



**ASIC**

Australian Securities & Investments Commission

# eLicensing: Sample application

List of all questions that may be  
asked in the AFS licence application

Version 6

**WARNING:**

This is not an AFS licence application form.

It does not reflect the look and flow of our eLicensing online  
application.

Australian Securities and Investment Commission  
September 2004

## **What is this?**

This sample application incorporates all the questions that may appear in the AFS licence application plus notes on how the online application works. The online application looks different to this sample as it operates as a series of screens that will guide you through each step.

## **Who should read this?**

This guide will be most useful to advisers who need to know every possible question. Most applicants will only see some questions.

## **Do you need to answer all questions?**

Most likely no. This is because the questions you'll be asked in your application will depend on your answers to certain initial questions such as your entity type, the authorisations you are applying for, and the services and products you are currently providing and whether you currently hold a licence or insurance registration.

## **Warning**

This is NOT an application form and cannot be used to lodge an AFS licence application.

## **Enquiries?**

Email you questions to [FSRProjectOffice@asic.gov.au](mailto:FSRProjectOffice@asic.gov.au)

## AFS Licence Application Components:

Part A	Applicant & AFS licence details
Part B	AFS licensee requirements
Part C	Specific questions for more complex products and/or services
Part D	Certifications/Declarations
Part E	Proofs and evidences

Part A will determine what questions are asked in Parts B & C

Parts A, B, C will determine the requirements of Part D & E

**Note:** Once question A1 has been completed, the Name and ABN (or ACN/ARBN) will appear as a banner at the top of each page.

## Before you begin

### Your Privacy

The information requested in this application is required for the granting of an Australian financial services licence under the Corporations Act.

Some of the information collected as part of this application process will be made available to the public.

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ASIC's eLicensing service enables you to apply online for an Australian financial services (AFS) licence.

Your AFS licence will authorise you to conduct one or a number of financial service activities. The various activities are described in the AFS Licensing Kit.

The AFS licence has different types of services and products. You may apply for one or more of these types to be included on your licence. You must provide information and evidence on your capacity and competence to provide the financial service activities you are applying for. For more details see the AFS Licensing Kit.

### Warning

- Before commencing this application you must read and agree to the terms and conditions set out in *The ASIC Electronic Lodgement Protocol* - the legal agreement that governs the lodgement of documents electronically with ASIC.

Before you start using this service you should also be familiar with the following.

- *AFS Licensing Kit*
- *ASIC policy on AFS licence applications*
- *The instructions that explain how this service works*

If, after reading the above information, you still have unanswered questions, contact your Industry Body or email ASIC on [infoline@asic.gov.au](mailto:infoline@asic.gov.au).

If you don't complete this online application according to the instructions your application will not be accepted for lodgement by ASIC.

## Applying for an Australian financial services licence

Before commencing this application you must read and agree to the terms and conditions set out in *The ASIC Electronic Lodgement Protocol* - the legal agreement that governs the lodgement of documents electronically with ASIC.

Once you have started this application you can review previous questions and answers, save, print drafts of completed questions or exit at any time. You will need your user name, password, application number and ABN.

When you have completed this application you will need to submit it to ASIC. We will not start to process your application until you have submitted it.

Electronic submission of this application does not constitute lodgement. Lodgement will occur once ASIC receives the electronic submission plus required documentation - if incomplete it will be rejected. A lodged application will not be assessed until we have received the prescribed fee.

**Authenticated users will be able to review and resume incomplete transactions**

A0.0 I have read *The ASIC Electronic Lodgement Protocol* and agree to be bound by the terms and conditions.

Yes

No

A0.1 I have read the *The ASIC Licensing Kit*.

Yes

No

A0.2 Enter the ABN, ACN or ARBN of the proposed licensee (applicant) \_\_\_\_\_

**Note:**

*The Name and ABN/ACN/ARBN of the applicant to appear as a banner at the top of each screen.*

You must enter a user name and password to allow you access to your AFS licence application.

A0.3 Enter a user name of your choice

must contain a minimum of 6 characters

Enter a passphrase of your choice

must contain a minimum of 6, with at least one numeric character, up to a maximum of 16 characters

Confirm your passphrase

**Note - User name and Passphrase are case sensitive**

A0.4 Your application reference number is

XXXXXXXX

**Question A1      Applicant Details**

A1.1 Provide the following details for the entity applying for this AFS licence.

A1.1.1 Individual

A1.1.1.1 Date of birth

A1.1.1.2 Place of birth (City/Town, Country)

A1.1.2 Partnership

A1.1.2.1 All partners who will perform duties in connection with the holding of this AFS licence are required to sign this application. To tailor your declaration, indicate how many will be signing. \_\_\_\_\_

A1.1.3 Company

*Present the following message:*

*"You are applying for an AFS licence as a corporate entity. All details for Directors and the Secretary will be taken from the current record in ASIC's public database."*

A1.1.4 Trustees of a trust - a collection of persons who act together as trustee of a trust

A1.1.4.1 Is this trust a superannuation fund?

Yes       No

*If No go to A1.1.4.2.2, if Yes:*

Please provide:

A1.1.4.1.1 Superannuation fund name

A1.1.4.1.2 Superannuation fund number

A1.1.4.2 All trustees who will perform duties in connection with the holding of this AFS licence are required to sign this application. To tailor your declaration, indicate how many will be signing. \_\_\_\_\_

A1.1.5 Other

A1.1.5.1 To tailor your declaration, indicate how many will be signing.  
\_\_\_\_\_

A1.2 Principal business address

A1.3 Address for service of notices

A1.4 Entity's website address (optional)

A1.5 In performing activities relating to this AFS licence, will you be using a registered business name?

Yes       No

*If Yes go to A1. 5.1, if No go to A2*

A1.5.1 Provide the following details. If this business name is registered in more than one state, provide the following information in relation to the principal state of operation only for this business name.

A1.5.1.1 Business name

A1.5.1.2 Registered business name number

A1.5.1.3 State of registration

A1.5.2 Will you be using further registered business names?

Yes

No

**Question A2      Contact Details**

A2.1 Provide the following details for the person to whom we should direct all questions and correspondence on this application.

A2.1.1 Name *(First Given Name, Family Name)*

A2.1.2 Are you preparing this application on behalf of the applicant as an external service provider?

Yes       No

*If No go to A2.1.3, if Yes ask:*

A2.1.2.1 Provide the service provider's name and ABN(or ACN).

A2.1.2.1.1 Name \_\_\_\_\_

A2.1.2.1.2 ABN(or ACN) \_\_\_\_\_

A2.1.3 Email address *(Not Mandatory)*

*If email address provided:*

A2.1.3.1 Email is our preferred way to contact you. Can we use this email address to deliver correspondence and request(s) for further information/clarification?

Yes       No

A2.1.4 Telephone number

A2.1.5 Facsimile number *(Not Mandatory)*

If fax number provided:

A2.1.5.1 Can we use this fax number to deliver correspondence and request(s) for further information/clarification?

Yes       No

A2.1.6 Postal address

A2.1.7 DX address *(not mandatory)*

A2.2 Will this contact person be the ongoing contact for the AFS licence if the AFS licence is granted?

Yes       No

*If Yes go to A3. If No ask A2.3*

A2.3 Provide the following details for the ongoing authorised contact person for this AFS licence if it is granted. All questions and correspondence about this licence will be directed to this contact person if it is granted.

A2.3.1 Name *(First Given Name, Family Name)*

A2.3.2 Relationship to applicant:

A2.3.2.1 Licensee (including officers & staff)

A2.3.2.2 External service provider

A2.3.3 Email address *(Not Mandatory)*

*If email address provided:*

A2.3.3.1 Email is our preferred way to contact you. Can we use this email address to deliver correspondence?

Yes  No

A2.3.4 Telephone number

A2.3.5 Facsimile number *(Not Mandatory)*

*If fax number provided:*

A2.3.5.1 Can we use this fax number to deliver correspondence?

Yes  No

A2.3.6 Postal address

A2.3.7 DX address *(Not mandatory)*



**Question A4      Your AFS Licence Authorisations**

**A4.1 Provide Financial Product Advice**

A4.1.1 What type of financial product advice do you wish to be authorised for?

- A4.1.1.1 Provide Financial Product Advice
- A4.1.1.2 Provide General Financial Product Advice Only
- A4.1.1.3 Provide General Financial Product Advice Only To  
Wholesale Clients

A4.1.2 What products do you wish to be authorised for?

- A4.1.2.1 Deposit and Payment Products 
  - A4.1.2.1.1 Basic Deposit Products
  - A4.1.2.1.2 Non-basic Deposit Products
  - A4.1.2.1.3 Non-cash Payment Products
- A4.1.2.2 Derivatives

Or select one or more of the following

- A4.1.2.2.1 Derivatives - Wool only
- A4.1.2.2.2 Derivatives - Electricity only
- A4.1.2.2.3 Derivatives - Grain only
- A4.1.2.3 Foreign Exchange Contracts

A4.1.2.4 General Insurance

Select one of the following:

- A4.1.2.4.1 General Insurance Products
- A4.1.2.4.2 General Insurance - Consumer Credit Insurance Only
- A4.1.2.5 Government Debentures, Stocks or Bonds

A4.1.2.6 Life Products

Select from the following:

- A4.1.2.6.1 Investment Life Insurance Products
  - A4.1.2.6.2 Life Risk Insurance Products
  - A4.1.2.6.3 Life Products - Consumer Credit Insurance Only
- Combination A4.1.2.6.2 and A4.1.2.6.3 not permitted. All other combinations of products accepted.*

A4.1.2.7 Managed Investment Schemes (registered and/or unregistered)

Select from the following

- A4.1.2.7.1 Managed Investment Schemes, excluding IDPS
- A4.1.2.7.2 Managed Investments Schemes, including IDPS
- A4.1.2.7.3 IDPS only
- A4.1.2.7.4 Own Managed Investment Scheme only
- A4.1.2.7.5 Horse Racing Syndicate
- A4.1.2.7.6 Timesharing Scheme
- A4.1.2.7.7 MDA Services
- A4.1.2.8 Retirement Savings Account Products
- A4.1.2.9 Securities
- A4.1.2.10 Superannuation
- A4.1.2.11 Miscellaneous Financial Facility 
  - A4.1.2.11.1 Miscellaneous Financial Investment Products 
    - A4.1.2.11.1.1 Miscellaneous Financial Investment  
Products - MDA Services
  - A4.1.2.11.2 Miscellaneous Financial Risk Products

*Where A4.1.2.7.2 or A4.1.2.7.3 is selected present A4.1.3 - present on a new page*

A4.1.3 Do you wish to limit the Investor Directed Portfolio Service to a named service?

Yes                       No

*Yes will trigger A4.7 later in application*

**A4.2 Deal in a Financial Product**

A4.2.1 What type of dealing activity do you wish to be authorised for?

A4.2.1.1 Deal in a financial product

A4.2.1.2 Arrange for a person to deal in a financial product

*For whichever is selected present:*

A4.2.2 What particular type(s) of dealing services do you wish to be authorised for?

A4.2.2.1 Issue, apply for, acquire, vary or dispose of a financial product

A4.2.2.2 Apply for, acquire, vary or dispose of financial products on behalf of another

A4.2.2.3 Underwriting an issue of securities or interests in registered managed investment schemes

**Where A4.2.2.1 Issue, apply for, acquire, vary or dispose is selected:**

A4.2.3 What products do you wish to be authorised for?

A4.2.3.1 Deposit and Payment Products

A4.2.3.1.1 Basic Deposit Products

A4.2.3.1.2 Non-basic Deposit Products

A4.2.3.1.3 Non-cash Payment Products

A4.2.3.2 Derivatives

**Or select one or more of the following**

A4.2.3.2.1 Derivatives - Wool only

A4.2.3.2.2 Derivatives - Electricity only

A4.2.3.2.3 Derivatives - Grain only

A4.2.3.3 Foreign Exchange Contracts

A4.2.3.4 General Insurance

**Select one of the following:**

A4.2.3.4.1 General Insurance Products

A4.2.3.4.2 General Insurance - Consumer Credit Insurance Only

A4.2.3.5 Government Debentures, Stocks or Bonds

A4.2.3.6 Life Products

**Select from the following:**

A4.2.3.6.1 Investment Life Insurance Product

A4.2.3.6.2 Life Risk Insurance Products

A4.2.3.6.3 Life Products - Consumer Credit Insurance Only

*Combination A4.1.2.6.2 and A4.1.2.6.3 not permitted. All other combinations of products accepted.*

A4.2.3.7 Managed Investment Schemes (registered and/or unregistered)

**Select from the following**

A4.2.3.7.1 Managed Investment Schemes, excluding IDPS

A4.2.3.7.2 Managed Investments Schemes, including IDPS

- A4.2.3.7.3 IDPS only
- A4.2.3.7.4 Own Managed Investment Scheme only
- A4.2.3.7.5 Horse Racing Syndicate
- A4.2.3.7.6 Timesharing Scheme
- A4.2.3.7.7 MDA Services
- A4.2.3.8 Retirement Savings Account Products
- A4.2.3.9 Securities
- A4.2.3.10 Superannuation
- A4.2.3.11 Miscellaneous Financial Facility
  - A4.2.3.11.1 Miscellaneous Financial Investment Products 
    - A4.2.3.11.1.1 Miscellaneous Financial Investment Products - MDA Services
  - A4.2.3.11.2 Miscellaneous Financial Risk Products

Where A4.2.2.2 Apply for, acquire, vary or dispose.... on behalf of another is selected:

A4.2.4 What products do you wish to be authorised for?

- A4.2.4.1 Deposit and Payment Products
  - A4.2.4.1.1 Basic Deposit Products
  - A4.2.4.1.2 Non-basic Deposit Products
  - A4.2.4.1.3 Non-cash Payment Products
- A4.2.4.2 Derivatives

**Or select one or more of the following**

- A4.2.4.2.1 Derivatives - Wool only
- A4.2.4.2.2 Derivatives - Electricity only
- A4.2.4.2.3 Derivatives - Grain only
- A4.2.4.3 Foreign Exchange Contracts
- A4.2.4.4 General Insurance

**Select one of the following:**

- A4.2.3.4.1 General Insurance Products
- A4.2.3.4.2 General Insurance - Consumer Credit Insurance Only
- A4.2.4.5 Government Debentures, Stocks or Bonds
- A4.2.4.6 Life Products

**Select from the following:**

- A4.2.4.6.1 Investment Life Insurance Product
- A4.2.4.6.2 Life Risk Insurance Products
- A4.2.4.6.3 Life Products - Consumer Credit Insurance Only

*Combination A4.1.2.6.2 and A4.1.2.6.3 not permitted. All other combinations of products accepted.*

A4.2.4.7 Managed Investment Schemes (registered and/or unregistered)

**Select from the following**

- A4.2.4.7.1 Managed Investment Schemes, excluding IDPS
- A4.2.4.7.2 Managed Investments Schemes, including IDPS
- A4.2.4.7.3 IDPS only
- A4.2.4.7.4 Own Managed Investment Scheme only
- A4.2.4.7.5 Horse Racing Syndicate
- A4.2.4.7.6 Timesharing Scheme
- A4.2.4.7.7 MDA Services
- A4.2.4.8 Retirement Savings Account Products
- A4.2.4.9 Securities



**A4.3 Make a Market for a Financial Product**

A4.3.1 What products do you wish to be authorised to make a market in?

- A4.3.1.1 Foreign Exchange Contracts
- A4.3.1.2 Derivatives
- A4.3.1.3 Derivatives - Wool only
- A4.3.1.4 Derivatives - Electricity only
- A4.3.1.5 Derivatives - Grain only
- A4.3.1.6 Bonds and debentures
- A4.3.1.7 Other financial products

**A.4.4 Operate a Registered Scheme**

A4.4.1 How will you operate your registered managed investment scheme(s) under your AFS licence.

- A4.4.1.1 Scheme(s) of a particular asset kind(s)
- A4.4.1.2 Named scheme(s)

*If A4.4.1.1 is selected present A4.4.2. If A4.4.1.2 is selected present A4.4.2 for each scheme named in A4.4.5.*

A4.4.2 What is the particular kind of scheme you currently operate or wish to register under this AFS licence.

- A4.4.2.1 Derivatives
- A4.4.2.2 Direct Real Property
- A4.4.2.3 Film Schemes
- A4.4.2.4 Financial assets
- A4.4.2.5 IDPS-like
- A4.4.2.6 Mortgages
- A4.4.2.7 Primary Production
- A4.4.2.8 Time Sharing Scheme

*If A4.4.2.2 (Direct Real Property) selected,*

A4.4.3 You have selected the Direct Real Property asset type. Do you wish to limit this asset type further?

- Yes  No

*If Yes present the following:*

A4.4.3.1 What particular type(s) of Direct Real Property scheme do you wish to operate?

- A4.4.3.1.1 Listed property trusts
- A4.4.3.1.2 Serviced Strata schemes
- A4.4.3.1.3 Stable property trusts or syndicates

*If A.4.4.2.7 (Primary Production) selected,*

A4.4.4 What particular Primary Production scheme(s) do you wish to operate?

- A4.4.4.1 Aquaculture
- A4.4.4.2 Cattle breeding
- A4.4.4.3 Forestry

- A4.4.4.4 Horse breeding
- A4.4.4.5 Horticulture
- A4.4.4.6 Livestock grown for fleece
- A4.4.4.7 Ratites (Ostriches/Emus)
- A4.4.4.8 Tea Trees
- A4.4.4.9 Viticulture
- A4.4.4.10 Other Specialised Scheme

*If A4.4.1.2 (Named Schemes) selected,*

A4.4.5 Provide the following details for all Named Schemes you wish to cover under this AFS licence.

A4.4.5.1 Scheme name \_\_\_\_\_

A4.4.5.2 Is this scheme already registered?

Yes  No

*If Yes go to A4.4.5.2.1. If No go to A4.4.5.3.*

A4.4.5.2.1 The Australian Registered Scheme Number of the named scheme \_\_\_\_\_

*Edit: Check register and present Scheme Name. If invalid ARSN can not proceed without change.*

A4.4.5.3 Do you have further named schemes under this AFS licence?

Yes  No

#### A4.5 Provide a Custodial or Depository Service

A4.5.1 How will you operate this custodial or depository service? *Both can be selected.*

A4.5.1.1 Investor Directed Portfolio Service (IDPS)

A4.5.1.2 Custodial or Depository Service that is not an IDPS

*If A4.5.1.1 is selected go to A4.5.2 ask:*

A4.5.2 Do you wish to limit the Investor Directed Portfolio Service to a named service?

Yes  No

*Yes will trigger A4.7 later in application:*

*To be presented only where Yes has been answered to A3.3, ie elected to use certain words/expressions.*

**A4.6 Authorisation to use certain words or expressions**

A4.6.1 You have indicated that you wish to use one or more of the following or like words or expressions. Which word(s) or expression(s), or like word(s) or expression(s) do you wish to use?

- A4.6.1.1 Stockbroker or Sharebroker
- A4.6.1.2 Futures Broker
- A4.6.1.3 Insurance Broker or Insurance Broking
- A4.6.1.4 General Insurance Broker
- A4.6.1.5 Life Insurance Broker

**If Yes to A4.6.1.1**

A4.6.2 Will you be a member participant in a market that holds an Australian markets licence that covers dealings in securities?

Yes  No

**If Yes to A4.6.1.2**

A4.6.3 Will you be a member participant in a market that holds an Australian markets licence that covers dealings in derivatives?

Yes  No

**If Yes to A4.6.1.3**

A4.6.4 In providing the financial service relating to contracts of insurance will you act on behalf of intending insureds?

Yes  No

*A4.6.4 is a trigger for B8*

**If Yes to A4.6.1.4**

A4.6.5 In providing the financial service relating to contracts of general insurance will you act on behalf of intending insureds?

Yes  No

*A4.6.5 is a trigger for B8*

**If Yes to A4.6.1.5**

A4.6.6 In providing the financial service relating to contracts of life insurance will you act on behalf of intending insureds?

Yes  No

*A4.6.6 is a trigger for B8*

*Present this question only if Yes answered to A4.1.3 or A4.2.5 or A4.5.2*

**A4.7** Provide the name of this service. More than one may be provided.

**Question A5      Business Description**

A5.1 What type of client group(s) will your current or intended business service?

A5.1.1 Retail clients     

A5.1.2 Wholesale clients     

A5.2 Provide the following details on how you will transact with clients under your AFS licence.

A5.2.1 Are you likely to have financial obligations to clients of \$100,000 or more (in total) from transacting with them?

Yes                                       No

A5.2.2 Will your only liabilities to clients be under debentures you issue under Chapter 2L of the Corporations Act?

Yes                                       No

A5.2.3 Are you likely to hold client monies including premiums, contributions and investment monies?

Yes                                       No

A5.2.3.1 Will you be holding these amounts in a trust account?

Yes                                       No

A5.2.3.2 Are you likely to hold \$100,000 or more of client monies and/or property at any time under this AFS licence?

Yes                                       No

A5.2.4 Will you be operating an IDPS under this AFS licence?

Yes                                       No

*A5.2.4 is a trigger for B8*

A5.3 Are you, or have you applied to be, a body regulated by the Australian Prudential Regulation Authority (APRA)?

Yes                                       No

*If Yes go to A5.4, if No:*

A5.3.1 Are you a wholly owned subsidiary (either directly or indirectly) of a body regulated by APRA?

Yes                                       No

A5.4 Will you be acting as a general insurance underwriting agent or a general insurance broker acting under binders under this AFS licence ?

Yes                                       No

A5.5 What activities best describe your intended business under this AFS licence? You may select up to 4. Please mark your selections in numerical order proportionate to your business activities.

- |  |   |
|--|---|
| A5.5.1 Actuary                                       | A5.5.42 Stockbroker/Sharebroker         |
| A5.5.2 Accountant                                    | A5.5.43 Superannuation Service Provider |
| A5.5.3 Adviser                                       | A5.5.44 Telephone Sales                 |
| A5.5.4 Approved Trustee                              |   |
| A5.5.5 Asset Consultant                              |   |
| A5.5.6 Bank  |   |
| A5.5.7 Building Society                              |   |
| A5.5.8 Call Centre                                   |   |
| A5.5.9 Conglomerate                                  |   |
| A5.5.10 Custodian or Depository Service              |   |
| A5.5.11 Credit Union                                 |   |
| A5.5.12 Derivatives dealer                           |   |
| A5.5.13 Exempt Stockmarket                           |   |
| A5.5.14 Experts Reports / Research House             |   |
| A5.5.15 Finance Broker                               |   |
| A5.5.16 Financial Planner                            |   |
| A5.5.17 Foreign Exchange Dealer                      |   |
| A5.5.18 Friendly Society                             |   |
| A5.5.19 Futures Adviser                              |   |
| A5.5.20 Futures Broker                               |   |
| A5.5.21 General Insurance Agent (single insurer)     |   |
| A5.5.22 General Insurance Multi Agent                |   |
| A5.5.23 General Insurance Underwriting Agency        |   |
| A5.5.24 Investor Directed Portfolio Service Operator |   |
| A5.5.25 Investment Company                           |   |
| A5.5.26 Life Insurance Agent (single insurer)        |   |
| A5.5.27 Life Insurance Multi Agent                   |   |
| A5.5.28 Managing general underwriter                 |   |
| A5.5.29 Mortgage Broker                              |   |
| A5.5.30 Non-Public Offer                             |   |
| Superannuation Fund Trustee                          |   |
| A5.5.31 Payment Product Provider                     |   |
| A5.5.32 Product Issuer                               |   |
| A5.5.33 Real Estate Agent                            |   |
| A5.5.34 Registered General Insurance Broker          |   |
| A5.5.35 Registered General Insurance Company         |   |
| A5.5.36 Registered Independent Options Trader        |   |
| A5.5.37 Registered Life Insurance Broker             |   |
| A5.5.38 Registered Life Insurance Company            |   |
| A5.5.39 Responsible Entity                           |   |
| A5.5.40 Securities Dealer                            |   |
| A5.5.41 Solicitor/Legal Adviser                      |   |

- A5.6 What best describes the size of the applicant in each of the following categories.
- A5.6.1 Net assets (including related body corporates that provide financial services) at the end of the last financial year.
- A5.6.1.1 Less than \$5 million
- A5.6.1.2 \$5 million to \$20 million
- A5.6.1.3 Greater than \$20 million
- A5.6.2 Gross revenue (including related body corporates that provide financial services) in the last financial year.
- A5.6.2.1 Less than \$5 million
- A5.6.2.2 \$5 million to \$50 million
- A5.6.2.3 Greater than \$50 million
- A5.6.3 Current employees (including related body corporates that provide financial services).
- A5.6.3.1 Less than 20
- A5.6.3.2 20 to 100
- A5.6.3.3 Greater than 100
- A5.7 Will you be providing financial services under this licence in your capacity as a trustee of a trading trust?  Yes  No
- A5.8 In what month does your financial year end?

## Question B1 Organisational Expertise - Responsible Officers

To obtain an AFS licence you must show that you have one or more Responsible Officers with the necessary expertise to provide the services under your AFS licence. A Responsible Officer must be a natural person.

If you wish to nominate more than one Responsible Officer the details of each person must be entered separately.

Refer to ASIC's PS 164 (Licensing - Organisational Capacities) for guidance in answering this section

Provide the following details for your Responsible Officer(s).

B1.1 Full Name *(First Given, Other Given, Family Name)*

B1.2 Birth Details *(DOB, City/Town, Country)*

B1.3 What is the relationship of this person to the entity that will hold this AFS licence?

B1.3.1 an employee/officer

B1.3.2 owner/partner

B1.3.3 an external service provider

B1.4 What best describes this person's role for your organisation?

- |   |   |
|---|---|
| <input type="checkbox"/> Accountant               | <input type="checkbox"/> Financial Controller   |
| <input type="checkbox"/> Asset Specialist         | <input type="checkbox"/> General Manager        |
| <input type="checkbox"/> Chief Executive Officer  | <input type="checkbox"/> Human Resource Manager |
| <input type="checkbox"/> Chief Investment Officer | <input type="checkbox"/> Legal Adviser          |
| <input type="checkbox"/> Company Secretary        | <input type="checkbox"/> Marketing Manager      |
| <input type="checkbox"/> Compliance Manager       | <input type="checkbox"/> Operations Manager     |
| <input type="checkbox"/> Compliance Officer       | <input type="checkbox"/> Partner/Proprietor     |
| <input type="checkbox"/> Director                 | <input type="checkbox"/> Professional Adviser   |
| <input type="checkbox"/> Distribution Manager     | <input type="checkbox"/> Trustee                |

B1.5 What financial services will this person be a responsible officer for?

*Present their selections from A3.2 and allow them to tick one or more*

B1.5.1 On average, how many days will this person spend on duties related to the provision of financial services by the applicant or its related body corporate?

- Less than 1 day per month
- Less than 1 day per week
- 1 to 3 days per week
- More than 3 days per week

B1.6 What industry category(ies) best describes this person's area of experience?

- |  |   |
|--|---|
| <input type="checkbox"/> Accounting                    | <input type="checkbox"/> General Insurance  |
| <input type="checkbox"/> Asset Specialist              | <input type="checkbox"/> Law Firm/Legal     |
| <input type="checkbox"/> Banking or like services      | <input type="checkbox"/> Life Insurance     |
| <input type="checkbox"/> Custodial / Depository        | <input type="checkbox"/> Management         |
| <input type="checkbox"/> Derivatives                   | <input type="checkbox"/> Securities Dealing |
| <input type="checkbox"/> Financial/Investment Advising | <input type="checkbox"/> Stockbroking       |
| <input type="checkbox"/> Foreign Exchange              | <input type="checkbox"/> Superannuation     |
| <input type="checkbox"/> Funds Management              | <input type="checkbox"/> Technical Adviser  |
|  | <input type="checkbox"/> Underwriting       |

B1.7 What best describes the overall type of experience they have?

- Management - small entity
- Management - medium to large entity
- Technical adviser
- Employee/representative - small entity
- Employee/representative - medium to large entity

B1.8 Which of the following best describes the length of their relevant industry experience?

- at least 3 years experience in the last 5 years
- at least 5 years experience in the last 8 years
- none of the above

B1.8.1 Where was this experience predominantly obtained?

Present drop down box of countries

B1.9 What expertise standard(s) do they meet? Note: you will need to refer to the ASIC training register (on the ASIC website) and ASIC's PS 164 to answer this question

- Meets widely adopted and relevant industry standards, or relevant standards set by APRA; or
- Successfully completed an individual assessment at a level relevant to the particular industry; or
- Holds a university degree in a relevant discipline and has completed a relevant short industry course; or
- Holds a relevant industry qualification at a minimum of a full diploma recognised under the Australian Qualifications Framework or by a university, or the Financial Planning Association's Diploma of Financial Planning; or
- Other demonstration of knowledge and skills

B1.10 Do you have further Responsible Officers?

- Yes                       No

*If Yes, recommence at Question B1.1, allow a maximum of 15.*

**Question B2      Organisational Expertise - Processes**

To obtain an AFS licence you must show that you have process(es) for ensuring that you and your Responsible Officers maintain the relevant competence to continue to carry out their duties under the AFS licence efficiently, honestly and fairly.

B2.1 Do you use a documented process to ensure that all Responsible Officers meet the training and experience requirements of ASIC's PS 164 (Licensing: Organisational capacities)?

Yes     No

B2.2 Do you use a documented process to ensure that all Responsible Officers are of good fame and character?

Yes     No

B2.3 Do you use a documented review process to ensure that you will maintain the organisational competence to carry out your obligations under the AFS licence?

Yes     No

B2.3.1 At a minimum, how often will you undertake this review?

- |                                      |  |
|--------------------------------------|--|
| <input type="checkbox"/> Monthly     | <input type="checkbox"/> Annually              |
| <input type="checkbox"/> Quarterly   | <input type="checkbox"/> Less than once a year |
| <input type="checkbox"/> Half Yearly |  |

B2.4 Do you use a documented process to ensure that your Responsible Officers maintain and update their expertise?

Yes                       No

B2.5 Do you use a documented process to ensure compliance with all relevant industry codes and/or standards?

Yes                       No

*If No go to B3, If Yes:*

B2.5.1 Has a relevant independent third party assessed that you are satisfactorily complying with these codes and/or standards in the last two years?

Yes                       No

### Question B3 Compliance Arrangements

To obtain an AFS licence you must show that you have processes in place to adequately monitor compliance with your AFS licence conditions and the law.

These may be specific to the entity applying for the licence or may cover a corporate group.

B3.1 Have you established compliance and reporting arrangements for your AFS licence activities?

Yes                       No

*If No go to B3.2, if Yes:*

B3.1.1 Are your compliance arrangements documented (either on an entity or group basis)?

Yes                       No

B3.1.2 Do your compliance arrangements specify how often compliance with procedures is monitored and reported on?

Yes                       No

B3.1.3 Do you use a documented process to maintain the adequacy of your compliance and monitoring arrangements?

Yes                       No

*If No go to B3.1.4, if Yes:*

B3.1.3.1 How often will you review your compliance and monitoring arrangements?

<input type="checkbox"/> Monthly	<input type="checkbox"/> Annually
<input type="checkbox"/> Quarterly	<input type="checkbox"/> Less than once a year
<input type="checkbox"/> Half yearly	

B3.1.4 Will your compliance arrangements be subject to external audit/review?

Yes                       No

*If No go to B3.1.5, if Yes:*

B3.1.4.1 What term best describes who will be conducting these external reviews?

external auditor  
 industry body  
 service provider

B3.1.4.2 How often will these audits/reviews be conducted?

<input type="checkbox"/> Monthly	<input type="checkbox"/> Annually
<input type="checkbox"/> Quarterly	<input type="checkbox"/> Less than once a year
<input type="checkbox"/> Half yearly	

B3.1.5 Is there a person(s) responsible for ongoing reporting in relation to your levels of compliance and for ensuring the adequacy of your compliance arrangements?

Yes       No

*If No go to B3.1.6 If Yes:*

B3.1.5.1 Does this person(s) have direct access to your governing body?

Yes       No

B3.1.6 Are your compliance arrangements generally consistent with the Australian Standard Compliance Programs AS3806-1998?

Yes       No

B3.1.7 Are your compliance arrangements generally consistent with another external standard, eg international or industry standards?

Yes       No

B3.2 Will any substantial activities under this AFS licence be outsourced?

Yes       No

*If No go to B3.3, if Yes:*

B3.2.1 Who will these activities will be outsourced to?

B3.2.1.1 Related party or parties

B3.2.1.2 Independent/external party or parties

B3.2.1.3 Both related and independent/external parties

B3.2.2 Are any of these parties located outside of Australia?

Yes       No

B3.2.3 What function(s) will be outsourced?

- |  |  |
|--|--|
| <input type="checkbox"/> All functions                         | <input type="checkbox"/> General management        |
| <input type="checkbox"/> Accounting                            | <input type="checkbox"/> Human resource management |
| <input type="checkbox"/> Administration                        | <input type="checkbox"/> Investment management     |
| <input type="checkbox"/> Asset management                      | <input type="checkbox"/> Legal                     |
| <input type="checkbox"/> Asset selection                       | <input type="checkbox"/> Marketing                 |
| <input type="checkbox"/> Call centre                           | <input type="checkbox"/> Product development       |
| <input type="checkbox"/> Compliance monitoring and supervision | <input type="checkbox"/> Research                  |
| <input type="checkbox"/> Computing/Information Technology      | <input type="checkbox"/> Training                  |
| <input type="checkbox"/> Custody                               | <input type="checkbox"/> Transactional functions   |
| <input type="checkbox"/> Distribution                          | <input type="checkbox"/> Unit pricing              |

B3.2.4 Do you have a process in place to ensure that providers selected for any outsourced functions are suitable?

Yes       No

B3.2.5 Will these service providers be under a formal written contract to your organisation?

Yes                       No

B3.2.6 What business process(es) describe how you will monitor these outsourced functions?

- Regular inspection
- Management reporting
- Assessment against contractual obligations

B3.2.6.1 At a minimum, what will be the frequency of these processes?

- Weekly
- Monthly
- Quarterly
- Half Yearly
- Annually
- Less than once a year

B3.2.7 Does your process effectively monitor and address any issues with service standards that may lead to breaches of your AFS licence conditions?

Yes                       No

B3.3 Have you appointed an ASIC registered auditor(s) or a firm of auditors?

Yes                       No

*If Yes go to B3.3.1*

B3.3.1 Provide the following details for each auditor or firm of auditors that you have appointed.

B3.3.1.1 Date of appointment

B3.3.1.2 You have appointed:

B3.3.1.2.1 an ASIC registered auditor

B3.3.1.2.2 a firm of auditors

B3.3.1.3 Provide the following details.

B3.3.1.3.1 ASIC registered auditor number

B3.3.1.3.2 Full name *(First given & family name)*

B3.3.1.4 Provide the following details.

B3.3.1.4.1 ABN

B3.3.1.4.2 Principal business address

B3.3.2 Have you appointed further auditors?

Yes                       No

*If Yes loop back to B3.3.1, allow for 20. If No B3 ends.*

**Question B4      Representatives**

To obtain an AFS licence you must show that you have adequate arrangements to:

- comply with the law and AFS licence conditions
- supervise and monitor the activities of your representatives and ensure that any breaches are identified and remedied
- ensure that your representatives are adequately trained and competent, including those that are required to comply with ASIC's PS 146 (Licensing: Training of financial product advisers) comply and continue to do so

B4.1 Provide the following details for your representatives.

*Only present questions B4.1.1 and B4.1.2 if 'Retail' at A5.1 and Advise at A3.2.1 are selected*

B4.1.1 Do your representatives who provide financial product advice to retail clients meet the requirements of PS 146?

Yes                       No

B4.1.2 Do you have an ongoing process to ensure that all new representatives you appoint will comply with the requirements of PS 146 before giving retail financial advice?

Yes                       No

B4.1.3 Do you use documented training programs, including continuing education, for your representatives?

Yes                       No

B4.1.4 Do you maintain records of training programs attended by your representatives?

Yes                       No

B4.1.5 Do you have documented processes to supervise and monitor your representatives to ensure they comply with their obligations under the law?

Yes                       No

B4.1.6 Do you use a documented process to ensure that all representatives are trained, competent and will provide financial services on your behalf efficiently, honestly and fairly?

Yes                       No

B4.2 Provide the following details for the authorised representatives to be appointed under this AFS licence.

B4.2.1 Will you be appointing authorised representatives under this AFS licence if it is granted?

Yes                       No

*If No go to B4.3, if Yes go to Question B4.2.1.1:*

B4.2.1.1 Approximately how many authorised representatives will be appointed under this licence within the first 12 months, if it is granted? \_\_\_\_\_

B4.2.1.2 Where will your authorised representatives be located?

- Australia Wide
- ACT
- NSW
- NT
- QLD
- SA
- TAS
- VIC
- WA
- Overseas

B4.2.1.3 Do you have a documented process to ensure that your authorised representatives do not act outside the scope of their authorisations?

- Yes  No

B4.2.1.4 Do you have a documented process to ensure that changes about your authorised representatives are notified to ASIC within 10 business days?

- Yes  No

B4.3 Do you have a process to ensure that those people who are providing retail financial advice or directly handling client monies under your AFS licence have not engaged in misconduct previously.

- Yes  No

*If Yes go to B4.3.1, if No go to B5*

B4.3.1 Which of the following are included in this process?

- Police check
- ASIC register check
- Credit/bankruptcy check
- Independent reference check
- Personal good fame and character declaration
- Conflict of interest declaration
- Employment contract
- None of the above

**Question B5**      **Adequacy of Resources**

This question is to be presented to entities who are not APRA regulated, ie present only where NO to A5.3.

To obtain an AFS licence you must show that you have, or have access to, sufficient financial, human and information technology resources to properly carry out your responsibilities under your AFS licence and the law.

B5.1 Provide the following details about your financial resources.

B5.1.1 Do you have documented processes to ensure you meet the requirements of ASIC's PS 166 (Licensing: Financial Requirements)?

Yes                       No

B5.1.2 Do your compliance arrangements outline how you will comply with your financial requirement obligations?

Yes                       No

B5.1.3 Do your compliance arrangements outline how you will monitor and report on your compliance with these obligations?

Yes                       No

B5.2 Provide the following information about your human resources and organisational structure.

B5.2.1 How many full time equivalent employees and contractors will undertake AFS licence related functions.

\_\_\_\_\_

B5.2.2 Do you use a documented process to ensure that, at all times, you have an adequate number of trained and competent staff to provide the financial services covered by this licence?

Yes                       No

B5.2.3 Do you use a documented process to adequately monitor and supervise your staff?

Yes                       No

B5.3 Provide the following information about your information technology resources.

B5.3.1 Do you have IT systems to support your business processes?

Yes  No

*If No B5.3 ends. If Yes:*

B5.3.1.1 What process best describes how you undertake your IT development?

- In house
- Contracted supplier
- As needs basis with a related party
- As needs basis with an unrelated party

B5.3.1.2 What process best describes how you undertake your IT support?

- In house IT support
- Contracted supplier
- As needs basis with a related party
- As needs basis with an unrelated party

B5.3.1.3 Do you have old/existing systems that you will need to integrate with those IT systems you will use to manage your AFS licence?

Yes  No

*If No go to B5.3.1.4, if Yes:*

B5.3.1.3.1 Will this require manual workarounds to enable you to comply with your reporting and business requirements?

Yes  No

B5.3.1.4 Do you have a documented disaster recovery plan in the event of loss of data or failure of computer hardware?

Yes  No

*If No go to B5.3.1.5, if Yes*

B5.3.1.4.1 At a minimum, how often will you test your disaster recovery plan?

- Weekly
- Monthly
- Quarterly
- Half Yearly
- Annually
- Less than once a year

B5.3.1.5 At a minimum, how often will you backup your IT information?

- Continuously
- Daily
- Weekly
- Monthly
- Less often than Monthly
- Never

B5.3.1.6 At a minimum, how often will you store IT backups offsite?

- Continuously
- Daily
- Weekly
- Monthly
- Less often than Monthly
- Never

B5.3.1.7 What process(es) best describes how you will ensure your computer system is adequate?

- Review response time
- Measure down times
- User survey
- Compare to standards/benchmarks
- External review
- None

**Question B6      Dispute Resolution**

*To be presented to retail applicants, ie where A5.1.1 has been selected.*

To obtain an AFS licence you must show that you have a dispute resolution system in place that comprises:

- internal dispute resolution procedures that meet the Essential Elements of Australian Standard 4269-1995 and other minimum requirements set out in ASIC's PS 165 (Licensing: Internal and external dispute resolution); and
- membership of one or more ASIC approved external dispute resolution scheme(s) that can deal with complaints about all of the financial services you provide to retail clients under your AFS licence

B6.1 Do you have an internal dispute resolution procedure in place?  
 Yes       No

*If No, go to B6.2, if Yes:*

B6.1.1 What best describes the role of the person in your organisation with responsibility for internal dispute resolution.

- |  |   |
|--|---|
| <input type="checkbox"/> Chief Executive Officer   | <input type="checkbox"/> Director           |
| <input type="checkbox"/> Complaints Manager        | <input type="checkbox"/> General Manager    |
| <input type="checkbox"/> Compliance Manager        | <input type="checkbox"/> Operations Manager |
| <input type="checkbox"/> Compliance Officer        | <input type="checkbox"/> Partner/Proprietor |
| <input type="checkbox"/> Customer Services Manager |   |

B6.1.2 Does your internal dispute resolution procedure meet the Essential Elements of Australian Standard 4269-1995 and the minimum requirements of ASIC's PS 165?

Yes       No

B6.1.3 Is this procedure documented?

Yes       No

B6.1.4 Is a guide to this procedure, or a document setting out this procedure, available for retail clients?

Yes       No

B6.1.5 Does the procedure contain a requirement for unresolved complaints to be referred to a relevant external dispute resolution scheme?

Yes       No

B6.2 Are you a member of one or more external dispute resolution schemes?

Yes       No

Please note that you must be a member of an external dispute resolution scheme before submitting your AFS licence application.

*If No go to B6 ends, if Yes:*

B6.2.1 What best describes the role of the person in your organisation with responsibility for external dispute resolution.

- |  |  |
|--|--|
| <input type="checkbox"/> Chief Executive Officer | <input type="checkbox"/> Compliance Officer        |
| <input type="checkbox"/> Complaints Manager      | <input type="checkbox"/> Customer Services Manager |
| <input type="checkbox"/> Compliance Manager      |  |

- |  |   |
|--|---|
| <input type="checkbox"/> Director        | <input type="checkbox"/> Operations Manager |
| <input type="checkbox"/> General Manager | <input type="checkbox"/> Partner/Proprietor |

B6.2.2 Provide the following details for the external dispute resolution schemes that cover some or all of the financial services you will provide under this AFS licence.

B6.2.2.1 Coverage.

- |                                  |                          |
|----------------------------------|--------------------------|
| B6.2.2.1.1 All services covered  | <input type="checkbox"/> |
| B6.2.2.1.2 Some services covered | <input type="checkbox"/> |

B6.2.2.2 Scheme details

- |  |                          |
|--|--------------------------|
| B6.2.2.2.1 Financial Industry Complaints Service*  | <input type="checkbox"/> |
| B6.2.2.2.2 Insurance Enquiries & Complaints Limited  | <input type="checkbox"/> |
| B6.2.2.2.3 Banking and Financial Services<br>Ombudsman (formerly Australian Banking<br>Industry Ombudsman) | <input type="checkbox"/> |
| B6.2.2.2.4 Superannuation Complaints Tribunal  | <input type="checkbox"/> |
| B6.2.2.2.5 Credit Union Dispute Resolution Centre  | <input type="checkbox"/> |
| B6.2.2.2.6 Insurance Brokers Dispute Ltd   | <input type="checkbox"/> |
| B6.2.2.2.7 Financial Co-Operative Dispute<br>Resolution Scheme   | <input type="checkbox"/> |
| B6.2.2.2.8 Mortgage Industry Ombudsman Service   | <input type="checkbox"/> |
| B6.2.2.2.9 Other, please specify   | <input type="checkbox"/> |

**Question B7      Risk Management**

*This question is to be presented to entities who are not APRA regulated, ie present only where NO to A5.3.*

To obtain an AFS licence you must show that you have an adequate risk management system.

B7.1 Provide the following details of your risk management process (see ASIC's PS 164).

B7.1.1 Does it include the process for the identification, analysis, evaluation, treatment and communication of the risks associated with your business?

Yes                       No

B7.1.2 Does it provide for monitoring and reporting risk management issues?

Yes                       No

B7.1.3 Is it generally consistent with the Australian Standard AS/NZS 4360:1999?

Yes                       No

B7.1.4 Is it documented?

Yes                       No

B7.2 Have you assessed the risks associated with your business and established the probability of these risks occurring?

Yes                       No

B7.3 Have you prioritised your business risks?

Yes                       No

B7.4 Have you established which risks need to be addressed and managed?

Yes                       No

B7.5 Will you use a process to educate your relevant staff on risk management?

Yes                       No

B7.6 Will your risk management system be subject to audit/review?

Yes                       No

*If No B7 ends, if Yes:*

B7.6.1 What best describes who will conduct these audits/reviews.

- |   |   |
|---|---|
| <input type="checkbox"/> internal staff   | <input type="checkbox"/> industry body    |
| <input type="checkbox"/> external auditor | <input type="checkbox"/> service provider |

B7.6.2 At a minimum, how often will these audits/reviews be conducted?

- |                                      |  |
|--------------------------------------|--|
| <input type="checkbox"/> Monthly     | <input type="checkbox"/> Annually              |
| <input type="checkbox"/> Quarterly   | <input type="checkbox"/> Less than once a year |
| <input type="checkbox"/> Half yearly |  |



B8.1.1.1.10 Do you have indemnity for breach of professional conduct?

Yes  No

B8.1.1.1.11 Does this policy cover your liability under your external dispute resolution schemes?

Yes  No

B8.1.1.1.12 Does this policy have a non-avoidance clause?

Yes  No

B8.1.1.1.13 What is the jurisdiction of the policy?

If

*provide drop down list to select to select state jurisdiction(all states may be selected)*

B8.1.1.1.14 Does this policy provide run-off cover?

Yes  No

B8.1.1.1.15 Does this policy provide fraud extension cover?

Yes  No

B8.1.1.1.16 Does this policy have a retroactive cover?

Yes  No

If yes, provide date \_\_\_\_\_ (optional)

B8.1.1.1.17 How many reinstatements are allowed? \_\_\_\_\_

B8.1.2 Do you hold any further professional indemnity insurance policies, or have any further proposed policies, relevant to this AFS licence application?

Yes  No

*Only present B8.1.3 where No is selected at B8.1.1*

B8.1.3 Do you have a process to ensure that you will have professional indemnity insurance in place when your AFS licence takes effect?

Yes  No

*If No go to B8.2, if Yes go to B8.1.1.1 Allow for 10 policies to be entered.*

B8.2 Are you required to have a security bond in place for your AFS licence activities (see PS 167 (Licensing: Discretionary powers and transition))?

Yes  No

B8.2.1 Do you currently have a security bond in place?

Yes  No

*If Yes*

B8.2.1.1 Provide bond details:

Name of financial institution that issued bond \_\_\_\_\_

Bond amounts can only be \$10,000 or \$20,000

Amount of bond \_\_\_\_\_

*if No:*

B8.2.1.2 Do you have a process to ensure that you will have a security bond in place when your AFS licence takes effect?

Yes       No

**Question B9      Research and Benefits**

*Present if Advising is selected (ie A3.1.1) and retail is selected (A5.1.1).*

B9.1 Provide the following details on the product and market research you will conduct.

B9.1.1 What process(es) best describes how you will select the products you intend to advise on?

- |  |  |
|--|--|
| <input type="checkbox"/> own product only                    | <input type="checkbox"/> review product issuer service standards |
| <input type="checkbox"/> own assessment of services/products | <input type="checkbox"/> external research house(s)              |
| <input type="checkbox"/> review product issuer ratings       |  |

B9.1.2 How often will this process be reviewed?

- |                                  |  |
|----------------------------------|--|
| <input type="checkbox"/> Daily   | <input type="checkbox"/> Less often than monthly |
| <input type="checkbox"/> Weekly  |  |
| <input type="checkbox"/> Monthly |  |

B9.1.3 Do you have a recommended list of financial products?

- Yes       No

*If No go to B9.2, if Yes:*

B9.1.3.1 At a minimum, how often will this list be reviewed?

- |                                    |                                      |
|------------------------------------|--------------------------------------|
| <input type="checkbox"/> Weekly    | <input type="checkbox"/> Half Yearly |
| <input type="checkbox"/> Monthly   | <input type="checkbox"/> Yearly      |
| <input type="checkbox"/> Quarterly |                                      |

B9.1.3.2 How many products are on your recommended list?

- |                                       |  |
|---------------------------------------|--|
| <input type="checkbox"/> Less than 10 | <input type="checkbox"/> 50 to 100     |
| <input type="checkbox"/> 10 to 20     | <input type="checkbox"/> more than 100 |
| <input type="checkbox"/> 20 to 50     |  |

B9.2 Which remuneration or other benefits do your representatives receive in relation to the financial product advice that they provide? This includes remuneration or benefits they receive from you and from third party product providers.

- |   |   |
|---|---|
| <input type="checkbox"/> back office payments                     | <input type="checkbox"/> profit share arrangements                                      |
| <input type="checkbox"/> commission                               | <input type="checkbox"/> salary   |
| <input type="checkbox"/> equitable interest in product being sold | <input type="checkbox"/> volume bonus (linked to the numbers or value of products sold) |
| <input type="checkbox"/> equitable interest in product provider   | <input type="checkbox"/> other - non-salary benefits                                    |

**Question C1      Custodial or Depository Service**

*Present only where A3.1.5 has been selected.*

You wish to be authorised to provide Custodial or Depository Services. You must show that you have the capacity to manage the current and future operational demands of these services.

C1.1 Do you use a documented process for maintaining adequate records to ensure that you as the licensee can immediately determine the identity and status of investments held?

Yes                       No

C1.2 Do you use a documented process to manage access to, security of and reporting on client accounts?

Yes                       No

C1.3 Do you use a documented process to ensure that your valuation and pricing mechanisms for client accounts, and the subsequent information provided to clients, is accurate?

Yes                       No

C1.4 Do you use a documented process to monitor that instructions received in relation to client transactions are properly authorised before being executed?

Yes                       No

*If the applicant has selected A4.5.1.1, ie have selected IDPS in Part A, present questions C1.5 to C1.8. If A4.5.1.1 was not selected go to C1.9.*

C1.5 Do you have other IDPS operators who will be contracting with the client to operate the service?

Yes                       No

*If Yes go to C1.5.1. If No go to C1.6*

C1.5.1 Do you use documented processes to monitor the activities of the other IDPS operators?

Yes                       No

C1.5.2 Do you have written agreements with the other IDPS operators who will be providing the service to the clients?

Yes                       No

C1.6 Will you provide clients of the service with continuous electronic daily access to information on their transactions?

Yes                       No

C1.7 Will you undertake the transactional functions for the service you wish to operate?

Yes                       No

*If Yes go to C1.8, if No:*

C1.7.1 Will you appoint a third party with the required NTA, to provide the transactional functions for the service you wish to operate?

Yes                       No

*If Yes go to C1.7.1.1.*

C1.7.1.1 Do you use documented processes to monitor the activities of the third party who will be providing the transactional function for the service you wish to operate?

Yes  No

C1.7.1.2 Do you have written agreements with third parties providing the transactional function for the service you wish to operate?

Yes  No

C1.7.1.3 Have service standards been established and agreed?

Yes  No

C1.8 Will you provide the custodial functions for the service you wish to operate?

Yes  No

*If Yes go to C1.9, if No:*

C1.8.1 Do you have a documented process to monitor the activities of the third party who will be providing the custodial function for the service you wish to operate

Yes  No

C1.8.2 Do you have written agreements with the third parties providing the custodial services for the service you wish to operate?

Yes  No

C1.8.3 Have service standards been established and agreed?

Yes  No

C1.9 Will you be acting as an external MDA custodian that directly contracts with retail clients?

Yes  No

*If C1.9 is 'Yes' then go to C1.9.1, if 'No' C1 ends*

C1.9.1 Do you use a documented process to ensure that clients assets are managed as a discrete portfolio?

Yes  No

C1.9.2 Do you have a documented process to your ensure that your Financial Services Guide (FSG) clearly sets out the division of responsibility between the external MDA custodian and the MDA operator for the MDA service?

Yes  No

**Question C2      Operate a Registered Managed Investments Scheme**

*Present only where A3.1.4 has been selected.*

To be authorised to operate a managed investment scheme(s) you must be a responsible entity able to show that you have the capacity to deal with current and future operational demands of the managed investment scheme(s) you will operate.

C2.1 Do you use a documented process for ensuring that all disclosure documents and other marketing material are subjected to due diligence?

Yes                       No

C2.2 Do you use a documented process for ensuring the member registry details are accurate and secure?

Yes                       No

C2.3 Do you use a documented process for managing settlements, corporate actions, authorisation of transactions and investment limits?

Yes                       No

C2.4 Will you be contracting your services as a responsible entity to other organisations?

Yes                       No

C2.5 Will you be operating mortgage schemes?

Yes                       No

*If No go to C2.6 if Yes*

C2.5.1 Please indicate what types of mortgage schemes you will be operating

C2.5.1.1 Unit Trusts

C2.5.1.2 Pooled Mortgages

C2.5.1.3 Contributory Mortgages - general authority

C2.5.1.4 Contributory Mortgages - specific authority

C2.5.1.5 Direct Mortgages

*Edit: this needs to be completed if A4.4.2.6 is selected*

C2.6 Will you have a compliance committee?

Yes                       No

*If No go to C2.7 if Yes:*

C2.6.1 At a minimum, how regularly will the compliance committee meet?

Weekly  Annually

Monthly  Less than once a year

Quarterly

Half Yearly

C2.7 Will you hold scheme property for the schemes you wish to operate?

Yes                       No

*If No go to C2.7.2. If Yes go to C2.7.1.*

C2.7.1 Will you have and maintain the net tangible assets (NTA) required to hold scheme(s) property?

Yes  No

*If Yes C2 ends.*

C2.7.2 Have you appointed a third party custodian with the required minimum NTA to hold this scheme property?

Yes  No

**Question C3      Make a Market**

*Present only where A3.1.3 has been selected.*

To be authorised to make a market you must be able to show that you have the capacity to adequately manage this particular activity.

C3.1 Will any of your market making activities be on an Australian licensed market?

Yes       No

*If yes, go to C3.1.1 .If no go to C3.2*

C3.1.1 Which market(s) will you make a market on?

ASX	<input type="checkbox"/>	Newcastle	<input type="checkbox"/>
ASX Futures	<input type="checkbox"/>	SFE	<input type="checkbox"/>
Bendigo	<input type="checkbox"/>		

C3.1.2 What best describes the proportion of your market making activities that are conducted on an Australian licensed market

C3.1.2.1	some	<input type="checkbox"/>
C3.1.2.2	most	<input type="checkbox"/>
C3.1.2.3	all	<input type="checkbox"/>

*If C3.1.2.3 then remaining questions do not apply, Otherwise go to C3.2*

C3.2 Have you established position limits for:

C3.2.1 Individual traders?       Yes       No

C3.2.2 Individual financial products?       Yes       No

C3.2.3 Individual counterparties?       Yes       No

C3.3 Do you have adequate arrangements for monitoring and managing settlement risk?

Yes       No

C3.4 Is the establishment, monitoring and control of position limits and the monitoring and control of settlement risk separate from the dealing function?

Yes       No

C3.5 Are you currently carrying on an exempt futures market under a ministerial declaration?

Yes       No

**Question C4      Derivatives**

*Present only where one of the following has been selected A4.2.3.2, A4.2.3.2.1 to A4.2.3.2.3, A4.2.4.2, A4.2.4.2.1 to A4.2.4.2.3, A4.3.1.2 to A4.3.1.5, A4.4.2.1*

To be authorised to deal or make a market in derivatives you must show that you have processes and systems to adequately manage this particular product.

C4.1 Will any of your derivatives activities be on an Australian licensed market?

Yes       No

*If yes, go to C4.1.1 .If no got to C4.2*

C4.1.1 Which market(s) will you deal or make a market on?

ASX                     

ASX Futures     

SFE                     

C4.1.2 What best describes the proportion of your derivatives activities that are conducted on an Australian licensed market

C4.1.2.1      some     

C4.1.2.2      most     

C4.1.2.3      all     

*If C4.1.2.3 then remaining questions do not apply, Otherwise go to C4.2*

C4.2 Do you have a designated person responsible for managing derivative legal matters such as contracts?

Yes                       No

C4.3 Do you use documented systems and procedures to select when and how derivatives will be traded?

Yes                       No

C4.4 Do you use documented controls, including the assessment of credit risk, to ensure that counterparties are able to perform contractual obligations?

Yes                       No

C4.5 Will you have systems to record all derivative transactions including:

C4.5.1 reconciliation of positions       Yes                       No

C4.5.2 mark to market valuation       Yes                       No

C4.5.3 scenario testing                       Yes                       No

C4.5.4 stress testing                               Yes                       No

C4.6 Do you use documented processes for ensuring that valuations of, and exposure to, derivatives are done in a timely and independent manner in accordance with valuation standards, accounting standards and the Corporations Act?

Yes                       No

C4.7 Do you use documented processes for ensuring compliance with dealing and/or exposure limits?

Yes  No

*Present C4.8 only if 'retail clients' is selected at A5.1.1*

C4.8 Do you have processes to review marketing material and disclosure documents to ensure appropriate risk disclosures are made?

Yes  No

**Question C5      Foreign Exchange Contracts**

*Present only where one of the following has been selected A4.2.3.3, A4.2.4.3, A4.3.1.1*

To be authorised to deal and/or make a market in foreign exchange you must show that you have processes and systems to adequately manage this particular product/service.

C5.1 Will you be entering foreign exchange contracts (including foreign exchange contracts that are derivatives) as principal with a person that is not an ADI, authorised dealer under the Banking (Foreign Exchange) Regulations or the holder of an AFS licence that includes a condition requiring the licensee to have \$10million of tier one capital?

Yes                       No

C5.2 Do you have a qualified and experienced person responsible for managing foreign exchange legal matters such as contracts?

Yes                       No

C5.3 Do you use documented systems and procedures to select when and how foreign exchange contracts will be traded?

Yes                       No

C5.4 Do you use documented controls, including the assessment of credit risk, to lessen the chance that counterparties are not able to perform contractual obligations?

Yes                       No

C5.5 Do you use documented systems to record all foreign exchange contracts?

Yes                       No

C5.6 Do you use documented processes for ensuring compliance with dealing and/or exposure limits?

Yes                       No

Present C5.7 only if 'retail clients' is selected at A5.1.1

C5.7 Do you have processes to review marketing material and disclosure documents to ensure appropriate risk disclosures are made?

Yes                       No

C5.8 Are you currently an authorised foreign exchange dealer under the Banking (Foreign Exchange) Regulations

Yes                       No

*A No response triggers C5 proofs*

**Question C6**      **Horse Racing Syndicate**

*Present only where A4.2.3.7.5 or A4.2.4.7.5 have been selected*

To be authorised to operate a horse racing syndicate you must show that you have processes and systems to adequately manage this particular syndicate.

C6.1 Will you use a documented process to ensure the horse racing syndicates you wish to operate under your AFS have and maintain separate trust accounts?

Yes                       No

C6.2 Will you prepare annual statements of financial performance and financial position for each horse racing syndicate you wish to operate?

Yes                       No

C6.3 Will you use a documented process for managing your relationship with the lead regulator for each of your syndicates?

Yes                       No

**Question C7**      **Life Products**

*Present only where one of the following has been selected A4.1.2.6.1, A4.1.2.6.2, A4.2.3.6.1, A4.2.3.6.2, A4.2.4.6.1, A4.2.4.6.2*

To be authorised to advise/deal in investment life insurance or life risk insurance products you must show that you have processes and systems to adequately manage this particular product.

C7.1 Have you advised/dealt in these products previously?

Yes                       No

*If No go to C7.2, if Yes:*

C7.1.1 How long have you advised or dealt in these products?

- Less than 1 year
- 1 year to 5 years
- 5 years to 10 years
- More than 10 years

C7.2 What percentage of your financial products income is derived from advising and/or dealing in life products?

- Less than 25%
- 25% to 50%
- 50% to 75%
- Greater than 75%

C7.3 Do you use a process to monitor the practices of your representatives particularly in relation to churning and/or twisting?

Yes                       No

**Question C8      Underwriting**

*Present only where Yes has been selected at A5.4.*

To be authorised to act as an underwriting agent or a general insurance broker acting under binders you must show that you have adequate processes and systems to manage this particular product.

C8.1 Will you be entering into agreements involving more than one insurer or reinsurer?  
 Yes                       No

C8.2 Do you use documented processes to ensure that cover is protected if any insurer withdraws from or chooses not to renew these agreements?  
 Yes                       No

C8.3 Have you reviewed your agency agreements with insurers to assess if they are in conflict with any of your AFS licence obligations and the law?  
 Yes                       No

*if Yes go to C8.3.1 if No go to C8.4*

C8.3.1 Were any conflicts identified?  
 Yes                       No

*if Yes go to C8.3.1.1 if No go to C8.4*

C8.3.1.1 Have you amended, or do you propose to amend, the agreements to remove all such conflicts?  
 Yes                       No

C8.4 Do any of your agreements with insurers specify any time limits for remitting premiums to the insurer?  
 Yes                       No

*if Yes go to C8.4.1 if No go to C8.5*

C8.4.1 Do the agreements purport to reduce or invalidate insurance cover for failure to remit premiums within the agreed timeframe(s)?  
 Yes                       No

C8.4.2 What is the time limit for remitting funds?  
 Less than 30 days                       60 to 90 days  
 30 to 60 days                       greater than 90 days

C8.5 Do you use a documented process to ensure you properly notify insurers, within agreed timeframes, that they are on risk?  
 Yes                       No

C8.6 Are you liable under agreements with insurers for part of any claim on business that you have underwritten??  
 Yes                       No

*if Yes go to C8.6.1 if No go to C8.7*

C8.6.1 Which of the following measures best describes what you have in place for any abnormal underwriting losses that may occur?  
 Reinsurance contracts  
 Cash reserves

Stop loss insurance cover

None of the above

C8.7 Do you use a documented process to ensure you appropriately notify retail clients as to whom you represent, eg an insurer or the retail client themselves?

Yes

No

**Question C9      Managed Discretionary Account Services**

*To be presented to retail applicants (A5.1.1 selected), and where A4.2.3.7.7 and/or A4.2.3.11.1.1 has been selected.*

To be authorised to operate an MDA service you must demonstrate that you have the processes and systems in place to adequately operate this service and ensure compliance with your obligations under Class Order [CO 04/194].

C9.1 Do you have a documented process to ensure that your Financial Services Guide (FSG) will contain information on the MDA service you operate?

Yes                       No

C9.2 Do you use a documented process to ensure client account details are accurate and secure?

Yes                       No

C9.3 Do you use a documented process to ensure that client assets are managed as a discrete portfolio?

Yes                       No

C9.4 Do you use a documented process to ensure that the investment program you include in the MDA contract is appropriate for the client?

Yes                       No

C9.5 Do you use a documented process to ensure that the investment program for each retail client is reviewed at least once every 12 months?

Yes                       No

C9.6 Do you have a documented process to ensure compliance with retail client's instructions on corporate actions and communications about portfolio assets?

Yes                       No

C9.7 Do you have a documented process to report regularly to the client to enable the client to monitor the performance of and trading in their portfolio?

Yes                       No

C9.8 Do you have a documented process to maintain records of the documents provided to each retail client?

Yes                       No

C9.9 Who will hold legal title to portfolio assets?

- The MDA operator
- an external MDA custodian that directly contracts with the MDA client
- the MDA client
- a custodian appointed by the MDA operator

*If C9.9.1 and/or C9.9.4 is selected then A3.1.5 must be selected, if not present the message "You need to select the appropriate financial service to perform this role. Refer to the ASIC Licensing Kit on ASIC's website for guidance."*

## ***DECLARATIONS AND CERTIFICATIONS***

### **GENERAL DECLARATION AND CONSENT (ALL)**

The applicant declares that, to the best of its knowledge, the information supplied in, and with, this application is complete and accurate.

The applicant declares that, if granted the licence, it will comply with its obligations as a financial services licensee.

The applicant acknowledges that the Australian Securities and Investments Commission may take action to verify that the statements and certifications made in relation to this application were not false or misleading.

The applicant acknowledges that it has read the ASIC Electronic Lodgement Protocol and agrees to be bound by its terms and conditions. (eLicensing initial applications only)

The applicant declares that this application is lodged in accordance with the ASIC Electronic Lodgement Protocol (including that a signed copy of this application will be maintained by the applicant in accordance with the protocol). (AFS licence variation applications only)

### **APRA REGULATED BODIES DECLARATION AND ACKNOWLEDGMENT WHERE YES TO A5.3 ONLY**

The applicant declares that the applicant is a body regulated by APRA (within the meaning of s3(2) of the Australian Prudential Regulation Authority Act 1998).

### **SPECIFIC CERTIFICATIONS**

I certify that as at the date of this application to the best of my knowledge the following is true:

- the responsible officers named in this application have completed the statement of personal information (where required) and the applicant believes the responsible officers are of good fame and character
- the responsible officers named in this application have the relevant knowledge, skills and experience to perform their particular roles within this business
- the applicant has, and will continue to have, measures in place to maintain the competence required to provide the financial services applied for in this application
- the applicant has, and will continue to have, appropriate measures in place to provide the financial services applied for in this application efficiently, honestly and fairly
- the applicant has established, and will maintain, compliance measures that are appropriate and will ensure that it complies with the obligations under the financial services laws
- the applicant has established, and will maintain, adequate monitoring, supervision and training procedures to ensure that representatives will comply with the requirements of the financial services laws, are properly trained and are competent to undertake their role when they join the applicant's financial services business and on an ongoing basis
- the applicant has sufficient resources available to meet its obligations under the financial services laws and will continue to have sufficient resources on an ongoing basis, including:

- adequate human resources to enable it to satisfy its obligations under the financial services laws;
  - adequate technological resources to enable it to satisfy its obligations under the financial services laws
  - adequate financial resources to enable it to satisfy its obligations under the financial services laws.
- the applicant has, and will continue to have, appropriate internal and external dispute resolution procedures to resolve complaints made in connection with the provision of the financial services applied for in this application.
  - the applicant has established and will maintain adequate risk management systems that take into account the nature, scale and complexity of this financial services business and include a focus on its obligations under the financial services laws
  - the applicant has, and will maintain, compensation arrangements that comply with the requirements of the financial services laws
  - the applicant has, and will continue to have, sufficient financial resources available to meet the financial requirements set out in ASIC's PS 166 (Licensing: Financial requirements)

**WARNING:**

It is an offence under the Corporations Act to provide false or misleading information to ASIC. False or misleading information in an application (including a material omission) may also be grounds to revoke any licence granted based on the application.

**SIGNATORIES**

The signature block for the applicant will vary according to the type of applicant. Each signatory will be required to sign and date.

<b>Individual</b>	To be signed by that individual. Name to be pre-filled from A1.1
<b>Partnership</b>	To be signed by all the partners who would perform duties in connection with the holding of the licence. Signatory blocks equal to number given at A1.1.2.1 presented for completion of name, signature & date.
<b>Company</b>	To be signed by two directors of the company; a director and a company secretary of the company; or a single director for a single director company. Signature block should default to the one "director" and one "director/secretary" block. Signatory will need to print their name as well as sign and date.
<b>Non-Corporate Trustees</b>	To be signed by all the trustees. Signatory blocks equal to number given at A1.1.4.2 presented for completion of name, signature & date.

## Attachments

You must provide the following attachments as proof and evidence to support your AFS licence application. Details of what is required for each attachment are contained in the AFS Licensing Kit. These attachments may be an existing document or documents, or a description of your systems and processes. The document or documents may be specific to the entity applying for the licence or may cover a corporate group. The document or documents should cover the items that are relevant to the applicant. Each attachment must be labelled in the approved format.

### Label Sample

Attachment

Applicant Name

Application number

This and the following [applicant to insert number] pages are the  
*[Pre-fill Attachment name from Attachment Number]*. of  
my AFS licence application.

Date prepared

Special status [eg Commercial-In-Confidence, Draft Only, etc...]

## PRIVACY NOTICE

The information you give in these proofs assists ASIC to assess whether it should grant the applicant an Australian financial services licence. ASIC is empowered to collect this information and will not use it for any other purpose, nor will we disclose it, unless we have obtained consent or the use or disclosure is permitted under the Privacy Act (Cth).

For more details, see the Privacy Statement on our website [www.asic.gov.au](http://www.asic.gov.au).

**PART A PROOFS**

APPLICANT DETAILS

- Partnership Statement
- Trustees of a Trust statement
- Other entity types

MISCELLANEOUS FINANCIAL FACILITY STATEMENT

BUSINESS DESCRIPTION PROOF

AUTHORISED EXPRESSIONS - MEMBERSHIP

**PART B PROOFS**

PEOPLE PROOFS

- A Statement of Personal Information for all nominated Responsible Officers
- Pro Forma Table of Organisational Expertise

ORGANISATIONAL COMPETENCE

- Your Development Program for Responsible Officers
- Industry Standards compliance

COMPLIANCE ARRANGEMENTS

- Compliance Arrangements
- Outsourcing Statement

REPRESENTATIVES

- Program for monitoring, supervision and training of representatives

ADEQUACY OF RESOURCES

- Financial Statements and Financial Resource Details
- Human Resource Capacity Statement
- Information Technology Capacity Statement

DISPUTE RESOLUTION

- Dispute Resolution System Statement

RISK MANAGEMENT

- Risk Management System Statement

COMPENSATION

- Compensation Capacity Statement
- Bond Discharge Information

RESEARCH AND BENEFITS

- Research Statement

**PART C PROOFS**

CUSTODIAL OR DEPOSITORY SERVICE

- Custodial/Depository Service Statement

IDPS Statement

Funds Under Management/Custody Statement

Product/Service Distribution Statement

OPERATE A REGISTERED MANAGED INVESTMENTS SCHEME

Scheme Operating Capacity Statement

Scheme Property Statement

Funds Under Management Details

Product Distribution Channel Report

MAKE A MARKET

Market Operating Statement

DERIVATIVES

Risk Statement

FOREIGN EXCHANGE

Foreign Exchange Operating Statement

HORSE RACING SYNDICATE

Syndicate Operating Statement

LIFE INSURANCE

Life Insurance Capacity Statement

UNDERWRITING AGENCY AND/OR GENERAL INSURANCE BROKER ACTING UNDER BINDERS

Underwriting Capacity Statement

MANAGED DISCRETIONARY ACCOUNT

MDA Operator Capacity statement

VARIATIONS TO CONDITIONS (OTHER THAN AUTHORISATIONS)

Documents to support variation

## Statement of Personal Information

### Banner with Legal Name and ABN of Applicant

To obtain an AFS licence, an applicant must show that they have the experience and expertise to ensure that the financial services to be covered by the AFS licence will be provided efficiently, honestly and fairly.

You have been nominated as a Responsible Officer for this application.

To demonstrate that you have the necessary experience, expertise and are of good fame and character, please respond to all of the following questions.

When signed, this Statement becomes (if a required proof) an attachment to the AFS licence application or the Change of details of an Australian financial services licence. These documents will be forwarded to the Australian Securities and Investments Commission (ASIC) by the licensee or proposed licensee.

#### PRIVACY NOTICE

The information you give in this Statement of Personal Information assists ASIC to assess whether it should grant the applicant an Australian financial services licence. ASIC is empowered to collect this information and will not use it for any other purpose, nor will we disclose it, unless we have obtained consent or the use or disclosure is permitted under the Privacy Act (Cth).

For more details, see the Privacy Statement on our website [www.asic.gov.au](http://www.asic.gov.au).

### Statement of Personal Information for prefill name from B1, to support an application for an Australian financial services licence (AFS licence)

Within the last 10 years, within Australia and/or overseas:

1. Have you been refused the right, or been restricted in the right, to carry on any trade, business or profession for which a licence, registration or other authority is required by law?
 

<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
--------------------------	-----	--------------------------	----
  
2. Have you been a member, or partner in a member firm, of any securities, stock, futures, commodities or other exchange?
 

<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
--------------------------	-----	--------------------------	----
  
3. Have you been suspended from membership of, or disciplined by, any securities, stock, futures, commodities or other exchange?
 

<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
--------------------------	-----	--------------------------	----
  
4. Have you been refused membership of any securities, stock, futures, commodities or other exchange?
 

<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
--------------------------	-----	--------------------------	----
  
5. Have you been removed from membership of, or disciplined by, any professional body?
 

<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
--------------------------	-----	--------------------------	----
  
6. Have you carried on business under any name other than the name or names shown in this application?
 

<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
--------------------------	-----	--------------------------	----
  
7. Have you been known by any name other than the name or names shown in this application?

- Yes                       No
8. Have you been the subject of any findings, judgment or current proceeding, including findings, in relation to fraud, misrepresentation or dishonesty, in any administrative, civil or criminal proceedings in any country?
- Yes                       No
9. Are you, or have you ever been, declared bankrupt or insolvent under administration?
- Yes                       No
10. Have you been engaged in the management of any companies/businesses that have had an external administrator appointed?
- Yes                       No
11. Have you been engaged in the management of any companies/businesses that were declared insolvent?
- Yes                       No
12. Have you been engaged in the management of any companies/businesses that were declared the equivalent of insolvent under the law of an external territory or country other than Australia?
- Yes                       No
13. Have you ever been engaged in the management of any company that has had an instrument of approval under the Superannuation Industry (Supervision) Act 1993 revoked?
- Yes                       No
14. Have you ever been engaged in the management of any companies/businesses that have had a Corporations Act 2001 (or previous corresponding laws) licence or Insurance Agents and Brokers Act 1984 registration revoked or suspended?
- Yes                       No

**Attachments**

A. If you have answered Yes to any question, please provide a separate attachment that includes individual details. In addition, please provide the following:

Question 8                      the judgment and if it has been satisfied

Question 9 to 12              For a declaration of bankruptcy or insolvency:

- ✓ date of the declaration and district in which it was made
- ✓ bankruptcy number

For a deed of arrangement, assignment or where creditors have accepted a composition under Part X of the Bankruptcy Act 1966:

- ✓ date of the deed of arrangement, assignment or the special resolution accepting composition and the district in which it was made
- ✓ name and address of the trustee of the deed of arrangement, assignment or of the composition

- ✓ identifying number used in relation to the deed of arrangement or assignment or the composition in the office of the Registrar in Bankruptcy

B. You must provide the following details of your educational qualifications relevant to your responsibilities for this AFS licence. If insufficient space, attach an annexure. If any of your qualifications are foreign qualifications, please provide details about how the qualification has been approved by the National Office of Overseas Skills Recognition (NOOSR) in Canberra - for example, the letter verifying the qualification provided to you by NOOSR, and what Australian short courses you have completed.

Institution \_\_\_\_\_  
 Course Name \_\_\_\_\_  
 Year of completion \_\_\_\_\_

Institution \_\_\_\_\_  
 Course Name \_\_\_\_\_  
 Year of completion \_\_\_\_\_

Institution \_\_\_\_\_  
 Course Name \_\_\_\_\_  
 Year of completion \_\_\_\_\_

C. The proposed or existing licensee must provide the following documents to support your Statement. If you are a body regulated by APRA, you do not need to provide these documents.

- an Australian Federal Police (AFP) check on you not more than 12 months old (original or certified true copy of)
- an Insolvency Trustee Services Australia (ITSA) Bankruptcy check on you not more than 12 months old (or a statutory declaration for overseas responsible officers)
- two business references, in the approved format, not more than 12 months old (original or certified true copy of), refer to the AFS Licensing Kit for details

**Declaration**

I *pre-fill with Name from B1*, agree to be a Responsible Officer for *pre-fill with Legal Name and ABN*, as defined by the Corporations Act.

I certify that the information in this Statement and all attachments are true and correct.

	<b>Witness</b>	
	Name:	_____
Signed _____	Address	_____
Role _____		_____
Date _____	Signed	_____
	Date	_____