



# **Corporations Legislation Amendment (Professional Standards of Financial Advisers) Regulations 2017**

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I, General the Honourable Sir Peter Cosgrove AK MC (Ret'd), Governor-General of the Commonwealth of Australia, acting with the advice of the Federal Executive Council, make the following regulations.

Dated 09 February 2017

Peter Cosgrove  
Governor-General

By His Excellency's Command

Kelly O'Dwyer  
Minister for Revenue and Financial Services

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## 1 Name

This instrument is the *Corporations Legislation Amendment (Professional Standards of Financial Advisers) Regulations 2017*.

## 2 Commencement

(1) Each provision of this instrument specified in column 1 of the table commences, or is taken to have commenced, in accordance with column 2 of the table. Any other statement in column 2 has effect according to its terms.

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<b>Commencement information</b>		
<b>Column 1</b>	<b>Column 2</b>	<b>Column 3</b>
<b>Provisions</b>	<b>Commencement</b>	<b>Date/Details</b>
1. The whole of this instrument	<p>The later of:</p> <p>(a) the start of the day after this instrument is registered; and</p> <p>(b) the commencement of the <i>Corporations Amendment (Professional Standards of Financial Advisers) Act 2017</i>.</p>	

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Note: This table relates only to the provisions of this instrument as originally made. It will not be amended to deal with any later amendments of this instrument.

(2) Any information in column 3 of the table is not part of this instrument. Information may be inserted in this column, or information in it may be edited, in any published version of this instrument.

## 3 Authority

This instrument is made under the following:

- (a) the *Corporations Act 2001*;
- (b) the *Corporations (Fees) Act 2001*.

## 4 Schedules

Each instrument that is specified in a Schedule to this instrument is amended or repealed as set out in the applicable items in the Schedule concerned, and any other item in a Schedule to this instrument has effect according to its terms.

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## Schedule 1—Amendments

### *Corporations (Fees) Regulations 2001*

#### **1 Paragraph 9A(1)(b)**

Omit “or 922H(1)”, substitute “, 922H(1), 922HB(1) or 922HD(1)”.

#### **2 Subregulation 9A(1) (note)**

Repeal the note, substitute:

Note: Some of the notices referred to in subregulation (1) may be combined in a single notice.

#### **3 Paragraph 9A(3)(a)**

After “or 922K(1)”, insert “or section 1546X”.

#### **4 Subregulation 9A(5) (paragraph (b) of the definition of *prescribed amount*)**

Omit “of that Act, or both”, substitute “or both, or under subsection 922HB(1) or 922HD(1), of that Act”.

#### **5 Subregulation 9A(5) (paragraph (b) of the definition of *relevant number of persons*)**

Omit “subsection 922D(1) or 922H(1)”, substitute “subsection 922D(1), 922H(1), 922HB(1) or 922HD(1)”.

#### **6 Subregulation 9A(5) (definition of *relevant provider*)**

Omit “section 922C”, substitute “section 910A”.

#### **7 Subparagraph 9B(1)(a)(ii)**

After “922H(1)”, insert “922HB(1), 922HD(1)”.

#### **8 Subregulation 9B(1) (note)**

Repeal the note.

#### **9 Subregulation 9B(5) (paragraph (b) of the definition of *relevant number for the higher amount*)**

After “922H(1)”, insert “922HB(1), 922HD(1)”.

#### **10 Subregulation 9B(5) (paragraph (b) of the definition of *relevant number for the lower amount*)**

After “922H(1)”, insert “922HB(1), 922HD(1)”.

#### **11 Division 2 of Part 3**

Repeal the Division.

**12 Schedule 1 (table item 31A, column 2)**

Omit “1274(2)”, substitute “1274A(2)”.

**13 Schedule 1 (table item 31A, column 2, paragraph (d))**

Repeal the paragraph, substitute:

(d) the Register of Relevant providers maintained under section 922Q of the Corporations Act;

**14 Schedule 1 (after table item 46)**

Insert:

46AA	On lodging a notice under subsection 922HA(1)	\$250
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***Corporations Regulations 2001*****15 Regulations 7.6.02AI, 7.6.06A and 7.6.06B**

Repeal the regulations.

**16 Regulation 7.6.06C**

Omit “, 7.6.06 or 7.6.06B”, substitute “or 7.6.06”.

**17 Paragraph 9.1.01(q)**

Repeal the paragraph, substitute:

(q) the Register of Relevant Providers maintained under section 922Q of the Act.

**18 Paragraph 9.1.02(q)**

Repeal the paragraph, substitute:

(q) in relation to the Register of Relevant Providers (within the meaning of section 910A of the Act):

- (i) all of the information in the Register (other than a relevant provider’s date and place of birth) which ASIC considers appropriate for a person to search in accordance with subsection 1274A(3) of the Act; or
- (ii) all of the information in the Register (other than a relevant provider’s date and place of birth) which ASIC considers appropriate to make available in accordance with subsection 1274A(4) of the Act.

**19 Part 10.20**

Repeal the Part.

**20 Schedule 8D**

Repeal the Schedule.