

## Australian Financial Services Law Collection

Current through October 14, 2002

Financial convergence, the rise of conglomerates, the need for greater consistency of regulation across all financial services institutions, and the need for more efficient use of regulatory resources, fuel changes in the regulation of the financial services industry. The Australian Financial Services Law Collection addresses all of the essential compliance requirements that impact this industry. It also provides practitioners with a comprehensive range of regulatory and compliance materials across all sectors: banking, general insurance, life insurance, and superannuation.

### Database Description

### Identifier

#### CASES

##### **Australian Financial Services Cases**

##### **AU-FIN-CS**

The AU-FIN-CS database contains authorised case reports and unreported judgments relevant to the Financial Services practice area from the High Court of Australia and the Federal Court of Australia. A document is a decision, judgment, or order as reported by the court. High Court of Australia coverage begins with Volume One of the *Commonwealth Law Reports* with the first judgment dated 1903. Federal Court of Australia coverage begins in 1984. High Court Unreported judgments include all High Court of Australia cases decided since 1 July 2000 which have not been published in the *Commonwealth Law Reports*. Federal Court Unreported Judgments include all Federal Court of Australia cases decided since 1 January 2001 which have not been published in the *Federal Court Reports*.

#### LEGISLATION

##### **Commonwealth of Australia Financial Services Legislation**

##### **AU-FIN-LEG**

The AU-FIN-LEG database contains Commonwealth of Australia Acts and Regulations relevant to the Financial Services practice area. A document is a provision of an act or regulation, a schedule to an act or regulation, a list of defined terms or a table of renumbered sections.

#### ADMINISTRATION, REGULATION AND COMPLIANCE

##### **Australian Financial Services Administration, Regulation and Compliance Combined**

##### **AUFIN-ADMIN**

The AUFIN-ADMIN database contains combined materials issued by various Australian agencies relating the Financial Services law. Documents include Standards, Guidance Notes, Rules, Guidelines, Circulars, Determinations, and other select documents related to financial services.

##### **APRA Standards, Guidance Notes and Rules Combined**

##### **APRA-STDRULE**

The APRA-STDRULE database contains combined Standards, Guidance Notes, and Rule issued by the Australian Prudential Regulation Authority (APRA) and Life Insurance Actuarial Standards Board. This database includes material from the following databases: APRA-STD, APRA-GN, and APRA-RULES. A document is a single Standard, Guidance Note, or Rule.

##### **APRA Standards**

##### **APRA-STD**

The APRA-STD database contains prudential and actuarial Standards issued by the Australian Prudential Regulation Authority (APRA) and Life Insurance Actuarial Standards Board. These Standards outline the overall framework adopted by APRA for regulating financial institutions. A document is a single Standard. APRA Standards coverage begins in 1996.

##### **APRA Guidance Notes**

##### **APRA-GN**

The APRA-GN database contains Guidance Notes issued by the Australian Prudential Regulation Authority. The Guidance Notes form part of the prudential standards. A document is a Guidance Note. APRA Guidance Notes coverage begins in 2000.

##### **APRA Rules**

##### **APRA-RULES**

The APRA-RULES database contains Prudential Rules relating to Life Insurance and Friendly Societies. A document is a rule. APRA Prudential Rules coverage begins in 1995.

**APRA Announcements and Policy Combined****APRA-ANNPOL**

The APRA-ANNPOL database contains combined documents issued by the Australian Prudential Regulation Authority (APRA), including Circulars, Guidelines, and Practice Notes. This database includes material from the following databases: APRA-CIRC, APRA-GUIDE, and APRA-PN. A document is a Circular, Guideline, or Practice Note.

**APRA Circulars****APRA-CIRC**

The APRA-CIRC database contains Circulars issued by the Australian Prudential Regulation Authority (APRA) to provide general guidance on issues arising out of the legislation under which APRA regulates insurance companies and certain classes of superannuation entities. Circulars are not exhaustive in its coverage of rights or obligation under any law. A document is a single Circular. APRA Circulars coverage begins in 1992.

**APRA Guidelines****APRA-GUIDE**

The APRA-GUIDE database contains Guidelines that outline the minimum criteria that the Australian Prudential Regulation Authority need financial institutions to comply with. It also sets out the factors that APRA intends to use in exercising its powers. A document is a Guideline. APRA Guidelines coverage begins in 1998.

**APRA Practice Notes****APRA-PN**

The APRA-PN database contains Practice and Interpretative Notes preserved by the Australian Prudential Regulation Authority as guidance for certain institutions. A document is a Practice Note. APRA Practice and Interpretive Notes coverage begins in 1998.

**APRA Forms****APRA-FORMS**

The APRA-FORMS database contains Reporting Requirements, Forms and Explanatory Notes to assist financial institutions in lodging returns with the Australian Prudential Regulation Authority. Information to help companies complete their returns is available in the Explanatory Notes. A document is a form or a note instructing on how to fill a form. APRA Forms coverage begins in 1998.

**Australian Securities and Investments Commission (ASIC) Announcements and Policy Combined****ASIC-FINANNPOL**

The ASIC-FINANNPOL database contains combined documents released by the Australian Securities and Investments Commission (ASIC) that relate to Australian financial services. This database contains material from the following databases: ASIC-CO, ASIC-MO, ASIC-PS, ASIC-IS, ASIC-PN, ASIC-SUPERS, ASIC-PF, and ASIC-CIRC. Coverage varies by document type.

**Australian Securities and Investments Commission (ASIC) Class Orders****ASIC-CO**

The ASIC-CO database contains documents that provide exemptions or modification to corporations legislation for different individuals issued by the Australian Securities and Investments Commission (ASIC). A document is a Class Order. Class Orders coverage begins in 1991.

**Australian Securities and Investments Commission (ASIC) Ministerial Orders****ASIC-MO**

The ASIC-MO database contains orders made by the Minister under corporations legislation and issued by the Australian Securities and Investments Commission (ASIC). A document is a Ministerial Order. Ministerial orders coverage begins in 1998.

**Australian Securities and Investments Commission (ASIC) Policy Statements****ASIC-PS**

The ASIC-PS database contains documents that set forth Policy Statements issued by the Australian Securities and Investments Commission (ASIC). Policy Statements formally declare ASIC's policies for administering corporations legislation. Interim Policy Statements provide guidance until permanent policies are developed. A document is a current or interim Policy Statement. Policy Statement coverage begins in 1991.

**Australian Securities and Investments Commission (ASIC) Information Sheets****ASIC-IS**

The ASIC-IS database contains Information Sheets as issued by the Australian Securities and Investments Commission (ASIC). A document is a single Information Sheet. Information Sheets coverage begins in 1997.

**Australian Securities and Investments Commission (ASIC) Practice Notes****ASIC-PN**

The ASIC-PN database contains documents that provide guidance on reporting and compliance matters issued by the Australian Securities and Investments Commission (ASIC). A document is a current or interim Practice Note. Practice Notes coverage begins in 1991.

**Australian Securities and Investments Commission (ASIC) Superseded Materials****ASIC-SUPERS**

The ASIC-SUPERS database contains ASIC documents that have been superseded. A document is a superseded ASIC Class Order, Practice Note, Policy Statement, or Pro Forma. Superseded Class Orders coverage begins in 1996. Superseded Practice Notes coverage begins in 1996. Superseded Policy Statements coverage begins in 1996. Superseded Pro Forma coverage begins in 1996.

**Australian Securities and Investments Commission (ASIC) Pro Formas****ASIC-PF**

The ASIC-PF database includes approved instruments and notices for dealing with standard applications to ASIC for relief from the application of corporations legislation issued by the Australian Securities and Investments Commission (ASIC). A document is an instrument or notice. Pro Forma coverage begins in 1993.

**Australian Securities and Investments Commission (ASIC) Circulars****ASIC-CIRC**

The ASIC-CIRC database contains Circulars as issued by the Australian Securities Investment Commission (ASIC). A document is a single Circular. ASIC Circulars coverage begins in 1997.

**AUSTRAC Announcements and Policy Combined****AUSTRAC-ANNPOL**

The AUSTRAC-ANNPOL database contains combined Circulars and Guidelines issued by the Australian Transaction Reports and Analysis Centre (AUSTRAC). This database contains material from the following databases: AUSTRAC-CIRC and AUSTRAC-GUIDE.

**AUSTRAC Circulars****AUSTRAC-CIRC**

The AUSTRAC-CIRC database contains information Circulars released by the Australian Transaction Reports and Analysis Centre (AUSTRAC) that address issues of importance to cash dealers. A document is a Circular and coverage begins in 1989.

**AUSTRAC Guidelines****AUSTRAC-GUIDE**

The AUSTRAC-GUIDE database contains information related to aspects of the Financial Transactions Reports Act 1988 and covers all the reporting requirements for cash dealers. A document is a Guideline. AUSTRAC Guidelines coverage begins in 1989.

**AUSTRAC Forms****AUSTRAC-FORMS**

The AUSTRAC-FORMS database contains Forms that have to be completed by various parties when dealing with transactions, according to requirements specified in the Financial Transaction Reports Act 1988. A document is a Form. AUSTRAC Forms coverage begins in 1999.

**Treasury - Superannuation Working Group Papers****TREASURY-SWG**

The TREASURY-SWG database contains background and issues papers as well as draft recommendations issued by the Superannuation Working Group on options for improving the safety of superannuation funds in Australia. The Superannuation Working Group's recommendations to the Government included providing APRA with a prudential standards-making power, changes to the legislative framework, and financial assistance for failed superannuation funds. A document is a background paper, issues paper or draft recommendation. Coverage begins in 2001.

**Australian Financial Services Industry Rules and Determinations Combined****AUFIN-RULES**

The AUFIN-RULES database contains combined materials released by the Australian Financial Industry Complaints Service (FICS) including Rules and Determinations. This database contains materials from the FICS-RULES and FICS-DET databases.

**Financial Industry Complaints Service (FICS) Rules****FICS-RULES**

The FICS-RULES database contains information relating to the role of the Financial Industry Complaints Service (FICS) and procedures followed when dealing with customer complaints about members of the Australian financial services industry. A document contains all of FICS rules. FICS-RULES coverage begins in 2002.

**Financial Industry Complaints Service (FICS) Determinations and Adjudications****FICS-DET**

The FICS-DET database contains determinations and adjudications handed down by the Financial Industry Complaints Service (FICS) in relation to complaints about members of the Australian financial services industry including life insurance, superannuation, funds management, financial advice, investment advice and sales of financial or investment products. A document is a determination of the panel or adjudicator. FICS-DET coverage begins in 2001.

**CODES OF PRACTICE & STANDARDS****Australian Financial Services Codes of Practice and Standards Combined****AUFS-CODES**

The AUFS-CODES database contains combined codes of practice and standards issued by a number of industry associations and certain regulators. These codes have to be read in conjunction with the relevant acts. A document is a code or section of code.

**Australian Finance Industry Codes****AU-FINCODES**

The AU-FINCODES database contains industry codes of practice developed by a number of industry associations and the Australian Securities and Investments Commission (ASIC). ASIC is responsible for monitoring compliance from banks, credit unions and building societies with the industry's relevant codes and has the power to approve codes. A document is a code or section of a code.

## **Australian Financial Services Information Technology Codes**

The AU-FINITCODES database contains codes relating to the Internet and electronic transactions. A document is a code or section of a code.

**AU-FINITCODES**

## **POLICY AND REPORTS**

### **Australian Financial Services Policy and Reports Combined**

The AUFIN-POLRPTS database contains combined policy and reports documents that relate to the Australian Financial Services Industry. This database contains combined documents from the following databases: AU-FINPAPERS, AUSTRAC-POLRPTS, AUSTRAC-RPTS, and CTH-REVIEW.

**AUFIN-POLRPTS**

### **Australian Financial Services Regulatory Papers and Reports**

The AU-FINPAPERS database contains policy discussion papers, research papers, submission papers and reports developed by a number of regulators who regulate the activities of the financial services institutions including Australian Prudential Regulation Authority (APRA) and Australian Transaction Reports and Analysis Centre (AUSTRAC). A document is a policy discussion paper, research paper, submission paper or report. AU-FINPAPERS coverage begins in 1997.

**AU-FINPAPERS**

### **AUSTRAC Policy and Reports Combined**

The AUSTRAC-POLRPTS database contains combined reports, issues papers and submission papers issued by the Australian Transaction Reports and Analysis Centre (AUSTRAC), including some issued for the Commonwealth Legislation Review Program.

**AUSTRAC-POLRPTS**

### **AUSTRAC Reports**

The AUSTRAC-RPTS database contains reports and issues papers published by the Australian Transaction Reports and Analysis Centre (AUSTRAC). A document is a report or an issues paper. Reports or issues paper coverage begins in 1999.

**AUSTRAC-RPTS**

### **Commonwealth Legislation Review Program**

The CTH-REVIEW database contains information related to Australian Transaction Reports and Analysis Centre's (AUSTRAC) submission to the Commonwealth Legislation Review Program taskforce as part of the Government's comprehensive program of legislation review. The review was conducted for purposes of establishing if the Financial Transaction Reports Act 1988 and Financial Transaction Reports Regulations restricts competition, imposes costs, or confers benefits on business. A document is a submission paper. Coverage begins in 2000.

**CTH-REVIEW**

## **NEWS AND BUSINESS**

### **Australian Financial Services News and Media Releases Combined**

The AUFIN-NEWSMEDIA database contains combined Media Releases and Newsletters issued by a number of regulators including ASIC, APRA and AUSTRAC. This database contains combined documents from the following databases: ASIC-MEDIA, APRA-MEDIA and AU-FINNEWS.

**AUFIN-NEWSMEDIA**

### **Australian Securities and Investments Commission (ASIC) Media Releases**

The ASIC-MEDIA database contains Media Releases as issued by the Australian Securities and Investments Commission (ASIC). A document is a Media Release. ASIC Media Releases coverage begins in 1997.

**ASIC-MEDIA**

### **APRA Media Releases**

The APRA-MEDIA database contains Media Releases as issued by the Australian Prudential Regulation Authority (APRA). A document is a Media Release. APRA Media Releases coverage begins in 1999.

**APRA-MEDIA**

### **Australian Financial Services Newsletters and Bulletins**

The AU-FINNEWS database contains Newsletters issued by the Australian Transaction Reports and Analysis Centre (AUSTRAC). A document is a newsletter. AU-FINNEWS coverage begins in 1995.

**AU-FINNEWS**

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