



ASIC

Australian Securities & Investments Commission

Guide to uploading credit representative details

Form CS03

Notifications about credit representatives

Screen layout

Progress menu

See at what stage of the form you are. You can click on a link to take you back to make corrections or review at any time.

Print form

Your form can be printed after completion.

Finish form later.

You can log off and finish the form later. (Make a note of the reference number.)

Help section

Useful links

Next button.

Click on this to go to the next section of the form.

The screenshot shows a web browser window titled "CS03 Form - Notification of changes to authorised credit representatives - Windows Internet Explorer". The page header includes the ASIC logo and "Australian Securities & Investments Commission" with "Form Manager" and "Credit Registered Persons portal" on the right. The main content area displays form details: "Test Database DESIGN DRAFT 30/04/2010", "Registered Person Name: THEO TANNER THEODOPOLOUS", "Credit Registration Number: 228487", and "Reference: 70113102". Below this is the title "Credit representatives Form CS03" and a note: "Please note that a maximum of 200 notifications about credit representatives can be made per lodgement. If you need more, you will have to lodge another Form CS03." A table with columns "Name" and "Action" follows, listing actions like "Appoint a credit representative", "Bulk upload of credit representatives (appointments only)", "Vary a credit representative", and "Cease a credit representative". A "Next" button is located at the bottom right of the table. The left sidebar contains a "Progress menu" with "Form CS03", "Credit representatives", and "Submit"; a "Print form" link; a "Finish form later" section with "Home - Forms Manager" and "Log off"; a "Help" section with "Email help", "How this works", and "Technical FAQ"; and a "Links" section with "ASIC guidance on credit", "Search ASIC", and "Search ABR". The footer contains "ASIC Home | Privacy Statement | Conditions of use | Feedback" and "Copyright 2003-2010 Australian Securities & Investments Commission." The browser status bar at the bottom shows "Done", "Trusted sites", and "100%".

The screens and data pictured in this guide are examples only. Actual screens may have minor differences in text and layout.



ASIC

Australian Securities & Investments Commission

Notifications about credit representatives

Use Form CS03 Notifications about credit representatives to appoint, cease or vary the details of credit representatives. Form CS03 can be lodged through both the Credit and AFS licensee portals. A maximum of 200 notifications about credit representatives can be made on each form CS03.

If you need to appoint large numbers of credit representatives at one time, you can upload an XML file containing details of multiple credit representatives into a Form CS03 in the Credit or AFS licensee portal.

Who can use this function?

Any credit registered person or body corporate credit representative with a portal login can use this function.

If you have details of your credit representatives entered into your own database, you can create a program to extract the credit representative details from that database and into an XML file that can then be uploaded into a Form CS03.

What restrictions are there?

- The bulk upload function is available only in the online Form CS03 in the Credit and AFS licensee portals.
- You can only use the bulk upload function to notify us of the appointment of credit representatives.
- A maximum of 200 notifications about credit representatives can be made on each form CS03. If you want to notify us of more than 200 appointments, you must split the appointments into lots of 200 and lodge multiple Forms CS03.

- Each XML file being uploaded cannot exceed 10MB in size.
- Each XML file being uploaded must conform to the credit representatives upload schema that we have published. If an uploaded XML file fails validation against the schema, we will reject it with error messages that explain why it was rejected. The schema is available at this url: [INSERT LINKS]
- Once an XML file has been validated against the schema, basic business rule validations will be conducted. If an uploaded XML file fails business rule validation, we will reject it with error messages that explain why it was rejected.

What happens once the details are uploaded?

Once the uploaded XML file has passed all validations, the credit representatives are added to the in-progress CS03. You can then view, modify or remove the details of the appointed credit representatives as required in order to complete the form. We don't retain the uploaded XML file as part of the CS03.

When you complete the Form CS03 and submit it to us, a final form validation occurs. It includes ABN/Name checking, address validations and checking against existing representatives.

When this final validation is successfully completed, the form will be submitted for lodgement. We will tell you if the lodgement succeeds or fails. If it fails, you can fix any problems and resubmit the CS03.

How does it work?

Start a Form CS03

Select the link, 'Bulk upload of credit representatives'.

The screenshot shows the ASIC Form Manager interface in a Windows Internet Explorer browser window. The page title is "CS03 Form - Notification of changes to authorised credit representatives". The ASIC logo and "Australian Securities & Investments Commission" are visible at the top. The page is titled "Form Manager" and "Credit Registered Persons portal".

The main content area displays the following information:

- Form CS03**: Test Database DESIGN DRAFT 30/04/2010
- Registered Person Name**: THEO TANNER THEODOPOLOUS
- Credit Registration Number**: 228487
- Reference**: 70113102

Below this information, the page is titled "Credit representatives Form CS03". A note states: "Please note that a maximum of 200 notifications about credit representatives can be made per lodgement. If you need more, you will have to lodge another Form CS03."

The page features a table with the following structure:

Name	Action
	Appoint a credit representative
	Bulk upload of credit representatives (appointments only)
	Vary a credit representative
	Cease a credit representative

A red arrow from the text on the left points to the "Bulk upload of credit representatives (appointments only)" link. A "Next" button is located at the bottom right of the table area.

At the bottom of the page, there are links for "ASIC Home", "Privacy Statement", "Conditions of use", and "Feedback", along with the copyright notice "Copyright 2003-2010 Australian Securities & Investments Commission."

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Upload the XML file

Step 1

To select the XML file you wish to upload, select the 'Browse' button.

CS03 Form - Notification of changes to authorised credit representatives - Windows Internet Explorer

ASIC
Australian Securities & Investments Commission

Form Manager
Credit Registered Persons portal

Form CS03
✓ Credit representatives
→ Credit representatives upload
→ Submit
Print form

Test Database DESIGN DRAFT 30/04/2010
Registered Person Name: THEO TANNER THEODOPOLOUS
Credit Registration Number: 228487
Reference: 70113102

Uploading multiple credit representative appointments Form CS03
If you require further instructions, please refer to the [Guide to uploading credit representative details](#).

Note: The maximum size of each attachment to this page is 10.0 MB(s).

Pathname

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Copyright 2003-2010 Australian Securities & Investments Commission.

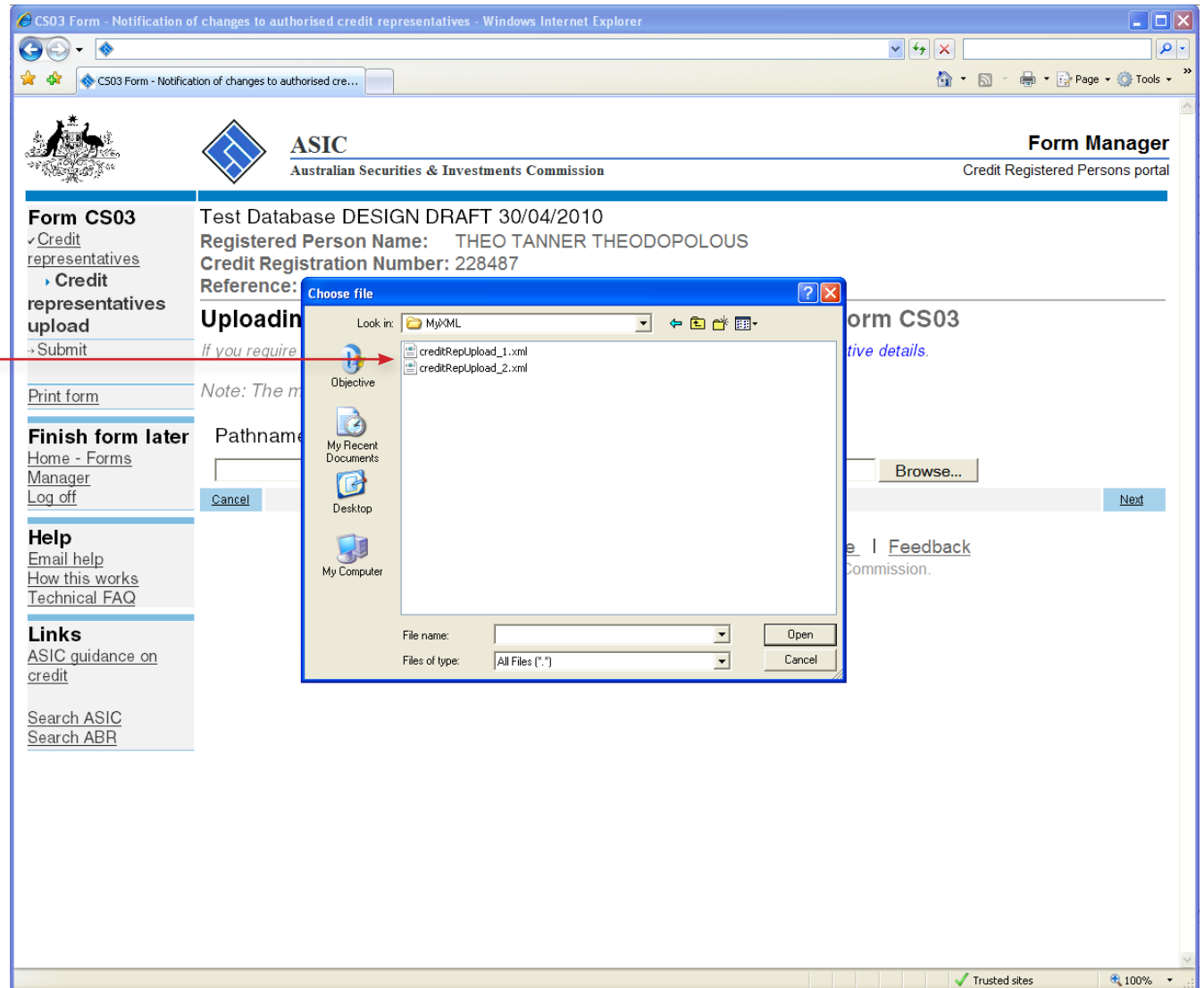
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Upload the XML file

Step 2

Select the XML file you wish to upload

A file selector dialogue box will open on your screen. Highlight the XML file you want to upload and select 'Open'



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Upload the XML file

Step 3

When you select the 'Next' button, your XML file will be uploaded and validated.

CS03 Form - Notification of changes to authorised credit representatives - Windows Internet Explorer

ASIC
Australian Securities & Investments Commission

Form Manager
Credit Registered Persons portal

Form CS03
Test Database DESIGN DRAFT 30/04/2010
Registered Person Name: THEO TANNER THEODOPOLOUS
Credit Registration Number: 228487
Reference: 70113102

Uploading multiple credit representative appointments Form CS03
If you require further instructions, please refer to the [Guide to uploading credit representative details](#).

Note: The maximum size of each attachment to this page is 10.0 MB(s).

Pathname
C:\TEMP\MyXML\creditRepUpload_1.xml

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Unsuccessful validation

Example 1

Here is an example of validation errors caused when the uploaded XML does not conform to the published ASIC schema.

You will need to take steps to correct these errors before you can upload the file again.

The screenshot shows the ASIC Form Manager interface in a Windows Internet Explorer browser. The page title is "CS03 Form - Notification of changes to authorised credit representatives". The ASIC logo and "Australian Securities & Investments Commission" are visible at the top. The page is titled "Form CS03" and "Test Database DESIGN DRAFT 30/04/2010". The registered person is "THEO TANNER THEODOPOLOUS" with registration number "228487" and reference "70113159". A red message states: "Some of the information is incomplete or invalid. Please check the form below. Uploading multiple credit representative appointments Form CS03". A note indicates the maximum attachment size is 10.0 MB(s). A "Pathname" field is present with a "Browse..." button. The validation errors are listed as follows:

- The XML document is invalid.
- Line:20 Column:13
 - cvc-complex-type.2.4.a: Invalid content was found starting with element 'address'. One of '{businessAddress}' is expected.
- Line:26 Column:22
 - cvc-complex-type.2.4.a: Invalid content was found starting with element 'disputeResolution'. One of '{externalSchemeDetails}' is expected.
- Line:38 Column:21
 - cvc-complex-type.2.4.b: The content of element 'bodyCorporate' is not complete. One of '{mayAppoint}' is expected.
- Line:40 Column:13
 - cvc-complex-type.2.4.a: Invalid content was found starting with element 'address'. One of '{businessAddress}' is expected.

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Unsuccessful validation

Example 2

Here is an example of business rule errors caused when the uploaded XML does not meet our business rules.

The screenshot shows the ASIC Form Manager interface in a Windows Internet Explorer browser. The page title is "CS03 Form - Notification of changes to authorised credit representatives". The ASIC logo and "Australian Securities & Investments Commission" are visible at the top. The page is titled "Form CS03" and displays the following information:

- Test Database DESIGN DRAFT 30/04/2010
- Registered Person Name: THEO TANNER THEODOPOLOUS
- Credit Registration Number: 228487
- Reference: 70113161

A red error message states: "Some of the information is incomplete or invalid. Please check the form below." The main heading is "Uploading multiple credit representative appointments Form CS03". A note indicates: "If you require further instructions, please refer to the [Guide to uploading credit representative details](#). Note: The maximum size of each attachment to this page is 10.0 MB(s)."

Below the note is a "Pathname" input field with a "Browse..." button. At the bottom of the form area are "Cancel" and "Next" buttons.

The error list contains three items:

- The appointment date cannot be before the Credit start date: 20-10-2009 at /creditReps/creditRep
- Missing email address for new credit representative at /creditReps/creditRep
- Missing credit activities the credit representative is engaged in at /creditReps/creditRep[2]

At the bottom of the page, there are links for "ASIC Home", "Privacy Statement", "Conditions of use", and "Feedback", along with the copyright notice "Copyright 2003-2010 Australian Securities & Investments Commission".

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Unsuccessful validation

Example 3

Here is an example of an attempt to upload multiple credit representative appointments.

This error can occur if the same XML data is uploaded twice in error.

The screenshot shows the ASIC Form Manager interface in a Windows Internet Explorer browser. The page title is "CS03 Form - Notification of changes to authorised credit representatives". The ASIC logo and "Australian Securities & Investments Commission" are visible at the top. The page is titled "Form CS03" and "Test Database DESIGN DRAFT 30/04/2010". The registered person is "THEO TANNER THEODOPOLOUS" with registration number "228487" and reference "70113161". A red error message states: "Some of the information is incomplete or invalid. Please check the form below. Uploading multiple credit representative appointments Form CS03". Below this, a note says: "If you require further instructions, please refer to the Guide to uploading credit representative details. Note: The maximum size of each attachment to this page is 10.0 MB(s).". A "Pathname" field is present with a "Browse..." button. A list of errors is shown in red text:

- The Credit Representative "Smedley JONES" at path /creditReps/creditRep/repDetails/rep is already listed in this document.
- The Credit Representative Number "12333" at path /creditReps/creditRep[2]/repDetails/rep is already listed in this document.
- The Credit Representative "Aussie Pty Ltd" (ABN: 67090437371) at path /creditReps/creditRep [2]/repDetails/rep is already listed in this document.

At the bottom, there are links for "ASIC Home", "Privacy Statement", "Conditions of use", and "Feedback", along with the copyright notice "Copyright 2003-2010 Australian Securities & Investments Commission".

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Successful validation

When the uploaded credit representative details pass schema and business rule validations, the representative details are loaded into the Form CS03 and displayed as appointed representatives.

You can now modify or remove the representatives as required prior to submission. When you have completed the details of the credit representatives, press the "Next" button to proceed.

The screenshot shows the ASIC Form Manager interface in a Windows Internet Explorer browser window. The page title is "CS03 Form - Notification of changes to authorised credit representatives". The ASIC logo and name are at the top. The page is titled "Form Manager" and "Credit Registered Persons portal".

The main content area displays the following information:

- Form CS03**: Test Database DESIGN DRAFT 30/04/2010
- Registered Person Name**: THEO TANNER THEODOPOLOUS
- Credit Registration Number**: 228487
- Reference**: 70113102

A green message states: "Successfully uploaded 2 Credit Representative appointments into this document". A note below says: "Please note that a maximum of 200 notifications about credit representatives can be made per lodgement. If you need more, you will have to lodge another Form CS03."

A table lists the appointed credit representatives:

Name	Action
Appointed credit representative(s)	
Aussie Pty Ltd ABN: 67 090 437 371 Credit Representative Number: 12333 Appointed on 11/04/2010	EDIT REMOVE
JONES, Smedley 01/01/1970, Sydney, NSW, Australia Appointed on 10/04/2010	EDIT REMOVE

Below the table are links for:

- Appoint a credit representative
- Bulk upload of credit representatives (appointments only)
- Vary a credit representative
- Cease a credit representative

A "Next" button is located at the bottom right of the main content area. A red arrow points from the text in the left sidebar to this button.

The footer contains links for "ASIC Home", "Privacy Statement", "Conditions of use", and "Feedback".

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Submission

You have now prepared your form. You can review the contents of your form by using the menu or by printing the form.

Click the 'Next' button to submit the form.

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CS03 Form - Notification of changes to authorised cre...

ASIC
Australian Securities & Investments Commission

Form Manager
Credit Registered Persons portal

Form CS03
✓ Credit representatives
Submit

Test Database DESIGN DRAFT 30/04/2010
Registered Person Name: THEO TANNER THEODOPOLOUS
Credit Registration Number: 228487
Reference: 70113159

Print form

You have now prepared your form. You can review the contents of your form by using the menu or by printing the form.

Finish form later
Home - Forms
Manager
Log off

You must **submit** the form to **ASIC to have it lodged.**

Submit Now

When you submit this form it will be checked for discrepancies.

If any discrepancies are found, you will be provided with a list describing the discrepancies. You will need to correct and resubmit the form. The form will continue to appear on your "Form in progress" tray.

If there are no discrepancies, your form will be automatically submitted for lodgement.

Declaration
I declare that:

(a) this form is submitted under, and is compliant with, the terms and conditions of the ASIC Electronic Lodgement Protocol, and

(b) the information in this form is, to my knowledge and belief, complete, accurate and true.

(c) in accordance with clause 16.2 of the ASIC Electronic Lodgement Protocol, I am authorised by the registered person to submit this form for lodgement.

Yes No

Signatory

Given names

Family name

Capacity

director
 secretary
 partner
 trustee
 natural person
 agent
 other

If other selected, please specify

Submit

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Confirmation of submission

Your document has now been submitted for validation by ASIC.

The screenshot shows a web browser window titled "CS03 Form - Notification of changes to authorised credit representatives - Windows Internet Explorer". The address bar shows a URL from test.ebusiness.asic.gov.au. The page header includes the ASIC logo and the text "ASIC Australian Securities & Investments Commission" and "Form Manager Credit Registered Persons portal".

The main content area displays the following information:

- Form CS03**
- Confirmation**
- Test Database DESIGN DRAFT 30/04/2010
- Registered Person Name: THEO TANNER THEODOPOLOUS
- Credit Registration Number: 228487
- Reference: 70113159

Below this information, there is a section titled "Confirmation of Form Submission" with the message: "Your document was submitted for validation to ASIC on 30/04/2010 at 13:27:34." A "Next" button is located to the right of this message.

The left sidebar contains several sections:

- Finish form later**: Home - Forms, Manager, Log off
- Help**: Email help, How this works, Technical FAQ
- Links**: ASIC guidance on credit, Search ASIC, Search ABR

At the bottom of the page, there are links for "ASIC Home", "Privacy Statement", "Conditions of use", and "Feedback", along with the copyright notice "Copyright 2003-2010 Australian Securities & Investments Commission." The browser status bar at the bottom shows "Done", "Trusted sites", and "100%".

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