Australian Securities and Investments Commission Regulations 2001

Statutory Rules No. 192, 2001

made under the

Australian Securities and Investments Commission Act 2001 and the *Corporations Act 2001*

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About this compilation

This compilation

This is a compilation of the *Australian Securities and Investments Commission Regulations 2001* that shows the text of the law as amended and in force on 13 July 2025 (the ***compilation date***).

The notes at the end of this compilation (the ***endnotes***) include information about amending laws and the amendment history of provisions of the compiled law.

Uncommenced amendments

The effect of uncommenced amendments is not shown in the text of the compiled law. Any uncommenced amendments affecting the law are accessible on the Register (www.legislation.gov.au). The details of amendments made up to, but not commenced at, the compilation date are underlined in the endnotes. For more information on any uncommenced amendments, see the Register for the compiled law.

Application, saving and transitional provisions for provisions and amendments

If the operation of a provision or amendment of the compiled law is affected by an application, saving or transitional provision that is not included in this compilation, details are included in the endnotes.

Editorial changes

For more information about any editorial changes made in this compilation, see the endnotes.

Modifications

If the compiled law is modified by another law, the compiled law operates as modified but the modification does not amend the text of the law. Accordingly, this compilation does not show the text of the compiled law as modified. For more information on any modifications, see the Register for the compiled law.

Self-repealing provisions

If a provision of the compiled law has been repealed in accordance with a provision of the law, details are included in the endnotes.

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Part 1—Preliminary

1 Name of Regulations

These Regulations are the *Australian Securities and Investments Commission Regulations 2001*.

2 Definitions

Note: A number of expressions used in these Regulations are defined in the Act or Part 1.2 (Interpretation) of the *Corporations Act 2001*: see subsection 5(2) of the Act.

In these Regulations:

Act means the *Australian Securities and Investments Commission Act 2001*.

Australian carbon credit unit has the same meaning as in the *Carbon Credits (Carbon Farming Initiative) Act 2011*.

carbon unit has the same meaning as in the *Clean Energy Act 2011*.

eligible international emissions unit has the same meaning as in the *Australian National Registry of Emissions Units Act 2011*.

Form means a form set out in Schedule 1.

2A Territorial application of Act

(1) For subsection 4(2) of the Act, the Act applies in each external Territory in accordance with this regulation.

(2) For the Territory of Christmas Island and the Territory of Cocos (Keeling) Islands:
  (a) Division 2 of Part 2 of the Act applies in relation to:
    (i) a financial product; and
    (ii) a financial service; and
  (b) the remainder of the Act applies in relation to:
    (i) a superannuation product; and
    (ii) an RSA; and
    (iii) a financial service that relates to a superannuation product; and
    (iv) a financial service that relates to an RSA.

(3) For an external Territory other than the Territory of Christmas Island and the Territory of Cocos (Keeling) Islands, the Act applies in relation to:
  (a) a superannuation product; and
  (b) an RSA; and
  (c) a financial service that relates to a superannuation product; and
  (d) a financial service that relates to an RSA.

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2AC Professional accounting bodies

For the definition of ***professional accounting body*** in subsection 5(1) of the Act, the following bodies are prescribed:

(a) CPA Australia;

(b) The Institute of Chartered Accountants in Australia;

(c) Institute of Public Accountants.

2B Financial products: credit facility

(1) For paragraph 12BAA(7)(k) of the Act, each of the following is a ***credit facility***:

(a) the provision of credit:

(i) for any period; and

(ii) with or without prior agreement between the credit provider and the debtor; and

(iii) whether or not both credit and debit facilities are available;

(b) a facility:

(i) known as a bill facility; and

(ii) under which a credit provider provides credit by accepting, drawing, discounting or indorsing a bill of exchange or promissory note;

(c) the provision of credit by a pawnbroker in the ordinary course of a pawnbroker's business (being a business which is being lawfully conducted by the pawnbroker);

(d) the provision of credit by the trustee of the estate of a deceased person by way of an advance to a beneficiary or prospective beneficiary of the estate;

(e) the provision of credit by an employer, or a related body corporate of an employer, to an employee or former employee (whether or not it is provided to the employee or former employee with another person);

(f) the provision of a mortgage that secures obligations under a credit contract (other than a lien or charge arising by operation of any law or by custom);

(g) a guarantee related to a mortgage mentioned in paragraph (f);

(h) a guarantee of obligations under a credit contract;

(i) a facility for making non-cash payments if payments made using the facility will all be debited to a facility mentioned in paragraphs (a) to (h).

(2) The provision of consumer credit insurance that includes a contract of general insurance for the *Insurance Contracts Act 1984* is not a credit facility.

(3) In this regulation:

credit means a contract, arrangement or understanding:

(a) under which:

(i) payment of a debt owed by one person (a ***debtor***) to another person (a ***credit provider***) is deferred; or

(ii) one person (a ***debtor***) incurs a deferred debt to another person (a ***credit provider***); and

(b) including any of the following:

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(i) any form of financial accommodation;
(ii) a hire purchase agreement;
(iii) credit provided for the purchase of goods or services;
(iv) a contract, arrangement or understanding for the hire, lease or rental of goods or services, other than a contract, arrangement or understanding under which:
(A) full payment is made before or when the goods or services are provided; and
(B) for the hire, lease or rental of goods—an amount at least equal to the value of the goods is paid as a deposit in relation to the return of the goods;
(v) an article known as a credit card or charge card;
(vi) an article, other than a credit card or a charge card, intended to be used to obtain cash, goods or services;
(vii) an article, other than a credit card or a charge card, commonly issued to customers or prospective customers by persons who carry on business for the purpose of obtaining goods or services from those persons by way of a loan;
(viii) a liability in respect of redeemable preference shares;
(ix) a financial benefit arising from or as a result of a loan;
(x) assistance in obtaining a financial benefit arising from or as a result of a loan;
(xi) issuing, indorsing or otherwise dealing in a promissory note;
(xii) drawing, accepting, indorsing or otherwise dealing in a negotiable instrument (including a bill of exchange);
(xiii) granting or taking a lease over real or personal property;
(xiv) a letter of credit.

2BA Declared financial product

For paragraph 12BAA(7)(m) of the Act, a margin lending facility is declared to be a financial product for the purposes of subsection 12BAA(7) of the Act.

2BB Specific things that are not financial products—Australian carbon credit units and eligible international emissions units

(1) For paragraph 12BAA(8)(p) of the Act:
(a) an Australian carbon credit unit is not a financial product; and
(b) an eligible international emissions unit is not a financial product.

(2) On 1 July 2012:
(a) subregulation (1) ceases to apply; and
(b) Australian carbon credit units and eligible international emissions units become financial products.

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2BC Specific things that are not financial products—certain tradeable water rights

(1) For paragraph 12BAA(8)(p) of the Act, each of the following is not a financial product:

(a) tradeable water rights;

(b) an arrangement:

(i) under which a person (the ***seller***) has, or may have, an obligation to sell tradeable water rights at a future date; and

(ii) under which another person (the ***buyer***) has, or may have, an obligation to buy the tradeable water rights, or replacement water rights, at a future date; and

(iii) that does not permit the seller's obligations to be wholly settled by cash, or by set-off between the seller and the buyer, rather than by transfer of ownership of the tradeable water rights or replacement water rights; and

(iv) in relation to which neither usual market practice, nor the rules of a licensed market or of a licensed CS facility, allow the seller's obligations to be closed out by matching up the arrangement with another arrangement of the same kind under which the seller has offsetting obligations to buy the tradeable water rights or replacement water rights.

(2) In subregulation (1):

replacement water rights means tradeable water rights that are granted, issued or authorised as a replacement for the seller's tradeable water rights, including as a result of transformation arrangements mentioned in subsection 97(1) of the *Water Act 2007*.

tradeable water rights has the same meaning as in the *Water Act 2007*.

2BD Specific things that are not financial products—guarantees issued by the NHFIC

For paragraph 12BAA(8)(p) of the Act, a guarantee the National Housing Finance and Investment Corporation has issued in the performance of its function under paragraph 8(1)(ca) of the *National Housing Finance and Investment Corporation Act 2018* is not a financial product.

2C Meaning of *financial service*—off-market offers for financial products

For paragraph 12BAB(1)(h) of the Act, a person provides a financial service if:

(a) the person makes an unsolicited offer to purchase a financial product from another person otherwise than through a licensed financial market; and

(b) the other person acquired the financial product as a retail client.

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2D Circumstances in which a person is taken to be provided a traditional trustee company service

For subsection 12BAB(1B) of the Act, a person who is one of the following:

(a) a person who may request an annual information return under subregulation 5D.2.01(3) of the *Corporations Regulations 2001*;

(b) a person who requests the preparation of a will, a trust instrument, a power of attorney or an agency arrangement;

is, in relation to an estate management function, prescribed as the person to whom the service is taken to be provided for the purpose of Division 2 of Part 2 of the Act.

2DA Prescribed amount—acquiring financial services as a consumer

For the purposes of paragraph 12BC(3)(a) of the Act, the amount of $100,000 is prescribed.

2E Prescribed requirements for definition of *assert a right to payment*

For paragraph 12BEA(1)(e) of the Act, the following requirements are prescribed:

(a) the statement must include the text ‘This is not a bill. You are not required to pay any money.’;

(b) the text must be the most prominent text in the document.

2F Prescribed requirements for warning statements

For paragraphs 12DM(1AA)(b) and 12DMB(2)(b) of the Act, the following requirements are prescribed:

(a) the warning statement must include the text ‘This is not a bill. You are not required to pay any money.’; and

(b) the text must be the most prominent text in the document.

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Part 2—General

3A Professional standards schemes

For subsection 12GNA(2) of the Act, a scheme and any modifications to the scheme set out in the following table are prescribed.

Note: Column 2 of the table below is included for information only.

Prescribed professional standards schemes

Item	Column 1 Scheme	Column 2 Date prescribed
1	The CPA Australia Ltd Professional Standards (Accountants) Scheme, published in the New South Wales Government Gazette No. 98, 30 August 2019, including as modified by the extension published in the New South Wales Government Gazette No. 71, 1 March 2024 Note: This Scheme was formerly the CPA Australia Ltd Professional Standards (Accountants) Scheme, published in the New South Wales Government Gazette No. 138, 22 December 2017.	The Scheme—22 October 2019 The extension—22 June 2024
2	The Chartered Accountants Australia and New Zealand Professional Standards Scheme, published in the New South Wales Government Gazette No. 121, 28 March 2025 Note: This Scheme was formerly the Chartered Accountants Australia and New Zealand Professional Standards Scheme, published in the New South Wales Government Gazette No. 72, 12 July 2019, including as modified by the extension published in the New South Wales Government Gazette No. 71, 1 March 2024.	13 July 2025
3	The Law Society of New South Wales Professional Standards Scheme, published in the New South Wales Government Gazette No. 383, 27 September 2024 Note: This Scheme was formerly the Law Society of New South Wales Professional Standards Scheme, published in the New South Wales Government Gazette No. 87, 7 September 2018, including as modified by the extension published in the New South Wales Government Gazette No. 311, 14 July 2023.	22 November 2024

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Prescribed professional standards schemes

Item	Column 1 Scheme	Column 2 Date prescribed
4	The New South Wales Bar Association Professional Standards Scheme, published in the New South Wales Government Gazette No. 121, 28 March 2025 Note: This Scheme was formerly the New South Wales Bar Association Professional Standards Scheme, published in the New South Wales Government Gazette No. 179, 20 December 2019.	1 July 2025
6	The Law Institute of Victoria Limited Professional Standards Scheme, published in the Victoria Government Gazette No. G 11, 17 March 2022 Note: This Scheme was formerly the Law Institute of Victoria Limited Scheme, published in the Victoria Government Gazette No. G 16, 21 April 2016, including as modified by the extension published in the Victoria Government Gazette No. G 9, 4 March 2021.	1 July 2022
7	The Victorian Bar Professional Standards Scheme, published in the Victoria Government Gazette No. S 207, 29 April 2025 Note: This Scheme was formerly the Victorian Bar Professional Standards Scheme, published in the Victoria Government Gazette No. G 16, 18 April 2019, including as modified by the extension published in the Victoria Government Gazette No. G 45, 9 November 2023.	1 July 2025
8	The Bar Association of Queensland Professional Standards Scheme, approved as described in the *Professional Standards (Bar Association of Queensland Professional Standards Scheme) Notice 2024* (Qld), 21 June 2024 Note: This Scheme was formerly the Bar Association of Queensland Professional Standards Scheme, approved as described in the *Professional Standards (Bar Association of Queensland Professional Standards Scheme) Notice 2019* (Qld), 18 February 2019.	21 August 2024
10	The Queensland Law Society Professional Standards Scheme, approved as described in the *Professional Standards (The Queensland Law Society Professional Standards Scheme) Notice 2021* (Qld), 17 December 2021 Note: This Scheme was formerly the Queensland Law Society Professional Standards Scheme, approved as described in the *Professional Standards (Queensland Law Society Professional Standards Scheme) Notice 2016* (Qld), 30 June 2016, including as modified by the extension published in the Queensland Government Gazette No. 63, 23 April 2021.	1 July 2022
12	The Law Society of Western Australia Professional Standards Scheme, published in the Western Australian	1 July 2024

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Regulation 3A

Prescribed professional standards schemes		
Item	**Column 1** **Scheme**	**Column 2** **Date prescribed**
	Government Gazette No. 23, 8 March 2024 Note: This Scheme was formerly the Law Society of Western Australia Professional Standards Scheme, published in the Western Australian Government Gazette No. 62, 7 May 2019.	
13	The Western Australian Bar Association Professional Standards Scheme, published in the Western Australian Government Gazette No. 51, 2 May 2025 Note: This Scheme was formerly the Western Australian Bar Association Professional Standards Scheme, published in the Western Australian Government Gazette No. 63, 24 April 2020.	1 July 2025
15	The Law Society of South Australia Professional Standards Scheme, published in the South Australian Government Gazette No. 5, 20 January 2022 Note: This Scheme was formerly the Law Society of South Australia Professional Standards Scheme, published in the South Australian Government Gazette No. 21, 5 April 2017, including as modified by the amendments published in the South Australian Government Gazette No. 77, 21 November 2017.	1 July 2022
16	The South Australian Bar Association Professional Standards Scheme, published in the South Australian Government Gazette No. 15, 10 March 2022 Note: This Scheme was formerly the South Australian Bar Association Inc Professional Standards Scheme, published in the South Australian Government Gazette No. 35, 30 May 2017.	1 July 2022
19	The Institute of Public Accountants Professional Standards Scheme, published in the Victoria Government Gazette No. S 598, 27 October 2021 Note: This Scheme was formerly the Institute of Public Accountants Professional Standards Scheme, published in the Victoria Government Gazette No. G 42, 18 October 2018, including as modified by the extension published in the Victoria Government Gazette No. S 695, 24 December 2020.	22 March 2022
20	The Association of Consulting Surveyors National Professional Standards Scheme, published in the New South Wales Government Gazette No. 90, 1 May 2020, including as modified by the extension published in the New South Wales Government Gazette No. 100, 14 March 2025	The Scheme—1 July 2020 The extension—1 July 2025
21	The Australian Property Institute Valuers Limited Professional Standards Scheme, published in the New South Wales Government Gazette No. 214, 21 May 2021	1 September 2021

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3B Deferred sales for add-on insurance products—when consumer enters into a commitment

(1) For the purposes of subsection 12DO(3) of the Act, a consumer is taken to have entered into a commitment to acquire a product or service of a class specified in column 1 of the following table at the time specified in column 2.

Deferred sales for add-on insurance products—when consumer enters into a commitment

Item	Column 1 Class of product or service	Column 2 Time of entering into commitment
1	A credit card	The time at which the consumer is informed in writing of the approval of the credit facility
2	A loan secured by a mortgage, charge or other security interest over residential property in Australia	The time at which the consumer is informed in writing of the approval of the credit facility
3	A loan for the purchase of a motor vehicle	The time at which the consumer is informed in writing of the approval of the credit facility
4	A loan for personal, domestic or household purposes	The time at which the consumer is informed in writing of the approval of the credit facility
5	The hire of a motor vehicle	Either: (a) if the consumer makes a reservation for the hire of the vehicle before taking possession of the vehicle—the time at which the consumer makes the reservation; or (b) otherwise—the time at which the consumer takes possession of the vehicle

(2) In this regulation:

motor vehicle means a motor-powered road vehicle (including a 4-wheel-drive vehicle).

3 Prescribed agencies (Act s 18(2)(d))

For paragraph 18(2)(d) of the Act, each of the following agencies is prescribed:

(a) the Clean Energy Regulator;
(aa) the Australian Competition and Consumer Commission;
(b) the Australian Prudential Regulation Authority;
(c) the Australian Taxation Office;
(d) the Australian Transaction Reports and Analysis Centre;
(e) an authority of a State or Territory having functions and powers similar to those of the Director of Public Prosecutions;
(f) the police force or service of each State and the Northern Territory;
(g) the Department of Fair Trading of New South Wales;
(h) the Office of Fair Trading and Business Affairs of Victoria;

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(i) the Office of Consumer Affairs of Queensland;
(j) the Department of Consumer and Employment Protection of Western Australia;
(k) the Office of Consumer and Business Affairs of South Australia;
(l) the Office of Consumer Affairs and Fair Trading of Tasmania;
(m) the Consumer Affairs Bureau of the Australian Capital Territory;
(n) the Fair Trading Group of the Northern Territory.

4 Form of notice requiring assistance and appearance for examination

For subsection 19(2) of the Act, Form 1 is prescribed.

5 Notice to produce books

A notice under section 30, subsection 31(1) or section 32A or 33 of the Act to produce books must be in accordance with Form 2.

6 Evidence of authority

If:

(a) a member or staff member produces a document issued by the Commission; and
(b) the document states that the person is authorised by the Commission under section 34 of the Act;

the document is evidence of:

(c) the authority of the person to require other persons to produce books under subsection 34(2) of the Act; and
(d) any limitation on that authority that is specified in the document under that subsection.

7 Summons to witnesses to appear before Commission

For subsection 58(1) of the Act, Form 3 is prescribed.

8 Allowances and expenses payable to examinees and witnesses

For subsections 89(1) and (2) of the Act, a person who appears:

(a) for examination under section 19 of the Act; or
(b) in accordance with a summons issued under section 58 of the Act;

is entitled to be paid allowances and expenses in accordance with Schedule 2.

8AAAA Delegation

For the purposes of paragraph 102(2)(c) of the Act, a person is prescribed in relation to a delegation of a function or power if the person is:

(a) a Registrar appointed under the *Commonwealth Registers Act 2020*; or

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(b) a person approved by a Registrar referred to in paragraph (a), and to whom that Registrar may delegate any of its other functions, as a Commonwealth body, under a law of the Commonwealth; or

(c) a Registrar appointed under the *Corporations Act 2001*; or

(d) a person approved by a Registrar referred to in paragraph (c), and to whom that Registrar may delegate any of its other functions, as a Commonwealth body, under a law of the Commonwealth; or

(e) a Registrar appointed under the *National Consumer Credit Protection Act 2009*; or

(f) a person approved by a Registrar referred to in paragraph (e), and to whom that Registrar may delegate any of its other functions, as a Commonwealth body, under a law of the Commonwealth.

8AA Prescribed professional disciplinary and other bodies

(1) For the purposes of subparagraph 127(4)(d)(i) of the Act, the following professional disciplinary bodies are prescribed:

(a) the Australian Restructuring Insolvency and Turnaround Association;

(b) CPA Australia;

(c) Chartered Accountants Australia and New Zealand;

(d) the Institute of Public Accountants;

(e) the New South Wales Bar Association;

(f) the Law Society of New South Wales;

(g) the Victorian Legal Services Commissioner;

(h) the Victorian Legal Services Board;

(i) the Bar Association of Queensland;

(j) the Queensland Law Society;

(k) the Legal Practice Board of Western Australia;

(l) the Law Society of South Australia;

(m) the Legal Profession Conduct Commissioner of South Australia;

(n) the Law Society of Tasmania;

(o) the Law Society of the Australian Capital Territory;

(p) the Law Society Northern Territory.

(2) For the purposes of subparagraph 127(4)(d)(ii) of the Act, the Australian Restructuring Insolvency and Turnaround Association is prescribed in relation to performing a disciplinary function in relation to a member of the Association.

8AB Commission may disclose confidential information to certain bodies corporate

The bodies corporate listed in Schedule 3 are specified for subsection 127(4C) of the Act.

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8AC Commission may disclose confidential information to specified bodies or entities

For the purposes of subsection 127(5A) of the Act, the disclosure of information to a body or entity specified in column 1 of an item of the following table is an authorised use and disclosure of the information. However, if a purpose is specified in column 2 of that item, only a disclosure for that purpose is an authorised use and disclosure.

Specified body or entity

Item	Column 1 Body or Entity	Column 2 Purpose
1	An entity that: (a) holds an office in, is employed in, or is performing services for, an agency or body in the Fraud Fusion Taskforce; and (b) performs duties relating to a purpose of the Fraud Fusion Taskforce	A purpose of the Fraud Fusion Taskforce

8AAA Annual reports

(1) For subsection 136(2A) of the Act, a report under subsection 136(1) of the Act for a financial year (the ***report year***) must include the following information:

(a) the number of times in the report year that ASIC used an information gathering power prescribed in subregulation (2) (a ***prescribed power***);

(b) for a particular use of a prescribed power in the report year—the provision of the Act, or another law, which conferred the prescribed power;

(c) the number of times in the financial year before the report year that ASIC used an information gathering power that was a prescribed power for this regulation at the time the power was used.

(2) For subsection 136(2A) of the Act, each information gathering power set out in a provision of an Act mentioned in the following table is prescribed.

Information gathering powers

Item	Provisions in which powers appear	General description of provision (for information only)
1	Subsection 12GY(2) of the Act	Powers relating to substantiation of a claim
2	Section 19 of the Act	Powers relating to requiring a person to attend for examination
3	Section 30 of the Act	Powers relating to the production of books
4	Section 30A of the Act	Powers relating to requesting information
4A	Section 30B of the Act	Powers relating to requesting information and books
5	Section 31 of the Act	Powers relating to the production of books

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Information gathering powers		
Item	**Provisions in which powers appear**	**General description of provision (for information only)**
6	Section 32A of the Act	Powers relating to the production of books
7	Section 33 of the Act	Powers relating to the production of books
8	Subsection 49(3) of the Act	Powers relating to requiring a person to give assistance
9	Section 58 of the Act	Powers relating to: (a) summonsing a witness; and (b) taking evidence
10	Section 601FF of the *Corporations Act 2001*	Powers relating to conducting surveillance on, or monitoring, a managed investment scheme
11	Section 601HD of the *Corporations Act 2001*	Powers relating to a request for information
12	Section 672A of the *Corporations Act 2001*	Powers relating to requiring the disclosure of interests
13	Section 672B of the *Corporations Act 2001*	Powers relating to requiring the disclosure of interests
14	Section 792D of the *Corporations Act 2001*	Powers relating to requiring a person to give assistance
15	Section 912C of the *Corporations Act 2001*	Powers relating to requiring a person to give assistance
16	Section 912E of the *Corporations Act 2001*	Powers relating to: (a) requiring a person to give assistance; and (b) requiring the disclosure of documents and information
16A	Section 1213P of the *Corporations Act 2001*	Powers relating to requiring a notified foreign passport fund to lodge a copy of the register of members
16B	Section 1226C of the *Corporations Act 2001*	Powers relating to a request for information
17	Section 1317R of the *Corporations Act 2001*	Powers relating to requiring a person to give assistance
18	Section 3E of the *Crimes Act 1914*	Powers relating to search warrants
19	Subsection 10(2) of the *Mutual Assistance in Business Regulation Act 1992*	Powers relating to: (a) requiring a person to give information; and (b) requiring a person to give documents; and (c) requiring a person to attend to give evidence and produce documents
20	Subsection 37(4) of the *National Consumer Credit Protection Act 2009*	Powers relating to requesting information
21	Subsection 49(1) of the *National Consumer Credit Protection Act 2009*	Powers relating to requesting information

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Regulation 11

Information gathering powers		
Item	**Provisions in which powers appear**	**General description of provision (for information only)**
22	Section 51 of the *National Consumer Credit Protection Act 2009*	Powers relating to requiring a person to give assistance
23	Section 253 of the *National Consumer Credit Protection Act 2009*	Powers relating to requiring a person to give assistance
24	Section 266 of the *National Consumer Credit Protection Act 2009*	Powers relating to the production of books
25	Section 267 of the *National Consumer Credit Protection Act 2009*	Powers relating to the production of books
26	Item 17 of Schedule 2 to the *National Consumer Credit Protection Act 2009*	Powers relating to requesting information

11 Summons to witnesses to appear before Disciplinary Board

If a person is summoned under subsection 217(1) of the Act, the summons must be in accordance with Form 3.

12 Allowances and expenses payable for attendance at hearings of Disciplinary Board

For subsection 218(4) of the Act, a person who attends at a hearing in accordance with a summons issued under subsection 217(1) of the Act is entitled to be paid allowances and expenses in accordance with Schedule 2.

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Part 2A—Deferred sales model exemptions

12A Definitions

In this Part:

add-on comprehensive motor vehicle or vessel insurance product has the meaning given by regulation 12C.

add-on compulsory third party motor vehicle insurance product has the meaning given by regulation 12D.

add-on home and contents insurance product has the meaning given by regulation 12E.

add-on home building insurance product has the meaning given by regulation 12F.

add-on landlord insurance product has the meaning given by regulation 12G.

add-on limited motor vehicle or vessel insurance product has the meaning given by regulation 12H.

add-on transport and delivery insurance product has the meaning given by regulation 12J.

add-on travel insurance product has the meaning given by regulation 12K.

building includes a caravan.

business-related add-on insurance product has the meaning given by regulation 12L.

designated contents means any of the following:

(a) furniture, furnishings and carpets (whether fixed or unfixed);
(b) household goods;
(c) clothing and other personal effects;
(d) pictures;
(e) works of art;
(f) furs;
(g) pieces of jewellery;
(h) gold or silver articles;
(i) documents of any kind;
(j) collections of any kind.

designated vehicle or vessel means:

(a) a motor vehicle; or
(b) a vessel within the meaning of the *Navigation Act 2012*.

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motor vehicle has the meaning given by subsection 12BA(1) of the Act.

superannuation-related add-on insurance product has the meaning given by regulation 12M.

12B Deferred sales model exemptions

(1) For the purposes of subsection 12DX(1) of the Act, the following classes of add-on insurance products are exempted from sections 12DQ, 12DR and 12DS of the Act:

(a) add-on comprehensive motor vehicle or vessel insurance products;
(b) add-on compulsory third party motor vehicle insurance products;
(c) add-on home and contents insurance products;
(d) add-on home building insurance products;
(e) add-on landlord insurance products;
(f) add-on limited motor vehicle or vessel insurance products;
(g) add-on transport and delivery insurance products;
(h) add-on travel insurance products;
(i) business-related add-on insurance products;
(j) superannuation-related add-on insurance products.

(2) This regulation does not apply to an add-on insurance product that relates to a principal product or service (within the meaning of section 12DO of the Act) if:

(a) a person enters into a commitment to acquire the principal product or service after the end of the period of 5 years beginning on the day this regulation commences; or
(b) a person acquires the principal product or service after the end of that period without previously having entered into such a commitment.

12C Meaning of *add-on comprehensive motor vehicle or vessel insurance product*

An ***add-on comprehensive motor vehicle or vessel insurance product*** is an add-on insurance product that provides insurance cover (whether or not the cover is restricted):

(a) to a consumer who:
(i) wholly or partly owns a designated vehicle or vessel; or
(ii) has the use of a designated vehicle or vessel under a lease of at least 4 months' duration; and
(b) in respect of all of the following (whether or not the product also provides insurance cover in respect of other matters):
(i) loss of, or damage to, the designated vehicle or vessel resulting from an accident;
(ii) loss of, or damage to, property of another person resulting from an accident in which the designated vehicle or vessel is involved;
(iii) loss of, or damage to, the designated vehicle or vessel caused by fire, theft or malicious acts;

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but does not include an add-on insurance product that is covered by section 12DW of the Act (about comprehensive motor vehicle insurance).

12D Meaning of *add-on compulsory third party motor vehicle insurance product*

An ***add-on compulsory third party motor vehicle insurance product*** is an add-on insurance product that provides insurance cover (whether or not the cover is restricted) in respect of the death of a person, or for the injury to a person, arising out of the use of a motor vehicle.

12E Meaning of *add-on home and contents insurance product*

(1) Subject to subregulation (3), an ***add-on home and contents insurance product*** is an add-on insurance product that provides insurance cover (whether or not the cover is restricted) in respect of the destruction of, or damage to:

(a) a building used, or intended to be used, principally and primarily as a place of residence (other than a building of a kind specified in subregulation (2)); and

(b) any of the following things on the site specified in the add-on insurance product as the site on which the building is situated (the ***relevant site***):

(i) out-buildings, fixtures or structural improvements used for purposes related to the use of the building;

(ii) fixed wall coverings, fixed ceiling coverings or fixed floor coverings (other than carpets);

(iii) services (whether underground or not) that are the property of a person insured under the add-on insurance product or that, under the add-on insurance product, the insured person is liable to repair or replace or pay the cost of repairing or replacing;

(iv) fences and gates wholly or partly on the relevant site; and

(c) the designated contents of the building and any out-building covered by subparagraph (b)(i).

(2) The following kinds of building are specified for the purposes of paragraph (1)(a):

(a) a hotel;

(b) a motel;

(c) a boarding house;

(d) a building that:

(i) is in the course of construction; and

(ii) is being constructed by a person insured, or to be insured, under the add-on insurance product in the course of a construction business;

(e) a temporary building or structure or a demountable or moveable structure.

(3) An add-on insurance product is not an add-on home and contents insurance product if the product is entered into, or proposed to be entered into, for the purposes of a law (including a law of a State or Territory) that relates to building or construction work.

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Regulation 12F

12F Meaning of *add-on home building insurance product*

(1) Subject to subregulation (3), an ***add-on home building insurance product*** is an add-on insurance product that provides insurance cover (whether or not the cover is restricted) in respect of the destruction of, or damage to:

(a) a building used, or intended to be used, principally and primarily as a place of residence (other than a building of a kind specified in subregulation (2)); and

(b) any of the following things on the site specified in the add-on insurance product as the site on which the building is situated (the ***relevant site***):

(i) out-buildings, fixtures or structural improvements used for purposes related to the use of the building;

(ii) fixed wall coverings, fixed ceiling coverings or fixed floor coverings (other than carpets);

(iii) services (whether underground or not) that are the property of a person insured under the add-on insurance product or that, under the add-on insurance product, the insured person is liable to repair or replace or pay the cost of repairing or replacing;

(iv) fences and gates wholly or partly on the relevant site.

(2) The following kinds of building are specified for the purposes of paragraph (1)(a):

(a) a hotel;

(b) a motel;

(c) a boarding house;

(d) a building that:

(i) is in the course of construction; and

(ii) is being constructed by a person insured, or to be insured, under the add-on insurance product in the course of a construction business;

(e) a temporary building or structure or a demountable or moveable structure.

(3) An add-on insurance product is not an add-on home building insurance product if the product is entered into, or proposed to be entered into, for the purposes of a law (including a law of a State or Territory) that relates to building or construction work.

12G Meaning of *add-on landlord insurance product*

An ***add-on landlord insurance product*** is an add-on insurance product that:

(a) provides insurance cover to the insured person (whether or not the cover is restricted) in respect of:

(i) loss of, or damage to, real property leased by the insured person to another person; or

(ii) financial loss, including loss of rental income, relating to a lease of real property by the insured person to another person; and

(b) is commonly regarded as landlord insurance.

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12H Meaning of *add-on limited motor vehicle or vessel insurance product*

An ***add-on limited motor vehicle or vessel insurance product*** is an add-on insurance product that provides insurance cover (whether or not the cover is restricted or the product also provides insurance cover in respect of other matters):

(a) to a consumer who:

(i) wholly or partly owns a designated vehicle or vessel; or

(ii) has the use of a designated vehicle or vessel under a lease of at least 4 months' duration; and

(b) in respect of either or both of the following:

(i) loss of, or damage to, property of another person resulting from an accident in which the designated vehicle or vessel is involved;

(ii) loss of, or damage to, the designated vehicle or vessel caused by fire or theft.

12J Meaning of *add-on transport and delivery insurance product*

An ***add-on transport and delivery insurance product*** is an add-on insurance product that provides insurance cover (whether or not the cover is restricted) in respect of the loss of, or damage to, any matter or thing in the course of:

(a) the transport or delivery of the matter or thing; and

(b) any storage of the matter or thing that is incidental to its transport or delivery.

12K Meaning of *add-on travel insurance product*

An ***add-on travel insurance product*** is an add-on insurance product that provides insurance cover (whether or not the cover is restricted) in respect of any of the following:

(a) transport or accommodation costs relating to a specified journey if the insured person does not start or complete the journey;

(b) loss or damage to personal belongings while the insured person is on a specified journey;

(c) a sickness or disease contracted, or injury sustained, by the insured person on a specified journey;

(d) loss, damage or compensation for an event affecting the insured person on a specified journey that ordinarily forms a part of insurance commonly regarded as travel insurance, including loss of cash or credit cards, legal liability, hijack, kidnap or ransom.

12L Meaning of *business-related add-on insurance product*

An add-on insurance product is a ***business-related add-on insurance product*** if:

(a) the add-on insurance product is offered or sold to a consumer in connection with the consumer acquiring, or entering into a commitment to acquire, another product or service in the course of carrying on a business; and

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(b) the price of the add-on insurance product exceeds $1,000.

12M Meaning of *superannuation-related add-on insurance product*

A ***superannuation-related add-on insurance product*** is an add-on insurance product that:

(a) is offered or sold to a consumer in connection with the consumer acquiring, or entering into a commitment to acquire, another product or service in a registrable superannuation entity; and

(b) provides insurance cover (whether or not the cover is restricted) in respect of one or more of the following:

(i) the consumer's death;

(ii) the consumer's total and permanent disability;

(iii) loss of income by the consumer.

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Part 2B—Financial Services and Credit Panels

12N Circumstances in which ASIC must convene a Financial Services and Credit Panel

(1) For the purposes of subsection 139(2) of the Act, ASIC must convene a Financial Services and Credit Panel to perform functions or exercise powers under the corporations legislation in relation to a relevant provider if:

(a) a circumstance specified in subregulation (2) applies in relation to the relevant provider; and

(b) ASIC has not exercised, and does not propose to exercise, any of its powers under the corporations legislation against the relevant provider in relation to the circumstance.

(2) The following circumstances are specified for the purposes of paragraph (1)(a):

(a) the relevant provider becomes an insolvent under administration and ASIC is aware of the insolvency;

(b) the relevant provider is convicted of fraud and ASIC is aware of the conviction;

(c) ASIC reasonably believes that the relevant provider is not a fit and proper person to provide personal advice to retail clients in relation to relevant financial products, having regard to:

(i) the matters specified in paragraphs 921U(a) to (k) of the Corporations Act (subject to Part VIIC of the *Crimes Act 1914*); and

(ii) any other matter ASIC considers relevant;

(d) ASIC reasonably believes that the relevant provider has contravened:

(i) subsection 921BA(1), (2) or (3) of the Corporations Act (relevant providers to meet education and training standards); or

(ii) subsection 921F(4) of the Corporations Act (about the provision of a Statement of Advice by a provisional relevant provider to a retail client); or

(iii) section 921Y of the Corporations Act (unregistered relevant providers not to provide personal advice);

(e) ASIC reasonably believes that:

(i) the relevant provider has contravened a financial services law (including a restricted civil penalty provision); and

(ii) the contravention is serious;

(f) both of the following apply:

(i) the relevant provider has been involved in the contravention of a financial services law (including a restricted civil penalty provision) by another person;

(ii) ASIC reasonably believes that the contravention is serious;

(g) subregulation (3) applies to the relevant provider.

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Note: Subsection 921E(3) of the Corporations Act (relevant providers to comply with the Code of Ethics) is a financial services law.

(3) This subregulation applies to the relevant provider if:

(a) the relevant provider has, at least twice, been linked to a refusal or failure to give effect to a determination made by AFCA relating to a complaint that relates to:

(i) a financial services business; or

(ii) credit activities (within the meaning of the *National Consumer Credit Protection Act 2009*); and

(b) ASIC reasonably believes that the refusal or failure:

(i) has resulted, or is likely to result, in material loss or damage to a client of the relevant provider; or

(ii) has resulted, or is likely to result, in a material benefit to the relevant provider; or

(iii) involves dishonesty or fraud.

Note: To work out whether a relevant provider has been linked as described in paragraph (a), see section 910C of the Corporations Act.

(4) A contravention is ***serious*** for the purposes of subparagraph (2)(e)(ii) or (f)(ii) if it:

(a) has resulted, or is likely to result, in material loss or damage to a client of the relevant provider; or

(b) has resulted, or is likely to result, in a material benefit to the relevant provider; or

(c) involves dishonesty or fraud.

12P Allowances and expenses payable for attendance at hearings of a Financial Services and Credit Panel

For the purposes of section 166 of the Act, a person who appears at a hearing of a Financial Services and Credit Panel in accordance with a summons issued under subsection 165(1) of the Act is entitled to be paid allowances and expenses in accordance with Schedule 2.

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Part 3—Takeovers Panel Procedures

Division 1—Preliminary

13 Objects of this Part

The objects of this Part are to ensure that Takeovers Panel proceedings are:

(a) as fair and reasonable; and

(b) conducted with as little formality; and

(c) conducted in as timely manner;

as the requirements of this Part and the corporations legislation (other than the excluded provisions), and a proper consideration of the matters before the Takeovers Panel, permit.

14 Application of this Part

This Part applies to Takeovers Panel proceedings in addition to the requirements of the corporations legislation (other than the excluded provisions) that applies to the proceedings.

15 Definitions for Part 3

In this Part:

application means an application under section 656A, 657C or 657EA of the *Corporations Act 2001*.

brief, in relation to Takeovers Panel proceedings, means the brief for the proceedings that is mentioned in paragraph 20(b).

business day, in relation to a place, means any day except:

(a) a Saturday or a Sunday; or

(b) a day that is a public holiday or an Australian Public Service holiday in that place.

party means a party to Takeovers Panel proceedings.

submission means a submission lodged with the Takeovers Panel under a provision of this Part.

16 Powers of Takeovers Panel

(1) In addition to any other provision of this Part, the Takeovers Panel may:

(a) direct that 2 or more related matters are to be considered in Takeovers Panel proceedings; and

(b) identify the issues to be considered by the Takeovers Panel in its proceedings; and

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(c) give directions to a person about:
  (i) the manner in which a matter may be presented, either orally or in writing, to the Takeovers Panel; and
  (ii) the duration of the time in which the person may address the Takeovers Panel or give evidence in Takeovers Panel proceedings; and
(d) give directions to parties to lodge with the Takeovers Panel specified documents relating to Takeovers Panel proceedings; and
(e) give directions to persons about the time at or before which documents must be lodged with the Takeovers Panel; and
(f) extend the time at or before which documents must be lodged with the Takeovers Panel; and
(g) invite a person who is not a party to make a submission in relation to Takeovers Panel proceedings; and
(h) permit a person to amend or withdraw information or evidence given to, or a document lodged with, the Takeovers Panel for the purposes of Takeovers Panel proceedings; and
(i) direct that Takeovers Panel proceedings be suspended for a period determined by the Takeovers Panel; and
(j) direct that Takeovers Panel proceedings be deferred until a day determined by the Takeovers Panel.

(2) In the performance of its functions and the exercise of its powers in relation to Takeovers Panel proceedings, the Takeovers Panel:
(a) is not bound by the rules of evidence; and
(b) must consider all relevant information contained in:
  (i) a submission that is lodged with the Takeovers Panel; and
  (ii) other evidence that is given to the Takeovers Panel; and
(c) must act:
  (i) as fairly and reasonably; and
  (ii) with as little formality; and
  (iii) having regard to the time available before the decision must be made, in as timely a manner;

as the requirements of this Part, and the corporations legislation (other than the excluded provisions), and a proper consideration of the matters before the Takeovers Panel permit.

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Division 2—Applications

18 Reference of matters to the Commission by the Takeovers Panel

(1) The Takeovers Panel may refer a matter to the Commission for the Commission to consider with a view to making an application.

(2) If the Takeovers Panel refers a matter to the Commission, the reference must be made:
  (a) in writing; and
  (b) in sufficient detail to allow the Commission to make a decision about the matter.

19 Making of applications

An application to the Takeovers Panel must be in the form approved by the Takeovers Panel.

20 Consideration of applications

As soon as practicable after receiving an application, the Takeovers Panel must:
  (a) decide whether to conduct proceedings in relation to the application; and
  (b) if the Takeovers Panel decides to conduct proceedings—prepare a brief setting out:
    (i) a general description of the matters to be examined in the Takeovers Panel proceedings; and
    (ii) the issues to be addressed in submissions for the proceedings.

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Division 3—Decisions to conduct proceedings

21 Notice of decision

(1) If the Takeovers Panel decides, under regulation 20, to conduct proceedings, the Takeovers Panel must, as soon as practicable after making the decision, notify the decision to:
  (a) the Commission; and
  (b) each company to which, or person to whom, the relevant application relates.

(2) If the Takeovers Panel decides, under regulation 20, not to conduct proceedings, the Takeovers Panel must, as soon as practicable after making the decision:
  (a) notify the decision to the Commission; and
  (b) notify the decision to each company and person to whom the relevant application relates.

22 Decision to hold inquiry

(1) If the Takeovers Panel decides to conduct proceedings, it must, after receiving the application:
  (a) give a copy of the brief for the proceedings to:
    (i) the Commission; and
    (ii) to each company to which, or person to whom, the application relates; and
  (b) invite each body or person mentioned in paragraph (a) to lodge with the Takeovers Panel a written submission addressing the issues identified in the brief.

(2) If the Takeovers Panel decides to conduct proceedings it may give written notice of the decision to any other body or person.

(3) The Takeovers Panel must:
  (a) give a copy of the brief to the body or person; and
  (b) invite the body or person to lodge with the Takeovers Panel a written submission addressing the issues identified in the brief that are specified in the invitation.

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Division 4—Submissions

23 Expressions of interest by non-parties

(1) The Takeovers Panel may give notice to a person, or to the public at large, of a decision by the Takeovers Panel to conduct proceedings.

(2) A notice must include a description of the nature of the proceedings.

(3) A notice may invite a person who is not a party to the proceedings to give, within a time allowed by the Takeovers Panel, a written expression of interest in the proceedings:

(a) stating the nature of the interest of the person in the proceedings; and

(b) setting out the reasons why the Takeovers Panel should consider a written submission of the person in relation to the proceedings.

(4) The Takeovers Panel may, by written notice to the person, vary the period mentioned in subregulation (3).

24 Takeovers Panel may accept submissions from persons expressing interest

(1) As soon as practicable after the Takeovers Panel receives the expression of interest of a person, the Takeovers Panel must acknowledge the receipt in writing.

(2) If the Takeovers Panel decides to consider the written submission of a person in the proceedings, the Takeovers Panel must give to the person a copy of the brief for the proceedings.

(3) The Takeovers Panel must invite the person to lodge with the Takeovers Panel a written submission addressing the issues identified in the brief.

(4) If the Takeovers Panel decides not to consider any written submission of the person in the proceedings, the Takeovers Panel must inform the person of the decision and of the reasons for the decision.

25 Submissions

A submission made by a person to proceedings of the Takeovers Panel must:

(a) be in the form approved by the Takeovers Panel; and

(b) if the Takeovers Panel has given to the person a copy of the brief and invited the person to comment on an issue identified in the brief, address that issue.

26 Disregard of certain submissions

(1) The Takeovers Panel may disregard any matter in a submission that:

(a) is not in accordance with regulation 25; or

(b) is frivolous or vexatious.

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(2) The Takeovers Panel must disregard any matter in a submission that is not relevant to the proceedings.

27 Abuse of Takeovers Panel procedures to be noted

If a matter in a written submission made to the Takeovers Panel is frivolous or vexatious, the Takeovers Panel must place on the submission a note stating:

(a) that the Takeovers Panel has disregarded the matter in accordance with paragraph 26(1)(b); and

(b) the reasons why the Takeovers Panel believes the matter to be frivolous or vexatious.

28 Lodgment and distribution of submissions

(1) A submission for Takeovers Panel proceedings must be lodged with the Takeovers Panel within the time allowed by the Takeovers Panel.

(2) As soon as practicable after the Takeovers Panel receives a submission, the Takeovers Panel must give a copy of the submission to each party.

(3) A party who receives a copy of a submission relating to an application (the ***first submission***) may lodge with the Takeovers Panel no more than 1 submission that:

(a) rebuts a matter, or matters, in the first submission; and

(b) does not include material that is not necessary to support the rebuttal.

(5) A submission lodged with the Takeovers Panel is taken not to include any additional material that is not lodged at the same time as the submission.

30 Takeovers Panel may invite further submissions

(1) At any time during Takeovers Panel proceedings, the Takeovers Panel may request a party to lodge with the Takeovers Panel a submission that addresses a matter specified in the request.

(2) The Takeovers Panel may give a copy of the submission to each party.

(3) The Takeovers Panel may direct a party who receives a copy of a submission (the ***first submission***) to lodge, at or before a time specified in writing by the Takeovers Panel, with the Takeovers Panel not more than 1 submission that:

(a) rebuts a matter, or matters, in the first submission; and

(b) does not include material that is not necessary to support the rebuttal.

34 Submissions that are not lodged in time

If a person does not lodge a document with the Takeovers Panel by the time of lodgment specified in this Part for the document, the Takeovers Panel may continue with the proceedings without regard to the document.

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Division 5—Conferences

35 Purpose of conferences

(1) The Takeovers Panel may conduct a conference during Takeovers Panel proceedings to:

(a) clarify matters arising from documents in the possession of the Takeovers Panel relating to the proceedings; or

(b) resolve inconsistent statements:

(i) in documents in the possession of the Takeovers Panel relating to the proceedings; or

(ii) made orally to the Takeovers Panel; or

(c) otherwise inform itself on matters relating to the proceedings.

(2) For the purposes of these Regulations, a conference is taken to be part of Takeovers Panel proceedings.

37 Conduct of conferences

(1) The President may convene a conference.

(2) The President:

(a) must determine the place where, and the time when, a conference is to convene; and

(b) must give written notice of that time and place to each party.

(3) The President may permit a member of the Takeovers Panel, a party to the proceedings or a person who may attend a conference to attend the conference by:

(a) telephone; or

(b) video conference; or

(c) any other means of communication approved by the President.

(4) A conference for which permission has been given under subregulation (3) may be held at 2 or more places at the same time.

(5) A person mentioned in subregulation (3) who attends a conference in accordance with a permission under that subregulation is taken to be present at the place where, and the time when, the conference is convened, as determined by the President for paragraph (2)(a).

38 Procedures at conferences

(1) As soon as practicable before a conference, the Takeovers Panel must give to a person who may attend the conference a statement setting out:

(a) the matters which the Takeovers Panel proposes to raise at the conference; and

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(b) any other matter of which the Takeovers Panel wishes the person to be aware for the purposes of the conference.

(2) At a conference with a person, the Takeovers Panel is not obliged to consider matters that are not set out in the statement given to the person before the conference.

(3) The Takeovers Panel may make and retain a transcript of the proceedings of a conference.

(4) If a person who may attend a conference does not attend:
(a) the Takeovers Panel may conduct the conference in the absence of the person; and
(b) the person may, before the day on which the conference begins, lodge with the Takeovers Panel any written submission that addresses the matters set out in the statement mentioned in subregulation (1); and
(c) the Takeovers Panel must consider the submission in the proceedings.

39 Addresses to the Takeovers Panel at conferences

(1) A person who attends a conference may address the Takeovers Panel.

(2) Subject to subregulation (3), the address of a person to the Takeovers Panel must only deal with matters set out in the statement given by the Takeovers Panel under subregulation 38(1) for the purposes of the conference.

(3) If the Takeovers Panel invites a person at a conference to address the Takeovers Panel on a matter, the person may address the Takeovers Panel on the matter at the conference.

40 Witnesses

(1) At a conference, a person must not ask a witness about a matter unless it is a matter on which the person may address the Takeovers Panel in accordance with regulation 39.

(2) A witness must not make a statement on a matter at a conference unless it is a matter on which the witness, or the person who called the witness to give evidence, may address the Takeovers Panel in accordance with regulation 39.

41 Misbehaviour at conferences

The Takeovers Panel may exclude from a conference a person whose behaviour has a disruptive effect on the conference.

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Division 6—Other matters

42 Summons to witnesses by the Takeovers Panel

For subsection 192(1) of the Act (which provides for the summons of a person by the Takeovers Panel), Form 3 is prescribed.

43 Allowances and expenses payable for attendances

For subsection 192(6) of the Act (which provides for allowances and expenses to be paid in relation to Takeovers Panel proceedings), a person who appears at Takeovers Panel proceedings in response to a summons issued under section 192 of the Act is entitled to be paid allowances and expenses in accordance with Schedule 2.

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Part 5—Clearing and settlement facilities

45 Meaning of *clearing and settlement facility*

For paragraph 12BAB(17)(b) of the Act, the following obligations are prescribed:

(a) each obligation arising from a contract to transfer a security;

(b) each obligation arising from a contract to transfer a managed investment product;

(ba) each obligation arising from a contract to transfer a foreign passport fund product;

(c) each obligation arising from acquiring or providing a financial product mentioned in paragraph 764A(1)(c) of the Corporations Act;

(d) each obligation arising from a contract to transfer a financial product mentioned in paragraph 764A(1)(j) of the Corporations Act;

(e) each obligation arising from a contract to transfer a financial product mentioned in paragraph 764A(1)(ba) of the Corporations Act;

(f) each obligation arising from a contract to transfer a carbon unit, an Australian carbon credit unit or an eligible international emissions unit.

46 Conduct that does not constitute operating a clearing and settlement facility

(2) For paragraph 12BAB(18)(i) of the Act, the conduct of:

(a) National Stock Exchange of Australia Limited, or an agent of that body; or

(b) a participant of the National Stock Exchange of Australia Limited, or an agent of the participant; or

(c) Bendigo Stock Exchange Limited, or an agent of that body; or

(d) a participant of the Bendigo Stock Exchange Limited, or an agent of the participant;

in operating a facility in accordance with the operating rules of a licensed market does not constitute operating a ***clearing and settlement facility*** if the requirements of subregulation (3) are met.

(3) For subregulation (2), the requirements are:

(a) the market licensee must have, and must be responsible for enforcing, operating rules that apply to a participant of the licensed market in relation to the participant's obligations arising from transactions carried out on the licensed market; and

(b) a participant mentioned in paragraph (a), or an agent of the participant, must be responsible for fulfilling the obligations owed to another participant or agent arising from transactions carried out on the licensed market; and

(c) the market licensee is not the operator of any other clearing and settlement facility; and

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(d) each participant of the licensed market is not the operator of any other clearing and settlement facility; and

(e) each agent of a participant of the licensed market is not the operator of any other clearing and settlement facility.

47 Financial transaction reports

For paragraph 243D(j) of the Act, neither subsection 16(5A) nor (5AA) of the *Financial Transaction Reports Act 1988* prohibits a cash dealer from communicating or disclosing a fact or information referred to in either of those subsections:

(a) to a body corporate approved under section 770 of the Corporations Act as an approved securities organisation; or

(b) in accordance with conditions imposed by the Minister when approving under section 770A of the Corporations Act a stock market for electronic trading of interests in a registered scheme; or

(c) in accordance with conditions imposed by the Minister when declaring a specified stock market to be an exempt stock market under section 771 of the Corporations Act; or

(d) in accordance with conditions imposed by the Minister when declaring a specified futures market to be an exempt futures market under section 1127 of the Corporations Act.

Note: Although sections 770, 770A, 771 and 1127 of the Corporations Act were repealed by the *Financial Services Reform Act 2001*, the sections are still relevant for specific purposes in the period of 2 years after the commencement of the Financial Services Reform Act.

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Part 6—Application and transitional provisions

Division 1—Application of amendments made by the Treasury Laws Amendment (Acquisition as Consumer—Financial Thresholds) Regulations 2020

48 Application—prescribed amount for acquiring financial services as a consumer

The amendment made by item 1 of Schedule 1 to the *Treasury Laws Amendment (Acquisition as Consumer—Financial Thresholds) Regulations 2020* applies in relation to financial services acquired on or after the commencement of those regulations.

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Division 2—Transitional matters relating to the Treasury Laws Amendment (Disclosure of Information to Fraud Fusion Taskforce) Regulations 2023

49 Disclosure of information to the Fraud Fusion Taskforce

Regulation 8AC, as inserted by Schedule 1 to the *Treasury Laws Amendment (Disclosure of Information to Fraud Fusion Taskforce) Regulations 2023*, applies in relation to disclosures of information made on or after the commencement of that Schedule (whether the information was obtained before, on or after that commencement).

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Schedule 1—Forms

(regulation 2)

Form 1—Notice requiring appearance at an examination or reasonable assistance in connection with an investigation

(regulation 4)

Australian Securities and Investment Commission Regulations 2001

Australian Securities and Investments Commission

NOTICE REQUIRING APPEARANCE AT AN EXAMINATION OR REASONABLE ASSISTANCE IN CONNECTION WITH AN INVESTIGATION

To: [1]

In relation to an investigation of [2]

you are notified that under subsection 19(2) of the *Australian Securities and Investments Commission Act 2001* ('the Act') you are required:

(a) to appear at [3] on

[4] at/using

[5] before [6]

for examination on oath or affirmation and to answer questions put to you in relation to the investigation; and

(b) to give the Australian Securities and Investments Commission all reasonable assistance in connection with the investigation.

Please note the provisions of subsection 23(1) of the Act (relating to legal representation) and section 68 of the Act (relating to self-incrimination). The effect of those provisions is set out at the end of this form.

Dated [4].

Signature of person authorised
by the Commission to conduct the
examination:

NOTICE OF RELEVANT STATUTORY PROVISIONS

1. Subsection 23(1) of the Act provides that a person who is required to submit to an examination is entitled to have his or her lawyer attend the examination. It also provides that the person's lawyer may address the inspector or ask the person questions about matters raised with the person by the inspector.
2. (1) You must not fail to comply with this notice without reasonable excuse (see subsection 63(1) of the Act).

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(2) It is not a reasonable excuse for failure to comply with this notice that giving information or signing a record or producing a book might tend to incriminate you or expose you to a penalty (see subsection 68(1) of the Act).

(3) However, if:

(a) before making an oral statement or signing a record in answer to this notice you claim that making the statement or signing the record might tend to incriminate you or expose you to a penalty; and

(b) making the statement or signing the record might in fact tend to incriminate you or expose you to a penalty;

the statement, or the fact that you have signed the record, is not admissible in evidence in any criminal proceedings, or proceedings for the imposition of a penalty, against you other than proceedings in respect of the falsity of the statement or the record.

(4) The right to make a claim of this kind is not available to a body corporate (see subsections 68(2) and (3) of the Act).

1 *insert full name and address of the person to whom the notice is to be given*

2 *insert the nature of the matter to which the investigation relates*

3 *insert time of day*

4 *insert date*

5 *insert full particulars of:*

(a) if the examination will be held at one or more physical venues—the address of the place at which the requirement is to be satisfied; and

(b) if the examination will be held using virtual enquiry technology—details of the virtual enquiry technology to be used

6 *insert full name of the person conducting the examination*

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Form 2—Notice requiring the production of books

(regulation 5)

Australian Securities and Investment Commission Regulations 2001

Australian Securities and Investments Commission

NOTICE REQUIRING THE PRODUCTION OF BOOKS

To: [1]

In relation to [2]

you are notified that, under section 30[3]/subsection 31(1)[3]/section 32A[3]/section 33[3] of the *Australian Securities and Investments Commission Act 2001* you are required to produce to [4] at [5]

on [6] at [7]

the following books:

[8]

Dated [6].

Signature of the person requiring
the production of books:

1 *insert full name and address of the person to whom the notice is to be given*

2 *insert the nature of the matter to which the request for production of books relates*

3 *strike out or delete if inapplicable*

4 *insert the full name of the person to whom the books are to be produced*

5 *insert time of day*

6 *insert date*

7 *insert full particulars of the address of the place at which the books are to be produced*

8 *insert description(s) of the books that are to be produced*

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Form 3—Summons to witness

(regulations 7, 11 and 42)

Australian Securities and Investment Commission Regulations 2001

Australian Securities and Investments Commission

SUMMONS TO WITNESS

In the matter of [1]

To: [2]

at [4]you are summoned to appear before the Australian Securities and Investments Commission[3]/Takeovers Panel[3]/Companies Auditors Disciplinary Board[3]

on [5]

at [6] and thereafter to attend from day to day until the hearing in this matter is completed or you are excused or released from further attendance by a member of the Commission[3]/ Panel[3]/Board[3].

[3]You are required to produce the following document(s) at the hearing: [7]

Dated [4].

Signature of person authorised by
the Commission[3]/Panel[3]/Board[3] to issue summons:

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1 *insert description of matter*

2 *insert full name and address of the person to be summoned to appear*

3 *strike out or delete if inapplicable*

4 *insert time of day*

5 *insert date*

6 *insert full particulars of the address of the place where the hearing is to be held*

7 *insert description(s) of the documents that are to be produced at the hearing*

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Schedule 2—Witnesses fees and allowances for expenses

(regulations 8, 12, 12P and 43)

1. A person summoned to appear as a witness, because of his or her professional, scientific or other special skill or knowledge, before the Commission, the Takeovers Panel, the Board or a Financial Services and Credit Panel must be paid:
   (a) if the person is remunerated in his or her occupation by wages, salary or fees—an amount equal to the amount of wages, salary or fees not paid to the person because of his or her attendance for that purpose; and
   (b) in any other case—an amount of not less than $81, or more than $407, for each day on which he or she so attends.

2. A person summoned to appear as a witness, other than a witness referred to in item 1, before the Commission, the Takeovers Panel, the Board or a Financial Services and Credit Panel must be paid:
   (a) if the person is remunerated in his or her occupation by wages, salary or fees—an amount equal to the amount of wages, salary or fees not paid to the person because of his or her attendance for that purpose; and
   (b) in any other case—an amount of not less than $46, or more than $76, for each day on which he or she so attends.

3. A person summoned to appear as a witness before the Commission, the Takeovers Panel, the Board or a Financial Services and Credit Panel must be paid a reasonable amount for allowances for:
   (a) transport between the usual place of residence of the person and the place that he or she attends for that purpose; and
   (b) if he or she is required to be absent overnight from his or her usual place of residence—meals and accommodation during the absence.

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Schedule 3—Bodies corporate to which information may be disclosed

(regulation 8AB)

Part 1—Australian bodies corporate

Item	Body Corporate
1	Asia Pacific Exchange Limited
2	ASX Clear (Futures) Pty Limited
3	ASX Clear Pty Limited
4	ASX Compliance Pty Limited
5	ASX Limited
6	ASX Operations Pty Ltd
7	ASX Settlement Pty Limited
8	Austraclear Ltd
9	Australian Securities Exchange Limited
10	BGC Partners (Australia) Pty Limited
11	Bloomberg Tradebook Australia Pty Ltd
12	Chi-X Australia Pty Ltd
13	ICAP Brokers Pty Limited
14	IMB Ltd
15	Mercari Pty Ltd
16	National Stock Exchange of Australia Limited
17	SIM Venture Securities Exchange Ltd
18	Yieldbroker Pty Limited

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Part 2—Foreign bodies corporate

Item	Body	Location
1	American Stock Exchange Inc (also known as 'AMEX')	United States of America
2	Amsterdam Exchanges NV (also known as 'AEX')	The Netherlands
3	Athens Stock Exchange	Greece
4	Austrian Futures and Options Exchange (also known as 'OTOB')	Austria
5	Belgium Futures and Options Exchange (also known as 'BELFOX')	Belgium
6	Bolsa de Barcelona	Spain
7	Bolsa de Comercio de Buenos Aires	Argentina
8	Bolsa de Comercio de Santiago	Chile
9	Bolsa de Derivados do Porto	Portugal
10	Bolsa de Madrid	Spain
11	Bolsa de Mercadorias & Futuros	Brazil
12	Bolsa de Valores de Lima	Peru
13	Bolsa de Valores de Lima e Porto	Portugal
14	Bolsa de Valores de Rio de Janeiro	Brazil
15	Bolsa de Valores do São Paolo (also known as 'BOVESPA')	Brazil
16	Bolsa Mexicana de Valores	Mexico
17	Bourse de Montréal	Canada
18	Brussels Exchange (also known as 'BXS')	Belgium
19	Canadian Venture Exchange (also known as 'CDNX')	Canada
20	Chicago Board of Trade (also known as 'CBOT')	United States of America
21	Chicago Board Options Exchange	United States of America
22	Chicago Mercantile Exchange Inc (also known as 'CME')	United States of America
23	Chicago Stock Exchange	United States of America
24	Coffee, Sugar and Cocoa Exchange Inc (also known as 'CSCE')	United States of America
25	Commodity Exchange Inc (also known as 'COMEX')	United States of America
26	Copenhagen Stock Exchange	Denmark
27	Deutsche Börse AG	Germany
27A	EBS Service Company Limited	Switzerland
27B	Eurex Frankfurt AG	Germany

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Item	Body	Location
28	Eurex Zurich AG	Germany and Switzerland
29	Financiele Termijnmarket Amsterdam NV	The Netherlands
29A	FX Alliance International, LLC	United States of America
30	Helsinki Exchanges (also known as 'HEX')	Finland
31	Hong Kong Futures Exchange Ltd (also known as 'HKFE')	Hong Kong
32	Irish Stock Exchange	Republic of Ireland
33	Istanbul Stock Exchange	Turkey
34	Italian Futures Exchange (also known as 'MIF')	Italy
35	Italian Stock Exchange	Italy
36	Jakarta Stock Exchange	Indonesia
37	Johannesburg Stock Exchange	South Africa
38	Kansas City Board of Trade	United States of America
39	Korea Stock Exchange	South Korea
40	Kuala Lumpur Commodity Exchange (also known as 'KLCE')	Malaysia
41	Kuala Lumpur Options and Financial Futures Exchange	Malaysia
42	Kuala Lumpur Stock Exchange	Malaysia
43	London International Financial Futures Exchange Ltd	United Kingdom
44	London Securities and Derivatives Exchange	United Kingdom
45	London Stock Exchange	United Kingdom
46	Marche a Terme International de France (also known as 'MATIF')	France
47	Marche des Options Negotiable de Paris (also known as 'MOTEP')	France
47A	Market Regulation Services Inc.	Canada
48	Mid American Commodity Exchange	United States of America
49	NASDAQ Stock Market (also known as 'NASDAQ')	United States of America
50	New York Futures Exchange	United States of America
50A	New York Mercantile Exchange Inc (also known as 'NYMEX')	United States of America
51	New York Stock Exchange Inc (also known as 'NYSE')	United States of America
52	New Zealand Futures & Options Exchange Ltd (also known as 'NZFOE')	New Zealand
53	New Zealand Stock Exchange	New Zealand
54	OM Stockholm Exchange AB (also known as 'OMS')	Sweden
55	Osaka Securities Exchange (also known as 'OSE')	Japan

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Item	Body	Location
56	Oslo Stock Exchange (also known as 'OLSO')	Norway
57	Paris Bourse SBF SA	France
58	Philippines Stock Exchange	The Philippines
59	Port Moresby Stock Exchange	Papua New Guinea
59A	Reuters Transaction Services Limited	United Kingdom
60	Shanghai Stock Exchange	Peoples' Republic of China
61	Shenzen Stock Exchange	Peoples' Republic of China
62	Singapore Exchange Ltd (also known as 'SGX')	Singapore
63	Société de la Bourse de Luxembourg SA	Luxembourg
64	South African Futures Exchange (also known as 'SAFEX')	South Africa
65	Spanish Financial Derivatives Exchange (also known as 'MEFF')	Spain
66	Suva Stock Exchange	Fiji
67	Swiss Exchange (also known as 'SWX')	Switzerland
68	Taiwan Stock Exchange	Taiwan
69	Tel Aviv Stock Exchange	Israel
69A	The London Metal Exchange Limited	United Kingdom
70	The Stock Exchange of Thailand	Thailand
71	Tokyo International Futures Exchange (also known as 'TIFFE')	Japan
72	Tokyo Stock Exchange (also known as 'TSE')	Japan
73	Toronto Futures Exchange (also known as 'TFE')	Canada
74	Toronto Stock Exchange (also known as 'TSE')	Canada
75	Warsaw Stock Exchange	Poland
76	Wiener Börse AG	Austria

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Endnotes

Endnote 1—About the endnotes

The endnotes provide information about this compilation and the compiled law.

The following endnotes are included in every compilation:

Endnote 1—About the endnotes
Endnote 2—Abbreviation key
Endnote 3—Legislation history
Endnote 4—Amendment history

Abbreviation key—Endnote 2
The abbreviation key sets out abbreviations that may be used in the endnotes.

Legislation history and amendment history—Endnotes 3 and 4
Amending laws are annotated in the legislation history and amendment history.

The legislation history in endnote 3 provides information about each law that has amended (or will amend) the compiled law. The information includes commencement details for amending laws and details of any application, saving or transitional provisions that are not included in this compilation.

The amendment history in endnote 4 provides information about amendments at the provision (generally section or equivalent) level. It also includes information about any provision of the compiled law that has been repealed in accordance with a provision of the law.

Editorial changes
The *Legislation Act 2003* authorises First Parliamentary Counsel to make editorial and presentational changes to a compiled law in preparing a compilation of the law for registration. The changes must not change the effect of the law. Editorial changes take effect from the compilation registration date.

If the compilation includes editorial changes, the endnotes include a brief outline of the changes in general terms. Full details of any changes can be obtained from the Office of Parliamentary Counsel.

Misdescribed amendments
A misdescribed amendment is an amendment that does not accurately describe how an amendment is to be made. If, despite the misdescription, the amendment can be given effect as intended, then the misdescribed amendment can be incorporated through an editorial change made under section 15V of the *Legislation Act 2003*.

If a misdescribed amendment cannot be given effect as intended, the amendment is not incorporated and "(md not incorp)" is added to the amendment history.

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Endnote 2—Abbreviation key

ad = added or inserted

am = amended

amdt = amendment

c = clause(s)

C[x] = Compilation No. x

Ch = Chapter(s)

def = definition(s)

Dict = Dictionary

disallowed = disallowed by Parliament

Div = Division(s)

ed = editorial change

exp = expires/expired or ceases/ceased to have effect

F = Federal Register of Legislation

gaz = gazette

LA = *Legislation Act 2003*

LIA = *Legislative Instruments Act 2003*

(md) = misdescribed amendment can be given effect

(md not incorp) = misdescribed amendment cannot be given effect

mod = modified/modification

No. = Number(s)

o = order(s)

Ord = Ordinance

orig = original

par = paragraph(s)/subparagraph(s) /sub-subparagraph(s)

pres = present

prev = previous

(prev…) = previously

Pt = Part(s)

r = regulation(s)/rule(s)

reloc = relocated

renum = renumbered

rep = repealed

rs = repealed and substituted

s = section(s)/subsection(s)

Sch = Schedule(s)

Sdiv = Subdivision(s)

SLI = Select Legislative Instrument

SR = Statutory Rules

Sub-Ch = Sub-Chapter(s)

SubPt = Subpart(s)

underlining = whole or part not commenced or to be commenced

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Endnote 3—Legislation history

Number and year	FRLI registration or gazettal	Commencement	Application, saving and transitional provisions
192, 2001	13 July 2001	15 July 2001 (gaz 2001, No S285)	
317, 2001	15 Oct 2001	11 Mar 2002 (r 2 and gaz 2001, No GN42)	—
39, 2002	7 Mar 2002	11 Mar 2002 (r 2)	—
124, 2002	14 June 2002	11 Mar 2002 (r 2)	—
107, 2003	4 June 2003	4 June 2003 (r 2)	—
102, 2004	28 May 2004	28 May 2004 (r 2)	—
210, 2004	9 July 2004	9 July 2004 (r 2)	—
397, 2004	23 Dec 2004	r 1–3 and Sch 1: 23 Dec 2004 (r 2) Remainder: 1 Jan 2005	—
101, 2006	10 May 2006 (F2006L01443)	11 May 2006 (r 2)	—
119, 2007	14 May 2007 (F2007L01269)	15 May 2007 (r 2)	—
321, 2007	28 Sept 2007 (F2007L03800)	29 Sept 2007 (r 2)	—
322, 2007	28 Sept 2007 (F2007L03845)	31 Dec 2007 (r 2)	—
86, 2010	6 May 2010 (F2010L01096)	6 May 2010 (r 2)	—
87, 2010	10 May 2010 (F2010L01197)	1 Jan 2011 (r 2)	—
183, 2010	30 June 2010 (F2010L01801)	28 June 2010 (r 2)	—
278, 2010	18 Nov 2010 (F2010L03015)	1 Jan 2011 (r 2)	—
331, 2010	10 Dec 2010 (F2010L03187)	13 Dec 2010 (r 2 and F2010L03188)	—
193, 2011	21 Oct 2011 (F2011L02103)	31 Oct 2011 (r 2)	—
69, 2012	11 May 2012 (F2012L01026)	12 May 2012 (s 2)	—
247, 2012	30 Oct 2012 (F2012L02102)	1 Nov 2012 (s 2)	—
25, 2013	1 Mar 2013 (F2013L00385)	1 Mar 2013 (s 2)	—
152, 2013	28 June 2013 (F2013L01264)	Sch 1 (items 1–4): 1 July 2013 (s 2)	—

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Endnote 3—Legislation history

Number and year	FRLI registration or gazettal	Commencement	Application, saving and transitional provisions
192, 2013	25 July 2013 (F2013L01431)	Sch 1 (items 1–5): 26 July 2013 (s 2)	—
33, 2014	14 Mar 2014 (F2014L00261)	Sch 1 (item 1) and Sch 3 (item 1): 15 Mar 2014 (s 2)	—
88, 2014	13 June 2014 (F2014L00711)	Sch 3 (items 1, 2): 14 June 2014 (s 2)	—
185, 2014	1 Dec 2014 (F2014L01612)	Sch 1 (item 1): 1 Dec 2014 (s 2 item 2)	—
92, 2015	18 June 2015 (F2015L00841)	Sch 1 (item 1): 19 June 2015 (s 2(1) item 1)	—
134, 2015	12 Aug 2015 (F2015L01262)	Sch 1 (item 1): 13 Aug 2015 (s 2(1) item 1)	—

Name	Registration	Commencement	Application, saving and transitional provisions
Treasury Laws Amendment (2016 Measures No. 1) Regulation 2016	26 Feb 2016 (F2016L00156)	Sch 2 (items 1–8): 27 Feb 2016 (s 2(1) item 1)	—
Corporations and Other Legislation Amendment (Insolvency Law Reform) Regulation 2016	13 Dec 2016 (F2016L01926)	Sch 1 (items 5–7): 1 Mar 2017 (s 2(1) item 2)	—
Treasury Laws Amendment (Professional Standards Schemes) Regulations 2017	24 May 2017 (F2017L00595)	Sch 1 (items 1–11): 25 May 2017 (s 2(1) item 1)	—
Treasury Laws Amendment (Professional Standards Schemes) Regulations 2018	9 Feb 2018 (F2018L00096)	Sch 1 (items 1–3): 10 Feb 2018 (s 2(1) item 1)	—
Corporations Amendment (Asia Region Funds Passport) Regulations 2018	20 Aug 2018 (F2018L01144)	Sch 2 (items 13, 14): 18 Sept 2018 (s 2(1) item 2)	—
Treasury Laws Amendment (Professional Standards Schemes No. 2) Regulations 2018	2 Oct 2018 (F2018L01393)	Sch 1 (items 1–6): 3 Oct 2018 (s 2(1) item 1)	—
Treasury Laws Amendment (Professional Standards Schemes) Regulations 2019	25 Mar 2019 (F2019L00368)	Sch 1 (items 1–7): 26 Mar 2019 (s 2(1) item 1)	—
Treasury Laws Amendment (Professional Standards Schemes No. 2) Regulations 2019	21 Oct 2019 (F2019L01351)	Sch 1 (items 1–11): 22 Oct 2019 (s 2(1) item 1)	—

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Endnote 3—Legislation history

Name	Registration	Commencement	Application, saving and transitional provisions
Australian Securities and Investments Commission Amendment (First Home Loan Deposit Scheme Guarantees) Regulations 2019	16 Dec 2019 (F2019L01625)	17 Dec 2019 (s 2(1) item 1)	—
Treasury Laws Amendment (Miscellaneous Amendments) Regulations 2019	17 Dec 2019 (F2019L01641)	Sch 1 (item 1): 18 Dec 2019 (s 2(1) item 2)	—
Treasury Laws Amendment (Professional Standards Schemes) Regulations 2020	12 June 2020 (F2020L00699)	Sch 1 (items 1–5): 1 July 2020 (s 2(1) item 1)	—
Treasury Laws Amendment (Acquisition as Consumer—Financial Thresholds) Regulations 2020	13 July 2020 (F2020L00907)	Sch 1 (items 1, 2): 1 July 2021 (s 2(1) item 1)	—
Australian Securities and Investments Commission Amendment (Delegation) Regulations 2021	1 Apr 2021 (F2021L00405)	2 Apr 2021 (s 2(1) item 1)	—
Treasury Laws Amendment (Professional Standards Schemes) Regulations 2021	30 Apr 2021 (F2021L00520)	Sch 1 (items 1, 2): 1 May 2021 (s 2(1) item 1)	—
Treasury Laws Amendment (Professional Standards Schemes No. 2) Regulations 2021	24 Aug 2021 (F2021L01186)	Sch 1 (items 1–4): 25 Aug 2021 (s 2(1) item 1)	—
Australian Securities and Investments Commission Amendment (Deferred Sales Model) Regulations 2021	17 Sept 2021 (F2021L01279)	5 Oct 2021 (s 2(1) item 1)	—
Financial Sector Reform Amendment (Hayne Royal Commission Response—Better Advice) Regulations 2021	20 Dec 2021 (F2021L01854)	Sch 1 (items 1–3): 1 Jan 2022 (s 2(1) item 1)	—
Treasury Laws Amendment (Professional Standards Schemes) Regulations 2022	21 Mar 2022 (F2022L00350)	Sch 1 (items 1–3): 22 Mar 2022 (s 2(1) item 2) Sch 1 (items 12, 13): 1 July 2022 (s 2(1) item 3)	—
Corporations and Other Legislation Amendment (Corporate Collective Investment Vehicle Framework) Regulations 2022	31 Mar 2022 (F2022L00469)	Sch 1 (item 1): 1 July 2022 (s 2(1) item 1)	—

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Endnote 3—Legislation history

Name	Registration	Commencement	Application, saving and transitional provisions
Treasury Laws Amendment (Professional Standards Schemes No. 2) Regulations 2022	24 June 2022 (F2022L00831)	Sch 1 (items 1–3): 1 July 2022 (s 2(1) item 1)	—
Treasury Laws Amendment (Modernising Business Communications and Other Measures) Regulations 2022	19 Dec 2022 (F2022L01689)	Sch 2 (item 1): 15 Sept 2023 (s 2(1) item 3)	—
Treasury Laws Amendment (Disclosure of Information to Fraud Fusion Taskforce) Regulations 2023	14 Apr 2023 (F2023L00436)	Sch 1 (items 1–4): 15 Apr 2023 (s 2(1) item 1)	—
Treasury Laws Amendment (Professional Standards Schemes) Regulations 2023	18 Oct 2023 (F2023L01394)	Sch 1 (item 1): 19 Oct 2023 (s 2(1) item 1)	—
Treasury Laws Amendment (ALRC Financial Services Interim Report) Regulations 2023	31 Oct 2023 (F2023L01458)	Sch 1 (items 1, 2, 88–111, 114–123): 1 Nov 2023 (s 2(1) item 1)	—
Treasury Laws Amendment (Miscellaneous and Technical Amendments) Regulations 2024	24 Apr 2024 (F2024L00473)	Sch 1 (item 1): 25 Apr 2024 (s 2(1) item 2)	—
Treasury Laws Amendment (Professional Standards Schemes) Regulations 2024	21 June 2024 (F2024L00725)	Sch 1 (items 1–3): 22 June 2024 (s 2(1) item 1)	—
Treasury Laws Amendment (Professional Standards Schemes No. 2) Regulations 2024	20 Aug 2024 (F2024L01009)	Sch 1 (item 1): 21 Aug 2024 (s 2(1) item 1)	—
Treasury Laws Amendment (Professional Standards Schemes No. 3) Regulations 2024	8 Nov 2024 (F2024L01411)	Sch 1 (item 1): 22 Nov 2024 (s 2(1) item 1)	—
Treasury Laws Amendment (Professional Standards Schemes) Regulations 2025	13 June 2025 (F2025L00677)	Sch 1 (items 1–4, 13, 14): 1 July 2025 (s 2(1) item 2) Sch 2 (item 1): 13 July 2025 (s 2(1) item 3)	—

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Endnote 4—Amendment history

Provision affected	How affected
Note about numbering	rep F2019L01641
Part 1	
r 1A	rep LA s 48D
r 2	am No 69, 2012; F2023L01458
r 2A	ad No 317, 2001
	am F2023L01458
r 2AC	ad No 210, 2004
	am No 152, 2013
r 2B	ad No 317, 2001
	am F2023L01458
r 2BA	ad No 87, 2010
	am F2023L01458
r 2BB	ad No 69, 2012
	(1) exp 1 July 2012 (r 2BB(2))
r 2BC	ad No 33, 2014
	am F2023L01458
r 2BD	ad F2019L01625
r 2C	ad No 107, 2003
	rs No 331, 2010
r 2D	ad No 86, 2010
r 2DA	ad F2020L00907
r 2E	ad No 278, 2010
r 2F	ad No 278, 2010
Part 2	
r 3A	ad No 101, 2006
	am No 247, 2012; No 25, 2013; No 33, 2014; No 88, 2014
	rs No 185, 2014
	am No 92, 2015; No 134, 2015; F2016L00156; F2017L00595; F2018L00096; F2018L01393; F2019L00368; F2019L01351; F2020L00699; F2021L00520; F2021L01186; F2022L00350; F2022L00831; F2023L01394; F2024L00725; F2024L01009; F2024L01411; F2025L00677
r 3B	ad F2021L01279
r 3	am No 317, 2001; No 69, 2012
r 5	am No 317, 2001
r 8AAAA	ad F2021L00405
r 8AA	ad No 322, 2007
	am No 152, 2013
	rs F2016L01926

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Endnote 4—Amendment history

Provision affected	How affected
r 8A	renum F2023L00436
r 8AB (prev r 8A)	
r 8AC	ad F2023L00436
r 8AAA	ad No 192, 2013
	am F2016L01926; F2018L01144; F2022L00469
r 8B	ad No 183, 2010
	rep F2024L00473
Part 2A	
Part 2A	ad F2021L01279
r 12A	ad F2021L01279
	am F2023L01458
r 12B	ad F2021L01279
r 12C	ad F2021L01279
r 12D	ad F2021L01279
r 12E	ad F2021L01279
r 12F	ad F2021L01279
r 12G	ad F2021L01279
r 12H	ad F2021L01279
r 12J	ad F2021L01279
r 12K	ad F2021L01279
r 12L	ad F2021L01279
r 12M	ad F2021L01279
Part 2B	
Part 2B	ad F2021L01854
r 12N	ad F2021L01854
	am F2023L01458
r 12P	ad F2021L01854
Part 3	
Part 3 heading	am F2023L01458
Division 1	
r 13	am F2023L01458
r 14	am F2023L01458
r 15	am No 317, 2001; F2023L01458
r 16	am F2023L01458
Division 2	
r 18	am F2023L01458
r 19	am F2023L01458
r 20	am F2023L01458
Division 3	
r 21	am No 192, 2013; F2023L01458

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Provision affected	How affected
r 22	am F2023L01458
Division 4	
r 23	am F2023L01458
r 24	am F2023L01458
r 25	am F2023L01458
r 26	am F2023L01458
r 27	am F2023L01458
r 28	am F2023L01458
r 30	am F2023L01458
r 34	am F2023L01458
Division 5	
r 35	am F2023L01458
r 37	am No 192, 2013; F2023L01458
r 38	am No 192, 2013; F2023L01458
r 39	am F2023L01458
r 40	am F2023L01458
r 41	am F2023L01458
Division 6	
r 42	am F2023L01458
r 43	am F2023L01458
Part 4	rep LA s 48C
r 44	rep LA s 48C
Part 5	
Part 5	ad No 317, 2001
r 45	ad No 317, 2001
	am No 69, 2012; F2018L01144; F2023L01458
r 46	ad No 317, 2001
	am No 124, 2002; No 321, 2007
r 47	ad No 317, 2001
Part 6	
Part 6	ad No 397, 2004
	rep No 152, 2013
	ad F2020L00907
Division 1	
r 48	ad No 397, 2004
	rep No 152, 2013
	ad F2020L00907
Division 2	
Division 2	ad F2023L00436
r 49	ad F2023L00436

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Endnote 4—Amendment history

Provision affected	How affected
Schedule 1	
Form 1	rs F2022L01689
Form 2	am No 317, 2001
Form 3	am No 317, 2001; F2016L01926
Form 4	ad No 397, 2004
	rep No 152, 2013
Schedule 2	
Schedule 2	am F2021L01854; F2023L01458
Schedule 3	
Schedule 3	am No 317, 2001; No 39, 2002; No 102, 2004; No 397, 2004; No 119, 2007; No 321, 2007; No 193, 2011; F2023L00436

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