



Form FS20

Corporations Regulations 2001
7.6.04(1)(b), 7.6.05(1)(a), 7.6.05(1)(b),
7.6.05(1)(e), 7.6.05(1)(g)

Change of details for an Australian financial services licence

If there is insufficient space in any section of the form, you may photocopy the relevant page(s) and submit as part of this lodgement

AFS licence details	AFS licence number <input type="text"/>
	ABN (if no ABN assigned, provide ACN or ARBN) <input type="text"/>
	AFS licence name <input type="text"/>

Lodgement details	Who should ASIC contact if there is a query about this form?		
	ASIC registered agent number (if applicable) <input type="text"/>		
	Firm/organisation <input type="text"/>		
	Contact name/position description <input type="text"/>	Telephone number (during business hours) <input type="text"/>	
	Email address (optional) <input type="text"/>		
	Postal address <input type="text"/>		
	Suburb/City <input type="text"/>	State/Territory <input type="text"/>	Postcode <input type="text"/>

1 AFS licensee details

Tick appropriate box

	Do you wish to change the AFS licensee address or business name details? <input type="checkbox"/> Yes <input type="checkbox"/> No
	If Yes, commence at 1.1 and provide only that information that has changed. If No go to 2
1.1	Principal business address
	Office, unit, level <input type="text"/>
	Street number and Street name <input type="text"/>
	Suburb/City <input type="text"/>
	State/Territory <input type="text"/>
	Postcode <input type="text"/>

1 Continued... AFS licensee details

1.2 Address for service of notices

Office, unit, level

Street number and Street name

Suburb/City State/Territory

Postcode

1.3 Remove a business name under which the AFS licensee trades:

Business name

Registered business name number State of registration

Business name

Registered business name number State of registration

If insufficient space, provide details of business names to be added or removed on an attached annexure.

1.4 Add a business name under which the AFS licensee trades:

Business name

Registered business name number State of registration

Business name

Registered business name number State of registration

For non-corporate entities only:

1.5 Name

ABN

1.6 Effective date of change
 / /
[D] [D] [M] [M] [Y] [Y]

2 Contact details

Do you wish to change the contact details for this AFS licence?
 Yes No

If Yes, commence at 2.1 and provide only that information that has changed. If No go to 3.

2.1 Full name

2.2 Relationship to applicant
 Licensee (including officers & staff) External service provider

2.3 Email address

2.4 Telephone number

2 Continued... Contact details

Postal address

2.5 Facsimile number

2.6 Office, unit, level

Street number and Street name

Suburb/City State/Territory

Postcode

2.7 Effective date of change
 / /
[D] [D] [M] [M] [Y] [Y]

3 Responsible managers

Do you wish to change your responsible managers?
 Yes No
If Yes, commence at 3.1. If No go to 4.

3.1 Do you wish to remove one or more responsible managers?
 Yes No
If Yes, go to 3.1.1. If No go to 3.2.

3.1.1 Provide the following details for the responsible managers you wish to remove.

Full Name (Given names, family name)	Date of birth
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

3.1.2 Effective date of change
 / /
[D] [D] [M] [M] [Y] [Y]

If you are adding or amending more than one responsible manager attach completed copies of pages 3 and 4 of this form as annexures to the FS20.

3.2 Do you wish to add or amend the details of one or more responsible managers?
 Yes No
If Yes, go to 3.2.1. If No go to 4.

3.2.1 Provide the following details for **each** responsible manager you wish to add or whose details you wish to amend.

Given names

Family name

Date of birth
 / /
[D] [D] [M] [M] [Y] [Y]

Place of birth
City/Town Country

New responsible manager Existing responsible manager

Personal details

3 Continued... Responsible managers

Personal details

The service you select must be authorised under your AFS licence or be a subset of your authorisation.

What is the relationship of this person to the entity that will hold this AFS licence?

- An employee/officer
- An external service provider
- Owner/partner

What best describes this person's role for your organisation?

- Accountant
- Chief Executive Officer
- Company Secretary
- Compliance Officer
- Distribution Manager
- General Manager
- Legal Adviser
- Operations Manager
- Professional Adviser
- Asset Specialist
- Chief Investment Officer
- Compliance Manager
- Director
- Financial Controller
- Human Resource Manager
- Marketing Manager
- Partner/Proprietor
- Trustee

What financial services will this person be a responsible manager for?

- Provide financial product advice
- Deal in a financial product
- Operate a registered scheme
- Provide class of product advice
- Make a market for a financial product
- Provide custodial or depository service

On average, how many days will this person spend on duties related to the provision of financial services by the applicant or its related body corporate?

- Less than 1 day per month
- 1 to 3 days per week
- Less than 1 day per week
- More than 3 days per week

What industry category(ies) best describes this person's area of experience?

- Accounting
- Banking or like services
- Derivatives
- Foreign Exchange
- General Insurance
- Life Insurance
- Margin Lending
- Stockbroking
- Technical Adviser
- Underwriting
- Asset Specialist
- Custodial / Depository
- Financial/Investment Advising
- Funds Management
- Law Firm/Legal
- Management
- Securities Dealing
- Superannuation
- Trustee

What best describes the overall type of experience they have?

- Management – small entity
- Technical adviser
- Employee/representative – medium to large entity
- Management – medium to large entity
- Employee/representative – small entity

Which of the following best describes the length of their relevant industry experience?

- At least 3 years experience in the last 5 years
- At least 5 years experience in the last 8 years
- Neither of the above

Where was this experience predominantly obtained?

- Australia
- Overseas country (please specify)

The five options are explained in Section C of RG105

Which of the five options for demonstrating knowledge and skills do they meet?

- Meets widely adopted and relevant industry standard, or relevant standard set by APRA; or
- Has been individually assessed by an authorised assessor as having relevant knowledge equivalent to a diploma; or
- Holds a university degree in a relevant discipline and has completed a relevant short industry course; or
- Holds a relevant industry or product-specific qualification equivalent to a diploma or higher; or
- Other demonstration of knowledge and skills.

3.3 Effective date of change

/ / /

[D] [D] [M] [M] [Y] [Y]

If adding or amending more than one responsible manager, include additional details as an annexure. A Statement of Personal Information must also be completed and included as an annexure for each responsible manager added, refer Appendix A of this form.

4 Dispute resolution

This question applies to AFS licensees that service retail clients only.

Do you wish to change your external dispute resolution details?

Yes

No

If Yes commence at 4.1 and provide only that information that has changed. If No go to 5.

4.1 What best describes the role of the person in your organisation with responsibility for external dispute resolution.

Chief Executive Officer

Complaints Manager

Compliance Manager

Compliance Officer

Customer Services Manager

Director

General Manager

Operations Manager

Partner/Proprietor

4.2 Provide the following details for the external dispute resolution schemes that cover some or all of the financial services you will provide under this AFS licence

Scheme details

Scheme Financial Ombudsman Service Limited (FOS)

Membership number

Commencement date

/ /
[D] [D] [M] [M] [Y] [Y]

Scheme

Credit Ombudsman Service Limited (COSL)

Membership number

Commencement date

/ /
[D] [D] [M] [M] [Y] [Y]

Scheme

Superannuation Complaints Tribunal

Membership number

Commencement date

/ /
[D] [D] [M] [M] [Y] [Y]

5 Compensation arrangements

This question applies to AFS licensees that service retail clients, operate a registered scheme or operate an IDPS only.

5.1 Do you wish to change your security bond details?

Yes No

If Yes go to 5.1.1

5.1.1 Provide details of new bond

Name of the financial institution that issued bond

Amount of bond (Bond amounts can only be \$10,000 or \$20,000)

5.1.2 Effective date of change

/ /
[D] [D] [M] [M] [Y] [Y]

5.2 Are you seeking to discharge your bond?

Yes No

Annexures

Provide the following details for all annexures that are attached to this document.

Please note that all annexures must be clearly marked with the AFS licence number, annexure number and the number of pages.

Total number of annexures

Annexure Number	Annexure Detail (eg additional business name, Statement of Personal Information for xxx, etc...)

Declarations and Certifications

General Declaration and Consent

The AFS licensee declares that, to the best of its knowledge, the information supplied in, and with, this document is complete and accurate.

The AFS licensee declares that it will comply with its obligations as a financial services licensee.

The AFS licensee acknowledges that the Australian Securities and Investments Commission may take action to verify that the statements and certifications made in relation to this document were not false or misleading.

Certifications

I certify that as at the date of this application to the best of my knowledge the following is true:

- new responsible managers named in this document have completed the statement of personal information and the applicant believes the responsible managers are of good fame and character
- new responsible managers named in this document have the relevant knowledge, skills and experience to perform their particular roles within this business.

Signature

Refer to Guide for details on eligible signatories.

Name

Signature

Capacity

Entity name (if entity acting as agent)

Date signed

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>
[D	D]		[M	M]		[Y	Y]

Lodgement

Send completed and signed forms to:
AFS Licence Applications
Australian Securities and Investments Commission
PO Box 4000
Gippsland Mail Centre VIC 3841

For more information

Web www.asic.gov.au
Need help? www.asic.gov.au/question
Telephone 1300 300 630

Or lodge the form online at www.asic.gov.au

Appendix A: Change of details for an Australian financial services licence

Statement of Personal Information

To obtain an AFS licence, an applicant must show that they have the experience and expertise to ensure that the financial services to be covered by the AFS licence will be provided efficiently, honestly and fairly.

You have been nominated as a Responsible Manager for this application.

To demonstrate that you have the necessary experience, expertise and are of good fame and character, please respond to all of the following questions.

When signed, this Statement becomes an attachment to the change of details for an AFS licence that will be forwarded to the Australian Securities and Investments Commission (ASIC) by the AFS licensee.

PRIVACY NOTICE

ASIC is authorised to collect the information under the *Corporations Act 2001* and Corporations Regulations 2001. We will not use it 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.

Statement of Personal Information for:

For Australian financial services licence number:

Within the last 10 years, within Australia and/or overseas:

1. Have you been refused the right, or been restricted in the right, to carry on any trade, business or profession for which a licence, registration or other authority is required by law?
 Yes No
2. Have you been a member, or partner in a member firm, of any securities, stock, futures, commodities or other exchange?
 Yes No
3. Have you been suspended from membership of, or disciplined by, any securities, stock, futures, commodities or other exchange?
 Yes No
4. Have you been refused membership of any securities, stock, futures, commodities or other exchange?
 Yes No
5. Have you been removed from membership of, or disciplined by, any professional body or external dispute resolution scheme?
 Yes No
6. Have you carried on business under any name other than the name or names shown in this application?
 Yes No
7. Have you been known by any name other than the name or names shown in this application?
 Yes No
8. Have you been the subject of any findings, judgment or current proceeding, including findings, in relation to fraud, misrepresentation or dishonesty, in any administrative, civil or criminal proceedings in any country?
 Yes No
9. Are you, or have you ever been, declared bankrupt or insolvent under administration?
 Yes No
10. Have you been engaged in the management of any companies/businesses that have had an external administrator appointed?
 Yes No
11. Have you been engaged in the management of any companies/businesses that were declared insolvent?
 Yes No

12. Have you been engaged in the management of any companies/businesses that carry on a trade, business or profession for which a licence, registration or other authority is required by law?
 Yes No
13. Have you been engaged in the management of any companies/businesses that have been the subject of any investigations or proceedings that are current or pending and which may result in disciplinary action being taken in relation to any such authorisation?
 Yes No
14. Have you been engaged in the management of any companies/businesses that have failed to comply with a determination from an external dispute resolution scheme?
 Yes No
15. Have you been engaged in the management of any companies/businesses that were declared the equivalent of insolvent under the law of an external territory or country other than Australia?
 Yes No
16. Have you ever been engaged in the management of any company that has had an instrument of approval under the Superannuation Industry (Supervision) Act 1993 revoked?
 Yes No
17. Have you ever been engaged in the management of any companies/businesses that have had a Corporations Act 2001 (or previous corresponding laws) licence or National Consumer Credit Protection Act licence or Insurance Agents and Brokers Act 1984 registration revoked or suspended?
 Yes No

Attachments

A. If you have answered Yes to any question, please provide a separate attachment that includes individual details. In addition, please provide the following:

Question 8 the judgment and if it has been satisfied

Question 9 to 15 For a declaration of bankruptcy or insolvency:

- ✓ date of the declaration and district in which it was made
- ✓ bankruptcy number

For a deed of arrangement, assignment or where creditors have accepted a composition under Part X of the *Bankruptcy Act 1966*:

- ✓ date of the deed of arrangement, assignment or the special resolution accepting composition and the district in which it was made
- ✓ name and address of the trustee of the deed of arrangement, assignment or of the composition
- ✓ identifying number used in relation to the deed of arrangement or assignment or the composition in the office of the Registrar in Bankruptcy

B. You must provide the following details of your educational qualifications relevant to your responsibilities for this AFS licence. If insufficient space, attach an annexure. If any of your qualifications are foreign qualifications, please provide details about how the qualification has been approved by the National Office of Overseas Skills Recognition (NOOSR) in Canberra - for example, the letter verifying the qualification provided to you by NOOSR and what Australian short courses you have completed.

Institution

Course Name

Year of completion

Institution

Course Name

Year of completion

Institution

Course Name

Year of completion

Institution

Course Name

Year of completion

C. You must provide the following details on your organisational experience for each of the financial services you are responsible for. If insufficient space, attach an annexure.

Financial service

Relevant qualifications

Relevant experience

Financial service

Relevant qualifications

Relevant experience

Financial service

Relevant qualifications

Relevant experience

D. The following documents must be provided to support your Statement. If the licensee is a body regulated by APRA, you only need to provide the documents described in 1.

1. Copies of your relevant qualification certificates.
2. A copy of a criminal history check on you not more than 12 months old (also called a police check).
3. A copy of a bankruptcy check on you not more than 12 months old.
4. Copies of two business references not more than 12 months old (at least one of these should be from someone external to your current organisation).

Even if you have previously given these documents to us as part of an earlier licence application or notification, you must still provide them. Further details regarding these documents can be found in Part 2 of the AFS Licensing Kit.

Declaration

I, agree to be a Responsible Manager for

(Name and ABN, ACN or ARBN of AFS licensee) as defined by the *Corporations Act 2001*.

I certify that the information in this Statement and all attachments are true and correct.

Signature

Role

Date signed

/ /
[D] [D] [M] [M] [Y] [Y]

Witness

Name Signature

Address

Date signed

/ /
[D] [D] [M] [M] [Y] [Y]

Lodgement

Send completed and signed forms to:
AFS Licence Applications
Australian Securities and Investments Commission
PO Box 4000
Gippsland Mail Centre VIC 3841

Or lodge the form online at www.asic.gov.au

For more information

Web www.asic.gov.au
Need help? www.asic.gov.au/question
Telephone 1300 300 630

Guide: Change of details for an Australian financial services licence

This guide does not form part of the form. It is included by ASIC to assist you in completing and lodging the Form FS20.

Signature	<p>This form must be signed by the person authorised by the Australian financial services (AFS) licensee.</p> <table border="1"> <thead> <tr> <th>Entity</th> <th>Signatory</th> </tr> </thead> <tbody> <tr> <td>Partnership comprised of individuals</td> <td>Any one of the individual partners</td> </tr> <tr> <td>Partnership comprised of both individuals and companies</td> <td>Any one of the individual partners or a director or secretary of one of the companies</td> </tr> <tr> <td>Multiple trustees</td> <td>Any one of the trustees, or where the trustee is a body, a director or secretary of the body</td> </tr> <tr> <td>Company</td> <td>Director or secretary</td> </tr> <tr> <td>Foreign company</td> <td>Director or secretary or local agent</td> </tr> <tr> <td>Individual</td> <td>The individual</td> </tr> </tbody> </table>	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
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														
Lodgement period	10 business days for changes to responsible managers and principal business address details.														
Lodgement fees	No fee if lodged within 10 business days.														
Late fees	<p>Late fees will apply if you notify a change outside of the lodgement period.</p> <p>For information on fees refer to www.asic.gov.au/forms.</p> <p>A form is not considered lodged until it is received and accepted by ASIC as being in compliance with s1274(8) of the Corporations Act 2001. A receipt will not be issued unless requested.</p>														
Lodge this form online	<p>You can also apply to change the details for an AFS licence online www.asic.gov.au.</p> <p>The AFS licensee portal provides:</p> <ul style="list-style-type: none"> • 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 														
Key points to note	<p>Some questions have been designed so that you provide ASIC with your base information and then only those details that have changed. However, if any required fields are incomplete or contain invalid data types ASIC staff will be unable to process this form.</p> <p>If appropriate, ASIC will contact you by telephone for clarification or, if the incomplete or invalid data is significant, the FS20 will not be accepted for lodgement and will be returned to you unprocessed.</p>														
Proofs and evidences	<p>Where changes have been made in the following areas the relevant proofs and evidences must be included as annexures to the FS20. Refer to the AFS Licensing Kit for further details.</p> <ol style="list-style-type: none"> 1. Responsible Managers - <i>A Statement of Personal Information</i> for each responsible manager added 2. Compensation arrangements - <i>Compensation Capacity Statement</i>. 														

Privacy	The information provided to ASIC in this form may include personal information. Please refer to our privacy policy (www.asic.gov.au/privacy) for information about how we handle your personal information, your rights to seek access to and correct personal information, and to complain about breaches of your privacy.
----------------	--

Warning	It is an offence under the <i>Corporations Act 2001</i> to provide false or misleading information to ASIC.
----------------	---

How to provide additional information	<p>Annexures</p> <p>If there is insufficient space in any section of the form, you may submit annexures as part of this lodgement.</p> <p>To make any annexure conform to the regulations, you must</p> <ol style="list-style-type: none">1. use A4 size paper of white or light pastel colour with a margin of at least 10mm on all sides2. show the AFS licence number3. number the pages consecutively4. print or type in BLOCK letters in dark blue or black ink so that the document is clearly legible when photocopied5. mark the annexure with an identifying letter or symbol eg a,b,c or 1,2,3 etc.6. endorse the annexure with the words: This annexure (mark) of (number) pages referred to in form (form number and title)7. sign and date the annexure <p>The annexure must be signed by the same person(s) who signed the form.</p>
--	---

Lodgement	<p>Send completed and signed forms to:</p> <p>AFS Licence Applications Australian Securities and Investments Commission PO Box 4000 Gippsland Mail Centre VIC 3841</p> <p>Or lodge the form online at www.asic.gov.au</p>	<p>For more information</p> <p>Web www.asic.gov.au Need help? www.asic.gov.au/question Telephone 1300 300 630</p>
------------------	--	---