

## APPENDIX 9

### TABLED DOCUMENTS/EXHIBITS

1. ASFA submission on Financial Services Reform Bill. May 2000 – tabled by Ms Philippa Smith, CEO, ASFA, 15 May 2000, Sydney.
2. Correspondence from Hesta Super Fund to Barry Terzic, AMWU, dated 12 May 2000 relating to Superannuation – Process Pack – tabled by Mr Barry Terzic, National Research Officer, AMWU, 15 May 2000, Sydney.
3. Extract from Workplace Relations Act 1996 – tabled by Mr Barry Terzic, National Research Officer, AMWU, 15 May 200, Sydney.
4. Correspondence to APRA, dated 20 August 1999 and correspondence from APRA, dated 9 September 1999 relating to monitoring gainful employment for members over age 65 – tabled by Ms Lynn Ralph, CEO, IFSA, 15 May 2000, Sydney.
5. Opening statement by Mr Les Hosking, Chief Executive Officer, Australian Centre for Global Finance and fact sheets about the Centre – tabled by Mr Les Hosking, CEO, Australian Centre for Global Finance, 16 May 2000, Sydney.
6. *AFMA 1999 Australian Financial Markets Report – Overview* – tabled by Mr Kenton Farrow, Chief Executive, Australian Financial Markets Association, 16 May 2000, Sydney.
7. *IBSA 1999 Annual Report* – tabled by Mr Robert Webster, Executive Director, International Banks and Securities Association of Australia, 16 May 2000, Sydney.
8. *'Disclosure Model'* – tabled by Ms Ann Byrne, Convenor, Industry Funds Forum, 15 June 2000, Melbourne.
9. The following documents, issued by the Queensland Department of Justice and Attorney-General were tabled by Mr Baker, Puzzle Financial Advice Pty Ltd, 16 June 2000, Brisbane:
  - Enduring Power of Attorney
  - Powers of Attorney Act 1998
  - Advance Health Directive
  - Statutory Health Attorney
  - Enduring Power of Attorney – long form.
10. *Law Employees Superannuation Fund (LESF), Annual Report to Members for the year ending 30 June 1999* – tabled by Ms Carmel Reading, 16 June 2000, Brisbane.

11. A document issued by the Hotel Motel & Accommodation Association of Queensland entitled ' Important notice to members – EPAS superannuation 28/9/98' – tabled by Mr Geoff Heaton, 16 June 2000, Brisbane.
12. Report prepared for ASIC by Phillips Fox Actuaries and Consultants, *Financial Products and Intermediary Remuneration*, 10 November 1999 – provided by ASIC in response to questions taken on notice at the public hearing in Melbourne on 9 June 2000.
13. A document entitled, 'An IOSCO Technical Committee Release: International Securities Regulators Issue New Economy Bulletin, Sydney Australia 19 May 2000', provided by ASIC in response to questions taken on notice at the public hearing on 9 June 2000.
14. Response by Ms Yvonne Bell, Hairdressers Association Superannuation Fund, to questions taken on notice at the public hearing in Brisbane on 16 June 2000, relating to names of trustees and the court involved.
15. A document entitled, 'National Bandwidth Inquiry – Report of the Australian Information Economy Advisory Council', provided by National Office of Information Economy in response to questions asked at the public hearing on 14 July 2000.
16. Four discussion papers, 'Establishing the Boundaries', 'Issuing the Permits', 'Crediting the Carbon' and 'Designing the Market', provided by the Australian Greenhouse Office in response to questions asked at the public hearing on 14 July 2000.
17. Final Report from the Centre for International Economics Canberra and Sydney, which was commissioned by the Australian Greenhouse Office, provided by the Australian Greenhouse Office in response to questions asked at the public hearing on 14 July 2000.
18. Australian Institute of Criminology brochure outlining the Institute's function, aims and programs, tabled by Dr Adam Graycar, Director, at the committee's public hearing on 1 September 2000.
19. Australian Institute of Criminology brochure No. 56 - *Superannuation Crime* - tabled by Dr Adam Graycar, Director, at the committee's public hearing on 1 September 2000.
20. Australian Institute of Criminology brochure No. 132 - *Fraud & Financial Abuse of Older Persons* - tabled by Dr Adam Graycar, Director, at the committee's public hearing on 1 September 2000.
21. Australian Institute of Criminology brochure No. 139 - *Substitute Decision Making and Older People* - tabled by Dr Adam Graycar, Director, at the committee's public hearing on 1 September 2000.
22. Chant Links & Associates, *1999 Superannuation Guarantee Audit Summary Report*, provided by the Australian Taxation Office and received as an exhibit to the inquiry on 3 October 2000.

23. Brochure entitled *Code of Ethics & Rules of Professional Conduct*, provided by the Financial Planning Association and received as an exhibit to the inquiry on 3 October 2000.
24. National Farmers' Federation publication *Reform*, Spring 2000, provided by Mr Richard Calver, NFF, during the public hearing on 16 October 2000.
25. Article entitled *Disclosure paper on the current commission disclosure issue in Australia*, provided by Mr John Hibberd, Association of Financial Advisers at the public hearing on 16 October 2000.
26. Policy/discussion paper entitled *Distribution Disclosure or Commission? Bias and Conflict of Interest Examined*, provided by Mr John Hibberd, Association of Financial Advisers at the public hearing on 16 October 2000.
27. *Australian Competition and Consumer Commission - Overview of consumer protection functions*, October 2000, tabled by Mr Allan Asher, ACCC, at the public hearing on 17 October 2000.
28. *Approval of external complaints resolution schemes*, tabled by the Australian Securities and Investments Commission at the public hearing on 17 October 2000.
29. *A User's Guide to ASIC*, tabled by the Australian Securities and Investments Commission at the public hearing on 17 October 2000.
30. *ASIC more than a corporate watchdog*, tabled by the Australian Securities and Investments Commission at the public hearing on 17 October 2000.
31. *Educating Financial Services Consumers*, discussion paper tabled by the Australian Securities and Investments Commission at the public hearing on 17 October 2000.
32. *Submission to the Review of the Code of Banking Practice*, tabled by the Australian Securities and Investments Commission at the public hearing on 17 October 2000.
33. *Submission to the Parliamentary Joint Committee on Corporations and Securities inquiry into fees on electronic and telephone banking*, tabled by the Australian Securities and Investments Commission at the public hearing on 17 October 2000.
34. Documents provided by the ACCC in response to questions taken on notice at the public hearing on 17 October 2000.
  - *Report to the Australian Senate on anti-competitive and other practices by health funds and providers in relation to private health insurance* for the period ending 30 June 2000;
  - *Debit and credit card schemes in Australia. A study of interchange fees and access*. Reserve Bank of Australia, Australian Competition and Consumer Commission, October 2000;
  - ACCC submissions – First, Second and Third - to the Financial System Inquiry (Wallis Inquiry) 1996 and 1997.

35. Extract from Hobart Council minutes of 4 February 1990 on Trust Account Inspections - tabled by Mr C E Clark on 15 June 2001 in Hobart.
36. Extract from Minutes of a Meeting of the Executive Committee held at Hobart on Monday, 28<sup>th</sup> May 1990 at 1.00 pm - tabled by Mr Jackson, Law Society of Tasmania, on 15 June 2001 in Hobart.
37. Memorandum from the Legal Ombudsman, Tasmania to Legal Profession Act Review at the Department of Justice and Industrial Relations, Hobart dated 1 September 2000 - tabled by Ms Judith Paxton, Legal Ombudsman on 15 June 2001 in Hobart.
38. Legal Ombudsman Annual Report for 1 January to 31 December 2000 and covering letter to the Hon P. J. Patmore, MHA, Attorney-General, Tasmania - tabled by Ms Judith Paxton, Legal Ombudsman on 15 June 2001 in Hobart.
39. Legal Ombudsman Annual Report for the year ended 31 December 1999 - tabled by Ms Judith Paxton, Legal Ombudsman on 15 June 2001 in Hobart.