



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

Round 5 – Additional Tender Documents – 28/08/2018

	Document ID	Document title	Document date	Exhibit No.
Host-Plus				
1.	HOS.0005.0003.7082_E	Draft Australian Asset Owner Stewardship Code	15 March 2018	EXHIBIT #5.362
IOOF				
2.	IFL.0027.0001.3457	The Portfolio Service Retirement Fund Annual Financial Report for the Financial Year ended 30 June 2015	28 October 2015	EXHIBIT #5.366
3.	APRA.0002.0004.5205	APRA Memorandum, “IOOF Group – Status of Governance Review”	21 July 2016	EXHIBIT #5.367
United Super/CBUS				
4.	CBUS.0001.0010.3208	Cbus-United Super Pty Ltd, Audit & Risk Management Committee Agenda	20 May 2015	EXHIBIT #5.368
5.	CBUS.0001.0015.4890	United Super Pty Ltd, ATFT Construction and Building Industry Superannuation Fund, Member and Employer Services Committee Agenda	16 June 2016	EXHIBIT #5.369
Suncorp				
6.	SUN.1506.0011.0229	Board Submission, Suncorp Life & Superannuation Limited Fee Recovery	1 June 2016	EXHIBIT #5.371
7.	SUN.1506.0011.0267	Reserves Committee Submission July 2015, Expense Recovery From Reserves - Suncorp Master Trust (SMT) to Suncorp Portfolio Services Limited (SPSL)	June 2015	EXHIBIT #5.372
8.	SUN.1506.0011.0260	Board Submission, Expense Recovery From Reserves - Suncorp Master Trust (SMT) to Suncorp Portfolio Services Limited (SPSL)	12 June 2014	EXHIBIT #5.373
9.	SUN.1506.0011.0058	Board Submission, Expense Recovery to Suncorp Portfolio Services Limited (SPSL) from reserves in the Suncorp Personal Superannuation Division (SPSD) of the Suncorp Master Trust (SMT)	6 June 2013	EXHIBIT #5.374

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10.	SUN.1505.0002.0041	Document Approval Process form for Distribution Agreement (SFS, SPST and SLSL)	24 June 2013	EXHIBIT #5.375
ANZ / ASIC				
11.	ANZ.800.973.0590	ANZ - Enforceable Undertaking (draft)	2 October 2017	EXHIBIT #5.376
12.	ANZ.800.973.0734	ANZ Smart Choice - Terms of draft EU – Comparison	25 January 2018	EXHIBIT #5.377
13.	ASIC.0041.0001.3175	Letter from ASIC to Allens re ANZ Smart Choice Super investigations	23 March 2018	EXHIBIT #5.378
14.	ASIC.0041.0001.3662	Letter from Allens to ASIC re ANZ Smart Choice Super Investigation – Draft Enforceable Undertaking (EU)	28 March 2018	EXHIBIT #5.379
15.	ASIC.0041.0001.3568	Letter from ASIC to Allens re ANZ Smart Choice Super investigation	15 May 2018	EXHIBIT #5.380
16.	RCD.0001.0035.0003	ANZ Submission to the Royal Commission	29 January 2018	EXHIBIT #5.422
NAB / ASIC				
17.	ASIC.0036.0001.2400	The Employee Retirement Plan Product Disclosure Statement	20 June 2012	EXHIBIT #5.381
18.	ASIC.0036.0001.2421	Undated, SWiFT Member Significant Event Notice Final	Undated	EXHIBIT #5.382
19.	ASIC.0039.0001.8329	MLC MasterKey Business Super- Product Disclosure Statement	10 September 2012	EXHIBIT #5.383
20.	ASIC.0039.0001.6657	Encompass Employer SEN Template Letter	Undated	EXHIBIT #5.384
21.	ASIC.0039.0001.6663	Encompass Employer Super Reference Guide	1 September 2012	EXHIBIT #5.385
22.	ASIC.0039.0001.6660	Encompass Employer SEN Template Letter	Undated	EXHIBIT #5.386
23.	NAB.020.007.5849_E	MLC Board Sub-Committee Meeting papers	5 February 20013	EXHIBIT #5.387
24.	NAB.005.751.0001	Legal Memorandum – MKBS and MKPS fees – Final	14 July 2015	EXHIBIT #5.388
25.	NAB.156.040.9079	Letter NAB to ASIC re Advice Fees	24 July 2015	EXHIBIT #5.389
26.	ASIC.0036.0002.1086	Email Cooke to Murphy	24 August 2015	EXHIBIT #5.390
27.	NAB.076.088.4467	Draft Legal Product Analysis	March 2015	EXHIBIT #5.391
28.	NAB.076.055.7032	Emails between Woolrich and Murphy	7 September 2016	EXHIBIT #5.393
29.	ASIC.0038.0001.1286	Services Agreement between NULIS and National Wealth Management Services	30 June 2016	EXHIBIT #5.394
30.	NAB.162.011.1708	Plan Service fees note	19 June 2016	EXHIBIT #5.395
31.	NAB.005.562.1746_E	Extract of MLCN, NULIS and PFSN Board papers	7 April 2016	EXHIBIT #5.396
32.	ASIC.0036.0001.7320	Email from Mullaly to Cook re Plan Service Fee Conduct	7 December 2017	EXHIBIT #5.397
33.	NAB.155.056.7779	Remediation Strategy for Adviser Remuneration Suppression	18 April 2018	EXHIBIT #5.398

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34.	NAB.155.056.7773	Appendix 2: Impacted product breakdown - Suppressed Adviser Service Fees and Commissions	Undated	EXHIBIT #5.399
35.	ASIC.0039.0002.0873	Online Superannuation Breach Notification Form	23 December 2014	EXHIBIT #5.400
36.	NAB.005.521.0729	MLC MasterKey Personal Super – Product Disclosure Statement	30 September 2016	EXHIBIT #5.401
37.	NAB.174.006.8037	SWiFT Member Booklet	9 January 2012	EXHIBIT #5.402
38.	ASIC.0039.0001.8329	MLC Masterkey Business Super Product Disclosure Statement	10 September 2012	EXHIBIT #5.403
39.	ASIC.0039.0001.6695	MLC Masterkey Business Super Reference Guide	1 September 2012	EXHIBIT #5.404
40.	NAB.182.001.2033	NAB email regarding ASIC's public report on Ongoing Advice Service Fees	19 October 2016	EXHIBIT #5.405
41.	ASIC.0036.0001.4590	NULIS letter to ASIC in response to s912C Notice	24 March 2017	EXHIBIT #5.423
42.	ASIC.0036.0001.2389	Changes to MLC MasterKey Personal Super Plan – Reference Guide	1 June 2012	EXHIBIT #5.424
AMP				
43.	APRA.0003.0001.5444	Breach report to ASIC	15 May 2018	EXHIBIT #5.406
44.	AMP.6000.0171.0001	ASL NM Super Board Papers	2 July 2018	EXHIBIT #5.407
45.	AMP.6000.0128.5995	ASL NM Super Board Papers	6 December 2016	EXHIBIT #5.408
46.	AMP.6000.0128.4486	ASL NM Super Board Papers	14 June 2016	EXHIBIT #5.409
47.	APRA.0004.0001.4034	Email from De Silva (APRA) to Previterra (AMP)	30 January 2018	EXHIBIT #5.410
48.	APRA.0004.0001.4038	Letter from De Silva (APRA) to Previterra (AMP)	30 January 2017	EXHIBIT #5.411
49.	AMP.6000.0006.0173	Licensee Incidents Panel – Meeting Agenda	9 November 2017	EXHIBIT #5.412
50.	AMP.6000.0006.0526	Licensee Incidents Panel – Meeting Minutes	9 November 2017	EXHIBIT #5.413
Westpac				
51.	WBC.900.001.0804	Witness statement of Melinda Suzanne Howes provided in response to Rubric 5-36	22 August 2018	EXHIBIT #5.414
Aon Hewitt				
52.	ASP.003.001.0001	Witness statement of Jennifer Dean provided in response to Rubric 5-59	3 August 2018	EXHIBIT #5.392
Colonial				
53.	CBA.0001.0459.1800	Email Vogues to Christopoulos re CFS Update – Transfer of ADA accounts	7 July 2016	EXHIBIT #5.415
54.	CBA.0001.0457.0777	Email Vogues to Canton re CFS Update – Transfer of ADA accounts	26 Jul7 2016	EXHIBIT #5.416
55.	CBA.0001.0459.1835	Email Vogues to Christopoulos re CFS Update – Transfer of ADA accounts	16 September 2016	EXHIBIT #5.417
56.	CBA.0001.0457.1162	Email Murray to Moder re ADA – FirstChoice Employer	6 October 2016	EXHIBIT #5.418

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		Super		
57.	CBA.1004.0040.2529	Agenda and Papers for Board Meeting No	25 August 2014	EXHIBIT #5.419
58.	CBA.0001.0451.3581	Filenote of meeting held on 29/07/2014 between APRA and CFS regarding ADA transition	29 July 2014	EXHIBIT #5.420
59.	ASIC.0041.0001.5339	CBA Response to ASIC Position Paper	17 March 2017	EXHIBIT #5.421