

## **Appendix 4**

### **List of tabled material and key additional information provided to the inquiry**

#### **Canberra, 24 June 2009**

Australian Securities and Investments Commission –

- Issues and Legal Context relevant to each Terms of Reference
- Sale and distribution of investment products to retail investors

#### **Melbourne, 26 August 2009**

Peter Worcester – Comparison of All Ordinaries Accumulation Index and Total Margin Loans (source ASX and RBA)

Australia and New Zealand Banking Group Limited – Mr Geoff Cohen

- Securities Lending Review
- Australia and New Zealand Banking Group Limited – Mr Graham Hodges
- ANZ Financial Planning

#### **Canberra, 16 September 2009**

Australian Securities and Investments Commission – Options for regulatory change to shift the balance in favour of retail investors

#### **Key additional information**

1. FPA briefing note re parliamentary inquiry
2. FPA Code of Ethics
3. FPA discussion paper on financial planners' remuneration (for FPA members)
4. Material provided by the Financial Ombudsman Service canvassing the possible development of a compensation scheme of last resort

