



# AUSTRAC file list

1 January 2010–30 June 2010

This is a list of the relevant new files created by AUSTRAC between 1 January 2010 and 30 June 2010. It is in accordance with Senate Continuing Order No. 8 that requires each Minister to table an indexed list of titles of relevant files created by Australian Government departments and agencies. The original Senate Order was amended in 1998 to require departments and agencies to display their file lists on their websites.

## File no. and title

09/612/B	RE Ops - Help Desk, April - Jun 2010 Correspondence
10/038	Ministerial Visits to AUSTRAC offices 2008 - CEO file
10/039	Heads of Commonwealth Law Enforcement Agencies HOCOLEA CEO Briefing Packs 2008-2009
10/040	CEO Media Interviews 2007-2008 - CEO briefing notes and transcripts
10/041	CEO presentation briefing packs 2007- 2009
10/047	ICT review - Australian Government's IP Policy and ICT Contracts - Attorney General's Department (AGD)
10/054	Tranche 2 reform contacts - comments to Attorney General's Department (AGD)
10/055	Amendment AML/CTF Act Chapter 15 Rules
10/061	Modification of reporting obligations s248 AML/CTF Act
10/067	Help Desk query - Is cashing a cheque a designated service?
10/072	Ongoing Customer Due Diligence (OCDD) & Know Your Customer (KYC) of super funds trustees
10/074	Non-Compliance covering letters for review
10/075	Proactive data matching protocol
10/084	Draft Amendment to Part 4.3.2 Rules
10/085	Signed approvals of People Strategies and Solutions (PSS) Policies 2009-2010
10/089	Draft amendment to Para 4.3.2 AML/CTF Rules definition of 'certain companies'
10/094	Instrument of approval AML/CTF Act IFTI forms under Declaration 2 of 2010
10/095	Interpretation of 'signatory to an account' Item 2 & 3 T1 s5 & s6 AML/CTF Act
10/096	Contract Financial Intelligence Data Management Project
10/097	Activities for Privacy Awareness Week - 2010
10/105	Whether issuing of debentures is a designated service under AML/CTF Act
10/107	Use of uncertified documents for KYC purposes
10/108	Development of AML/CTF legislation 2006 - CEO file
10/108/B	Development of AML/CTF legislation 2006 - CEO file
10/111	IFTI Report Project - SWIFT message types s8, s9, s45 & s46 AML/CTF Act
10/125	Approval Instrument - Threshold Transaction Report - Investment / Superannuation / Insurance

- 10/126 Approval Instrument - Threshold Transaction Report - Money Service Businesses
- 10/127 Approval Instrument - International Funds Transfer Instructions (IFTI-E)
- 10/128 Approval Instrument - International Funds Transfer Instruction Report (IFTI) under a Designated Remittance Arrangement (DRA)
- 10/130 Approval form - Threshold Transaction Reports - Financial and Bullion Services
- 10/131 Approval documentation - Threshold Transaction Report - Gambling Services
- 10/132 Approval form - Suspicious Matter Reports (SMR)
- 10/169 Using test files submitted by reporting entities
- 10/170 AUSTRAC contracts and possible contingent liabilities
- 10/172 Disclaimer statement for APEC Seminar Series webpage
- 10/179 Approval Instrument - IFTI reports as modified by declaration #2 of 2010
- 10/180 Draft Guidance for Delegates s222 AML/CTF Act
- 10/181 AML/CTF Rules Chapter 7 - DBGs Designated Business Groups
- 10/194 Information Circulars from Australian Security Intelligence Organisation (ASIO) 2009/10
- 10/195 Information Circulars from Customs and Border Security (Customs) 2009/10
- 10/196 Information Circulars from Defence Intelligence Organisation (Defence) 2009/10
- 10/197 Information Circulars from Department of Foreign Affairs & Trade (DFAT) 2009/10
- 10/198 Information Circulars from Attorney Generals Department (AGD) 2009/10
- 10/199 Information Circulars from Joint Analyst's Group (JAG) 2009/10
- 10/200 Information Circulars from Joint Operational Coordination Team (JOCT) 2009/10
- 10/201 Information Circulars from Joint Operational Management Group (JOMG ) 2009/10
- 10/203 Possible inconsistency: s70 AML/CTF Act & para 16.3(1) AML/CTF Rules
- 10/204 Draft AGD Discussion Paper - Alternative Remittance Dealers
- 10/222 AUSTRAC Finance Committee - meeting papers - CFO file 2010
- 10/226 Discussions with ATO - legislative amendments for overseas transactions
- 10/227 Permanent establishments in a foreign country Ch 8 & 9 AML CTF Rules
- 10/229 Chapter 4 AML/CTF Rules - evidence of agency
- 10/230 Reporting obligations for IFTIs from loan accounts I7, T1, s6(2) AML/CTF Act
- 10/231 Comcare - Wages declarations (estimates & actuals)
- 10/249 Information Communication Technology (ICT) Efficiency Review 2010
- 10/254 ICT Multi-Use List (MUL) applications and open tender documentation
- 10/262 Budget and Expenditure Management and reporting for 2010-11 - CFO file
- 10/263 Privacy Advice - MASCOT application form IPP2 statement
- 10/265 Professional Indemnity clause in IT contracts
- 10/278 Personal Information Digest (PID) 2009-10
- 10/279 Australian National Audit Office (ANAO) Draft Audit Program 2010-2011 CFO File
- 10/280 Review of Memo Infringement Notice Scheme write-off of debts s47 FMA Act
- 10/298 FOI Act Section 9 Statements 2010-11
- 10/299 Privacy and Freedom of Information Statistics 2010-11
- 10/301 Draft AML/CTF Rules amending Chapter 1

10/302 Countermeasures against Iran s102 AML/CTF Act

10/304 Drafting Instructions Cost Recovery - Collection Bill & Imposition Bill

10/305 Australian Public Service Commissioner's (APSC) advice to agency heads, May 2010

10/317 Privacy Reforms 2010

10/322 Permanent Establishment - Use of S202 Notice AML/CTF Act

10/329 Threshold Transaction Reports - forms development for Agent Details Project

2010/1 FATF - Low capacity countries - AUSTRAC briefing notes

2010/10 FATF - SR VIII (non-profit organisations) - AUSTRAC briefing notes

2010/102 10/075 - Proactive data matching protocol

2010/107 Zambia - STR Form and Guidance workshop - March 2010

2010/108 Policy Questions and Decisions 2010

2010/11 FATF - SR IX (border currency movement) - AUSTRAC briefing notes

2010/110 PLIs reviewed by Strategic Policy 2010

2010/111 External Documentation Reviewed by Strategic Policy 2010

2010/112 Internal Documentation Reviewed by Strategic Policy 2010

2010/118 Policy on managing personal use of AUSTRAC's email and internet resources

2010/120 AML/CTF Rules - Amendment to Ch 4 - certain companies

2010/123 FATF matters - Advice, Comments & Responses - 2010

2010/124 APG & WB SIP Enhancement Review Workshop - Malaysia - March 2010

2010/129 10/084 - Draft Amendment to Part 4.3.2 Rules

2010/130 FATF Plenary Meeting Amsterdam Netherlands June 2010

2010/131 Malaysian FIU - Visit - February 2010

2010/135 PNG TA&T Workshop 2010 - Presentations

2010/136 Egmont Meeting 2010 Cartagena - Plenary

2010/138 RE Ops Paper Reporters Transition from FTR to AML/CTF - Mail out Feb 2010

2010/14 JAFIC attachment program 2007-08

2010/140 AML/CTF Act IFTI modification 2010

2010/142 10/089 - Draft amendment to Para 4.3.2 AML/CTF Rules defn of 'certain companies'

2010/144 Attorney General's visit to AUSTRAC Sydney March 2010

2010/145 RE Ops Licensed Post Offices (LPO) CR09 mail out February 2010

2010/149 Internal Audit Services - Request for Tender documentation and questions 2010

2010/15 Senate file list January to July 2010

2010/150 Information Circulars - Development

2010/153 Survey of stockbrokers - Suspect Matter Reports (SMRs) 2010

2010/154 Survey on beneficial ownership 2010

2010/155 10/094 - Instrument of approval AML/CTF Act IFTI forms under Dclration 2 of 2010

2010/156 10/095 - Interpretation- 'signatory to an account' Item 2 & 3 T1 S5 & S6 AML/CTF

2010/157 10/096 - Contract Financial Intelligence Data Management Project

2010/158 10/097 - Activities for Privacy Awareness Week - 2010

2010/162 AML/CTF Rule - amendment to Chapter 15

2010/164 Software Asset Management Policy

2010/166 International Liaison with the UNODC

2010/167 Domestic Coordination Regional Workshop Namibia 2010 - Scoping and Research

2010/169 Domestic Coordination Regional Workshop Namibia 2010 - Program Content

2010/170 Domestic Coordination Regional Workshop Namibia 2010 - Promotional and Logo

2010/171 Domestic Coordination Regional Workshop Namibia 2010 - Policy and Reporting

2010/172 Domestic Coordination Regional Workshop Namibia 2010 - Country Correspondence

2010/174 Reporting Assessment Campaigns 2010

2010/175 Direct Sourcing Submissions 2010

2010/176 Virtualisation Project Documentation

2010/178 10/106 - Legal Branch Business Plan 2010-11

2010/179 10/107 - Use of uncertified documents for KYC purposes

2010/185 10/111 - IFTI Report Project - SWIFT message types S8, S9, S45 & S46 AML/CTF Act

2010/2 FATF - Risk-based approach - AUSTRAC briefing notes

2010/23 Cambodia - May 2010 DNFBP Stakeholder Consultation

2010/24 MOU - Department of Foreign Affairs and Trade (DFAT)

2010/26 APG Resources and Publications

2010/27 FATF / WGTY - Review of Recommendations 27 and 28

2010/293 Partner Agency Profiles 2010

2010/294 Chris Bowen MP's visit to AUSTRAC Canberra 15 March 2010

2010/3 FATF - Tax amnesty / capital repatriation - AUSTRAC briefing notes

2010/30 Laos - DNFBP Part II - Education Campaign Launch Feb 2010

2010/313 Interdepartmental Meeting on Anti-Corruption Initiatives 2010-11

2010/314 Jordan Visit Programs

2010/347 AGD paper: Information sharing to enhance law enforcement capability

2010/348 FATF Experts Group Meeting Vienna - May 2010

2010/349 Myanmar - International Enquiries

2010/352 Asia Pacific Group (APG) Donors and Providers Group (DAP) meetings 2010

2010/353 FICSA 2010 - Indian Bilateral Workshop

2010/354 FICSA 2010 - Bangladesh Bilateral Workshop

2010/355 FICSA 2010 - Nepalese Bilateral Workshop

2010/356 FICSA 2010 - Sri Lankan Bilateral Workshop

2010/358 FICSA 2010 Regional Workshop - Program Content

2010/359 FICSA 2010 Regional Workshop - Correspondence, Cables and Reports

2010/360 FICSA Regional Workshop 2010 - Preparation

2010/361 HOCOLEA 51 reports and papers

2010/364 Jordan FIU attachment to AUSTRAC - Analysis & International Coordination - 2010

2010/365 AusAID Government Partnership Fund Phase II 2010-2013

2010/366 Productivity Commission - AUSTRAC Annual review of regulatory burden 2010

2010/367 Website/Guidance review - Project planning  
2010/368 Website/Guidance review - Research  
2010/369 Website/Guidance review - Reporting  
2010/370 Philippines - Process and Procedures Workshop May 2010  
2010/371 10/167 - Report Processing Procedures by the Report Management Team (RMT)  
2010/372 10/169 - Using test files submitted by reporting entities  
2010/373 10/170 - AUSTRAC contracts and possible contingent liabilities  
2010/374 FATF Experts Group Meeting in Strasbourg March 2010  
2010/375 AMLAT material prepared for Pacific FIUs - up to December 2009  
2010/377 Responses to Request for Tender - Internal Audit Services  
2010/378 RE Ops CR09 Final Notice Mailout - April 2010  
2010/379 10/172 - Disclaimer statement for APEC Seminar Series webpage  
2010/382 FICSA Program FIU Liaison for 2010 and 2011  
2010/395 Croatia - International Requests  
2010/396 Oman Visits Program  
2010/397 Tanzania - DNFBP Engagement Strategy and Program - 2010-11  
2010/398 Myanmar - FIU Development Workshop - June 2010  
2010/399 AML/CTF Act reporting form approval instruments signed by AUSTRAC CEO  
2010/4 FATF - Cover payments - AUSTRAC briefing notes  
2010/400 APG - Asia Pacific Group (APG) Annual Meeting Singapore July 2010  
2010/403 CR09 Non-reporting Claims  
2010/404 Egmont Membership Application - General Information and documentation  
2010/413 Treasury visit 19 April 2010  
2010/414 Egmont Suspicious Transaction Report (SUSTR) Sharing Project  
2010/415 FATF Intercessional Meeting WGTY Paris - April 2010  
2010/421 RE Ops De-duplication Analysis Project - 2010  
2010/423 Senate Estimates 2010 - May  
2010/426 INTL MOU - Fiji  
2010/427 10/181 - AML/CTF Rules Chapter 7 - Designated Business Groups (DBGs)  
2010/43 FATF / WGEI - Tax crimes as a ML predicate offence  
2010/430 Armenia Visit Programs  
2010/45 International internal briefings - 2010  
2010/457 10/204 - Draft AGD Discussion Paper - Alternative Remittance Dealers  
2010/46 Joint-agency Strategic Intelligence Priorities Workshop 2010  
2010/461 Corporate Policies - Summary  
2010/463 RE Ops - planning of communications to key remittance principles 2010  
2010/465 10/206 - Disseminations - use of formal letters / delegate signatures  
2010/467 DISCEX Nuclear Terrorism - AML training provided to AGA and DFAT  
2010/47 FATF Inter - sessional meeting Paris January 2010  
2010/471 Partner Agency Quarterly Feedback 2010

2010/472 Australia / Indonesia Counter Terrorism Cooperation Fund (CTCF) 2010-14  
 2010/473 APEC Seminar Series 2010-11 Program Development  
 2010/476 SEACT Regional Workshop - Kuala Lumpur - June 2010 Program Content  
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 2010/492 Supervision - Referrals - Dob-ins 2010  
 2010/496 APG - Lead liaison (Australian delegation briefings and liaison) 2009 to 2015  
 2010/497 APG - Jurisdiction Reports 2009 to 2015  
 2010/5 FATF - Recommendation 9 (third parties and introducers) - AUSTRAC briefing notes  
 2010/508 10/240 - Application of Rules - retaining info collected by REs s107 AML/CTF Act  
 2010/512 Supervision - Referrals received from partner agencies - 2010  
 2010/517 IDC - Africa  
 2010/519 10/250 - Legal Branch advice on evidence management training  
 2010/522 \*\*\* firewalls procurement  
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 2010/528 Supervision Referrals team - Presentations to internal and external stakeholders  
 2010/53 Solomon Islands - DNFBP & Analysis Workshop April 2010  
 2010/530 Egmont Operational Working Group (OpWG)  
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 2010/540 CEO and EGM meetings with international counterparts - June 2010  
 2010/542 AFP money laundering and investigations program May 2010  
 2010/544 Partner Agency Assessment Requests - 2010  
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 2010/549 AUSTRAC advice to ACC - Organised Crime Threat Assessment 2010  
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 2010/555 Border Management Group meeting papers 2010  
 2010/557 Executive outbound meetings with FinCEN, FINTRAC and FSA June 2010  
 2010/558 Government Relations section advice provided within AUSTRAC 2010-11  
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 2010/57 Proceeds Of Crime Act (POCA) - Project Planning and Progress Reports  
 2010/570 SEACT Regional Workshop, Kuala Lumpur, June 2010 - FINAL program content  
 2010/572 Presentations to external agencies - Analytics & Taskforces 2010-15  
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 2010/58 Zambia - Needs Assessment and FIU 101 sessions - Feb 2010  
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 2010/589 AML/CTF Forum 2011  
 2010/59 Tanzania - Needs Assessment and Stakeholder Discussions - Feb 2010  
 2010/594 AUSTRAC's Annual Procurement Plan 2010-11  
 2010/598 Talking Points 2010-11  
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 2010/6 FATF - Recommendation 21 (higher risk countries) - AUSTRAC briefing notes  
 2010/60 SUSTRs / SMRs Special Disseminations 2010  
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 2010/605 SEACT - BNM Basic Analytical Skills Workshop - Kuala Lumpur - June 2010  
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 2010/697 AML/CTF Rules - Records of identification procedures - Section 112  
 2010/7 FATF - SR II (criminalise terrorist financing) - AUSTRAC briefing notes  
 2010/72 10/059 - Disclosure of AUSTRAC info - Advanced fee fraud joint agency project  
 2010/73 10/060 - AUSTRAC admin of Designated Business Group (DBG) - various questions  
 2010/8 FATF - SR III (freeze and confiscate terrorist assets) - AUSTRAC briefing notes  
 2010/81 Policy OCSF Money Laundering Working Group  
 2010/82 Policy OCSF ID Crime Working Group  
 2010/83 Africa Regional Workshop 24-27 May 2010 Windhoek Namibia  
 2010/84 Strategic Priority Meetings 2010  
 2010/85 Access and Usage of Official Information Policy  
 2010/87 India Securities Sector Workshop - New Delhi February 2010  
 2010/9 FATF - SR VII (wire transfers) - AUSTRAC briefing notes  
 2010/90 Africa - regional workshop 2010 - TA&T Plans  
 2010/91 Africa - regional workshop 2010 - Liaison  
 2010/93 Africa - regional workshop 2010 - Research  
 2010/95 Vanuatu FIU IT Assessment 2009  
 2010/99 Strategic Priority Meetings 2008 and 2009