



ASIC
Australian Securities &
Investments Commission

**Australian Securities
and Investments Commission**

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18 March 2019

Dear Mr Sweeney,

Freedom of Information Request No. FOI 054-2019
Acknowledgement of Request

I refer to your request dated 15 March 2019 under the *Freedom of Information Act 1982 (FOI Act)* in which you seek access to documents in the possession of the Australian Securities and Investments Commission (**ASIC**).

Your request seeks access to the following:

'The following was reported in the media following the release of the final report of the Hayne Royal Commission:

"Hayne recommended 24 cases of misconduct be referred to the financial regulators for consideration of civil or criminal action. The referrals involve almost all of the major banks except Westpac. ASIC says it has "prioritised" the cases, but would not comment in further detail."

Therefore there must be some formal correspondence from Royal Commissioner Hayne, the "office" of the Royal Commissioner, or by someone acting on behalf of the Royal Commissioner to ASIC.

The correspondence may have been addressed to the ASIC Chairman, James Shipton, the "office" of the Chairman, or to some other staff person at ASIC.

The document I seek is a copy of the correspondence in which Royal Commissioner Hayne has made such a recommendation.'
(my emphasis added)

As your request was received on 15 March 2019 and the 30-day statutory period for processing the request commenced on the day after the date of receipt, you should therefore expect a decision to be made by 15 April 2019.

The 30-day processing period may be extended should ASIC find it is necessary to consult third parties, where a charge is to be imposed on the processing of the request or for other reasons. You will be advised if there are changes to the 30-day processing period.

Please note that any documents released to you under the FOI Act may later be published online on the ASIC disclosure log in accordance with our obligation to do so under the Act. This requirement to publish released documents is subject to certain exceptions for example, personal or business information will not be published where it would be unreasonable.

If you have any questions or wish to discuss, please contact me on Jessica.Zhang@asic.gov.au or (03) 9280 4156.

Yours sincerely,

Jessica Zhang

(Authorised decision maker under section 23(1) of the FOI Act)