



**ASIC**

Australian Securities & Investments Commission

## INFORMATION SHEET 12

### ASIC search information and fees

You can get information about companies and individuals from ASIC, either:

- by searching our fee registers on our website at [www.asic.gov.au/search](http://www.asic.gov.au/search);
- using information brokers (see [www.asic.gov.au/informationbrokers](http://www.asic.gov.au/informationbrokers)); or
- going into one of our Service Centres.

### Our free registers and what you can find on them

<b>National Names Index</b>	Find basic details about current and former companies, business names and other organisations. (Detailed company information, such as company address and officeholder details can be purchased as a full company search through information brokers or a Service Centre.)
<b>Identical Names Check</b>	Check that the company name you are proposing is not identical to one already registered on the ASIC database.
<b>OFFERlist Search</b>	Find a list of all fundraising disclosure documents, such as prospectuses, offer information statements, profile statements and product disclosure statements, lodged with ASIC from 13 March 2000.
<b>Company Alert</b>	Receive email notification when a company you are monitoring lodges a document with ASIC.
<b>Professional Registers</b>	Search our professional registers for registered auditors, registered liquidators or official liquidators.
<b>AFS Licensees Register</b>	Search our registers for all people or organisations that hold an Australian financial services licence.
<b>AFS Authorised Representatives Registers</b>	Search our registers for authorised representatives of Australian financial services licensees.
<b>Pre-FSR licensees and authorisations</b>	Before 11 March 2004, licensees could be registered as securities representatives, futures representatives, investment advisers, insurance brokers, securities dealers, futures advisers and/or futures brokers.
<b>Banned &amp; Disqualified Registers</b>	Search our registers for names and addresses of persons who have been banned or disqualified under the <i>Corporations Act 2001</i> .
<b>Enforceable Undertakings Register</b>	Search our register of undertakings that have been accepted by ASIC.

Information sheets provide concise guidance on a specific process or compliance issue or an overview of detailed guidance.

## Detailed information from information brokers and Service Centres

More detailed information may be available about companies and individuals through information brokers or Service Centres. Generally a search fee is charged for this service.

**Note:** Fees are determined by the Corporations (Fees) Regulations 2001. In the gazette notice of 3 March 2000 'A New Tax System (Goods and Services Tax)(Exempt Taxes, Fees and Charges) Determination 2000' the Treasurer has determined that the following fees are not subject to GST.

Online searches are available only through information brokers who may include additional service delivery fees with the cost quoted below. Please consult with your broker for further information on their charges if you choose this option.

The type of information available and associated fees can be found in the following table.

### Obtaining extracts

Our free registers enable you to find out the names of Australian financial services (AFS) licensees and representatives, disqualified or banned persons, liquidators and auditors. You can apply (and pay) for an extract to obtain further information. An extract contains the following information:

- person's name and birth details (and any former names);
- organisation's name/s, number and current status;
- role(s) held and residential address;
- date appointed and date ceased, where applicable.

<b>For an extract about a person:</b>	<b>Use form:</b>	<b>Where to go and how much you'll pay:</b>
AFS licensee	962	ASIC Service Centre: \$12 per extract
Authorised representative of an AFS licensee	962	ASIC Service Centre: \$12 per extract
Banned securities representative	962	Information broker: \$9 per extract (plus broker fee) ASIC Service Centre: \$12 per extract
Disqualified person	962	Information broker: \$9 per extract (plus broker fee) ASIC Service Centre: \$12 per extract
Liquidator/official liquidator	962	Information broker: \$9 per extract (plus broker fee) ASIC Service Centre: \$12 per extract
Pre-FSR financial services professionals: investment adviser, securities dealer, futures dealer, futures broker, securities/futures representative	962	Information broker: \$9 per extract (plus broker fee) ASIC Service Centre: \$12 per extract
Company director (including all directorships held)	963	Information broker: \$33 per extract (plus broker fee) ASIC Service Centre: \$36 per extract
Company officeholders in specific company (current)	964	Information broker: \$9 per extract (plus broker fee) ASIC Service Centre: \$12 per extract

Company officeholders in specific company (current and historical)	964	Information broker: \$17 per extract (plus broker fee) ASIC Service Centre: \$20 per extract
<b>For an extract about an entity: Use form: Where to go and how much you'll pay:</b>		
Corporation's roles and relationships with other bodies	964	Information broker: \$33 per extract (plus broker fee) ASIC Service Centre: \$36 per extract
Ultimate holding company (if available)	964	Information broker: \$9 per extract (plus broker fee) ASIC Service Centre: \$12 per extract
Type, class and sub-class of company	964	Information broker: \$9 per extract (plus broker fee) ASIC Service Centre: \$12 per extract
Status of company	964	Information broker: \$9 per extract (plus broker fee) ASIC Service Centre: \$12 per extract
Receiver/receiver manager appointed	964	Information broker: \$9 per extract (plus broker fee) ASIC Service Centre: \$12 per extract
Liquidator appointed	964	Information broker: \$9 per extract (plus broker fee) ASIC Service Centre: \$12 per extract
Principal place of business (and current registered office address)	964	Information broker: \$9 per extract (plus broker fee) ASIC Service Centre: \$12 per extract
Registered office address (current and historical)	964	Information broker: \$17 per extract (plus broker fee) ASIC Service Centre: \$20 per extract
Former company name	964	Information broker: \$17 per extract (plus broker fee) ASIC Service Centre: \$20 per extract
Next company review date	964	Information broker: \$9 per extract (plus broker fee) ASIC Service Centre: \$12 per extract
Corporation or managed investment scheme (current)	964	Information broker: \$9 per extract (plus broker fee) ASIC Service Centre: \$12 per extract
Corporation or managed investment scheme (current and historical)	964	Information broker: \$17 per extract (plus broker fee) ASIC Service Centre: \$20 per extract
Charges (current or satisfied—including amount charged, registered charges, property charged, property releases, changes to details)	964	Information broker: \$17 per extract less than 10 pages (plus broker fee) \$33 per extract 10 or more pages (plus broker fee) ASIC Service Centre: \$20 per extract less than 10 pages \$36 per extract 10 pages or more
Top 20 proprietary company members (shareholders)	964	Information broker: \$9 per extract (plus broker fee) ASIC Service Centre: \$12 per extract
Share structure	964	Information broker: \$9 per extract (plus broker fee) ASIC Service Centre: \$12 per extract
Shares held in other		Information broker: \$33 per extract (plus broker fee)

proprietary companies	964	ASIC Service Centre: \$36 per extract
Documents received from a company (current)	964	Information broker: \$9 per extract (plus broker fee) ASIC Service Centre: \$12 per extract
Documents received from a company (historical)	964	Information broker: \$17 per extract (plus broker fee) ASIC Service Centre: \$20 per extract

### Information about liquidators, auditors or office reports

You can make a written request to ASIC to provide information about:

- official liquidators
- currently registered auditors
- currently registered liquidators or
- an office report.

The fee for this information is \$65, with an additional \$1 for each page supplied in meeting your request.

### Obtaining documents and certificates

Requests for documents use Form 961. The cost of the information will depend of the size of the document and where you get it:

Information broker	\$17 per document less than 10 pages (plus broker fee) \$33 per document 10 or more pages (plus broker fee)
ASIC Service Centre	\$20 per document less than 10 pages \$36 per document 10 pages or more

You can also get documents as certified copies from an ASIC Service Centre for an extra cost of \$17 per document. This service is not available from an information broker.

ASIC can provide certificates from our Service Centres for a cost of \$17. You use Form 960 to request a certificate. Certificates are available showing:

- details of registration of a corporation
- that no corporation was registered by the name/s nominated
- office held by a nominated person
- entry of a charge (but not provisionally registered charges)
- details (i.e. prima facie evidence) of a charge or
- registration of the last reduction in capital.

You may also request a certificate showing other information where you give details on the form of what you want.

Some information dating before 1 January 1991 may be available where the law at that time made it available and the records can be authenticated.

### Weekly summary reports

Weekly summary reports cover a period of one week and are available for current and historical information. You must request a report in writing from an ASIC Service Centre. The fee is \$36.

Some brokers also offer this service for a fee of \$33 plus broker fee.

A weekly summary report runs from Sunday to Monday of the nominated week and gives you information about one of the following subjects over the course of that week:

- changes to the charges register
- company name changes
- persons disqualified
- external administrations commenced
- new registrations of companies
- new registrations of managed investment schemes
- occupational licences granted.

Where you want a weekly summary report to cover more than one of type of information you will have to request and pay for separate reports for each topic.

## Australian Corporate Update

If you are not looking for a particular company, and need to search our database on a regular basis, you may want to consider using our *Australian Corporate Update* CDs. These are particularly useful if you often need to search using a very common word (e.g. Investments), or if you need to identify all the organisations in which a certain word occurs.

*Australian Corporate Update* is a complete listing of Australian Company Names. It is available on a 12-month subscription that includes monthly updates for \$260, or as a one-off copy that can be purchased for \$43. Both prices are inclusive of GST.

*Australian Corporate Update—Business Names* is a listing of all State registered business names. It is available on a 12-month subscription with quarterly updates for \$170, or as a one-off copy for \$43, both prices inclusive of GST.

You can download forms to apply for the *Australian Corporate Update* and the *Australian Corporate Update—Business names* from [www.asic.gov.au/asic/asic.nsf/byheadline/Australian+Corporate+Update?openDocument](http://www.asic.gov.au/asic/asic.nsf/byheadline/Australian+Corporate+Update?openDocument).

For further information about the *Australian Corporate Update* CDs email ASIC Imaging at [asicimaging@asic.gov.au](mailto:asicimaging@asic.gov.au).

For more information contact us on 1300 300 630.