

SAFAA SUBMISSIONS LISTING

All Submissions are in PDF format.

2009	September	ASX: Takeover Indemnity Deed	16/09/09
		ASIC: CP114 Client Money OTC Derivatives	17/09/09
	August	Treasury: Disclosure of Equity Derivatives	10/08/09
		ASIC: CP108 Margin Lending Training Requirements	10/08/09
		ASIC: CP109 Margin Lending Financial Requirements	10/08/09
	July	ASIC: CP107 Securities Lending & Substantial Shareholding Disclosure	19/08/09
		Senate Economics Legislation Committee: Margin Lending	17/07/09
		Treasury on Unsolicited Offers	23/07/09
		Storm Inquiry	31/07/09
	June	ASIC: Consultation Paper CP106	11/06/09
	May	Treasury: Unfair Contract Consultation	22/05/09
		Treasury: Corporations Legislation Amendment Bill 2009 Margin Lending	
	April	Treasury: Short Selling Disclosure	07/04/09
		ASX: Partly Paid	17/04/09
		AFT: Henry Tax Review	29/04/09
	March	Treasury: Australian Financial Centre Forum	05/03/09
		ASX: Settlement Changes	06/03/09
		CAMAC: CAMAC Issues Paper- Aspects of Market Integrity	11/03/09
	February	ASIC: RBA on ASX Capital Requirements	02/02/09
		ASIC: Consultation Paper 103 - Share Purchase Plans	12/02/09
2008	December	ASX: ETO	16/12/08
		ASIC: Short Selling Regulation	23/12/08
	November	ASIC: CP102	06/11/08
		ACH: Collateral Changes	17/11/08
	October	FOS: TOR final	20/10/08
		Short Selling Bill	21/10/08
	August	ASX: Capital Requirements	
		ASIC: Share Purchase Plans	
	July	Green Paper Financial Services Margin Lending	
	June	Consultation Draft- special circumstances for customer identification	
	April	ASIC FOS Constitution	
		Treasury - Unsolicited Off-Market Share Offers	
	March	ASX Short Selling	
		ASX Public Consultation Paper - "Non-Voting Ordinary Shares"	
	February	ASX Public Consultation Paper - Omnibus Listing Rule Amendments	18/02/08
		ASIC Consultation Paper CP 95 Competition for Market Services	1/02/08
	January	Austrac Submissions on Consultation Drafts	31/01/08

2007	September	ASIC: Compensation and Insurance Requirements for AFS Licensees	14/09/07
	August	ASIC Competition for Market Services - ASIC Consultation Paper 86	17/08/07
		FICS Monetary Limits Review - Discussion Paper	13/08/07
	July	ASX Trade Error Resolution - Consultation Paper	
	June	FICS Monetary Limits Review	
		Insider Trading Position and Consultation Paper	
	April	Review of Sanctions for Breaches of Corporate Law	
		Corporate and Financial Services Regulation Review: Draft Regulations March 2007 - Treatment of Superannuation Trustees	
		Corporate and Financial Services Regulation Review - Draft Regulations March 2007	
	March	Senate Inquiry into the Corporations (NZ Closer Economic Relations) and other Legislation Amendment Bill 2007	
February	ASX Supervisory Processes & Powers - Consultation Paper December 2006		
January	Draft revised AML/CTF Rules in respect of Chapters 1,2,3,4,5,8,8A and 11 dated 14 February 2007 - customer identification, AML/CTF programs, gambling services		
2006	November	Proposed changes to PS 164 - Meeting the general obligations and organisational competence	
	June	Corporate and Financial Services Regulation Review	
	May	Submission on Firms Only - Consultation Paper	
	April	Compensation Requirements for Retail Clients - Proposed Regulations November 2006	
	March	<i>Conflicts Management</i> - ASIC Discussion Paper April 06	
2005	November	Corporate and Financial Services Regulation Review	
	June	Market Manipulation	
	April	Inquiry into the Exposure Draft of the Anti-Money Laundering and Counter-Terrorism Financing Bill 2005	
	March	NGF Claims Capping	
February	Inquiry into the Exposure Draft of the Anti-Money Laundering and Counter-Terrorism Financing Bill 2005		
2005	November	Direct Market Access - Request for Comment (Certification & Crossings Rules)	
	October	Financial Sector Advisory Council: enquiry into financial sector regulation	
	September	Refinements to Financial Services Regulation - Draft Corporations Amendment Regulations	
	June	Repetition of the general advice warning (s949A) - ASIC Consultation Paper	
		Compliance Function at Market Intermediaries Public Comment on the Consultation Report by the Technical Committee of the International Organization Of Securities Commissions, April 2005	
	February	Product Disclosure Statement - Exchange Traded Options and Low Exercise Price Options	
		Projects - Two Draft FAQ's: General Advice Warning; General/Personal Advice	
		Refinements to Financial Services Regulation, Proposals Paper, May 2005	
	January	ASX Market Rule Amendments - Trading Record and Trust Reconciliations	
	2004	December	ASX Market Rule 7.9 - Reporting To Clients (Confirmations)
November		Inquiry into regulation of property investment advice	
		Draft Corporations Regulations on Fee Disclosure and other matters (23 Dec 04)	
		SDIA Submission to FICS 10 January 2005 - Rules Review	
November	Draft Corporations Regulations on Fee Disclosure and other matters (23 Dec 04)		
November	SDIA response to AUSTRAC Regulatory Scoping Survey 5 January		
2004	December	Anti-Money Laundering Reform	
	November	FICS Determination 0313030 July 2004 - Sales by Company Directors	

		Corporations Regulations: Proposed regulations on prescribed financial markets, Takeovers Panel & Tracing notices
		ASIC Policy on Managed Discretionary Accounts (MDAs) & Family Accounts (PS179.17)
October		Trans-Tasman Mutual Recognition of Offers of Securities and Managed Investment Scheme Interests - Discussion Paper May 2004
		Draft ASX Market Rule Guidance Note - <i>Reporting To Clients</i> (Confirmations)
		Property Investment Advice Discussion Paper, Ministerial Council on Consumer Affairs Working Party, August 2004
September		Research Analysts - Managing Conflicts of Interest ASIC Guide - Draft 27 August 2004
		Proposed Secondary Services FSG Relief and FAQ - August 2004
August		Dollar Disclosure: ASIC policy proposal paper
July		FSR Licensing: Facilitation of settlement of international securities and exchange traded derivative transactions by stockbrokers and futures brokers - whether foreign exchange dealing
June		Financial Sector Advisory Council: enquiry into the Financial Services Reform Act
March		Anti-Money Laundering Reform - Issues Paper 1 Financial Services Sector
February		Corporations Act Division 5A - Unsolicited offers to purchase financial products off-market
		Licensing: Managing Conflicts of Interest (with specific guidance for providers of research reports)
		ASIC Policy Proposal - October 2003
January		Draft FAQ3: Secondary Services January 2004
<hr/>		
2003	November	CLERP (Audit Reform & Disclosure) Bill (CLERP9) October 2003
	October	FSR LICENSING: Facilitation of settlement of international securities transactions by stockbrokers - whether foreign exchange dealing
	July	Licensing: Nominee Companies and FSR Licensing - ASX Business Rule 3.12 & Corporations Regulation 7.6.01(1)(v) (10 June 2003 Draft)
		ASX Clearing/Trading Participation Consultation Paper
	June	Draft Business Rule Guidance Note - Confirmations (formerly Contract Notes)
		FSR Statements of Advice Requirements
		FSR Licensing: Facilitation of settlement of international securities transactions by stockbrokers - whether foreign exchange dealing
		Managed Discretionary Account Services - ASIC Policy Proposal - April 2003
	May	Takeovers Panel Guidance Note on Broker Handling Fees - Draft for Public Comment 28 March 2003
	April	Product Disclosure Statements for Exchange Traded options
	March	Principles of Good Corporate Governance and Best Practice Recommendations - 'The Source' 3 March 2003 Draft
	February	Post-FSR Market Manipulation provisions of the Corporations Act
		Draft Corporations Amendment Regulations released 13 December 2002
<hr/>		
2002	November	Draft ASX Business Rule Guidance Note: Independence of Research, Disclosure of Conflict of Interest & Dealing Before Research Recommendations (18/09/02)
		Corporate Disclosure - Strengthening the financial reporting framework (CLERP9)
		Compensation for Loss in the Financial Services Sector - Issues & Options paper September 2002
	October	Review of the Financial Industry Complaints Service - Issue Paper dated August 2002
		PROPOSED NEW RULE 3.15 - Release of Confidential Information by ASX
		Product Disclosure Statements (PDS) on ASX Derivatives
	August	Cancellation of Trades Made in Error on Seats and the Derivatives Trading Platform
		Business Rule Guidance Notes on Responsible Executives July 2002
	July	Licensing of CHES Participants - Provision of custodial or depository services

		ASX Draft Business Rule Guidance Note: "SEATS Automated Order Processing: Operational Requirements including Filters"
		ASX Trial on New Reporting Regime ("NRR") for Large Single Stock Trades
May		CHESS Enhancements Discussion Paper - April 2002
April		Advisor's Reports
March		NGF Funding & Interest on Trust Accounts - Parts 7.6 and 7.8 of Corporations Act
		Interest on Trust Accounts - Parts 7.6 & 7.8 of Corporations Act
February		Corporations Amendment Regulations - Cooling-off period for Listed managed investment products Section 1019A&B; Regulation 7.9.64
		Secondary Sales of Securities that Require Disclosure under s707 (3)&(4) - ASIC Issues Paper dated 21 December 2001
January		Draft Corporation Amendment Regulations (Second Stage - released 18 December 2001)
		Draft Corporations Amendment Regulations (No.) Product Disclosure and other matters - Released 18 January 2002
2001	November	ASIC Policy Statement PS166 Consultation Draft dated 16 November 2001 (Licensing: Financial Requirements)
	October	Retail Client Compensation in Financial Markets Consultation Paper - September 2001
	September	Draft Regulations Under Financial Services Reform Act 2001 (Product Disclosure and other matters) - 3rd Tranche dated 27 August 2001 - Support submission
		Draft Regulations Under Financial Services Reform Act 2001 (Product Disclosure and other matters) - 3rd Tranche dated 27 August 2001
	August	ASX Business Rules - July 2001 Exposure Draft
		Draft Regulations Under Financial Services Reform Act 2001 (Licensing, Disclosure and other matters) - 2nd Tranche dated 16 August 2001
	July	Proposed ASX Trial on New Reporting Regime ("NRR") for Large Single Stock Trades
	May	Inquiry into the Financial Services Reform Bill 2001
	March	Submission on various Trading Rules
2000	December	Application for Authorisations A90756; A90757; A90758
	November	Stockbrokers' Managed Discretionary Accounts
	October	Submission to ASIC regarding Australian Derivatives Exchange Limited ("ADX") - Futures Exchange Application Pursuant to Section 1126 of the Corporations Law and Options Clearing House Pty Limited ("OCH") - Futures Clearing House Application Pursuant to Section 1131 of the Corporations Law
	July	ASIC Interim Policy Statement 146 - Stockbroking Accreditation Sub-Committee Guidelines for Internet Discussion Sites (IDS) (ASIC Policy Proposal)
	May	Financial Services Reform Bill & Commentary - an SDIA/AFMA Joint Submission
		The Implications for Installment Warrants of the Proposed Prepayment Rules (Australian Stock Exchange)
	March	Industry issues arising from GST Regulations 1999/245
	January	Clerk 6 Supplementary Submission - Restrictions on the use of titles
1999	December	"Heard it on the Grapevine..." An SDIA Draft ASIC Guidance and Discussion Paper