

ASIC registered agent number _____
lodging party or agent name _____
 office, level, building name or PO Box no. _____
 street number and name _____
 suburb / city _____ state/territory _____ postcode _____
 telephone () _____
 facsimile () _____
 DX number _____ suburb / city _____

ASS.	<input type="checkbox"/>	REQ-A	<input type="checkbox"/>
CASH.	<input type="checkbox"/>	REQ-P	<input type="checkbox"/>
PROC.	<input type="checkbox"/>		

Australian Securities & Investments Commission
 Variation to ASIC authorised representatives register

form **FS30**
 Corporations Act 2001

appoint an authorised representative

916F(1)

On what basis are you appointing an authorised representative?

- as the AFS licensee
- as a authorised representative of the AFS licensee
If authorised representative

Provide the following details

AFS authorised representative number _____

AFS authorised representative name _____

Australian Business Number (ABN) _____

(if no ABN assigned, provide ACN or ARBN)

Licensee details

Provide the following details for the AFS licensee

AFS licence number _____

AFS licence name _____

ABN _____ *(if no ABN assigned, provide ACN or ARBN)*

Contact officer _____

Contact telephone number _____

Authorised representative details

Provide the following details for the authorised representative

1. Date of effect _____

2. Has ASIC ever issued this authorised representative with an AFS authorised representative number?
 Yes No

If Yes go to 2.1, if No go to 3

2.1 Provide this number _____

Provide the following details

3. Is this authorised representative a natural person? Yes No

If Yes go to 3.1, if No go to 3.2

3.1 Provide the following details

ABN _____

Given names _____

Family name _____

Date of birth _____

3.2 Provide the following details (for body corporate, partnership or trustees)

ABN _____ *(if no ABN assigned, provide ACN or ARBN)*

Name _____

3.3 Can this authorised representative appoint further individual authorised representatives under this AFS licence?

 Yes No

4. Principal business address

office, level, building name _____

street number and name _____

suburb / city _____

state/territory _____

postcode _____

5. Does this authorised representative trade using a registered business name?

 Yes No*If Yes go to 5.1, if No go to 6*

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.

Business name _____

Registered business name number _____

State of registration _____

6. Will this authorised representative have the same authorisations as the AFS licensee (if appointed by the AFS licensee) or have the same authorisations as the authorised representative (if appointed by an authorised representative)?

 Yes No*If Yes go to 7, if No go to 6.1.*

6.1 What financial services activities are they authorised to provide?

6.1.1 Advice

Select one of the following

 Provide financial product advice Provide general financial product advice only Provide general financial product advice to wholesale clients only

6.1.2 Deal

Select one of the following

 Deal in a Financial Product Arrange for a person to deal in a financial product

6.1.2.1 Type of dealing services

Select one or more of the following

 Issue, apply for, acquire, vary or dispose of a financial product Apply for, acquire, vary or dispose of financial products on behalf of another Underwriting an issue of securities or interests in registered managed investment schemes

7. Is this authorised representative also an authorised representative of one or more other AFS licensees?
 Yes No

If Yes:

7.1 Provide the following details for each of these other licensees.

AFS licence number

Has this other AFS licensee consented to this authorised representative being appointed as an authorised representative of the licensee?

Yes
 Yes
 Yes
 Yes
 Yes

Signature

This form must be signed (please refer to Guide for details on eligible signatories)

print name _____ capacity _____

print entity name (if entity acting as agent) _____

sign here

date / /



GUIDE

This guide does not form part of the form and is included by ASIC to assist you in completing and lodging form FS30

Signature

This form must be signed by the person authorised by the Australian financial services (AFS) licensee.

Entity	Signatory
Partnership comprised of individuals	Any one of the individual partners
Partnership comprised of both individuals and companies	Any one of the individual partners or a director or secretary of one of the companies
Multiple trustees	Any one of the trustees, or where the trustee is a body, a director or secretary of the body
Company	Director or secretary
Foreign company	Director or secretary or local agent
Individual	The individual

Lodging period

Within 15 business days of the authorised representative being appointed.

Lodging fee

No fee if lodged within 15 business days of the AFS licence being granted.

\$69 per notice at other times within the prescribed lodging period. A notice may contain the appointment of more than one authorised representative. An FS30 must be completed for each representative and where multiple FS30s are to be included in a single notice (incurring a single fee) the forms must be clearly marked with a sequential numbering system, ie 1 of 12, 2 of 12, etc., and lodged together.

Late fees will apply thereafter, ie:	1 month	\$69
	More than 1 month	\$287

Additional information

You can appoint an authorised representative for an AFS licence through ASIC's online eLicensing service at www.asic.gov.au

eLicensing provides:

- a tailored process that will lead you through each relevant step;
- pre-filled data wherever possible;
- fewer errors – the system will check that you have completed each applicable question and automatically verify some answers;
- faster processing – we will not have to enter information; and
- a substantially reduced fee

Timing

The date of effect of the appointment cannot be before the start date of the AFS licence. If the date does not satisfy this requirement this form will not be accepted for lodgement by ASIC.

Key points to note

You must complete all fields as indicated on the FS30. If any required fields are incomplete or contain invalid data types ASIC staff will be unable to process this form.

If appropriate, ASIC will contact you by telephone for clarification or, if the incomplete or invalid data is significant, the FS30 will not be accepted for lodgement and will be returned to you unprocessed.

An Australian Business Number (ABN) should be provided for the AFS licensee and authorised representative.

If an AFS authorised representative number has already been allocated to an authorised representative this must be provided. An authorised representative should have a single AFS authorised representative number regardless of the number of AFS licensees they are authorised to represent.

An AFS licensee can authorise an authorised representative to appoint further authorised representatives under their AFS licence. ASIC will only accept notifications from authorised representatives where the AFS licensee has authorised this function. An authorised representative can only authorise individuals.

If the authorised representative trades using a registered business name, that business name must be current.

The authorised representative can only have the same or a sub-set of the authorisations of the AFS licensee.

In appointing an authorised representative you must declare if an authorised representative is also an authorised representative of one or more other AFS licensees and that those AFS licensee have given consent to the appointment. If consent has not been received the authorised representative has not been validly appointed under section 916C of the Corporations Act.

Privacy

ASIC is authorised to collect the information under the Corporations Act and Corporations Regulations (916F(1)). We will not use the information you provide for any other purpose nor will we disclose it unless we have obtained your 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.

Warning

It is an offence under the Corporations Act to provide false or misleading information to ASIC.

Annexures

Nil

Send to

Australian Securities & Investments Commission, PO Box 4000 Gippsland Mail Centre Victoria 3841