

Appendix 1

Additional information received by the Committee

Additional Information

1. Findings by the Commonwealth Ombudsman regarding the Australian Securities and Investments Commission's handling of a matter raised by Mr Sweeney.
2. Table of enforcement outcomes provided by the Australian Securities and Investments Commission (received 23 August 2018).

Tabled documents

1. Australian Securities and Investments Commission: Enforcement outcomes by financial year and as at 31 July 2018 (public hearing, Melbourne, 17 August 2018).
2. Australian Securities and Investments Commission: Review of ASIC's Enforcement Policies, Processes and Decision-Making Procedures (public hearing, Canberra, 19 October 2018).
3. Australian Securities and Investments Commission: Enforcement outcomes and Compensation and community benefit fund payments (public hearing, Canberra, 19 October 2018).

Answers to Questions on Notice

1. Australian Securities and Investments Commission: Answers to questions 3–5 posed on 23 August 2017 (received 12 January 2018).
2. Australian Securities and Investments Commission: Answers to questions 6–8 posed 23 August 2017 (received 9 January 2018).
3. Australian Securities and Investments Commission: Answers to questions 5, 8–9 taken on notice from public hearing 1 December 2017 (received 2 March 2018).
4. Takeovers Panel: Answers to questions taken on notice from a public hearing on 16 February 2018 (received 1 March 2018).
5. Australian Securities and Investments Commission: Answers to questions on notice posed 8 February 2018 (received 12 February 2018).
6. Australian Securities and Investments Commission: Answers to question 2 posed 19 February 2018 (received 29 March 2018).
7. Australian Accounting Standards Board & Auditing and Assurance Standards Board: Answers to questions on notice from a public hearing on 16 February 2018 (received 13 March 2018).
8. Australian Securities and Investments Commission: Answers to questions 1, 3 posed 19 February 2018 (received 4 April 2018).
9. Australian Securities and Investments Commission: Answers to questions on notice posed 15 December 2017 (received 26 March 2018).
10. Commonwealth Director of Public Prosecutions: Answers to questions on notice posed 23 May 2018 (received 3 July 2018).

11. Office of the Commonwealth Ombudsman: Answers to questions on notice posed 1 August 2018 (received 14 August 2018).
12. Australian Securities and Investments Commission: Answers to questions on notice posed 1 August 2018 (received 15 August 2018).
13. Professor A J Brown: Answers to questions posed 1 August 2018 (received 27 August 2018).
14. Department of the Treasury: Answers to questions posed 1 August 2018 (received 14 September 2018).
15. Australian Securities and Investments Commission: Answers to questions 1, 5–8 posed 22 August 2018 (received 24 September 2018).
16. Australian Securities and Investments Commission: Answers to questions 2–4, 9–10 posed 22 August 2018 (received 27 September 2018).
17. Australian Securities and Investments Commission: Answers to questions taken on notice from a public hearing on 17 August 2018 (received 27 September 2018).
18. Australian Securities and Investments Commission: Answers to questions taken on notice from a public hearing on 17 August 2018 (received 3 October 2018).
19. Australian Securities and Investments Commission: Answers to questions taken on notice from a public hearing on 17 August 2018 (received 8 October 2018).
20. Australian Securities and Investments Commission: Answers to questions taken on notice from a public hearing on 17 August 2018 (received 12 October 2018).
21. Commonwealth Director of Public Prosecutions: Answers to questions on notice posed 30 August 2018 (received 15 October 2018).
22. Australian Securities and Investments Commission: Answers to questions taken on notice from a public hearing on 17 August 2018 (received 29 October 2018).
23. Australian Securities and Investments Commission: Answers to questions taken on notice from a public hearing on 17 August 2018 (received 30 October 2018).
24. Australian Securities and Investments Commission: Answers to questions taken on notice from a public hearing on 19 October 2018 (received 30 October 2018).
25. Australian Securities and Investments Commission: Answers to questions taken on notice from a public hearing on 19 October 2018 (received 14 November 2018).
26. Australian Securities and Investments Commission: Answers to questions taken on notice from a public hearing on 19 October 2018 (received 20 November 2018).
27. Commonwealth Director of Public Prosecutions: Answers to questions taken on notice from a public hearing on 18 October 2018 (received 26 November 2018).
28. Australian Securities and Investments Commission: Answers to questions taken on notice from a public hearing on 19 October 2018 (received 19 December 2018).
29. Australian Securities and Investments Commission: Answers to questions taken on notice from a public hearing on 19 October 2018 (received 20 December 2018).
30. Law Council of Australia: Answers to questions posed 1 August 2018 (received 15 August 2018).
31. Australian Securities and Investments Commission: Answers to questions taken on notice from a public hearing on 19 October 2018 (received 27 November 2018).