



# Royal Commission into Misconduct in the Banking, Superannuation and Financial Services Industry

## Additional Tender Documents

Item	Document ID	Document title	Document date	Exhibit
1.	ASIC.0015.0001.4173	20171120 – NFA Memo – Andrew Smith.docx	20/11/2017	EXHIBIT #2.279
2.	ASIC.0016.0001.1024	20171114 – NFA Recommendation – Adam Palmer.docx	14/11/2017	EXHIBIT #2.280
3.	SUN.1201.0701.0144	SPSL Deed of Delegation 19 September 2017 (Signed)	27/10/2017	EXHIBIT #5.425
4.	SUN.1501.0005.3522	Item 13 - Board Submission - SPSL Board ADA	9/09/2016	EXHIBIT #5.426
5.	SUN.1501.0005.5446	Item 7 - SLSL Fee Recovery Submission FY16	6/06/2017	EXHIBIT #5.427
6.	SUN.1526.0100.0015	05-13Jun17 SPSL (Signed)	19/09/2017	EXHIBIT #5.428
7.	SUN.1513.0005.0539	6. SLSL - Workforce Group Life Policy Document	4/07/2018	EXHIBIT #5.429
8.	RCD.9999.0066.0001	KWM email	12/08/2018	EXHIBIT #5.430
9.	ASIC.0040.0002.0080	2013 - Suncorp - Adviser letter.pdf	6/07/2018	EXHIBIT #5.431
10.	CBA.9000.0089.1000	Witness Statement of Mark Ballantyne dated 1 August 2018 (5-65)	1/08/2018	EXHIBIT #5.432
11.	AMP.6000.0020.7137	AFS-Fact-Sheet-Getting-to-know-your-AFS.pdf	8/03/2018	EXHIBIT #5.433
12.	AMP.6000.0141.3008	[SIGNED] SST Financial Report 30 June 2017 Final 20170927.pdf	3/10/2017	EXHIBIT #5.434
13.	AMP.6000.0145.2882	[SIGNED] SDF Financial Report 30 June 2017 Final 20170927.pdf	3/10/2017	EXHIBIT #5.435
14.	NAB.160.009.7669	20180305 NULIS APRA Qrtly Liaison Mtg Briefing Planner Updated 4 March 930pm.docx	4/03/2018	EXHIBIT #5.436
15.	RCD.0006.0014.0001	CBA ASX Announcement 9 October 2018	9/10/2018	EXHIBIT #5.437
16.	CBA.1004.0040.6282	00 CFSIL Board Pack 020916.pdf	2/09/2016	EXHIBIT #5.438
17.	IFL.0051.0002.0002	IOOF - Ltr to IOOF re SOARS stance and Blueprint	4/09/2018	EXHIBIT #5.439
18.	IFL.0051.0001.0001	EF 27.9.18 signed	30/10/2018	EXHIBIT #5.440
19.	IFL.0051.0001.0002	IIML Board Paper- reimbursement of reserves REVISED	26/10/2018	EXHIBIT #5.441
20.	IFL.0051.0003.0001	iimlmins251018 RSE	30/10/2018	EXHIBIT #5.442
21.	APRA.0007.0007.0001			EXHIBIT #5.443
22.	DTT.0001.0004.0026	20180516 Breach Review Meeting IBR2486 Motor Terroris Premium - minutes v1.0.doc	18/05/2018	EXHIBIT #6.425
23.	ALZ.0001.0089.0164	AAL36432-20180530175716	30/05/2018	EXHIBIT #6.426
24.	ALZ.0001.0071.9210	AAL36432-20180604202420	4/06/2018	EXHIBIT #6.427
25.	ALZ.0001.0089.0335	AAL36432-20180604202433	4/06/2018	EXHIBIT #6.428
26.	ALZ.0001.0097.0006	AAL36781-20170824123839	24/08/2017	EXHIBIT #6.429

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27.	ALZ.0001.0164.0011			EXHIBIT #6.430
28.	ALZ.0001.0164.0019			EXHIBIT #6.431
29.	ALZ.0001.0164.0001			EXHIBIT #6.432
30.	ALZ.0001.0097.2790	54535EE13344C3DCCA2581B40014F309.dxl	9/10/2017	EXHIBIT #6.433
31.	ALZ.0001.0097.2795	> Fw: AAIL key laws 13062017 [INTERNAL]	9/10/2017	EXHIBIT #6.434
32.	ALZ.0001.0097.3304	0D7E1DCFB1186FF4CA2581C4002BCADE.dxl	25/10/2017	EXHIBIT #6.435
33.	ALZ.0001.0097.3307	Comment A5 Compliance plan link from the Intranet.docx	25/10/2017	EXHIBIT #6.436
34.	ALZ.0001.0097.3309	Key Law Review 2016: Australia and New Zealand	25/10/2017	EXHIBIT #6.437
35.	ALZ.0001.0097.2719	223696E01CC6155ECA2581A800239ECE.dxl	27/09/2017	EXHIBIT #6.438
36.	ALZ.0001.0097.2724	RiCo Report	26/09/2017	EXHIBIT #6.439
37.	ALZ.0001.0097.2998	AE2427AD1E55E563CA2581B400166DD6.dxl	9/10/2017	EXHIBIT #6.440
38.	ALZ.0001.0097.3002	Microsoft Word - Annual Review of Compliance Charter Final.doc	28/06/2017	EXHIBIT #6.441
39.	ALZ.0001.0097.3003	Microsoft Word - Compliance Charter 2017 draft.doc	28/06/2017	EXHIBIT #6.442
40.	ALZ.0001.0097.3317	Title of the presentation	12/10/2016	EXHIBIT #6.443
41.	ALZ.0001.0097.3326	BOARD REPORT	10/12/2016	EXHIBIT #6.444
42.	ALZ.0001.0097.3338	RCO meeting minutes 19 Oct .doc	3/10/2017	EXHIBIT #6.445
43.	ALZ.0001.0097.3327	RCO Compliance Guide May 2017.doc	25/10/2017	EXHIBIT #6.446
44.	ALZ.0001.0097.2892	TIO Post Integration review [INTERNAL]	9/10/2017	EXHIBIT #6.447
45.	ALZ.0001.0097.2864	QA Planning calendar 08052017.xlsx	8/05/2017	EXHIBIT #6.448
46.	ALZ.0001.0097.2807	Compliance QA Program Paper 18102016.docx	10/11/2016	EXHIBIT #6.449
47.	ALZ.0001.0097.2854	Microsoft Word - Privacy Review-NotificationMemo-12March2017.docx	13/03/2017	EXHIBIT #6.450
48.	ALZ.0001.0097.2799	AGA-PolicyLifecycleQA-NotificationMemo-9May2017-JM.docx	9/05/2017	EXHIBIT #6.451
49.	ALZ.0001.0097.2803	Microsoft Word - B&A-PolicyLifecycleQA-NotificationMemo-June Draft.docx	27/06/2017	EXHIBIT #6.452
50.	ALZ.0001.0097.2888	Microsoft Word - SmallBusiness Direct-PolicyLifecycleQA-NotificationMemo-22092017_FINAL.docx	22/09/2017	EXHIBIT #6.453
51.	ALZ.0001.0097.3043	0207F6374BB6E8BDCA2581B500791FCB.dxl	11/10/2017	EXHIBIT #6.454
52.	ALZ.0001.0097.3046	AWP Policy Lifecycle report Final.docx	11/10/2017	EXHIBIT #6.455
53.	ALZ.0001.0097.3056	B&A Policy Lifecycle report .docx	13/09/2017	EXHIBIT #6.456
54.	ALZ.0001.0097.3378	C613590CC989BA7CCA2581C4002C6167.dxl	25/10/2017	EXHIBIT #6.457
55.	ALZ.0001.0097.3382	> Re: Accepted: Compliance Scorecard and ARICO report [INTERNAL]	25/10/2017	EXHIBIT #6.458
56.	ALZ.0001.0097.3384	ARiCo report	25/10/2017	EXHIBIT #6.459
57.	ALZ.0001.0097.3385	Compliance Scorecard [INTERNAL]	25/10/2017	EXHIBIT #6.460
58.	ALZ.0001.0097.3386	RCO Meeting Minutes August 2016 - RCO survey results.doc	25/10/2017	EXHIBIT #6.461
59.	ALZ.0001.0097.3390	Tickit Evidence Gathering and Monitoring Procedure-29.12.2016-FINAL.pdf	25/10/2017	EXHIBIT #6.462

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60.	ALZ.0001.0097.3012	CRA Report 20161212 .docx	12/12/2016	EXHIBIT #6.463
61.	ALZ.0001.0097.3011	Compliance risk - group initial scoping.xlsm	9/10/2017	EXHIBIT #6.464
62.	ALZ.0001.0097.3019	sample Incident form with Root Cause check as part of compliance sign off..pdf	9/10/2017	EXHIBIT #6.465
63.	ALZ.0001.0097.3434	5F5D6F4FE1ECC990CA2581C5007170CA.dxl	27/10/2017	EXHIBIT #6.466
64.	ALZ.0001.0097.3440	Microsoft Word - ~wtf14395E12	3/05/2017	EXHIBIT #6.467
65.	ALZ.0001.0097.3494	Roll-out Risk Maturity Approach_Europe.pptx	27/10/2017	EXHIBIT #6.468
66.	CBA.9000.0116.3000	Supplementary statement of Peter Chun in response to rubric 6-35	21/09/2018	EXHIBIT #6.469
67.	WIT.0001.0173.0001	Supplementary Statement of Mark Richard Milliner dated 21 September 2018 (6-51, 6-53, 6-51A)	21/09/2018	EXHIBIT #6.470
68.	TAL.500.052.2847	O Information Request - 2306.pdf	7/05/2018	EXHIBIT #6.471
69.	TAL.500.052.2960	O Other Correspondence - 41804.pdf	17/05/2018	EXHIBIT #6.472
70.	TAL.500.057.0017	Payment Advice.pdf	17/06/2016	EXHIBIT #6.473
71.	TAL.500.057.0020	1952322.pdf	7/05/2018	EXHIBIT #6.474
72.	TAL.500.057.0021	Retail IP Claim [redacted]	11/05/2018	EXHIBIT #6.475
73.	TAL.500.057.0026	Retail IP Claim [redacted]	11/05/2018	EXHIBIT #6.476
74.	TAL.500.057.0036	Internal Corro Re Premiums May 18	18/05/2018	EXHIBIT #6.477
75.	TAL.500.057.0686	RE: Policy [redacted]	18/05/2018	EXHIBIT #6.478
76.	TAL.500.080.0008	RE: [redacted]	28/09/2018	EXHIBIT #6.479
77.	TAL.500.080.0027	RE: Attention / Confidential: General Manager Claims / Ms Loraine van Eeden re [redacted]	28/09/2018	EXHIBIT #6.480
78.	TAL.500.080.0030	RE: Attention / Confidential: General Manager Claims / Ms Loraine van Eeden re [redacted]	28/09/2018	EXHIBIT #6.481
79.	TAL.500.080.0031	Attention / Confidential: General Manager Claims / Ms Loraine van Eeden [redacted]	28/09/2018	EXHIBIT #6.482
80.	TAL.500.080.0032	Letter TAL Missed Premium Payments 19092018.pdf	23/10/2018	EXHIBIT #6.483
81.	TAL.500.081.0004	FW: Policy No [redacted]- 6 Monthly Assessments	15/10/2018	EXHIBIT #6.484
82.	TAL.500.081.0007	FW: [redacted] Retail Claim IP		EXHIBIT #6.485
83.	AMP.6000.0141.2962	[SIGNED] ART Financial Report 30 June 2017 Final 20170927.pdf	3/10/2017	EXHIBIT #6.486
84.	AMP.6000.0145.2906	[SIGNED] NMRF Financial Report 30 June 2017 Final 20170927.pdf	3/10/2017	EXHIBIT #6.487
85.	AMP.6000.0145.2928	[SIGNED] ProSuper Financial Report 30 June 2017 Final 20170927.PDF	3/10/2017	EXHIBIT #6.488
86.	AMP.6000.0313.0001		27/09/2018	EXHIBIT #6.489
87.	RCD.0026.0002.0011	Charts - Chart 2 - revised 4-12-18	4/12/2018	EXHIBIT #6.490
88.	RCD.0026.0002.0012	Charts - Chart 6 - revised 4-12-18	4/12/2018	EXHIBIT #6.491
89.	RCD.0026.0002.0013	Charts - Chart 8 - revised 4-12-18	4/12/2018	EXHIBIT #6.492
90.	RCD.0026.0002.0014	Charts - Chart 10 - revised 4-12-18	4/12/2018	EXHIBIT #6.493
91.	RCD.9999.0076.0001	Letter to Solicitor Assisting – Rubric 6-7 witness statement	19/12/2018	EXHIBIT #6.494

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92.	APRA.0071.0001.0003	181106 - Enforcement Review - Project Plan.pptx	9/11/2018	EXHIBIT #7.156
93.	ASIC.0081.0001.5280	[M] AMP Executive Group & ASIC (Reset) [DLM=Sensitive]	4/6/2018	EXHIBIT #7.157
94.	RCD.9999.0076.0001	Letter from Shayne Elliott to Commissioner Hayne	7/12/2018	EXHIBIT #7.158