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Our Reference: ENF2013/10718
Your Reference: No. 30

23 July 2013

Dear [REDACTED]

**Request Under the Freedom of Information Act 1982
For Access to Documents**

I refer to your request under the Freedom of Information Act 1982 (FOI Act) received by this office on 24 April 2013 in which you sought access to the documentation of:

1. *the "range of other unrelated complaints about Trio" that ASIC had before 2009;*
2. *records about other range of unrelated surveillance activities conducted by ASIC concerning Trio prior to 2009 and prior to its name change.*

I also refer to my letter of 27 November 2013.

I am the authorised decision-maker for the purposes of section 23 of the Act.

I have identified the documents which come within the terms of your request. These are listed in the Schedule to this letter.

Relevant Legislation

Section 37(1) and (2) of the FOI Act provides:

(1) A document is an exempt document if its disclosure under this Act would, or could reasonably be expected to:

(a) prejudice the conduct of an investigation of a breach, or possible breach, of the law, or a failure, or possible failure, to comply with

- a law relating to taxation or prejudice the enforcement or proper administration of the law in a particular instance;*
 - (b) disclose, or enable a person to ascertain, the existence or identity of a confidential source of information, or the non-existence of a confidential source of information, in relation to the enforcement or administration of the law; or*
 - (c) endanger the life or physical safety of any person.*
- (2) A document is an exempt document if its disclosure under this Act would, or could reasonably be expected to:*
- (a) prejudice the fair trial of a person or the impartial adjudication of a particular case;*
 - (b) disclose lawful methods or procedures for preventing, detecting, investigating, or dealing with matters arising out of, breaches or evasions of the law the disclosure of which would, or would be reasonably likely to, prejudice the effectiveness of those methods or procedures; or*
 - (c) prejudice the maintenance or enforcement of lawful methods for the protection of public safety.*

Section 47C of the FOI Act provides:

- (1) A document is conditionally exempt if its disclosure under this Act would disclose matter (**deliberative matter**) in the nature of, or relating to, opinion, advice or recommendation obtained, prepared or recorded, or consultation or deliberation that has taken place, in the course of, or for the purposes of, the deliberative processes involved in the functions of:*
- (a) an agency; or*
 - (b) a Minister; or*
 - (c) the Government of the Commonwealth; or*
 - (d) the Government of Norfolk Island.*
- (2) Deliberative matter does not include either of the following:*
- (a) operational information (see section 8A);*
 - (b) purely factual material.*
- (3) This section does not apply to any of the following:*
- (a) reports (including reports concerning the results of studies, surveys or tests) of scientific or technical experts, whether employed within an agency or not, including reports expressing the opinions of such experts on scientific or technical matters;*
 - (b) reports of a body or organisation, prescribed by the regulations, that is established within an agency;*
 - (c) the record of, or a formal statement of the reasons for, a final decision given in the exercise of a power or of an adjudicative function.*

Section 47E of the FOI Act provides:

A document is conditionally exempt if its disclosure under this Act would, or could reasonably be expected to, do any of the following:

- (a) prejudice the effectiveness of procedures or methods for the conduct of tests, examinations or audits by an agency;*
- (b) prejudice the attainment of the objects of particular tests, examinations or audits conducted or to be conducted by an agency;*
- (c) have a substantial adverse effect on the management or assessment of personnel by the Commonwealth, by Norfolk Island or by an agency;*
- (d) have a substantial adverse effect on the proper and efficient conduct of the operations of an agency.*

Section 47F of the FOI Act provides:

- (1) A document is conditionally exempt if its disclosure under this Act would involve the unreasonable disclosure of personal information about any person (including a deceased person).*
- (2) In determining whether the disclosure of the document would involve the unreasonable disclosure of personal information, an agency or Minister must have regard to the following matters:*
 - (a) the extent to which the information is well known;*
 - (b) whether the person to whom the information relates is known to be (or to have been) associated with the matters dealt with in the document;*
 - (c) the availability of the information from publicly accessible sources;*
 - and*
 - (d) any other matters that the agency or Minister considers relevant.*

Section 22

Section 22 of the FOI Act provides that where an agency or Minister decides not to grant access to a document on the grounds that it is an exempt document or that to grant access to a document would disclose information that would reasonably be regarded as irrelevant to the request: and, "it is possible for the agency....to make a copy of the document with such deletions that the copywould not be an exempt document: and ..would not disclose such information....and it is reasonably practical for the agency or Minister, having regard to the nature and extent of the work involved in deciding on and making those deletions and resources available for the work, to make such a copy...the agency or Minister shall, unless it is apparent from the request or as a result of consultation by the agency or Minister with the applicant, that the applicant would not wish to have access to such a copy, make and grant access to such a copy".

Decision

Item 1: Complaints

I advise that I have decided to release the documents marked "Release" on the attached Schedule.

I advise that I have decided not to release the documents marked "Exempt" in the attached Schedule, under your request, on the grounds that the documents are exempt from release for the following reasons:

Section 37(2)(b)

- Disclosure of the document under the FOI Act would, or could reasonably be expected to disclose lawful methodology and procedures for preventing, detecting, investigating or dealing with breaches of the law where disclosure of those methods would be reasonably likely to reduce their effectiveness.
- Complaints and reports of misconduct from the public are an important part of ASIC's intelligence gathering function. ASIC has developed standardised methodologies and procedures to assess reports of misconduct. Releasing documents that disclose these methodologies would reveal specific criteria and priorities used by ASIC to determine whether to take further action in particular instances. Public disclosure of such methodology or procedures could reasonably be expected to assist those engaged in regulatory breaches or misconduct to tailor their conduct to avoid detection by ASIC.
- Failure by ASIC to maintain the confidentiality of sensitive and confidential procedures pertaining to complaints and the internal processes addressing specified complaints could reasonably be expected to adversely impact upon the efficiency and efficacy of these processes and impede an important means by which ASIC gathers intelligence and identifies and addresses suspected misconduct.
- Given that complainants are assured of confidentiality in respect of their complaints made to ASIC, public disclosure of complaints could discourage complainants in the future from coming forward. ASIC's ability to guarantee confidentiality of complaints is essential for encouraging victims of scams and fraud to come forward.
- Complainants may be reluctant to provide sensitive personal information, including details of their personal financial affairs or make a complaint about close associate if they believed that there was any possibility that this information could be disclosed to the world at large.

Section 47C

- Release of the document would disclose sensitive information and communications arising in the course of the deliberative processes of ASIC.

- Such deliberative processes of ASIC are evident in the assessment that is made of complaints and the evaluation of the possible responses.
- Disclosure of such deliberations which have arisen in the course of the complaint assessment process would be likely to hinder the capacity of ASIC to critically and effectively address complaints.

Section 47E(d)

- Disclosure would or could reasonably be expected to have a substantial adverse effect on the proper and efficient conduct of the operation of the agency.
- Given the nature of the documentation the circumstances in which it has arisen confidentiality is essential to ensure the effectiveness of the complaints handling process.
- ASIC relies on this confidentially provided information from the public to assist it in identifying regulatory breaches and misconduct. If ASIC was unable to provide assurances to complainants about the confidentiality then this could restrict the flow of information. Fear of disclosure is reasonably likely to deter some complainants from coming forward.

Section 47F

- Disclosure would involve unreasonable disclosure of personal information and in the circumstances access to the document would on balance be contrary to the public interest.
- The personal information about the complainant and in some cases personal information about persons the subject of the complaint is contained in the complaint and documents concerning the complaint.

Public Interest

The FOI Act provides that access must be given to a conditionally exempt document unless in the circumstances access would on balance be contrary to the public interest.

The circumstances surrounding the collapse of Trio Capital Ltd (in liq) (Trio) have gained public attention. While I am aware of the public interest in the Trio matter, given all the circumstances and the nature of the documents subject to the conditional exemption I find that the public interest in the disclosure of the information sought in your request is outweighed by the public interest in maintaining the confidentiality of these documents for the reasons addressed above.

Item 2: Surveillance

I advise that I have decided to release the documents marked "Release" on the attached Schedule.

I advise that I have decided not to release the documents marked "Exempt" in the attached Schedule, under your request, on the grounds that the documents are exempt from release for the following reasons:

Section 37(2)(b)

- Disclosure under the FOI Act would, or could reasonably be expected to disclose lawful methods or procedures for preventing, detecting, investigating or dealing with breaches of the law where disclosure of those methods would be reasonably likely to reduce their effectiveness.
- Release of the documents would disclose confidential methodologies that ASIC uses as a critical part of its surveillance of Product Disclosure Statements. This methodology in effect sets both surveillance targets parameters and detailed aspects of surveillance. This assists in determining whether disclosure is inadequate and requires further action by ASIC. If such information was to be publicly available it would enable issuers take steps to avoid scrutiny by ASIC.

Section 47C

- Disclosure would disclose deliberations that has taken place, in the course of, or for the purposes of, the deliberative processes involved in the functions of ASIC.
- The deliberative processes in these instances include the use by ASIC officers of the surveillance methodology referred to above identify possible regulatory issues or misconduct.
- Disclosure of the document would disclose the discussions taking place between operational staff and decision makers when preparing for an administrative hearing. Such disclosure could discourage full and effective exchanges of views in future.

Section 47E(d)

- Disclosure could reasonably be expected to have a substantial adverse effect on the proper and efficient conduct of the operations of an agency.
- ASIC administrative hearing delegates are required by the relevant legislation to conduct hearings in private and consider confidential submissions address the concerns that ASIC may have. Disclosure of such confidential exchanges between a delegate and the respondent is likely to impede the conduct of the administrative hearing process in the future.

- Australian Financial Services License holders are under a statutory obligation to report breaches or likely breaches of certain provisions of the *Corporations Act 2001* to ASIC. Failure by ASIC to keep such reports confidential could discourage other licensees from reporting suspected breaches (as opposed to actual breaches) thereby depriving ASIC of an important intelligence source that it uses to monitor industry participants.

Public Interest

The FOI Act provides that access must be given to a conditionally exempt document unless in the circumstances access would on balance be contrary to the public interest. Section 47C and 47E(d) of the FOI Act are conditional exemptions.

The circumstances surrounding the collapse of Trio Capital Ltd (in liq) (Trio) have gained public attention. While I am aware of the public interest in the Trio matter, given all the circumstances and the nature of the documents subject to the conditional exemption I find that the public interest in the disclosure of the information sought in your request is outweighed by the public interest in maintaining the confidentiality of these document for the reasons addressed above.

Section 22

I have considered whether, pursuant to section 22 of the FOI Act, access should be granted to part of the aforementioned exempt documents. For the reasons above, explaining the basis of the exemptions applied in respect to the documents, I find that the documents are "exempt documents" as defined by the FOI Act. I further find that it would not be possible to make a copy of the documents with such deletions that the documents would not be exempt documents.

Review Rights

I provide you with the following information as required by section 26 of the FOI Act.

In the event that you are dissatisfied with the decision:

1. You may, within 30 days after the day on which you have been notified of this decision, apply in writing to ASIC for a review of my decision by another ASIC officer under section 54B of the FOI Act. This request should be addressed to me or to the Senior Manager, Administrative Law GPO Box 9827 SYDNEY or by email to foirequest@asic.gov.au
2. You may apply in writing to the Australian Information Commissioner for a review of my decision under section 54N of the FOI Act. Correspondence should be addressed to the Office of the Australian Information Commissioner at GPO Box 2999 Canberra ACT 2601 OR GPO Box 5218 Sydney NSW 2001.
3. You may lodge a complaint to the Australian Information Commissioner in respect to the conduct of ASIC in the handling of this request. Correspondence should be addressed to the Office of the Australian Information Commissioner -

GPO Box 2999 Canberra ACT 2601 OR GPO Box 5218 Sydney NSW 2001
Box 5218 Sydney NSW 2001.

Yours faithfully



Fiona Lourey

Senior Lawyer

(Authorised decision-maker under subsection 23(1) of the FOI Act)
for the Australian Securities and Investments Commission

Schedule of Documents: Item 1

No	Description of document	Date	No of Pages	Decision on access	Relevant section
1.	Letter to AISC Complaints	06/03/2003	1	Exempt	37(2)(b) 47E(d) 47F
2.	Acknowledgement letter to complainant	11/03/2003	1	Exempt	37(2)(b) 47E(d) 47F
3.	Assessment 6820/03	25/03/2003	4	Exempt	37(2)(b) 47C 47E(d) 47F
4.	ASIC letter responding to complainant	25/03/2003	2	Exempt	37(2)(b) 47C 47E(d)
5.	Activity Report 6820/03	25/03/2003	1	Exempt	37(2)(b) 47E(d) 47F
6.	Summary of action	25/03/2003	1	Exempt	37(2)(b) 47E(d) 47F
7.	RASS Score	25/03/2003	1	Exempt	47C 47E(d)
8.	Email from complainant	03/04/2003	2	Exempt	37(2)(b) 47E(d) 47F

9.	ASIC's response to letter to complainant	09/04/2003	1	Exempt	37(2)(b) 47E(d) 47F
10.	File Note	11/04/2003	1	Exempt	47C 47E(d)
11.	ASIC Internal Email	11/04/2003	3	Exempt	47C 47E(d)
12.	ASIC letter to complainant	15/04/2003	2	Exempt	37(2)(b) 47E(d) 47F
13.	Letter to ASIC Complaints	15/05/2003	1	Exempt	37(2)(b) 47E(d) 47F
14.	Letter to complainant	04/06/2003	2	Exempt	37(2)(b) 47E(d) 47F
15.	Activity Report 25696/03	25/03/2003	1	Exempt	37(2)(b) 47C 47E(d)
16.	Assessment 25696/03	25/03/2003	2	Exempt	47E(d)
17.	Unsigned ASIC – request for information	05/01/2004	2	Exempt	33(b) 47E(d)
18.	Letter requesting information	06/01/2004	2	Exempt	33(b) 47E(d)
19.	ASIC Internal Email	08/04/2004	3	Exempt	47C 47E(d)
20.	ASIC Internal Email	23/04/2004	2	Exempt	47C 47E(d)

21.	IRC Request IRCMEL\02348	17/05/2004		Exempt	37(2)(b) 47C 47E(d)
22.	Summary of action	20/05/2004	1	Exempt	37(2)(b) 47C 47E(d)
23.	Letter from other agency to complainant's solicitor	09/08/2005	2	Exempt	37(2)(b) 47F(1), (2)
24.	ASIC Assessment - Astarra Capital Limited, complaint	05/09/2005	2	Exempt	37(2)(b) 47E(d)
25.	Internal ASIC email chain	05/09/2005	2	Exempt	37(2)(b) 47E(d)
26.	ASIC – National Complaints Management Form	Undated	1	Exempt	47E(d)
27.	Internal ASIC email chain	05/09/2005	1	Exempt	37(2)(b) 47C 47E(d)
28.	Email between ASIC and other agency	14/02/2005	1	Exempt	37(2)(b) 47E(d)
29.	Activity 45934/04 – ASIC complaint	17/12/2004	1	Exempt	37(2)(b) 47C 47E(d)
30.	Letter from ASIC to complainant	01/02/2005	1	Exempt	37(2)(b) 47C 47E(d) 47F(1), (2)

31.	Assessment 45934/04	01/02/2005	4	Exempt	37(2)(b) 47C 47E(d) 47E(d)
32.	Internal ASIC email	28/01/2005	1	Exempt	37(2)(b) 47C 47E(d) 47E(d)
33.	ASIC File Note	14/01/2005	1	Exempt	37(2)(b) 47E(d) 47E(d)
34.	Project Profile – Complaints about financial planner	11/12/2005	2	Exempt	37(2)(b) 47C 47E(d) 47F
35.	Letter from ASIC to complainant	21/12/2005	1	Exempt	37(2)(b) 47E(d)
36.	ASIC – National Complaints Management Form	Undated	1	Exempt	47E(d)
37.	Letter of complaint from law firm to ASIC	15/12/2004	8	Exempt	37(2)(b) 47E(d) 47F(1) and (2)
38.	Email from complainant to ASIC Infoline	24/07/2008	1	Exempt	37(2)(b) 47E(d) 47F
39.	General complaint about Absolute Alpha, Wright Global Investments and Astarra.	02/09/2008	2	Exempt	47C 47E(d)

40.	Letter from ASIC to complainant	02/09/2008	2	Exempt	37(2)(b) 47E(d) 47F
41.	Assessment 29857/08	02/09/2008	3	Exempt	37(2)(b) 47C 47E(d)
42.	Internal ASIC Email	22/08/2008	1	Exempt	37(2)(b) 47C 47E(d)
43.	Product Disclosure Statement – Alpha Strategic Fund (PCS 2008/19085)	15/02/2006	42	Release	
44.	Absolute Alpha – Alpha Strategic Fund (PCS 2008/19085)	March 2006	11	Release	
45.	Website Print-offs from http://www.absolutealpha.com.au/ (PCS 2008/19085)	20/08/2008	11	Release	
46.	Magazine Advertising for Alpha Strategic Fund (PCS 2008/19085)	30/06/2008	2	Release	
47.	ASIC National Assessment & Action Complaint Form	24/07/2008	1	Exempt	37(2)(b) 47C 47F
48.	Infoline Referral – Astarra Capital Limited	22/09/2008	4	Exempt	47E(d)

Schedule of Documents: Item 2

No	Description of document	Date	No of Pages	Decision on access	Relevant section
1	Private Equity Fund – Supplementary PDS	22 /03/06		Release (in part)	47C
2	Email chain – ASIC staff Re: Complex Products	03/04/07 2:07PM		Exempt	37(2)(b) S 4E(d)
3	Surveillance Guidelines for advertising of PDS/ Financial Products			Exempt	37(2)(b) 47C 47E(d)
4	Filenote: Financial Services Surveillance – Targeted Astarra Capital Limited – Advertising Guidelines for PDS	17/04/07		Release	
5	Filenote: Financial Services Surveillance – Targeted Astarra Capital Limited – Private Equity Performance Monitor,	12/04/07		Release	
6	Surveillance guidelines for PDS			Exempt	37(2)(b) 47C S47E(d)
7	Email chain - ASIC Staff Re: Astarra	15/05/07 2.34PM		Release	
8	Email chain – ASIC Staff Re: Astarra Statement of Concerns	30/04/07 10.08AM		Exempt	37(2)(b) 47C 47E(d)
9	Astarra Capital Limited – PDS - Statement of Concerns			Exempt	37(2)(b) 47C 47E(d)
10	Email chain – ASIC Staff Re: Astarra Statement of Concerns	15/05/07 2.35PM		Exempt	37(2)(b) 47C 47E(d)

11	Email chain – ASIC Staff Re: Complex Products – New Products and Non-Mainstream	15/05/07 2.43 PM		Exempt	37(2)(b) 47E(d)
12	Email chain –ASIC Staff Re: Delegate please for Astarra Capital Ltd	16/05/07 2.10PM		Release	
13	Astarra Capital Ltd – PDS Statement of Concerns			Exempt	37(2)(b) 47C 47E(d)
14	Email – ASIC Staff Re: Astarra Capital Ltd – Statement of Concerns	23/05/07 3.09PM		Release	
15	Email – ASIC Staff Re: Astarra	25/05/07 04.16PM		Exempt	37(2)(b) 47C 47E(d)
16	Astarra Capital Ltd – PDS Statement of Concerns			Exempt	37(2)(b) 47C 47E(d)
17	Email: ASIC Staff Re: Astarra Capital Ltd - SOC	29/05/07 4.49PM		Release	
18	Email – ASIC Staff Astarra – information for delegate	01/06/07 11.10AM		Exempt	37(2)(b) 47C 47E(d)
19	Astarra Capital Ltd – PDS Statement of Concerns			Exempt	37(2)(b) 47C 47E(d)
20	Email chain – ASIC Staff Re: Delegate – Astarra Capital Ltd	04/06/07 9.59 AM		Exempt	37(2)(b) 47C 47E(d)
21	Email chain – ASIC Staff Re: Astarra Statement of Concerns	01/06/07 9.20 AM		Release	
22	Astarra Capital Ltd – PDS Statement of Concerns -	05/06/07		Exempt	37(2)(b) 47C

					47E(d)
23	Email chain – ASIC Staff Re: Delegate – Astarra Capital Ltd	05/06/07 11.18 AM		Exempt	37(2)(b) 47C
24	Email chain – ASIC Staff Re: Astarra – information for delegate	05/06/07 11.19 AM		Exempt	47E(d) 37(2)(b) 47C
25	Email chain – ASIC Staff Re: Delegate – Astarra Capital Ltd	06/06/07 12.30 PM		Exempt	47E(d) 37(2)(b) 47C
26	Email chain – ASIC Staff Re: Delegate – Astarra Capital Ltd	07/06/07 9.22 AM		Exempt	47E(d) 37(2)(b) 47C
27	Astarra Capital Ltd – PDS Statement of Concerns			Exempt	S47E(d) 37(2)(b) 47C
28	Email chain – ASIC Staff Re: Delegate – Astarra Capital Ltd	07/06/07 9.22 AM		Exempt	47E(d) 37(2)(b) 47C
29	Email chain – ASIC Staff Re: Delegate – Astarra Capital Ltd	07/06/07 1.25 PM		Exempt	47E(d) 37(2)(b) 47C
30	Astarra Capital Ltd – PDS Statement of Concerns			Exempt	47E(d) 37(2)(b) 47C
31	Email chain – ASIC Staff Re: Delegate – Astarra Capital Ltd	08/06/07 11.53 AM		Exempt	47E(d) 37(2)(b) 47C
32	Letter to Directors, Astarra Capital Ltd Re: PDS dated 27 April 05 for Private Equity	08/06/07		Release	47E(d)

	Fund and Supplementary PDS of 22 March 2006 – Notice of hearing				
33	Email – ASIC Staff Re:– information sheet & Hearing letter	08/06/07 12.42 PM		Release	
34	Letter – to Directors, Astarra Capital Ltd Re: PDS & Supplementary with mark-ups	08/06/07		Exempt	37(2)(b) 47C 47E(d)
35	Astarra Capital Ltd – PDS Statement of Concerns			Exempt	37(2)(b) 47C 47E(d)
36	Email – ASIC Staff Re: private Equity – further changes to AOC	08/06/07 2.24 PM		Exempt	47C 47E(d)
37	Email – ASIC Staff Re: Private Equity – re progress report	08/06/07 3.32 PM		Release	
38	Astarra Capital Ltd – PDS Statement of Concerns			Exempt	37(2)(b) 47C 47E(d)
39	Letter – to Directors, Astarra Capital Ltd Re: PDS for Private Equity Fund – Notice of Hearing	08/06/07		Release	
40	Filenote: by ASIC Staff Member	13/06/07		Exempt	47C 47E(d)
41	Email chain – ASIC Staff	14/06/07 7.24 AM		Exempt	47C 47E(d)
42	Letter from Mr Rex Phillpott, Astarra Capital Ltd, to ASIC Re: PDS for Private Equity Fund – Notice of Hearing	14/06/07		Exempt	47C 47E(d)
43	Email – from Rex Phillpott, Astarra Capital Ltd to Anne Phelan Re: Response from Board meeting	14/06/07 3.15 PM		Release	
44	Email chain – ASIC Staff Re: Notice of Hearing – Astarra Capital Ltd	15/06/07 7.33 AM		Exempt	47C 47E(d)
45	Filenote: by ASIC Staff	15/06/07		Exempt	47C

					47E(d)
46	Email – from Astarra Director to ASIC Staff Re: Private Equity Fund PDS – Final pdf	19/06/07 2.24 PM		Release	
47	Email chain – ASIC Staff to Astarra Director Re: PFS – final pdf – acknowledging receipt	19/06/07 2.55 PM		Release	
48	Email chain – ASIC Staff Re: final draft of PDS	19/06/07 2.57 PM		Release	
49	Email chain – ASIC Staff Re: – Notice of Hearing	21/06/07 3.10 PM		Release	
50	Comments on Astarra Capital Ltd – final draft PDS dated 27 June 2007			Exempt	37(2)(b) 47C 47E(d)
51	Email – ASIC Staff Re: Enclosing comments on final draft PDS	22/06/07 12.06 PM		Exempt	47C
52	Marked up comments by ASIC Delegate on Astarra Final Draft PDS dated 27 June 2007			Exempt	37(2)(b) S47C 47E(d)
53	Filenote by ASIC Staff Re: Telephone conversation with Astarra Capital director on 21 and 22 June 2007	21 & 22/06/07 1.21 PM		Exempt	37(2)(b) 47C 47E(d)
54	ASIC Hearing – Astarra Capital Ltd – Private Equity Fund PDS dated 27 April 2005 and Supplementary PDS dated 22 March 2006	25/06/07 11.00 AM		Exempt	37(2)(b) 47C 47E(d)
55	ASIC Final Order to Astarra Capital Ltd signed by Delegate	25/06/07		Release	
56	ASIC Letter to directors of Astarra Capital Ltd – final order made in respect of PDS.	25/06/07		Release	
57	Email: ASIC Staff Enclosing final order and other documentation.	25/06/07		Release	
58	Summary of outcome of delegate hearing into PDS	25/6/07		Exempt	37(2)(b) 47C 47E(d)

59	Surveillance Plan and Report	Undated		Release	
60	Surveillance Report	11/05/07		Release	
61	AFSL Surveillance – ASTARRA CAPITAL LIMITED	12/11/2004	1	Exempt	37(2)(b) 47E(d)
62	ASIC Notice to Produce issued to ASTARRA	18/11/2004	8	Exempt	37(2)(b) 47E(d)
63	Key audit issues relating to s601HG(3)(c)	15/09/2004	1	Release	
64	Key audit issues relating to s601HG(3)(c)	29/09/2004	1	Release	
65	ASIC Receipt of Books and Records	16/02/2005	1	Release	
66	ASIC Notice to Produce issued to KPMG	07/02/2005	4	Exempt	37(2)(b) 47E(d)
67	Unsigned Form 2 Notice	07/02/2005	1	Exempt	37(2)(b) 47E(d)
68	ASIC Review letter – Matters relating to Compliance Plan Audit to Astarra	10/03/2005	2	Exempt	37(2)(b) 47E(d)
69	ASIC Review letter – matters relating to Compliance Plan Audit to Auditor	10/03/2005		Exempt	37(2)(b) 47E(d)
70	ASTARRA Liscensee Surveillance Plan	12/05/2005	6	Exempt	37(2)(b) 47E(d)
71	ASTARRA Licensee Interim Surveillance Report	12/05/2005	2	Exempt	37(2)(b) 47E(d)
72	ASTARRA Licensee Surveillance Report	12/05/2005	2	Exempt	37(2)(b) 47E(d)
73	Surveillance Guidelines – Key Risk Area 3 Compliance Draft	1/06/202	5	Exempt	37(2)(b) 47E(d)
74	ASTARRA Key Risk Area Template	12/05/2005	1	Exempt	37(2)(b) 47E(d)
75	ASTARRA File Note	02/08/2007	1	Release	
76	ASTARRA No Action Record	10/03/2005	1	Release	
77	ASTARRA Document Summary	10/03/2005	1	Release	

78	ASTARRA Summary of Action	02/08/2007	1	Release	
79	ASTARRA Information Sheet	29/03/2006	1	Release	
80	ASTARRA initial review document for Super PDSs and SPDs	Undated	4	Exempt	37(2)(b) 47C 47E(d)
81	ASTARRA Document Summary	31/03/2006	1	Release	
82	Surveillance Guidelines for Super PDS Project	Undated	14	Exempt	37(2)(b) 47C 47E(d)
83	ASTARRA Summary of Action	08/05/2008	1	Release	
84	ASTARRA Summary of Action	08/05/2008	1	Release	
85	ASTARRA Summary of Action	08/05/2008	1	Release	
86	ASTARRA Imported email – ASTARRA Capital PDS Review	07/04/2006	1	Exempt	47C 47E(d)
87	Unsigned ASIC letter of concern to ASTARRA Attaching: Areas of Concern document	06/04/2006	2	Exempt	37(2)(b) 47C 47E(d)
88	Areas of Concern Attachment	06/04/2006	2	Exempt	37(2)(b) 47C 47E(d)
89	ASTARRA Imported email – ASTARRA Capital PDS Review	18/04/2006	1	Release	
90	ASTARRA Imported email – ASTARRA Capital PDS Review	18/04/2006	2	Exempt	47C 47E(d)
91	ASTARRA Imported email – ASTARRA PDS	20/04/2006	1	Exempt	47C 47E(d)
92	ASTARRA Summary Document	21/04/2006	1	Release	
93	Unsigned: ASIC letter of concern to ASTARRA Attaching: Area of Concern document	21/04/2006	4	Exempt	47C 47E(d)
94	ASTARRA Summary Document	21/04/2006	1	Release	
95	Initial review document for Super PDSs and SPDs	Undated	4	Exempt	37(2)(b) 47C

					47E(d)
96	ASTARRA Summary of Action	08/05/2008	1	Release	
97	ASTARRA Imported email	05/05/2006	1	Exempt	47C
					47E(d)
98	ASTARRA Summary of Action	08/05/2008	1	Release	
99	ASTARRA Summary Document	08/05/2006	1	Exempt	47E(d)
100	ASTARRA Progress Report	08/05/2008	1	Release	
101	ASTARRA PDS Assessment Worksheet	09/08/2006	2	Release	
102	ASIC letter to ASTARRA	08/05/2006	2	Exempt	47C
					47E(d)
103	ASTARRA letter to ASIC	03/05/2006	2	Exempt	47C
					47E(d)
104	Email chain: ASIC Staff	18/04/06	2	Exempt	47C
					47E(d)
105	ASTARRA Summary of Action	30/03/2006	1	Release	
106	ASTARRA Progress Report	04/04/2006	1	Exempt	47C
					47E(d)
107	Surveillance Guidelines for Super PDS Project	Undated	12	Exempt	47C
					47E(d)
108	ASTARRA company Summary	24/03/2004	4	Release	
109	Assessment General Complaint	05/09/2005	2	Exempt	37(2)(b)
					47E9D)
110	Assessment General Complaint	01/02/2005	3	Exempt	37(2)(b)
					47E(d)
111	My Retirement Plan, Product Disclosure Statement	29/11/2005	88	Release	
112	Breach Notification – Responsible Entity	02/03/2009	1	Exempt	37(s)(b)
					47E(d)
113	Letter ASIC Notification of Breach	02/03/2009	2	Exempt	37(2)(b)
					47C
					47E(d)
114	Breach Notification – Responsible Entity	17/02/2009	1	Exempt	47E(d)
115	Compliance Document Assessment – Breach Notification	02/03/2009	4	Exempt	37(2)(b)
					47C

					47E(d)
116	Letter from ASTARRA to ASIC, Breach Report	17/02/2009	2	Exempt	37(2)(b)
					47E(d)
117	ASCOT Form 511A: Breach Notification – Responsible Entity	26/02/2009	1	Exempt	37(2)(b)
					47E(d)
118	ASTARRA Company Report	24/02/2009	4	Exempt	47E(d)
119	Letter from ASTARRA to ASIC, Breach Report	17/02/2009	2	Exempt	47E(d)
120	ASCOT Form 511A: Breach Notification – Responsible Entity	26/02/2009	1	Exempt	47E(d)
121	Trio Capital Surveillance Report	05/09/2006	2	Exempt	37(2)(b)
					47E(d)
122	ASTARRA Document Summary	05/09/2006	1	Exempt	37(2)(b)
					47E(d)
123	ASTARRA Document Summary	07/02/2006	1	Exempt	47E(d)
124	Letter from ASIC to Risk & Compliance Manager	07/02/2006	5	Exempt	37(2)(b)
					47E(d)
125	ASTARRA Progress Report	04/04/2006	1	Exempt	37(2)(b)
					47E(d)
126	ASTARRA Imported email	04/04/2006	1	Release	
127	ASTARRA Record of Phone Conversation	04/04/2006	1	Release	
128	Letter from ASIC to Risk & Compliance Manager	05/09/2006	4	Exempt	37(2)(b)
					47E(d)
129	Draft letter from ASIC to Risk & Compliance Manager	Undated	4	Exempt	37(2)
					47C
					47E(d)
130	Website print-off from ASTARRA Product Disclosure Statement	01/05/2006	2	Release	
131	Website print-off from ASTARRA – Latest Fund Prices	04/04/2006	1	Release	
132	Letter from ASTARRA to ASIC	24/02/2006	3	Exempt	37(2)(b)
					47E(d)
133	ASTARRA Superannuation Breach Report	27/01/2006	2	Exempt	37(2)(b)
					47E(d)

134	ASTARRA Superannuation Breach Report	Undated	1	Exempt	37(2)(b) 47E(d)
135	ASTARRA Superannuation Breach Report	10/02/2006	1	Exempt	37(2)(b) 47E(d)
136	ASTARRA Superannuation Breach Report	10/06/2005	1	Exempt	37(2)(b) 47E(d)
137	ASTARRA – Breach Register	17/01/206	1	Exempt	37(2)(b) 47E(d)
138	ASTARRA – Identification, Rectification and Reporting Compliance Breaches – Procedures	February 2006	7	Release	
139	ASTARRA – Board Meeting Agenda	22/02/2006	1	Release	
140	ASTARRA – Complaints Manual	20/01/2006	15	Release	
141	ASTARRA – Breach Report to Responsible Officer	29/04/2005	2	Exempt	37(2)(b) 47E(d)
142	ASTARRA – Breach Report	22/02/2006	2	Exempt	37(2)(b) 47E(d)
143	ASTARRA – Breach Report	30/09/2005	2	Exempt	37(2)(b) 47E(d)
144	ASTARRA – Breach Report	29/04/2005	2	Exempt	37(2)(b) 47E(d)
145	ASTARRA – Corporate Governance Charter	20/01/2006	12	Release	
146	ASTARRA Progress Report	07/11/2006	3	Exempt	37(2)(b) 47E(d)
147	ASIC Notes titled 'S912D Project'	Undated	2	Exempt	37(2)(b) 47E(d)
148	ASIC Document titled 'Project Plan – Breach Notifications – Assess Compliance with S912D	Undated	5	Exempt	37(2)(b) 47E(d)
149	ASTARRA Progress Report	07/11/2006	3	Exempt	47E(d)