



**ASIC**

Australian Securities & Investments Commission

## **[CO 04/103]**

### **Relief from s912F requirement to cite licence numbers on prescribed documents**

*Issued 10/2/2004*

*Effective 17/2/2004: ASIC Gazette 07/04*

*Class Order [CO 04/103] provides relief to AFS licensees from the requirement to cite their AFS licence number on a PDS where that document was printed and made available for distribution before the date the licence was granted to the financial services licensee and this date was before 11 March 2004.*

Australian Securities and Investments Commission  
Corporations Act 2001 — Subsection 1445(1) — Determination

Under subsection 1445(1) of the *Corporations Act 2001* the Australian Securities and Investments Commission determines that, until 1 October 2004, section 912F of that Act applies to a person who holds an Australian financial services licence as if that section were modified or varied as follows:

1. in subsection 912F(1), omit “Whenever”, substitute “Subject to subsection (1A), whenever”; and
2. after subsection 912F(1) insert:
  - “(1A) The document need not include the licensee’s licence number where all the following apply:
    - (a) the document was printed and available for distribution before:
      - (i) the date the licence was granted to the financial services licensee; and
      - (ii) 11 March 2004; and
    - (b) the document is one of the following:
      - (i) a Product Disclosure Statement; or

- (ii) a Supplementary Product Disclosure Statement; or
    - (iii) an application form for an application under section 1016A; and
  - (c) the licensee either:
    - (i) makes available on its Internet website in a manner reasonably likely to come to the attention of a person seeking information about any financial products to which the document relates, a prominent notice setting out the licensee's licence number; or
    - (ii) if the licensee does not have an Internet website — displays at each place the licensee carries on business in this jurisdiction in an area likely to be accessed by members of the public, a prominent notice setting out the licensee's licence number.
- (1B) Where a document covered by subsection (1) does not include the licensee's licence number because of subsection (1A), the licensee must prominently set out that number on any confirmation of transaction that the licensee is required to provide under section 1017F in relation to any financial product to which the document relates.”.

### **Commencement**

This determination takes effect on gazettal.

Dated this 10th day of February 2004

Signed by Brendan Byrne  
as a delegate of the Australian Securities and Investments  
Commission