

Senate Economics Legislation Committee

ANSWERS TO QUESTIONS ON NOTICE

Treasury Portfolio

Budget Estimates

2017 - 2018

Division/Agency: Australian Securities and Investment Commission

Question No: 112

Topic: Reports

Reference: Written

Senator: Ketter, Chris

Question:

Please provide a list of upcoming reports that ASIC is currently working on, scoping or proposing work on.

Answer:

Report type	Report title
Surveillance	Financial advice: Vertically integrated institutions and conflicts of interest
Surveillance	SMSFs: Improving the quality of advice given to investors and the investor experience
Research	Investors in initial public offerings [includes externally commissioned research report: Factors that influence retail and non-professional investors when considering whether to invest in an IPO]
Research	Australian Financial Attitudes and Behaviour Tracker: Wave 5, Key findings
Research	Building seniors' financial capability
Periodic	Overview of licensing and professional registration applications: January to June 2017
Periodic	ASIC regulation of corporate finance: January to June 2017
Periodic	ASIC enforcement outcomes: January to June 2017
Feedback report	Response to submissions on ASIC's Regulator Performance Framework evidence metrics
Feedback report	Response to submissions on REP 523 ASIC's Innovation Hub and our approach to regulatory technology