



Corporations Legislation Amendment Regulations 2011 (No. 1)¹

Select Legislative Instrument 2011 No. 193

I, QUENTIN BRYCE, Governor-General of the Commonwealth of Australia, acting with the advice of the Federal Executive Council, make the following Regulations under the *Corporations Act 2001*, the *Australian Securities and Investments Commission Act 2001*, the *Life Insurance Act 1995* and the *Superannuation Industry (Supervision) Act 1993*.

Dated 19 October 2011

QUENTIN BRYCE
Governor-General

By Her Excellency's Command

BILL SHORTEN
Minister for Financial Services and Superannuation

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1 Name of Regulations

These Regulations are the *Corporations Legislation Amendment Regulations 2011 (No. 1)*.

2 Commencement

These Regulations commence on 31 October 2011.

3 Amendment of *Corporations Regulations 2001*

Schedule 1 amends the *Corporations Regulations 2001*.

4 Amendment of *Australian Securities and Investments Commission Regulations 2001*

Schedule 2 amends the *Australian Securities and Investments Commission Regulations 2001*.

5 Amendment of *Life Insurance Regulations 1995*

Schedule 3 amends the *Life Insurance Regulations 1995*.

6 Amendment of *Superannuation Industry (Supervision) Regulations 1994*

Schedule 4 amends the *Superannuation Industry (Supervision) Regulations 1994*.

Schedule 1 Amendments of *Corporations Regulations 2001*

(regulation 3)

[1] Regulation 1.0.02A

substitute

1.0.02A Prescribed financial market

For the definition of *prescribed financial market* in section 9 of the Act, the following financial markets are prescribed:

- (a) Asia Pacific Exchange Limited;
- (b) ASX Limited;
- (c) Chi-X Australia Pty Ltd;
- (d) National Stock Exchange of Australia Limited;
- (e) SIM Venture Securities Exchange Ltd.

[2] After regulation 5C.11.03

insert

5C.11.03A How to work out the value of an interest

If a registered scheme is quoted on 2 or more prescribed financial markets, paragraph 253F (a) of the Act is to be applied so that the value of an interest in the registered scheme is taken to be the last sale price, on the market on which the scheme is listed, on the trading day immediately before the day on which the poll is taken.

[3] Regulation 7.1.01

omit

[4] Subregulation 7.5.01 (1)

omit

(1) In this Part:

insert

In this Part:

[5] Subregulation 7.5.01 (1), definition of *reportable transaction*, subparagraph (a) (i)

after

require

insert

or permit

[6] Subregulation 7.5.01 (1), definition of *reportable transaction*, subparagraph (a) (ii)

after

require

insert

or permit

[7] Subregulation 7.5.01 (1), definition of *reportable transaction*, subparagraph (b) (ii)

after

required

insert

or permitted

[8] After subregulation 7.9.100 (7)*insert*

- (8) For subparagraph 1020AB (4) (b) (ii) of the Act, and in relation to the particulars other than the particulars mentioned in paragraph (1) (d), if the operator of the licensed market mentioned in subparagraph 1020AB (1) (a) (ii) of the Act (***operator 1***) appoints the operator of another licensed market (***operator 2***), in writing, as operator 1's agent for the purpose of receiving any of those particulars, operator 2 is the entity for those particulars.

[9] After subregulation 7.9.101 (3)*insert*

- (4) For paragraph 1020AC (3) (b) of the Act, and in relation to the particulars mentioned in paragraph 1020AC (3) (a) of the Act, if the operator of the licensed market mentioned in paragraph 1020AC (1) (a) of the Act (***operator 1***) appoints the operator of another licensed market (***operator 2***), in writing, as operator 1's agent for the purpose of receiving any of those, operator 2 is the entity for those particulars.

[10] **Part 10.14, heading**

substitute

Part 10.15 **Transitional provisions
relating to the *Corporations
Amendment (Financial Market
Supervision) Act 2010***

[11] **Regulation 10.14.01, heading**

substitute

10.15.01 Application of Part 10.15

[12] **Regulations 10.14.02 to 10.14.06**

renumber as regulations 10.15.02 to 10.15.06

**Schedule 2 Amendment of *Australian
Securities and Investments
Commission Regulations 2001***
(regulation 4)

[1] Schedule 3, Part 1
substitute

Part 1 Australian bodies corporate

Item	Body Corporate
1	Asia Pacific Exchange Limited
2	ASX Clear (Futures) Pty Limited
3	ASX Clear Pty Limited
4	ASX Compliance Pty Limited
5	ASX Limited
6	ASX Operations Pty Ltd
7	ASX Settlement Pty Limited
8	Austraclear Ltd
9	Australian Securities Exchange Limited
10	BGC Partners (Australia) Pty Limited
11	Bloomberg Tradebook Australia Pty Ltd
12	Chi-X Australia Pty Ltd
13	ICAP Brokers Pty Limited
14	IMB Ltd
15	Mercari Pty Ltd
16	National Stock Exchange of Australia Limited
17	SIM Venture Securities Exchange Ltd
18	Yieldbroker Pty Limited

Schedule 3 **Amendment of *Life Insurance Regulations 1995***

(regulation 5)

[1] **Schedule 7, items 1 to 6**

substitute

- 1 ASX Clear Pty Limited
- 2 ASX Limited
- 5 ASX Clear (Futures) Pty Limited
- 6 Australian Securities Exchange Limited

Schedule 4 Amendment of Superannuation Industry (Supervision) Regulations 1994

(regulation 6)

[1] Schedule 4, items 1 to 6

substitute

- 1 ASX Clear Pty Limited
- 2 ASX Limited
- 5 ASX Clear (Futures) Pty Limited
- 6 Australian Securities Exchange Limited

Note

1. All legislative instruments and compilations are registered on the Federal Register of Legislative Instruments kept under the *Legislative Instruments Act 2003*. See <http://www.frli.gov.au>.