



ASIC

Australian Securities & Investments Commission

Our Reference: CCU-1110297
Your Reference: 2011-1062240

5 July 2011

Ms Elisha Hill
Senior Investigation Officer
Commonwealth Ombudsman
PO Box K825
HAYMARKET NSW 1240

Dear Ms Hill

I refer to your email of 6 June 2011 in which you advise of intention to investigate a complaint from [REDACTED] regarding ASIC's handling of his complaint regarding [REDACTED]
[REDACTED]

[REDACTED] has corresponded extensively with ASIC since 2009 regarding his [REDACTED] complaint and other matters that [REDACTED] regards as related to his [REDACTED] complaint. Indeed ASIC has more than 12 files comprised of almost entirely [REDACTED] correspondence from [REDACTED] to various ASIC officers arising from these complaints and many other files that relate to FOI requests that arise from the same complaint. During certain periods of 2010, [REDACTED] wrote to one or more officers in ASIC at least two times per week.

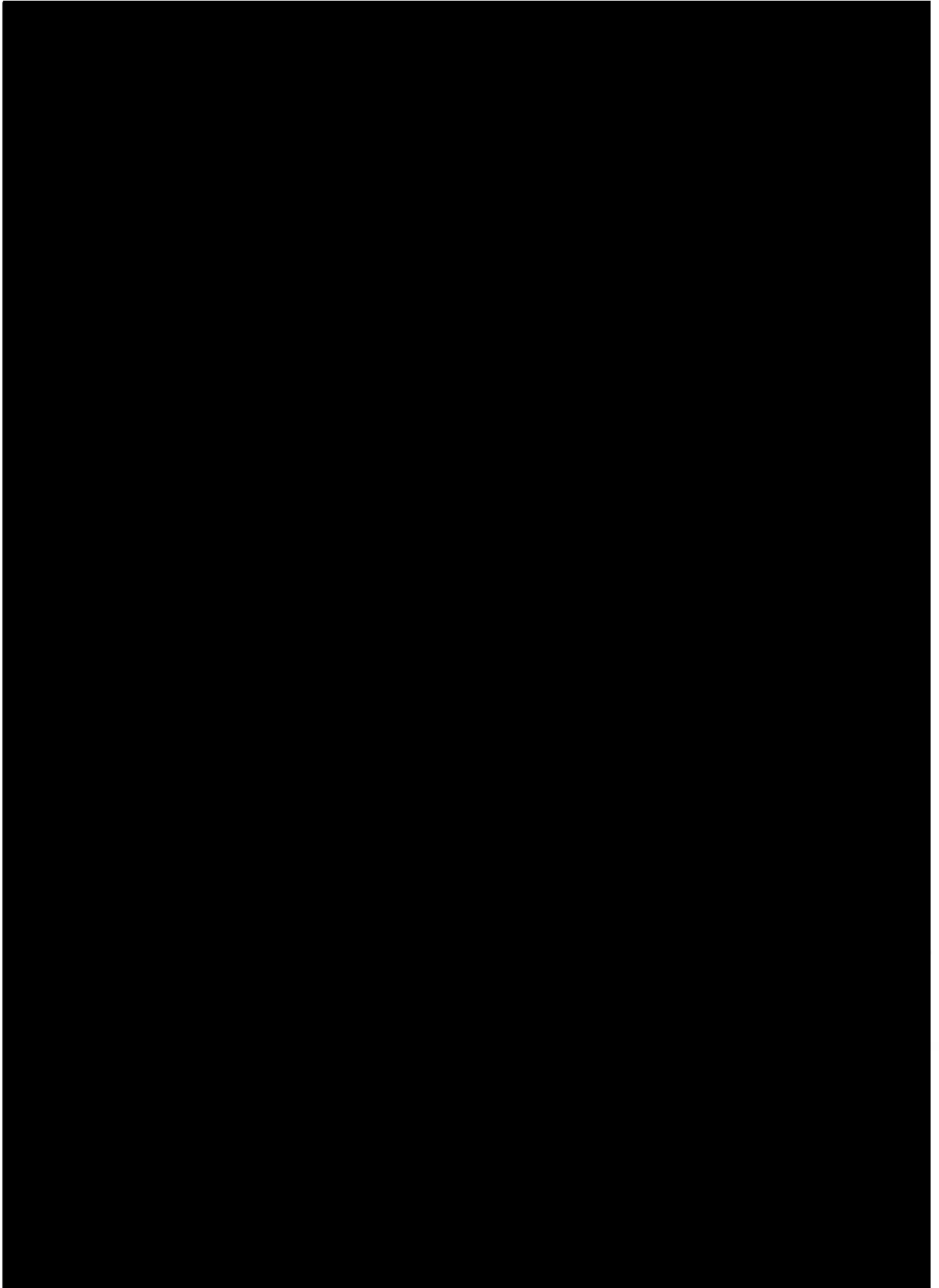
Please find below a history of ASIC's dealings with [REDACTED] including details of our consideration of the matters raised in your correspondence. Given the large amount of documents held by ASIC in relation to [REDACTED] we are happy to make those files available for your inspection should you determine that access to the files would assist you in your investigation.

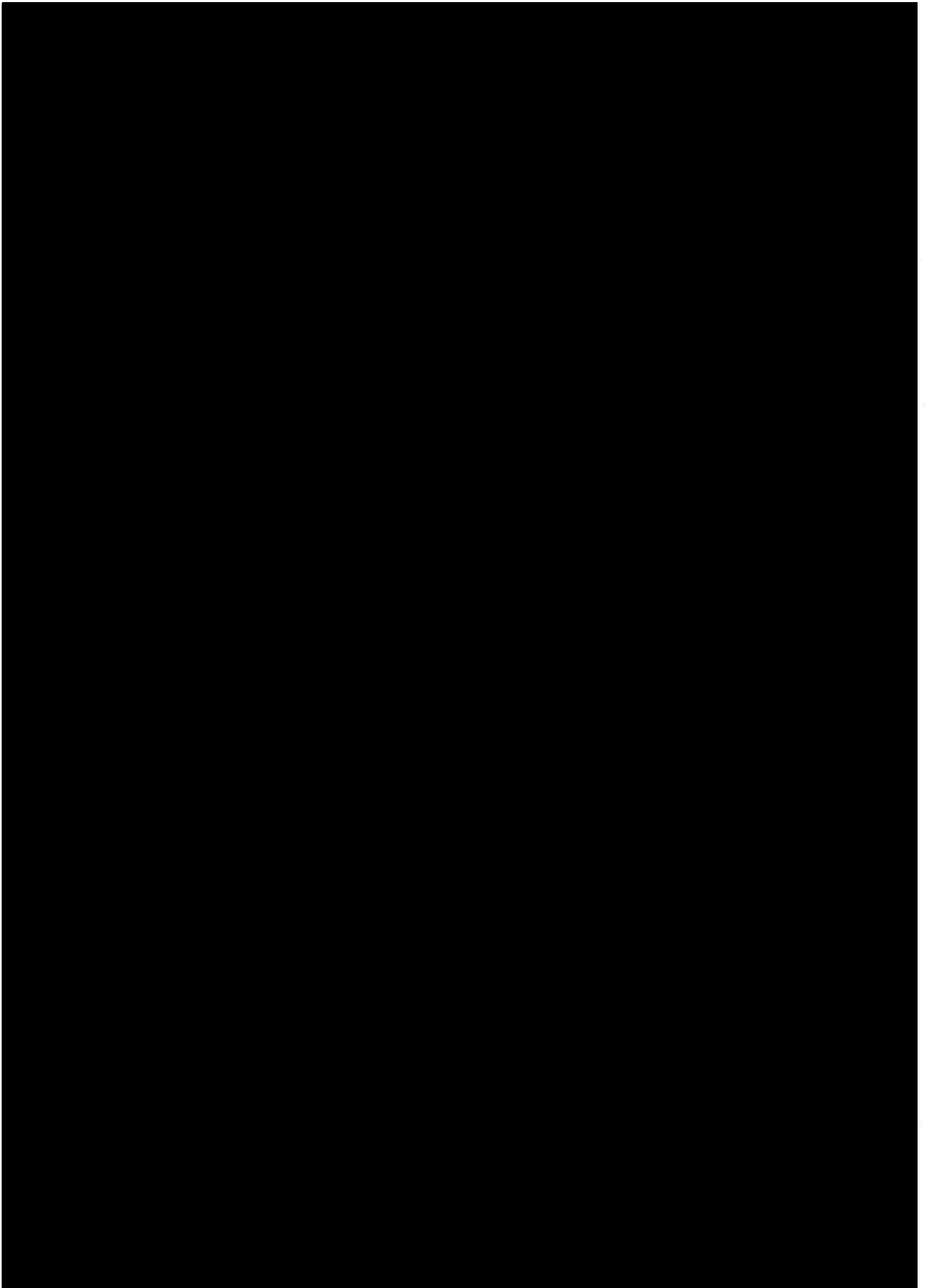
I would also add that in February of this year [REDACTED] commenced proceedings in the [REDACTED] seeking a review of ASIC's decision to take no further action on his [REDACTED] complaint. [REDACTED] agreed in [REDACTED] to withdraw those proceedings.

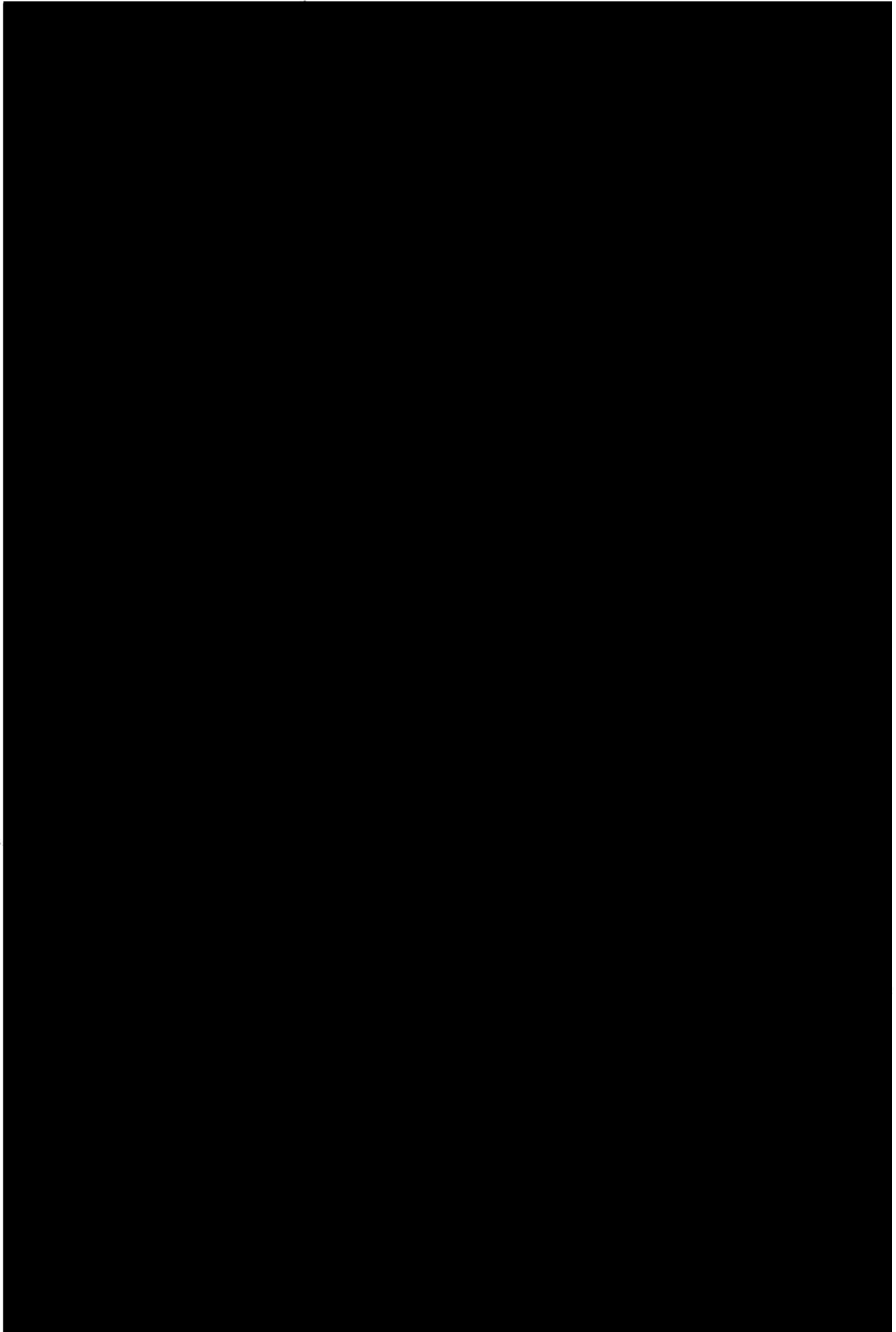
[REDACTED] also applied for a review of ASIC's decision to take no further action on his [REDACTED] complaint in the [REDACTED] [REDACTED] also withdrew those proceedings. There are extensive documentary holdings [REDACTED]

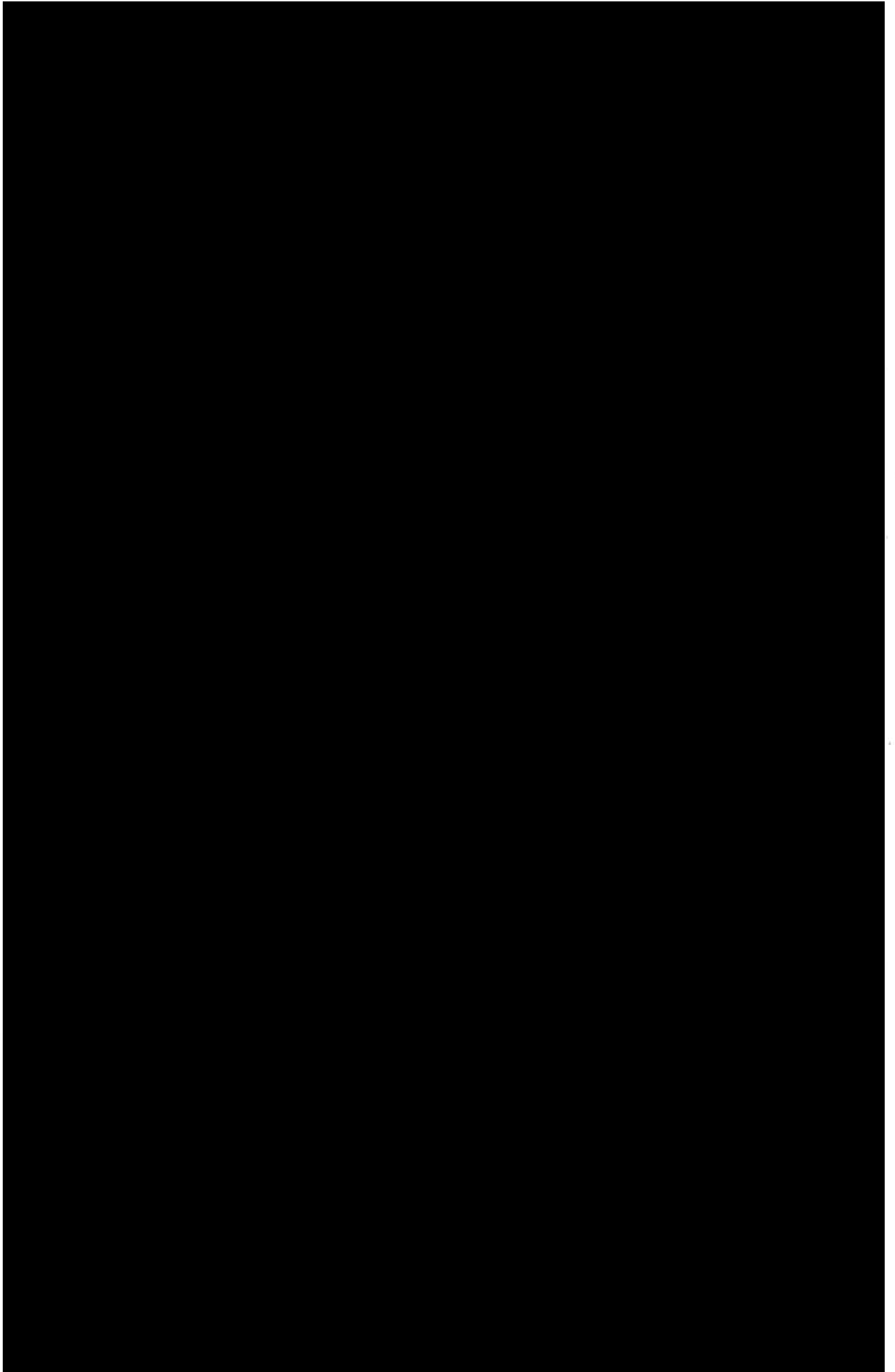
in relation to the litigation in the [REDACTED] and the [REDACTED] that is also available for your inspection if required.

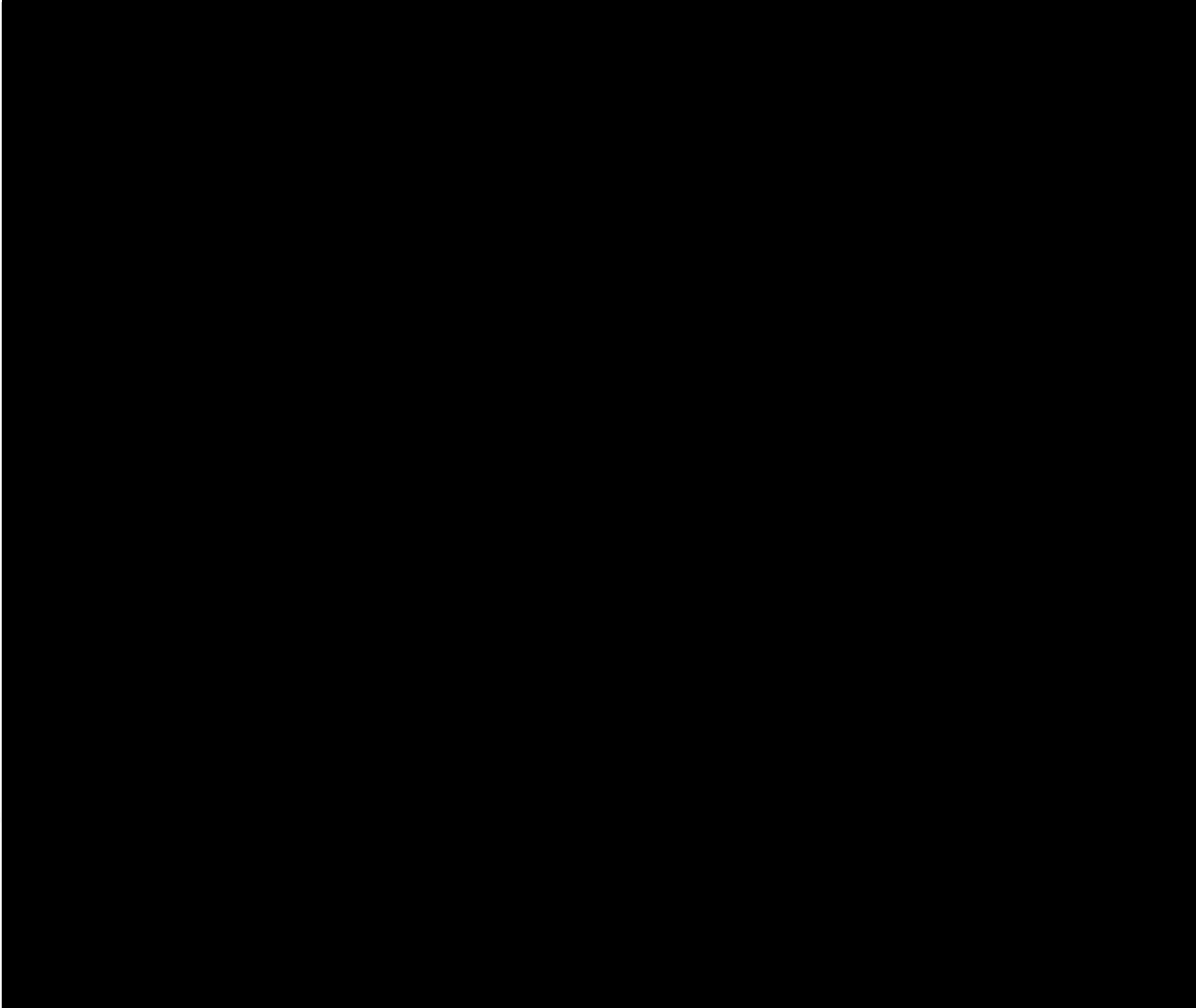
Complaint history



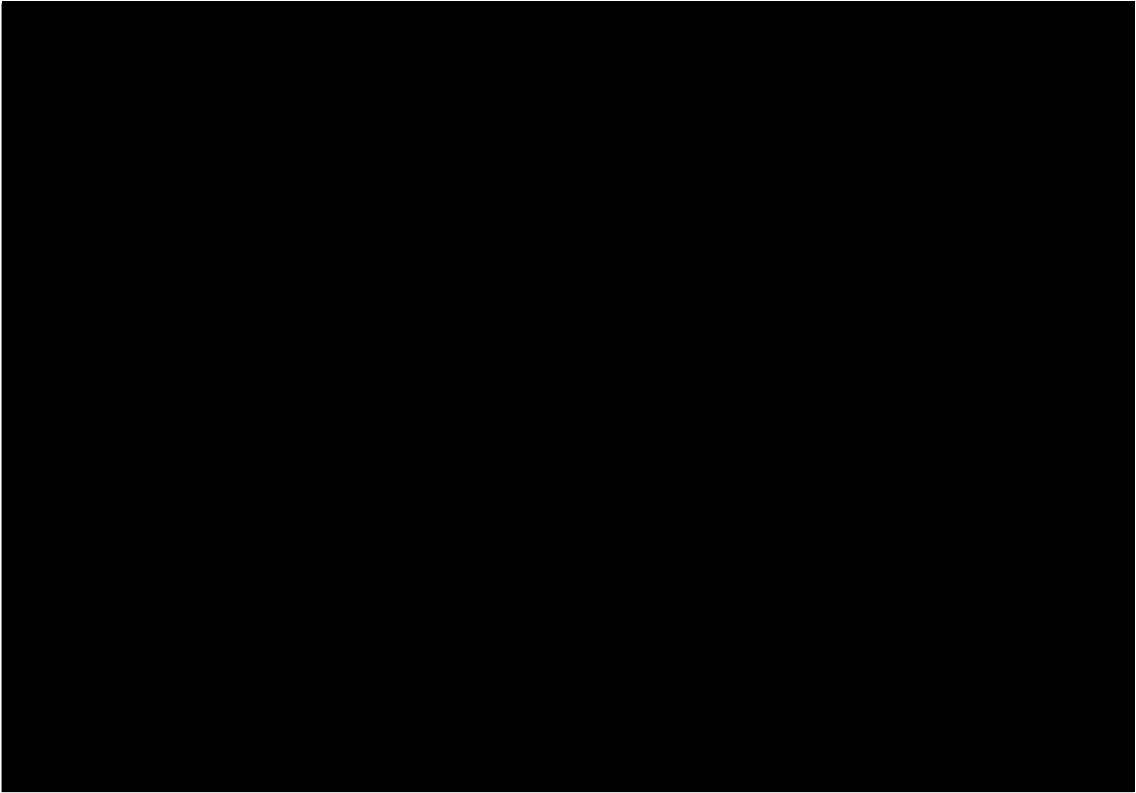


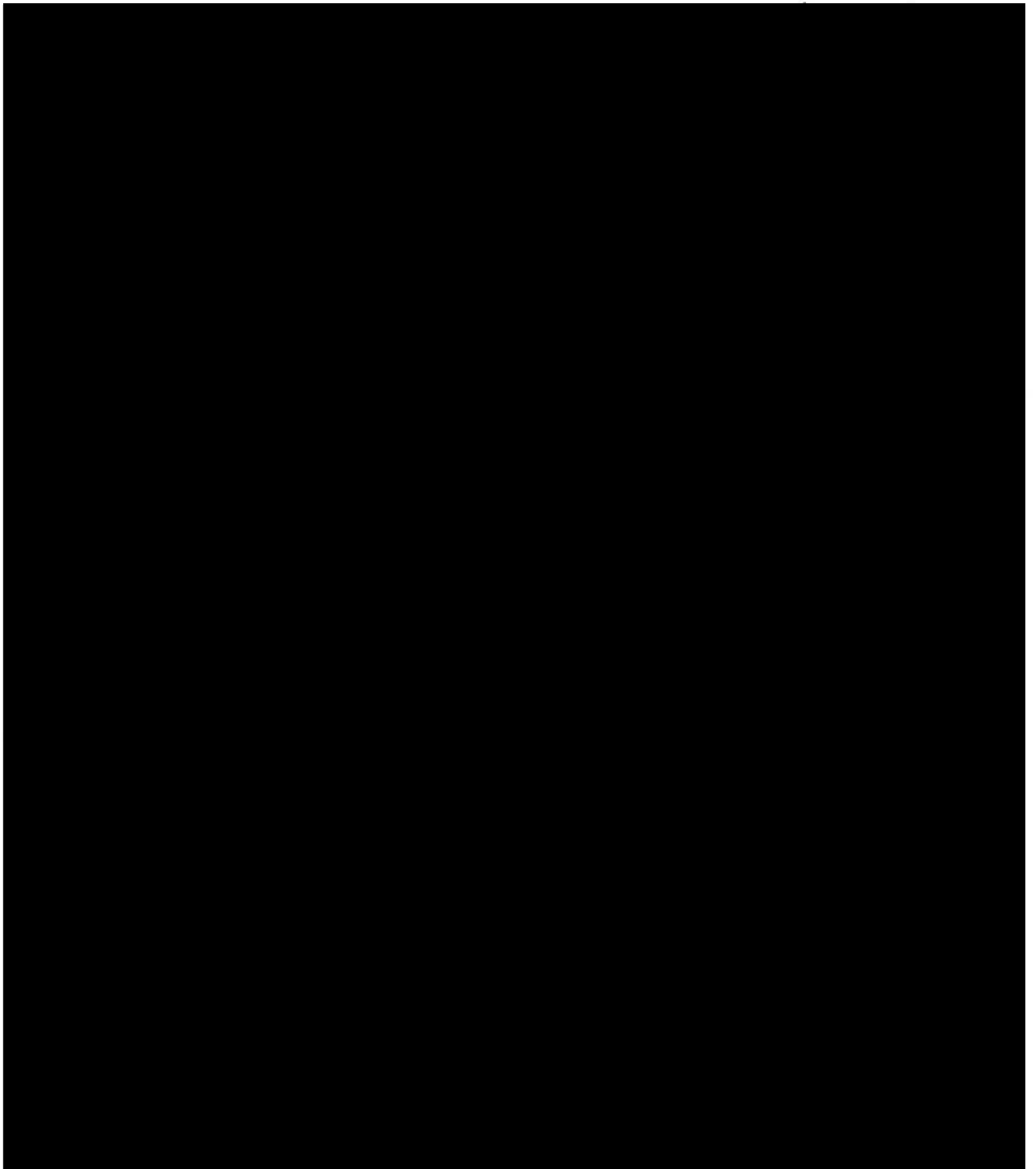






I have enclosed key pieces of ASIC's correspondence with [REDACTED] with this letter. As noted above if you require access to our extensive documentary holdings please let me know and we can arrange for an inspection of our files.





Should you require anything further please do not hesitate to
contact me directly.

Yours sincerely,



ASIC