation Paper 355 <i>Product intervention orders: Short term credit and continuing credit contracts</i> (CP 355) on its proposed use of its product intervention powers to address significant consumer detriment in the short term credit and continuing credit contracts industries.</p> <p>CP 355 sets out ASIC's proposal to make, under Pt 7.9A of the Corporations Act:</p> <ul style="list-style-type: none"> <li>• a product intervention order in substantially the same terms as <i>ASIC Corporations (Product Intervention Order—Short Term Credit) Instrument 2019/917</i> (short term credit product intervention order); and</li> <li>• a product intervention order as set out in Consultation Paper 330 <i>Using the product intervention power: Continuing credit contracts</i> (<a href="#">CP 330</a>) and the <a href="#">Addendum to CP 330</a> (continuing credit contracts product intervention order).</li> </ul> <p>Comments close 21 January 2022.</p>	<p>MR 21-341</p> <p>Attachment 1 to CP 355: Draft legislative instrument - Short term credit</p> <p>Attachment 2 to CP 355: Draft legislative instrument - Continuing credit contracts</p>

## Reports

Title	Release Date	Details	Media release and related documents
<p>REP 693 Response to submissions on ASIC's internal dispute resolution data consultations</p>	<p>19/7/2021</p>	<p>This report highlights the key issues that arose out of the submissions received on two rounds of consultation on establishing the internal dispute resolution (IDR) data reporting framework and our responses to those issues.</p> <p>We consulted on the IDR data reporting framework in Consultation Paper 311 <i>Internal dispute resolution: Update to RG 165</i> (<a href="#">CP 311</a>) and the addendum to CP 311, published as Attachment 1 to Media Release (<a href="#">20-327MR</a>) <i>ASIC seeks further feedback on internal dispute resolution data reporting requirements</i> (16 December 2020).</p>	<p>MR 21-177</p> <p><a href="#">IDR Data Dictionary (Pilot version)</a> (PDF 357 KB)</p> <p><a href="#">IDR Data Glossary (Pilot version)</a> (PDF 627 KB)</p>
<p>REP 694 Response to submissions on CP 333 Implementing the Royal Commission recommendations: Reference checking and information sharing</p>	<p>20/7/2021</p>	<p>This report highlights the key issues that arose out of the submissions received on Consultation Paper 333 <i>Implementing the Royal Commission recommendations: Reference checking and information sharing</i> (CP 333) and details our responses to those issues.</p>	<p>MR 21-180</p> <p>INFO 257</p> <p>LI 21/429</p> <p>RG 104</p> <p>RG 205</p> <p>INFO 126</p> <p>INFO 134</p> <p>INFO 229</p> <p><a href="#">Example references</a></p>

Title	Release Date	Details	Media release and related documents
REP 695 Response to submissions on CP 339 on the deferred sales model for add-on insurance	28/7/2021	This report highlights the key issues that arose out of the submissions received on Consultation Paper 339 <i>Implementing the Royal Commission recommendations: The deferred sales model for add-on insurance</i> (CP 339) and details our responses to those issues.	MR 21-189 RG 275 <a href="#">Attachment 1 to RG 275</a> - Compliant form for hard copy provision of Customer Information (PDF 138 KB) <a href="#">Attachment 2 to RG 275</a> - Data template for applications for exemption from the deferred sales model for add-on insurance (Excel 92 KB) LI 21/632
REP 696 TPD insurance: Progress made but gaps remain	2/8/2021	Provides an update on ASIC's work on total and permanent disability (TPD) insurance focussing on how insurers in particular are addressing the issues identified in ASIC's Report 633 <i>Holes in the safety net: A review of TPD insurance claims</i> (REP 633): see 21-195MR	MR 21-195
REP 697 ASIC quarterly update: April to June 2021	4/8/2021	This report provides an update on ASIC's work undertaken between 1 April and 30 June 2021.	MR 21-201
REP 698 Response to submissions on CP 340 Breach reporting and related obligations	7/9/2021	This report highlights the key issues that arose out of the submissions received on Consultation Paper 340 <i>Breach reporting and related obligations</i> (CP 340) and details our responses to those issues.	MR 21-235 RG 78 INFO 259
REP 699 ASIC enforcement update January to June 2021	9/9/2021	This report provides an update on our enforcement action between 1 January and 30 June 2021. During this period, we continued to pursue our enforcement priorities and a fair, strong and efficient financial system for all Australians.	MR 21-239

Title	Release Date	Details	Media release and related documents
REP 700 Licensing and professional registration activities: 2021 update	15/9/2021	<p>This report is for AFS licensees, Australian credit licensees, lawyers, application service providers and professionals working in financial services that are interested in the licensing and professional registration functions of ASIC.</p> <p>The report outlines key issues, new and proposed changes to licensing processes, and other work we have undertaken that affects licensees. It also provides information and data on licensing and registration applications from the 2020–21 financial year.</p>	MR 21-248
REP 701 Response to submissions on CP 346 The Hawking prohibition: Update to RG 38	23/9/2021	<p>This report highlights the key issues that arose out of the submissions received on Consultation Paper 346 <i>The Hawking prohibition: Update to RG 38</i> (CP 346) and details our responses to those issues.</p>	MR 21-257 RG 38 SLI 21/799
REP 702 Competition in funds management	24/9/2021	<p>Independent report prepared by Deloitte Access Economics, engaged by ASIC to examine competition between fund managers with a focus on outcomes delivered to investors in retail managed investment products</p>	MR 21-258
REP 703 Response to submissions on CP 337 Externally administered companies: Extending financial reporting and AGM relief	6/10/2021	<p>This report highlights the key issues that arose out of the submissions received on Consultation Paper 337 <i>Externally administered companies: Extending financial reporting and AGM relief</i> (CP 337) and details our responses to those issues.</p>	MR 21-263 LI 21/506 RG 174
REP 704 ASIC quarterly update: July to September 2021	27/10/2021	<p>This report provides an update on ASIC's work undertaken between 1 July and 30 September 2021.</p>	MR 21-283
REP 705 Response to submissions on CP 343 Crypto-assets as underlying assets for ETPs and other investment products	29/10/2021	<p>This report highlights the key issues that arose out of the submissions received on Consultation Paper 343 <i>Crypto-assets as underlying assets for ETPs and other investment products</i> (CP 343) and details our responses to those issues.</p>	MR 21-285 INFO 225 INFO 230

Title	Release Date	Details	Media release and related documents
REP 706 Response to submissions on CP 319 and [CO 11/272] Securities lending by agents and substantial holding disclosure	11/11/2021	This report highlights the key issues that arose out of the submissions received on Consultation Paper 319 <i>Securities lending by agents and substantial holding disclosure</i> (CP 319) and details our responses. It also covers our targeted consultation on the remake of Class Order [CO 11/272] <i>Substantial holding disclosure: Securities lending and prime broking</i> .	No MR
REP 707 Response to submissions on CP 335 Consumer remediation: Update to RG 256	17/11/2021	This report highlights the key issues that arose out of the submissions received on <a href="#">Consultation Paper 335 Consumer remediation: Update to RG 256</a> and details our responses to those issues.	MR 21-309 CP 350 Attachment to CP 350: Draft regulatory guide
REP 708 ASIC's expectations for industry in responding to a market outage	24/11/2021	This report outlines the findings from our review of the market outage and other operational incidents that affected the ASX equity market in the week of 16 November 2020. It presents our observations on how ASX and key stakeholders were impacted by and responded to the issues, and sets expectations to support the resilience and robustness of the Australian equity market.	MR 21-313
REP 709 Audit inspection report: 1 July 2020 to 30 June 2021	30/11/2021	<p>This report sets out findings from our review of audit files for the period 1 July 2020 to 30 June 2021. The report also considers and suggests approaches to audit firm culture and talent, outlines our focus areas for individual audits and our regulatory responses.</p> <p>This report will be of interest to audit firms, directors, audit committees, investors and other stakeholders interested in financial reporting and audits.</p>	MR 21-321 REP 710 REP 711 REP 712 REP 713 REP 714 REP 715

Title	Release Date	Details	Media release and related documents
REP 710 BDO firms in Australia: Audit inspection report—1 July 2020 to 30 June 2021	30/11/2021	This report sets out our findings from reviewing audit files at BDO firms in Australia for the period 1 July 2020 to 30 June 2021 and aspects of BDO's approach to culture and talent.	MR 21-321 REP 709 REP 711 REP 712 REP 713 REP 714 REP 715
REP 711 Deloitte Touche Tohmatsu Australia: Audit inspection report—1 July 2020 to 30 June 2021	30/11/2021	This report sets out our findings from reviewing audit files at Deloitte Touche Tohmatsu Australia for the period 1 July 2020 to 30 June 2021 and aspects of Deloitte's approach to culture and talent.	MR 21-321 REP 709 REP 710 REP 712 REP 713 REP 714 REP 715
REP 712 Ernst & Young Australia: Audit inspection report—1 July 2020 to 30 June 2021	30/11/2021	This report sets out our findings from reviewing audit files at Ernst & Young Australia for the period 1 July 2020 to 30 June 2021 and aspects of EY's approach to culture and talent.	MR 21-321 REP 709 REP 710 REP 711 REP 713 REP 714 REP 715

Title	Release Date	Details	Media release and related documents
REP 713 Grant Thornton Australia Limited: Audit inspection report—1 July 2020 to 30 June 2021	30/11/2021	This report sets out our findings from reviewing audit files at Grant Thornton Australia for the period 1 July 2020 to 30 June 2021 and aspects of Grant Thornton's approach to culture and talent.	MR 21-321 REP 709 REP 710 REP 711 REP 712 REP 714 REP 715
REP 714 KPMG Australia: Audit inspection report—1 July 2020 to 30 June 2021	30/11/2021	This report sets out our findings from reviewing audit files at KPMG Australia for the period 1 July 2020 to 30 June 2021 and aspects of KPMG's approach to culture and talent.	MR 21-321 REP 709 REP 710 REP 711 REP 712 REP 713 REP 715
REP 715 PricewaterhouseCoopers Australia: Audit inspection report—1 July 2020 to 30 June 2021	30/11/2021	This report sets out our findings from reviewing audit files at PricewaterhouseCoopers Australia for the period 1 July 2020 to 30 June 2021 and aspects of PwC's approach to culture and talent.	MR 21-321 REP 709 REP 710 REP 711 REP 712 REP 713 REP 714
REP 716 Cyber resilience of firms in Australia's financial markets: 2020–21	6/12/2021	This report provides an update to <a href="#">Report 651</a> <i>Cyber resilience of firms in Australia's financial markets: 2018–19</i> (REP 651). It identifies key trends from self-assessment surveys completed by financial markets firms, and highlights existing good practices and areas for improvement.	MR 21-331



## Rules

Title	Dates	Details	Media release and related documents
No rules issued in Jan–Dec 2021			

## Class rule waivers

Title	Dates	Details	Media release and related documents
No class rule waivers issued in Jan–Dec 2021			

## Determinations

Title	Dates	Details	Media release and related documents
ASIC Market Integrity Rules (Securities Markets) Determination 2021/772	<p><i>Issued 8/9/2021</i></p> <p><i>Registered 9/9/2021: F2021L01250</i></p> <p><i>Effective 11/10/2021 (later of 11 October 2021 or 20 business days after the day of registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Determination 2021/772 determines Tier 1 Equity Market Products and Tier 2 Equity Market Products under subrule 6.2.1(4) of the ASIC Market Integrity Rules (Securities Markets) 2017.</i></p>	<p>No MR</p> <p>SLI 21/773</p>
ASIC Market Integrity Rules (Securities Markets) Determination 2021/991	<p><i>Issued 3/12/2021</i></p> <p><i>Registered 6/12/2021: F2021L01716</i></p> <p><i>Effective 12/1/2022 (later of 12 January 2022 or 20 business days after day of registration)</i></p>	<p><i>ASIC Market Integrity Rules (Securities Markets) Determination 2021/991 maintains the Australian Securities and Investments Commission's policy of determining the allocation of Equity Market Products to tiers.</i></p>	<p>No MR</p>

## Notices

Title	Dates	Details	MR and related documents
<a href="#">ASIC (Supervisory Cost Recovery Levy—Return Deadline) Notice 2021/645</a>	<i>Issued 23/7/2021 Effective 23/7/2021 (day after registration)</i>	<i>ASIC (Supervisory Cost Recovery Levy—Return Deadline) Notice 2021/645</i> provides for deadlines and provision of returns to ASIC	No MR <a href="#">Cost Recovery Implementation Statement 2020-21 (for feedback)</a>

## Information sheets

Title	Status	Release Date	Comments	Media release and related documents
INFO 29 External administration – controller appointments and schemes of arrangements - most commonly lodged forms	Reissued	19/7/2021	Updated to help external administrators, controllers and scheme administrators comply with their lodgement and publication requirements following the introduction of three new types of external administration which were introduced to assist small business given the impact of COVID-19 on these entities.	MR 21-176
INFO 153 How ASIC deals with reports of misconduct	Reissued	19/7/2021	Minor updates to accurately reflect changes to the assessment process for a subset of reports of misconduct from a transactional to an intelligence approach	No MR
INFO 257 ASIC reference checking and information sharing protocol	New	20/7/2021	<p>This information sheet (INFO 257) is for Australian financial services (AFS) licensees and Australian credit licensees (collectively 'licensees'):</p> <ul style="list-style-type: none"> <li>• that employ or authorise representatives to act as financial advisers or mortgage brokers on their behalf, and/or</li> <li>• whose employees or representatives move into financial advice or mortgage broking roles with other licensees.</li> </ul> <p>From 1 October 2021, licensees must comply, as an obligation under their licence, with the ASIC Reference checking and information sharing protocol set out in <i>ASIC Corporations and Credit (Reference Checking and Information Sharing Protocol) Instrument 2021/429</i> (ASIC protocol).</p>	<p>MR 21-180 LI 21/429 REP 694 RG 104 RG 205 INFO 126 INFO 134 INFO 229 <a href="#">Example references</a></p>

Title	Status	Release Date	Comments	Media release and related documents
INFO 126 Credit representatives	Updated	20/7/2021	Content updated for the introduction of the ASIC reference checking and information sharing protocol – new reference checking requirements for AFS licensees and credit licensees under the <a href="#">Financial Sector Reform (Hayne Royal Commission Response) Act 2020</a> , commencing 1 October 2021.	MR 21-180 INFO 257 LI 21/429 REP 694 RG 104 RG 205 INFO 134 INFO 229 <a href="#">Example references</a>
INFO 134 Complying with your obligations if both credit licensee and AFS licensee	Updated	20/7/2021	Content updated for the introduction of the ASIC reference checking and information sharing protocol – new reference checking requirements for AFS licensees and credit licensees under the <a href="#">Financial Sector Reform (Hayne Royal Commission Response) Act 2020</a> , commencing 1 October 2021.	MR 21-180 INFO 257 LI 21/429 REP 694 RG 104 RG 205 INFO 126 INFO 229 <a href="#">Example references</a>

Title	Status	Release Date	Comments	Media release and related documents
INFO 229 Limited AFS licensees: Complying with your licensing obligations	Updated	20/7/2021	Content updated for the introduction of the ASIC reference checking and information sharing protocol – new reference checking requirements for AFS licensees and credit licensees under the <a href="#">Financial Sector Reform (Hayne Royal Commission Response) Act 2020</a> , commencing 1 October 2021.	MR 21-180 INFO 257 LI 21/429 REP 694 RG 104 RG 205 INFO 126 INFO 134 <a href="#">Example references</a>
INFO 256 AFS licensing requirements for accountants who provide SMSF services	Updated	22/7/2021	Minor technical updates to account for amendment of the <i>Superannuation Industry (Supervision) Act 1993</i> and removal of an out-dated cross reference	RG 94
INFO 90 Notifying members about superannuation transfers without consent	Updated	29/7/2021	Minor technical updates to account for the <a href="#">Treasury Laws Amendment (Reuniting More Superannuation) Act 2021</a> by removing out-dated references and updating content for existing requirements.	N/A
INFO 224 ASIC audit inspections	Updated	3/8/2021	Minor technical update.	N/A
INFO 226 Complying with the ASIC Client Money Reporting Rules 2017	Reissued	10/8/2021	Updated guidance for AFS licensees that hold reportable client money to clarify: <ul style="list-style-type: none"> <li>the correct designation of client money accounts under section 981B of the Corporations Act,</li> <li>an AFS licensees' obligations relating to the use of buffers</li> </ul>	N/A
INFO 50 Notifying a market operator about directors' interests in company securities	Reissued	16/8/2021	Subject broadened from 'ASX' to 'market operators' and penalty information updated to reflect current penalties and ASIC style. NOTE: New title	N/A

Title	Status	Release Date	Comments	Media release and related documents
INFO 212 Concerns about illegal phoenix activity	Reissued	17/8/2021	Definition of 'illegal phoenix activity' amended and minor updates to links and wording to ensure clear and concise information: see <a href="#">Illegal phoenix activity</a> webpage	N/A
INFO 241 Prohibition on influencing employers' superannuation fund choice: section 68A of the SIS Act	Reissued	25/8/2021	Minor technical updates to remove out-dated references given amendments made by <a href="#">Superannuation Industry (Supervision) Amendment (Your Future, Your Super—Improving Accountability and Member Outcomes) Regulations 2021</a> .	No MR
INFO 258 Continuing professional education requirements for registered liquidators	New	2/9/2021	Explains the statutory obligation for a registered liquidator to undertake continuing professional education under Section 20-5 of the <i>Insolvency Practice Rules (Corporations) 2016</i> .	No MR
INFO 259 Complying with the notify, investigate and remediate obligations	New	7/9/2021	<p>This information sheet (INFO 259) is for:</p> <ul style="list-style-type: none"> <li>• Australian financial services (AFS) licensees who provide personal advice to retail clients</li> <li>• Australian credit licensees who provide mortgage broking services to consumers</li> <li>• their representatives.</li> </ul> <p>It outlines the obligations for licensees to investigate certain breaches of the law and to notify and remediate clients and consumers in certain circumstances. The obligations apply from 1 October 2021.</p>	MR 21-235 RG 78 SRG 78C (ASIC Digest numbering) REP 698
INFO 45 Liquidation: A guide for creditors	Reissued	15/9/2021	Information about the simplified liquidation process added with minor technical updates.	No MR
INFO 259 Complying with the notify, investigate and remediate obligations	Reissued	16/9/2021	Technical amendments to provide clarity.	No MR

Title	Status	Release Date	Comments	Media release and related documents
INFO 264 FAQs: Design and distribution obligations for advice licensees and financial advisers	New	16/9/2021	<p>This information sheet (INFO 264) is for Australian financial services (AFS) licensees who are advice licensees and for financial advisers.</p> <p>It explains how the design and distribution obligations for issuers and distributors of financial products in Part 7.8A of the Corporations Act apply to advice licensees and financial advisers when providing personal advice.</p>	<a href="#">news item</a>
INFO 260 FAQs: Timeframe for passing the financial adviser exam	New	22/9/2021	<p>From 1 January 2019, professional standards apply to financial advisers. For an overview of how these standards apply to AFS licensees and existing and new financial advisers, see How the reforms affect you.</p> <p>This information sheet (INFO 260) answers some frequently asked questions (FAQs) to help financial advisers who are existing providers understand their obligation to pass the financial adviser exam and the possible outcomes if they do not pass the exam within the required timeframe.</p>	<a href="#">news item</a>
INFO 80 How to interpret ASIC insolvency statistics	Reissued	1/10/2021	Updated to reflect the introduction of weekly statistics in response to the COVID-19 pandemic.	No MR
INFO 264 FAQs: Design and distribution obligations for advice licensees and financial advisers	Reissued	6/10/2021	Updated to reflect interim relief provided by ASIC so that advice licensees and financial advisers are no longer required to report to issuers if they have received nil complaints during the reporting period (ahead of the Australian Government's stated policy intent to make this change in the legislation)	No MR LI 21/784 SLI 21/785
INFO 82 Apply for relief	Updated	8/10/2021	<p>Technical updates to reflect recent legislative changes relating to insurance.</p> <p>NOTE: Updated – issue date unchanged</p>	No MR RG 21 RG 51 RG 234 RG 275 INFO 198

Title	Status	Release Date	Comments	Media release and related documents
INFO 198 Extended warranties	Updated	8/10/2021	Technical updates to reflect recent legislative changes relating to insurance. NOTE: Updated – issue date unchanged	No MR RG 21 RG 51 RG 234 RG 275 INFO 82
INFO 152 Public comment on ASIC's regulatory activities	Reissued	11/10/2021	Miscellaneous updates to incorporate further guidance on ASIC's approach to public comment including details about its communication activities and when ASIC may name entities in public reports.	No MR
INFO 261 ASIC orders about creditor-defeating dispositions	New	11/10/2021	Sets out how liquidators can ask ASIC to make an order to undo a disposition of company property that prevents, hinders or significantly delays that property becoming available for the benefit of creditors in the winding up of a company.	No MR
INFO 262 FAQs: COVID-19 information for advice licensees and financial advisers	New	14/10/2021	Contains answers to frequently asked questions (FAQs) about issues impacting the financial advice industry as a result of the COVID-19 pandemic.	MR 21-269 SLI 21-268
INFO 89 ASIC releases updated information about the distribution of superannuation products	Reissued	15/10/2021	Updated information for employers and trustees about changes affecting the distribution of superannuation products as a result of recent law reforms	MR 21-272 INFO 241
INFO 241 Prohibition on influencing employer's superannuation fund choice	Reissued	15/10/2021	Updated information for employers and trustees about changes affecting the distribution of superannuation products as a result of recent law reforms	MR 21-272 INFO 89
INFO 263 FAQs: Disclosure by listed entities about Jobkeeper payments	New	15/10/2021	Guidance to help listed entities comply with their new obligation to disclose information about Jobkeeper payments to the relevant market operator	MR 21-271 <a href="#">Jobkeeper notice</a>



Title	Status	Release Date	Comments	Media release and related documents
INFO 196 Audit quality – The role of directors and audit committees	Reissued	19/10/2021	Updated for changes made in developing the equivalent <a href="#">IOSCO guide</a> , including a new section titled ‘What features of audit committees support audit quality?’	No MR
INFO 265 Reports of suspicious activity in FICC markets	New	26/10/2021	Gives guidance to market intermediaries about reporting suspicious activity in fixed income, currencies and commodities (FICC) markets (FICC SARs) and how these reports can be lodged with ASIC.	No MR <a href="#">Suspicious activity report – FICC markets (FICC SAR)</a>
INFO 225 Crypto-assets	Reissued	29/10/2021	Updated to include good-practice guidance for product issuers and market operators on how they can meet their regulatory obligations in relation to crypto-asset exchange traded products (ETPs) and other investment products	MR 21-285 INFO 230 REP 705
INFO 230 Exchange traded products: Admission guidelines	Reissued	29/10/2021	Updated to include good-practice guidance for product issuers and market operators on how they can meet their regulatory obligations in relation to crypto-asset exchange traded products (ETPs) and other investment products	MR 21-285 INFO 225 REP 705
INFO 32 Foreign companies	Reissued	1/11/2021	Technical amendment to reflect the introduction of a new director identification number (director ID) requirement.	<a href="#">news item</a> INFO 79 INFO 231 INFO 234
INFO 79 Your company and the law	Reissued	1/11/2021	Technical amendment to reflect the introduction of a new director identification number (director ID) requirement.	<a href="#">news item</a> INFO 32 INFO 231 INFO 234
INFO 231 Guidance on the duties of directors of mutual companies	Reissued	1/11/2021	Technical amendment to reflect the introduction of a new director identification number (director ID) requirement.	<a href="#">news item</a> INFO 32 INFO 79 INFO 234

Title	Status	Release Date	Comments	Media release and related documents
INFO 234 Indigenous corporations	Reissued	1/11/2021	Technical amendment to reflect the introduction of a new director identification number (director ID) requirement.	<a href="#">news item</a> INFO 32 INFO 79 INFO 231
INFO 155 Shorter PDSs - Complying with requirements for superannuation products and simple managed investment schemes	Reissued	2/11/2021	Miscellaneous technical amendments to update, re-order and simplify guidance including: removal of introductory Stronger Super content; insertion of a new Table 1 and insertion of a new column in the former Table 1 (now Table 2) outlining the products to which the shorter PDS warnings listed are applicable; and the addition of a new section titled 'What is a simple managed investment scheme?' moved from INFO 133.  NOTE: INFO 133 has been withdrawn	No MR SINFO 133
INFO 133 Shorter PDS regime - Superannuation managed investment schemes and margin lending	Withdrawn	2/11/2021	The relevant information from INFO 133 has been incorporated into Information Sheet 155 <i>Shorter PDSs - Complying with requirements for superannuation products and simple managed investment schemes</i> (INFO 155).	No MR INFO 155
INFO 266 FAQs: Records of Advice	New	5/11/2021	This information sheet (INFO 266) answers frequently asked questions (FAQs) about the obligations that apply to a providing entity when providing personal advice to retail clients.	MR 21-294 <a href="#">Example Record of Advice (ROA): Life insurance advice – Retain existing products and increase insurance</a>  <a href="#">Example Record of Advice (ROA): No change advice</a>  <a href="#">Example Record of Advice (ROA): Stockbroker</a>
INFO 151 ASIC's approach to enforcement	Reissued	22/11/2021	Updated guidance explaining how we approach our enforcement role and why we respond to breaches of the law in different ways.	No MR RG 100

Title	Status	Release Date	Comments	Media release and related documents
INFO 267 Tips for giving limited advice	New	1/12/2021	Provides tips to help advice providers comply with their legal obligations – including the best interests duty and related obligations in Division 2 of Part 7.7A of the <i>Corporations Act 2001</i> (Corporations Act), and the FASEA <a href="#">Financial Planners and Advisers Code of Ethics</a> (Code of Ethics) – when giving limited advice.	MR 21-325 <a href="#">Example Statement of Advice (SOA): Limited advice</a>
INFO 105 FAQs: Dealing with consumers and credit	Updated	8/12/2021	Minor technical updates related to insurance. Note: Issue date unchanged	RG 121 RG 166 RG 175 RG 244 INFO 218 INFO 243
INFO 218 Disputes about life insurance	Updated	8/12/2021	Minor technical updates related to insurance. Note: Issue date unchanged	RG 121 RG 166 RG 175 RG 244 INFO 105 INFO 243
INFO 243 Licensing requirements for funeral expenses facility providers	Updated	8/12/2021	Minor technical updates related to insurance. Note: Issue date unchanged	RG 121 RG 166 RG 175 RG 244 INFO 105 INFO 218
INFO 250 Giving AFS and credit licensees information about their representatives	Reissued	15/12/2021	Minor technical amendments to ensure currency.	None

Title	Status	Release Date	Comments	Media release and related documents
INFO 268 FAQs: Regulation and registration of relevant providers who provide tax (financial) advice services	New	23/12/2021	Changed guidance for relevant providers who provide, or intend to provide, tax (financial) advice services under the <a href="#">Better Advice Act</a> .	MR 21-368
INFO 86 How do RSE and AFS licensing application processes work together?	Reissued	24/12/2021	Technical updates to ensure currency and reflect recent legislative changes relating to superannuation.	No MR

## Other documents

Title	Date	Details	MR and related documents
<a href="#">Response to ASIC Consultation Paper 332</a> Promoting access to affordable advice for consumers (PDF 88 KB)	1/7/2021	Sets out ASIC's proposals to remake Class Order [CO 12/1482] <i>When debentures can be called secured notes</i> , which is due to expire ('sunset') on 1 April 2022.	<a href="#">News article</a>
<a href="#">Example Record of Advice (ROA): COVID-19 relief measure</a> (PDF 660 KB)	14/7/2021	ASIC has released an example ROA to help financial advisers when providing advice under <i>ASIC Corporations (COVID-19—Advice-related Relief) Instrument 2021/268</i> . The Example Record of Advice (ROA): COVID-19 relief measure has been annotated to help advisers understand the relevant requirements under the COVID-19 relief measure. ASIC consulted the Financial Adviser Standards and Ethics Authority (FASEA) and welcomes FASEA's confirmation that the example ROA is consistent with advisers' obligations under the FASEA Code of Ethics.	MR 21-072 (Editor's note)
<a href="#">IDR Data Dictionary (Pilot version)</a> (PDF 357 KB) <a href="#">IDR Data Glossary (Pilot version)</a> (PDF 627 KB)	19/7/2021	Internal dispute resolution (IDR) reporting documents, which will be tested in a pilot involving financial firms from across relevant industry subsectors in late 2021. This release represents the next step in preparedness for ASIC's implementation of the Australian Government's mandatory IDR data reporting framework.	MR 21-177

<a href="#">Cost Recovery Implementation Statement 2020-21 (for feedback)</a>	23/7/2021	<p>This Cost Recovery Implementation Statement (CRIS) provides information on how we will implement the industry funding model and recover:</p> <ul style="list-style-type: none"> <li>the costs of our regulatory activities from each industry subsector in 2020–21 (in Part 1); and</li> <li>our user-initiated and transaction-based regulatory costs via fees for service in 2020–21 (in Part 2).</li> </ul>	<p>MR 21-185</p> <p><a href="#">ASIC (Supervisory Cost Recovery Levy—Return Deadline) Notice 2021/645</a></p>
<a href="#">ASIC Corporate Plan 2021–25 - Focus 2021–22</a>	25/8/2021	<p>Outlines ASIC’s priorities over the next four years to achieve a fair, strong and efficient financial system for all Australians.</p> <p>The Corporate Plan is consistent with ASIC’s new Statement of Intent in response to the Australian Government’s Statement of Expectations.</p>	<p>MR 21-225</p> <p><a href="#">Statement of Intent: Australian Securities and Investments Commission - August 2021</a></p> <p><a href="#">Australian Government Statement of Expectations: Australian Securities and Investments Commission - August 2021</a></p>
<a href="#">Letter to CEOs regarding whistleblower policies (PDF 925 KB)</a>	13/10/2021	<p>ASIC’s letter to CEOs</p> <ul style="list-style-type: none"> <li>reminds entities of their obligation to have a whistleblower policy that reflects the strengthened whistleblower protection regime that started on 1 July 2019</li> <li>identifies where policies in our sample fell short, and</li> <li>highlights what entities can do to improve their policies.</li> </ul>	MR 21-267
<a href="#">Jobkeeper notice</a>	15/10/2021	<p>New Jobkeeper obligations commenced on 14 September 2021, requiring all listed entities that received Jobkeeper payments to give a notice to the relevant market operator outlining:</p> <ul style="list-style-type: none"> <li>the listed entity’s name and ABN;</li> <li>the number of individuals for whom the entity or its subsidiaries received Jobkeeper payments each fortnight that ended in the financial year;</li> <li>the total amount of Jobkeeper payments the entity and its subsidiaries received in a Jobkeeper fortnight that ended in the financial year; and</li> <li>whether or not the entity or its subsidiaries made voluntary repayments of Jobkeeper payments, and the total amount of those repayments if they did.</li> </ul>	<p>MR 21-271</p> <p>INFO 263</p>

<a href="#">ASIC Annual Report 2020–21</a>	15/10/2021	Outlines the key measures ASIC took to achieve its goals in the 2020–21 financial year.	MR 21-273
<a href="#">Cost Recovery Implementation Statement: ASIC industry funding model (2020–21)</a>	11/11/2021	<p>Provides information on how ASIC will implement the industry funding model and recover:</p> <ul style="list-style-type: none"> <li>the costs of its regulatory activities from each industry subsector in 2020–21 (in Part 1); and</li> <li>ASIC's user-initiated and transaction-based regulatory costs via fees for service in 2020–21 (in Part 2).</li> </ul> <p>This version of the CRIS summarises and responds to stakeholder feedback on the version ASIC published for comment in July 2021</p>	MR 21-299
<a href="#">Jobkeeper s 323DC consolidated report</a>	7/12/2021	Consolidated report of all the jobkeeper notices that have been given to the market operators under section 323DB and released to the market	MR 21-333
<a href="#">Annual dashboard report 2020-21</a> (PDF 257 KB)	12/12/2021	Provides regulated entities with a summary of ASIC's actual regulatory costs in 2020–21 under industry funding arrangements.	No MR
<a href="#">Summary of 2020-21 levies</a> (PDF 85 KB)	12/12/2021	Provides regulated entities with a summary of ASIC's actual and levies in 2020–21 under industry funding arrangements.	No MR