



AUSTRAC file list

1 January to 30 June 2016

This is a list of relevant file titles created by AUSTRAC between 1 January and 30 June 2016. It is in accordance with the Senate Continuing Order concerning the production of indexed file title lists, which requires each Minister to table a list of relevant file titles created by their department and portfolio agencies. The original Senate Order was amended in 1998 to require departments and agencies to display their file lists on their websites.

File Number	File Name
4472509	AML/CTF Rules - Response to Client Services queries 2014-16
4472597	APG - Coordination of Australian responses to papers/issues - 2016
4478096	New Payments Platform Australia (NPPA)
4481955	CEO - email communications to all staff - 2015 - 2016
4490453	16/012 - Client Information Services Section Correspondence Jul - Sep 2016
4491193	2016 Review of AUSTRAC CEO Delegations per AML/CTF Act
4491388	16/010 - Contact Centre Correspondence Jan - Mar 2016
4492070	16/011 - Contact Centre Correspondence Apr - Jun 2016
4494164	16/013 - Client Information Services Section Correspondence Oct - Dec 2016
4505257	FATF Plenary Meeting Paris February 2016
4509735	Operations Committee (OC) - 2016
4510423	Organisational Health Committee (OHC) Secretariat - 2016
4513843	16/030 - Executive Assistant Support - CEO - 2016
4515265	Data Exploitation Requests and Reports 2015-2017
4519222	AML/CTF Rules - Amendments to Chapter 22
4519553	Regional Risk Assessment on Terrorism Financing 2016
4519897	Tactical Analysis 2015-2016
4520367	Communications Planning 2016
4520505	Documentation and Research - Criminal Usage of Bitcoin 2016
4521056	Typologies Products Analysis & Research - Estonian Money Mules 2016
4521461	National Disruption Group - Stored Value Card Project 2015-2016
4522175	Presentations - MTCR Conference Oct 2015
4523854	Typologies Products Analysis & Research - Gambling Service 2016
4524047	AUSTRAC Compliance Guide - Revisions and Updates 2016-2017

File Number	File Name
4524163	Typologies Products Analysis & Research - Third Parties Laundering Through Remittance Sector 2016
4524780	Typologies Products Analysis & Research - The Misuse of Cheques 2016
4524817	Review of AML/CTF Act - Implementation of Statutory Review
4525675	CEO Briefings from Business Units 2016
4541901	Strategic Planning documentation from other Departments and Agencies
4544242	PAPP - 2016 - Indonesia TA&T
4544550	Policy and Guidance - Updates and Reporting 2016-2017
4544767	Executive Strategic Workshop February 2016
4544792	Intelligence Branch Liaison with Australian Federal Police 2016 (s132 release)
4545028	Serious & Organised Crime Engagement/Liaison 2016
4545104	Policy and Guidance Questions and Decisions 2016
4545343	External Documentation Reviewed by Policy and Guidance 2016
4546097	Internal Documentation Reviewed by Policy and Guidance 2016
4546098	Policy and Guidance Research 2016-2017
4546330	AUSTRAC Industry Contribution - Ministerial Determination 2015-16
4546553	Submissions and Briefs Prepared by Policy and Guidance 2016
4548759	2016 - Technical and Non-controversial Amendments to the AML/CTF Act
4551003	Compliance Feedback 2015 Campaign - February 2016
4562493	Data Exploitation - Research [Intel Management Access]
4562702	Data Exploitation - DHS Data Matching Capability
4563851	Data Exploitation - External presentations 2016 - 2017
4565477	Data Exploitation - Analytics Capability Development & Design
4576683	16/090 - Industry Contribution - Consultation, Invoicing and Debt Collection 2016-17
4594014	Annual Report 2015-16
4603318	2015-16 General Enquiries and Request - Compliance Melbourne
4606103	Quarantined Wagering Industry TTR Analysis 2016
4606345	International Supervisors Forum (ISF) 2015-2017
4609948	Senate file list July to December 2015
4610743	Project Management Templates 2016-2018
4611237	Intelligence Branch - Strategic Planning - 2016-17 - Restricted
4616902	AML/CTF XML Schema Documents 2016-2020
4617169	Infringement Notices With Errors & Issues 2016
4617351	Countermeasures for Iran and DPRK 2016
4618565	Australia's Contribution to FATF MER Follow-up - 2016-19
4632944	AML/CTF France - Australia comparison
4635767	Information Exchange Working Group 2016-2018 - Planning
4635922	OP Intelligence Serious and Organised Crime 2016-2018

File Number	File Name
4635926	OP Intelligence Emerging Technologies 2016-2018
4636046	Serious Financial Crime Taskforce (SFCT) CEO Forum - 2016
4636453	OP Intelligence Data Discovery 2016-2018
4637012	Information Exchange Working Group 2016-2018 - Correspondence
4637485	OP Intelligence Terrorism Financing 2016-2018
4637918	Strategic Policy Strategy - Cashless Society
4641943	Intelligence Solutions - Planning and Reporting 2016-20
4644740	IM Helpdesk - transition to IT Service Desk
4644746	Media Releases and Talking Points 2015-16
4645082	Briefings on MOU
4645390	Media Enquiry Responses 2015-16
4646182	AML/CTF Act review implementation - Regulation of Digital Currencies and Digital Currency Exchanges
4647371	WoG Talking Points 2015-16
4647916	Enforcement
4649248	CTF Summit - Educational Tools Working Group
4657763	ASIC Digital Financial Advisory Committee 2016-2020
4658558	APS Data Champions 2016-2020
4659800	FATF - Risks, Trends and Methods Group (RTMG) - Correspondence
4660653	Data Analytics Centre of Excellence 2016-2020
4660772	FATF - Risks, Trends and Methods Group (RTMG) - Planning
4664202	International Meetings 2015-16
4666133	Home Based Work (Occasional and Regular) 2016
4667325	Profiling and Detection Flags 2016
4668034	International Technical Assistance and Training Staff Planning (restricted)
4670998	Section 10 AUSTRAC Position Campaign - March 2016
4671336	DFAT - Philippines Funding Proposal 2016
4671864	Intelligence Capability and Tradecraft - People 2016
4671868	Intelligence Capability and Tradecraft - Partners 2016
4672864	Intelligence Capability and Tradecraft - Administration 2016
4672957	Intelligence Capability and Tradecraft - Technology 2016
4673064	Intelligence Capability and Tradecraft - Ideas, Research and Opportunities 2016
4673714	Property Questions on Notice (QoNs) 2016
4673885	Intelligence Capability and Tradecraft - Process 2016
4673943	AUSTRAC News 2016
4678081	Technology Research Papers 2016-2020
4678459	Fintech and Other New Technologies
4681017	IndoARCC Program 2016 - Reporting

File Number	File Name
4682285	16/157 - MOU - Independent Commissioner Against Corruption - ICAC SA
4689028	Enterprise Systems - Strategic Planning 2016 - 2018
4689106	International Networks strategic papers 2015-16
4698157	International monthly KPI reporting 2015-16
4698162	International Networks Business planning 2015-16
4698217	Enterprise Analytics 2015-20 - Communications
4698586	Israel meetings 2015-16
4698677	International Networks team meetings
4699113	2016 Counter-Terrorism Financing (CTF) Summit Bali
4699432	2015 Sydney Communique Deliverables
4700212	Enterprise Analytics 2015-20 - Research
4700220	Enterprise Analytics 2015-20 - Infrastructure
4700238	International Networks Procedures 2015-16
4721069	ESAAMLG Meetings 2016-2019
4726998	Data Exploitation Data Quality Remediation Project 2016
4728808	Women in Innovation and Technology - GLIITA - 2016 -2019
4730139	IIA Assurance and Performance 2016-20 - Planning
4730173	FATF Coordination - Papers for Comment 2016-2018
4731028	Command Digital Signage
4731527	Data quality - 2016
4733470	IIA Assurance and Performance 2016-20 - Processes and Procedures
4733940	Incoming Government Brief 2016
4748791	Risk Assessments Team - Stockbroking Sector Risk Assessment 2016
4749089	Risk Assessments Team - Financial Planning Sector Risk Assessment 2016
4750492	Panama Papers - 2016
4753595	Operational Intelligence Analysis & Research - Cybercrime
4754991	Typologies Products Analysis & Research - Superannuation Fraud 2016
4758677	Business Research and Innovation Initiative Applications
4763716	Counter Terrorism Financing Summit Sydney 2015 - Communications and Products Team
4766534	Serious Financial Crime - ATO Section 355 Requests
4776113	Senate Estimates - May 2016
4778582	Business Improvement Plans 2016-17
4780216	IIA - Fortnightly Government Overview reporting 2016-2017
4785027	Inquiry into Foreign Bribery
4789799	Operational Intelligence Analysis & Research - Trade Based Money Laundering - TBML
4791376	Egmont Plenary Australia 2018
4792283	AML/CTF Act review implementation - Simplification of the AML/CTF Rules

File Number	File Name
4792296	FATF Plenary Meeting Busan June 2016
4792556	APG - Asia Pacific Group Annual Meeting Dhaka July 2016
4796992	Intelligence Branch - National Manager 2016 - 2017
4797308	ACC FUSION Data requests 2016-2020
4797610	Corporate Portfolio Planning - 2016 - 2017
4802399	Media Enquiry Responses 2016-17
4805037	Media monitoring clippings 2016-17
4805226	Media Releases 2016-17
4814982	Social media operations 2016
4831770	Talking Points
4834845	Briefs to the Minister 2016
4836144	AUSTRAC Fortnightly Activities Report
4836407	Standard Operating Procedures - Compliance Remittance Sector
4838534	Client Services Industry Contribution Campaign - May 2016
4839008	Counter Terrorism Financing Summit Bali 2016
4839257	Client Services Risk Assessment Campaign - May 2016
4839498	FATF - Risks, Trends and Methods Group (RTMG) - June 2016 Meeting
4840165	Media weekly meetings 2016
4841755	Inspector General of Intelligence & Security, reporting 2016-2021
4845577	Operational Intelligence Analysis & Research - China SMRs
4848835	INTL MOU - Cambodia
4856457	Strategic Policy Strategy - Stored Value Cards
4867165	Operational Intelligence Analysis & Research - Online betting
4870535	CBM Report Type Statistics - 2016/2017
4880863	National Disruption Group 2016-2017
4881801	New Zealand Department of Internal Affairs
4886671	Profiling and Detection Research 2016
4887592	Profiling and Detection Miscellaneous 2016
4888334	RUSI - Lone actors and small cell terrorism between 2000 and 2015
4889322	Part 11 Secrecy and Access - Revised Legal Position Paper
4889988	AI Reason for Access Data 2015-16
4890320	TES Reason for Access Data 2015-16
4893913	Intelligence Products and Disseminations 2016-17
4894716	Risk Assessments Team - Credit Unions and Building Societies Risk Assessment 2016
4895422	Risk Assessments Team - Stored Value Cards Risk Assessment 2016
4902707	Operational Intelligence Analysis & Research - Panama Papers
4903745	International Meetings 2016-17

File Number	File Name
4905263	AML/CTF Act review implementation - Objects of the Act and CEO powers
4906048	AML/CTF Act review implementation - CTF measures
4906171	AML/CTF Act review implementation - Secrecy and Access reform
4906418	AML/CTF Act review implementation - Removal of cash-in-transit service
4906428	AML/CTF Act review implementation - Regulation of DNFBPs
4907023	AML/CTF Act review implementation - Enhanced enforcement toolkit
4907530	AML/CTF Act review implementation - Enhanced regulation of remittance sector
4911846	International MOU Templates
4916421	Compliance AML/CTF Act and Rules Review 2016
4916834	CEO Priority Regulatory Modelling
4921568	Trusted Partners Concept and Approach
4922671	Intelligence Capability and Tradecraft - Consultation 2016
4931845	Operational Intelligence Analysis & Research - Pay Per View Child Exploitation Material
4935557	Work Health and Safety Framework 2016
4952079	Promoting a workplace free of harassment, bullying and discrimination - 2016
4952897	TD&LG Unsolicited Information 2016-2017
4955443	INTL MOU - Malta
4959194	IT Change Management - CM6600 - CM6799
4960812	AML/CTF Rules - Exemption request for Private Trustees
4968885	Monthly Country Macro Monitoring Reports 2016
4969171	Designated Work Groups and Election of HSRs
4977800	External Correspondence – Registration Team 2016-17
4978061	RSR Registration - Reporting Entity Correspondence 2016-17
4979156	Witness Statements - Registration Team 2016-17
4979207	General Enquiries and Requests - Registration Team 2016-17
4979365	RSR Registration - S75N Notices and Responses 2016-17
4979561	Operational Intelligence Analysis & Research - Gold Bullion
4979899	UAE Visit Programs
4980008	Major Reporters 2016-17 - Data Quality
4980066	Templates and Guidance Documents - Registration Team 2016-17
4980203	16/326 - MOU - Racing Integrity Commissioner Victoria
4980301	RSR Registration - Request for Removals 2016-17
4980302	RSR Registration - Request for Material Changes 2016-17
4980587	RSR Registration - Cease and Desist Letters 2016-17
4980629	RSR Registration - Application Vetting Documents 2016-17
4980881	Counter-Terrorism Financing (CTF) Summit Bali 2016 - IT Operations
4981573	Major Reporters 2016-17 - Referrals

File Number	File Name
4983476	Major Reporters 2016-17 - Meetings and Briefs
4985687	Referrals - Compliance Remittance Sector 2016-17
4986117	General Enquiries and Requests - Compliance Remittance Sector 2016-17
4989689	Intelligence Liaison - Compliance Remittance Sector 2016-17
4989886	Digital and Business Transformation - Team Planning 2016 - 2017
4990448	Assessments - Compliance - Remittance Sector 2016-17
4991579	Education & Awareness - Compliance Remittance Sector 2016-17
4991764	Australian Remittance and Currency Providers Association (ARCPA) Liaison 2016-17
5010855	Major Reporters 2016-17 - International Liaison
16/010	Contact Centre Correspondence Jan - Mar 2016
16/011	Contact Centre Correspondence Apr - Jun 2016
16/012	Contact Centre Correspondence Jul - Sep 2016
16/013	Contact Centre Correspondence Oct - Dec 2016
16/030	Executive Assistant Support - CEO - 2016
16/051	Outbound / Inbound Searchlight letters 2016
16/052	Reporting Entity Roll Removal Requests 2016
16/054	Client Services Enrolment Correspondence Oct - Dec 2016
16/055	Client Services Enrolment Correspondence Jul - Sep 2016
16/056	Client Services Enrolment Correspondence Jan - Mar 2016
16/057	Client Services Enrolment Correspondence Apr - Jun 2016
16/080	MOU - New South Wales Independent Liquor and Gaming Authority
16/098	DFAT Government Partnership Fund - Indonesia PAPP 2016
16/157	MOU - Independent Commissioner Against Corruption - ICAC SA
16/185	AML/CTF Rules - Original Amendment Instruments made by the CEO
16/234	Papua New Guinea (PNG) - Funding and Reporting Records
16/258	Australia Post Pricing Statements and Mail Receipts 2014-2016
16/259	Sydney Newspaper Delivery Slips - 2015
16/260	Sydney Newspaper Delivery Slips - 2016
16/261	Sydney Express and Registered Post Log Books 2014-2016
	Desk Review 2015-16 - DJ Carmichael Pty Ltd
	Desk Review 2015-16 - Advance Finance Pty Ltd
	Desk Review 2015-16 - Morgans Corporate Limited
	Desk Review 2015-16 - Bank of Queensland
	Desk Review 2015-16 - Suncorp-Metway Ltd
	Desk Review 2015-16 - Patersons Securities Limited
	Desk Review 2015-16 - KVB FX Pty Ltd
	Desk Review 2015-16 - IG Markets Limited

File Number	File Name
	Desk Review 2015-16 - Cambridge Mercantile (Australia) Pty Ltd
	Desk Review 2015-16 - Deutsche Bank DBG
	Desk Review 2015-16 - Rabobank Australia DBG
	Desk Review 2015-16 - Bank of Sydney Ltd
	Desk Review 2015-16 - Mizuho Bank DBG
	Desk Review 2015-16 - SMBC DBG
	Desk Review 2015-16 - Arab Bank Australia Limited
	Desk Review 2015-16 - CMC Markets DBG
	Desk Review 2015-16 - State Bank of India
	Desk Review 2015-16 - Mega International Commercial Bank Co Ltd
	Desk Review 2015-16 - RBC Australia DBG
	Desk Review 2015-16 - Investec Australia Limited DBG
	Desk Review 2015-16 - Baccus Investments Limited
	Desk Review 2015-16 - Baptist Financial Services Australia Ltd
	Desk Review 2015-16 - Northcape Capital Pty Ltd
	Desk Review 2015-16 - Union Standard International Group Pty Ltd
	Desk Review 2015-16 - OzForex Limited
	Desk Review 2015-16 - Morgan Stanley Australia DBG
	Desk Review 2015-16 - The Bank of New York Mellon
	Desk Review 2015-16 - Pershing Securities Australia Pty Ltd
	Desk Review 2015-16 - Stone Ridge Ventures Pty Ltd
	Desk Review 2015-16 - China Construction Bank Corporation
	Desk Review 2015-16 - Perpetual DBG
	Desk Review 2015-16 - Standard Chartered Bank
	Desk Review 2015-16 - Shaw Stockbroking DBG
	Desk Review 2015-16 - Macquarie Group DBG
	Desk Review 2015-16 - Bank of America Merrill Lynch
	Desk Review 2015-16 - Bank of Tokyo Mitsubishi UFJ
	Desk Review 2015-16 - State Street DBG
	Desk Review 2015-16 - Bank of New York Mellon
	Desk Review 2015-16 - Citigroup DBG
	Desk Review 2015-16 - JP Morgan
	2016-0001 Legal Matter - Beneficial Ownership Information and Risk Assessment
	2016-0012 Legal Matter - Witness statement SOP
	2016-0014 Legal Matter - Options for Secondment / Joint appointment with ANU
	2016-0016 Legal Matter - Interpretation of section 136 AML/CTF Act
	2016-0017 Legal Matter - Ability of Victoria Police to prosecute Commonwealth offences

File Number	File Name
	2016-0018 Legal Matter - Use of Counter Terrorism Summit logo
	2016-0019 Legal Matter - Indemnity for non-compliance with the AML/CTF Act upon request of a partner agency or the AUSTRAC CEO
	2016-0020 Legal Matter - Access to CrimTrac National Police Checking Service - MOU
	2016-0021 Legal Matter - Draft APRA MOU
	2016-0022 Legal Matter - Draft amends to Chapter 22 of the AML/CTF Rules
	2016-0023 Legal Matter - AFP Legal - request for consult
	2016-0024 Legal Matter - TF Survey
	2016-0027 Legal Matter - Unsuccessful notification of AUSTRAC's submission to seek access to Telecommunications Data
	2016-0028 Legal Matter - AUSTRAC ACC MOU
	2016-0029 Legal Matter - Intel referrals to Compliance
	2016-0031 Legal Matter - Definition of property under a remittance arrangement
	2016-0032 Legal Matter - Issues regarding publication of IFTI information on AUSTRAC Website
	2016-0033 Legal Matter - ATO Data Matching Project
	2016-0034 Legal Matter - Legal assistance on drafting templates for procurement of construction services
	2016-0035 Legal Matter - Advice on ASIC's disclosure of IFTIs
	2016-0036 Legal Matter - AUSTRAC's power to compel the provision of customer information held by EGM venues
	2016-0037 Legal Matter - Privacy matters in MOU
	2016-0038 Legal Matter - MoU Aust Securities & Investment Commission (ASIC)
	2016-0039 Legal Matter - Legislative interpretation of mandatory AML/CTF Act requirements
	2016-0043 Legal Matter - Advice regarding the use of AUSTRAC information for a NZ warrant affidavit
	2016-0044 Legal Matter - SMRs Approved Forms
	2016-0045 Legal Matter - FAQ document section 10 designated remittance arrangement
	2016-0046 Legal Matter - Provision of information to EUROPOL
	2016-0052 Legal Matter - AUSTRAC SAPOL MOU
	2016-0053 Legal Matter - Application of s49 information by AFP
	2016-0054 Legal Matter - Canberra Fit-out
	2016-0056 Legal Matter - Regulatory Powers (Standard Provisions) Act 2014 - Second Implementation
	2016-0058 Legal Matter - Who are designated service providers for Stored Value Cards for items 21 – 24?
	2016-0059 Legal Matter - AUSTRAC/ South Australia ICAC MOU
	2016-0060 Legal Matter - Submission for adoption of Regulatory Powers ACT.
	2016-0061 Legal Matter - Where to calculate 'business days' for section 43 reports

File Number	File Name
	2016-0062 Legal Matter - Applicability of AML/CTF Act to the NDIS National Disability Insurance Scheme
	2016-0064 Legal Matter - Advice re s167 notice template and cover letter
	2016-0067 Legal Matter - Meaning of 'administrative action' in data-matching context
	2016-0068 Legal Matter - Information to be reported in a TTR regarding gambling services
	2016-0069 Legal Matter - AFP Ready reference guide - section 49 information
	2016-0071 Legal Matter - CDPP Advice regarding potential prosecution under section 74
	2016-0072 Legal Matter - Use of AUSTRAC Material
	2016-0073 Legal Matter - Attorney-General's Department - Freedom of Information Recommendations - Belcher Red Tape Review
	2016-0074 Legal Matter - Section 24(1) Public Service Act Determinations
	2016-0075 Legal Matter - Review of Legal Services and Rules
	2016-0076 Legal Matter - Advice on application of section 32 contravention
	2016-0078 Legal Matter - Review of Contract Variation for Official Order executed under Australian Government Telecommunications Arrangements (AGTA)
	2016-0080 Legal Matter - Request for assistance with Access and Exemptions
	2016-0081 Legal Matter - Australian Taxation Office - Memorandum of Understanding
	2016-0085 Legal Matter - Integrated Ice Response Taskforce
	2016-0086 Legal Matter - Northern Territory Policy Query - Structuring Offence
	2016-0087 Legal Matter - Legal guidance re designated services - operating leases
	2016-0088 Legal Matter - AC099 Tender Submission - Refit of 2,4 National Circuit, Canberra
	2016-0089 Legal Matter - Whether the paying out of matured investments constitutes a designated service
	2016-0091 Legal Matter - Review of draft Information Sharing SOP
	2016-0093 Legal Matter - Sharing of Information with the ACC
	2016-0095 Legal Matter - Underwriting and book building
	2016-0097 Legal Matter - Memo / Briefing note template
	2016-0098 Legal Matter - DFAT MOU
	2016-0099 Legal Matter - Registration renewal – is it a new application or an extension of existing registration?
	2016-0101 Legal Matter - Proactive disclosure of AUSTRAC information
	2016-0104 Legal Matter - Disclosure of DIBP information to AUSTRAC
	2016-0106 Legal Matter - Whether need to report all the customer's business names in a TTR
	2016-0109 Legal Matter - Beneficial owner identity information
	2016-0111 Legal Matter - Enforcement of the AML/CTF Act by AUSTRAC
	2016-0114 Legal Matter - Legal advice re Procurement and confidentiality agreements
	2016-0116 Legal Matter - Whether ACC continues to be a designated agency after mergers with Crimtrac to become ACIC

File Number	File Name
	2016-0117 Legal Matter - Review of AUSTRAC Business Profile Form Explanatory Guide
	2016-0118 Legal Matter - Disclosure of AUSTRAC information to the DSA by the AFP and AUSTRAC
	2016-0119 Legal Matter - Input to Incoming Government Brief
	2016-0120 Legal Matter - Disclosure of AUSTRAC information to SOHQ
	2016-0121 Legal Matter - Disclosure of AUSTRAC information to a non-designated Commonwealth agency
	2016-0002 Legal Matter - Legal Matter - Restricted - Advices for the IIRT
	2016-0001 Legal Matter - Contractor Daily rate and Performance management