User guide

ASIC Connect

How to appoint financial advisers

The screens and data pictured in this guide are examples only. Actual screens can have minor differences in text and layout.
How to appoint financial advisers

• You will need to use ASIC Connect to appoint financial advisers.
• You can notify up to 25 appointments per transaction.
• Further assistance about using ASIC Connect can be accessed via the Help button at the top right-hand side of the screen.
• Visit our support page for more user guides about other ASIC Connect transactions.
Get started


Click on the blue **ASIC Connect** box.

This will take you to ASIC Connect.

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How to appoint financial advisers

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Log in

Go to ASIC Connect and select Log in.

If you do not have an ASIC Connect account select Sign up.
Log in

Log in using your email address and password.

If you do not have an ASIC Connect account select Sign up.

If you already have an ASIC Connect account, you will need to link the AFS licence or authorised representative to your ASIC Connect account before you can appoint any financial advisers. You will need an ASIC key to do this.

Our user guides below will show you how to link your AFS licence or authorised representative.

How to sign up for an ASIC Connect account and link your licence(s).
How to sign up for an ASIC Connect account and link authorised representatives.

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Once you have logged in, the home screen will be visible.

1. Select **Lodgements & Notifications** tab at the top of the page.
1. Select the radio button next to the AFS licensee or AFS representative you want to appoint financial advisers to.
2. In the transactions column, select Appoint Representatives. This is the name of the transaction you use to appoint a financial adviser.
3. Select Go to proceed.
Appoint financial advisers

1. You need to inform us if you, the licensee, are notifying of the appointment of a financial adviser or authorised representative who has been appointed by an authorised representative on your behalf.

Select Yes if the AFS licensee is telling us of a financial adviser or authorised representative that was appointed by one of their authorised representatives.

Select No if the AFS licensee is telling us of an appointment they made themselves.

2. If you selected Yes, you need to provide the representative number of the authorised representative. Please enter their number in the box.

If you are not sure of their number, select the link ‘Search Authorised Representative Register’ to search the authorised representatives register for it.

3. Select Next to continue
Appoint financial advisers

1. Enter the date of appointment.
   The appointment date must be a date on or after the AFS licence was granted by ASIC, or if appointed by an authorised representative, on or after the date the authorised representative was appointed by the licensee.

2. Select that the representative is being appointed as a financial adviser.
   A financial adviser is a natural person that has been appointed by an AFS licensee or authorised representative to provide personal financial advice on their behalf.

3. Select whether ASIC has issued this representative with a representative number.
   If the representative does not have a representative number, you will be asked to provide their ABN (if applicable).

4. Enter the representative number.

5. Select Next to continue.

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Appoint financial advisers

1. Enter the name of the representative.
   If you have provided a representative number this information will be pre-populated.
2. Enter the birth details of the representative.
3. Select **Search Name**.
4. If the representative appears in the search results you can select them. Otherwise select none of the above.
5. Select **Next** to continue.

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Authorisations

1. Check the boxes next to the Tier 1 financial products the financial adviser is authorised to provide.

2. Select Next to continue.

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Qualifications and training

1. Select **Add** to add the qualification or training course information.
2. Enter the name of course, provider/institution and year obtained for the qualification or training course into the relevant field provided.
3. Select **Save** to save the qualification and training course entered.

You can add a maximum of five qualifications and training courses.
Professional memberships

1. Select whether the financial adviser is a member of any professional bodies relevant to the provision of financial services.
2. Select Add to add the professional associations membership details.
3. Select the professional body name from the drop-down box.
4. Select Save to save the professional membership.
   You can add a maximum of five professional memberships.
5. When all qualifications, training and professional memberships have been added, select Next to continue.
Employment history

1. Select +Add and enter the employment history of the financial adviser.

   Current employment is not considered part of employment history.

   Only previous appointments as a financial adviser (with a start and end date) are considered employment history.

   If the financial adviser has been employed by the current licensee for more than five years, further employment history is not required.

   If the financial adviser has been employed by more than one licensee during the past five years, provide employment details.

2. Enter the year the financial adviser first provided personal advice.

3. Select Next to continue.
Review

Check that the information you have entered is correct.

1. Select **Add a representative** to add more financial advisers.
   You can notify up to 25 appointments per transaction.

2. Select **Edit/Review** if the information has been entered incorrectly for a financial adviser.

3. Select **Remove** to remove financial advisers.

4. When all financial advisers have been added correctly, select **Next** to continue.

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Declarations

Read the declaration to ensure you agree with the conditions of the transaction.

1. If you agree, tick the boxes next to the declaration to proceed.
2. Select your authority for submitting the transaction.
3. Select **Next** to continue.
Payment

Pay Now

You can choose to pay using a credit card, or BPAY.
Alternatively, you can request an invoice to be sent to you.
1. Select the Pay Now option.
2. Select Pay Now to continue.

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Credit card payment

1. Enter your credit card details.
2. Select Submit to process the payment.

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Payment

**Pay Later**

If you want to pay at a later date, you can do so by using BPAY or requesting an invoice to be sent to you.

1. Select the **Pay Later** option.
2. Select the **Invoice or BPAY** option.
   - If you select **Invoice** it will be sent to:
     - AFS licensee: the email address if one has been provided. Otherwise it will be sent to the service address.
     - AFS representative: the email address if one has been provided. Otherwise it will be sent to the principal place of business.
   - If you select **BPAY** you will need to print or make note of the BPAY details and process your payment.
3. Select **Pay Later**.
Confirmation

This screen confirms your transaction has been submitted.

1. Select **Print the transaction** to download a printable PDF version of the transaction.

2. Select one of the links under **What else can I do** for more information about other services.

Or

3. Select **Home** to return to the ASIC Connect home page.

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