



ASIC

Australian Securities &
Investments Commission

Lodging Product Disclosure Statement notifications online

Handy hints



Contents

Notification requirements for Product Disclosure Statements	3
Registered agents	4
Registering for access	4
Stepping you through	4
System requirements	4
Autocomplete	4
Security	4
Privacy	4
Lodging Form FS88 PDS in-use notice	5
PDS Transaction History Report	5
Entering details	6
Lodging Form FS89 Notice of change to fees and charges in a PDS	6
Lodging Form FS90 Notice that a product in a PDS has ceased to be available.	6
More help	6



Notification requirements for Product Disclosure Statements

The responsible person for a Product Disclosure Statement (PDS) must tell ASIC when:

- the PDS is first given to someone in a recommendation, issue or sale situation
- a change is made to fees and charges in the PDS
- any product in the PDS ceases to be available.

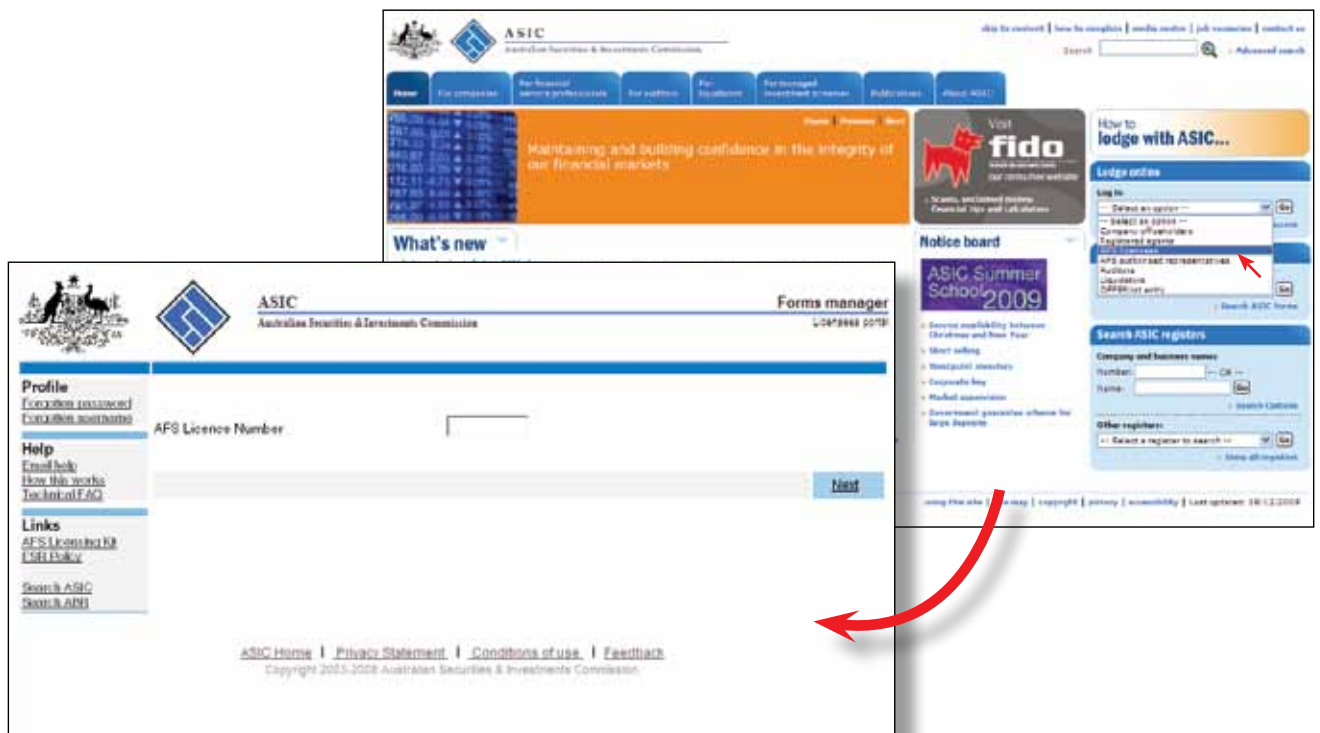
Tell us by lodging one of the following forms online at www.asic.gov.au:

- Form FS88 *PDS in-use notice*
- Form FS89 *Notice of change to fees and charges in a PDS*
- Form FS90 *Notice that a product in a PDS has ceased to be available.*

We have a number of online lodgement portals all developed to serve different areas of business. You may be eligible to register for access to one or more of them.

PDS notifications can be made through any of these portals:

- **AFS licensees**—Use your AFS Licence Number to log in and lodge forms.
- **Company officeholders**—Use your ACN to log in and lodge forms and receive annual statements for your company.
- **Registered agents**—use your registered agent number to log in and lodge forms and receive annual statements for all companies to which you are linked.



Registered agents

Usually registered agents have to be linked to a company before they can lodge forms and receive annual statements on their behalf, however registered agents do not have to be linked to a company in order to lodge Forms FS88, 89 or 90.

To register as an agent complete and lodge Form RA01 *Notification to register, change details of, or cease as an agent.*

To be linked to a company, the company must consent and appoint you as their agent using Form 362 *Notification of appointment or cessation of a registered agent by a company.* You can download forms from www.asic.gov.au/forms.



Registering for access

See www.register-for-access.

Before using the portal you must register for access. To do so you will need your relevant ASIC reference number:

- For an AFS licensee—your AFS licence number
- For a company officeholder—your corporate key
- For an ASIC registered agent—your registered agent number

You will also need your personal details such as address and contact information. Your email address is essential.

Stepping you through

You will be asked to:

- Read and agree to the ASIC Electronic Lodgement Protocol (conditions of use) at www.asic.gov.au/elp.
- Select a user name and password.
- Create a security question and answer that will be used as verification if you forget your password.
- Submit your application online to us using the Submit menu or save your application to finish it later.

System requirements

In general, any browser that supports HTML 4 and CSS 2 should allow you to use our services. The page layout may be presented differently by some browser versions.

Because the service uses PDF files for printing, you will need Adobe Acrobat Reader on your computer. You can download it free of charge from Adobe's website.

Autocomplete

You may wish to consider enabling the 'Autocomplete form' function on your PC, especially if you lodge a number of forms. It may make entering data in to the form quicker.

Security

Our services use an internet technology called Secure Sockets Layer (SSL) utilising 128 bit encryption to reduce the likelihood of a third party reading your information while it is in transit on the internet. Your browser may choose a lower level of encryption. We suggest you always consider the sensitivity of any information before providing it on the Internet.

Privacy

Our services do not use cookies.

Lodging Form FS88 PDS in-use notice

You must lodge Form FS88 online when a PDS has been first given to someone in a recommendation, issue or sale situation.

You only need to tell us about a Supplementary PDS if it changes the fees and charges set out in the original PDS or an existing Supplementary PDS.

Once you go to the '**Start new form**' link in the left-hand navigation bar and select '**FS88**' from the list, the screens will step you through the form asking you to select options or enter text.

Users logged in to the AFS Licensee or Company officeholder portals to lodge an FS88 will be identified as the primary responsible person for the PDS. Their details will automatically appear at the top of the list of '**Responsible person(s)**'. Additional responsible persons can be added or removed, but the primary responsible person cannot be taken off the list.

Users lodging through the Registered agent portal will be asked to enter the ACN of the company for which they are lodging the form. This company will be identified as the primary responsible person for the PDS.

As the primary responsible person, you will be the only responsible person able to lodge a notice of change to fees and charges in a PDS or notice that a product in a PDS has ceased to be available. You will also be able to view the '**PDS Transaction History**' for all PDS notices for which you are primarily responsible.

You will be asked to enter the name of the PDS and have the option to enter a reference number that you choose. If you enter one, you should record it safely so that you can use it if you have to lodge subsequent notices about the same PDS.



PDS Transaction History Report

PDS Document No.	PDS Name	Your reference	In-use.asice.date	Last supplementary notice lodged
7E0024482	TestPDS	00000000	27-10-2008	

This report lists all Product Disclosure Statements that have been notified to ASIC by you as the primary responsible person. Any Supplementary PDS that you may have told us about prior to 1 July 2008 is not listed separately.

The report shows:

- the PDS document number allocated by ASIC for the PDS in-use notice
- the name of the PDS
- the reference number if you chose one
- the in-use notice date
- the date the last supplementary PDS was lodged.

Selecting the option to **'Display all PDS including out of use'** will add an additional column showing the PDS out of use date.

Entering details

You will need to enter:

- the PDS details
- the financial products included in the PDS and
- if your PDS contains a product that is an interest in a regulated superannuation fund that is not a Small APRA Fund, the Superannuation Fee data.

Once you have submitted the form and we have validated it you will be able to print off the invoice for the lodgement fee. Payment details are included on the invoice.

The primary responsible person for the PDS will be responsible for paying the lodgement fees and any late fees for this notice.

Lodging Form FS89 Notice of change to fees and charges in a PDS

You must lodge this form online when a change is made to fees and charges set out in an enhanced fee disclosure table contained in the PDS or an existing Supplementary PDS or applied, adopted or incorporated by a shorter PDS.

The templates for the enhanced fee disclosure table are set out in items 201 and 202 of Schedule 10 to the Corporations Regulations 2001.

You will be asked to enter the ASIC document number for the last FS88 for the PDS, so we can link this current notice with the original in-use notice.

If you don't know the document number you can look it up using the **'PDS Transaction History'** or you can use your reference number used in the last Form FS88 for the PDS.

Once you have confirmed the PDS you will be asked to enter the current fees and charges for any superannuation products where the fees and charges have changed.



Lodging Form FS90 Notice that a product in a PDS has ceased to be available.

You must lodge this form online when a financial product to which a PDS relates is no longer available to be recommended or offered to new clients in a recommendation, issue or sale situation.

You will be asked to enter the ASIC document number of the last Form FS88 in-use notice for the PDS that now contains the product that has ceased to be available.

If you don't know the document number you can look it up using the '**PDS Transaction**

History' or you can use your reference number used in the last Form FS88 for the PDS.

Once you have confirmed the PDS, you will be asked to confirm whether all of the financial products in the PDS have ceased. If not, you will then have the opportunity to view a list of the financial products and cease any that are no longer available. You can also add any new products to the list.

More help

INFO 94 *Notification requirements for Product Disclosure Statements*—go to www.asic.gov.au/infosheets

INFO 133 *Shorter and simpler PDSs: Superannuation, managed investment schemes and margin lending*—go to www.asic.gov.au/infosheets

User guide for lodging Product Disclosure Statements online—go to www.asic.gov.au/register-for-access

For financial services professionals | Financial services compliance—go to www.asic.gov.au

Registering for access to lodge forms online—go to www.register-for-access.