



Notice of acting for a prescribed unlicensed carried over instrument lender

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

Lodgement details

Who should ASIC contact if there is a query about this form?

ASIC registered agent number (if applicable)

Firm/organisation

Contact name/position description

Telephone number (during business hours)

Email Address

Postal address

Suburb/City

State/Territory

Postcode

Appointee details

Credit licence number

Name of credit licensee

1 Details of appointment by prescribed unlicensed COI lender

Name

Name of prescribed unlicensed carried over instrument (COI) lender

ABN

Australian financial services (AFS) licence no (if applicable)

Principal business name

Postal address

At the office of, C/- (if applicable)

Office, unit, level

Street number and street name or PO Box

Suburb/City

State/Territory

Postcode

Country (if not Australia)

Principal business address (If not the same as postal address)

The principal business address should be the same as the:

- principal place of business notified to ASIC for a registered company
- principal business address notified to ASIC for an AFS licensee.

At the office of, C/- (if applicable)

Office, unit, level

Street number and street name or PO Box

Suburb/City

State/Territory

Postcode

Country (if not Australia)

Date of appointment

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

Signature

See guide for details of who can sign.

I certify that the information in this form is true and complete.

Name

Capacity

Signature

Date signed

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

Lodgement

Send completed and signed forms to:
Australian Securities and Investments Commission,
Licensing
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

Guide: Notice of acting for a prescribed unlicensed carried over instrument lender

This guide does not form part of the form. It is included by ASIC to assist you in completing and lodging the Form COI3.

Signature	<p>If the licensee is a company or other body corporate—a director or secretary of the person must sign this form.</p> <p>If the licensee is a partnership—a partner must sign this form.</p> <p>If the licensee is a multiple trustee—one of the trustees that forms this entity must sign this form. If each trustee is a body corporate or a partnership, the form must be signed by an individual who is a director, secretary or partner (as appropriate) of the trustee.</p> <p>If the licensee is a natural person—that person must sign this form.</p>
Lodgement fee	<p>Nil.</p>
Lodgement period	<p>Notify ASIC within 15 business days after appointment by prescribed unlicensed COI lender. 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> <p>A receipt will not be issued unless requested.</p>
How to provide additional information	<p>Photocopied Form COI3 pages</p> <p>If there is insufficient space in any section of the form, you may submit additional copies of the relevant page(s) and submit as part of this lodgement.</p> <p>Annexures</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 lender name and ABN3. 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. The annexure must be signed by the same person(s) who signed the form.

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.

Lodgement

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Licensing
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