



ASIC

Australian Securities & Investments Commission

Extracted from ASIC's database at AEST 11:34:17 on 15/11/2016

Current Details	
Name:	AFS LICENSEE PTY LTD
Licence Number:	000000
Status:	Current
ABN:	00 000 000 000
Commenced:	10/03/2004
Previous License Details - Pre FSR	
Role:	Securities Dealer
Licence number:	14275
Commenced:	30/08/1985
Addresses	
Principal Business Address:	2 Example Square, MELBOURNE VIC 3000
Service Address:	2 Example Square, MELBOURNE VIC 3000
Roles	
Role:	Auditor of FS Licensee
Name:	Auditor Man
Commenced:	22/10/2009
External Dispute Resolution	
Scheme:	Financial Ombudsman Service
Membership Number:	00000
Commenced:	01/07/2008
Licence Authorisation Conditions	
From:	27/08/2010
Details:	<p>This licence authorises the licensee to carry on a financial services business to:</p> <ul style="list-style-type: none"> (a) provide financial product advice to wholesale clients only for the following classes of financial products: <ul style="list-style-type: none"> (i) non standard margin lending facility; and (b) deal in a financial product to wholesale clients only by: <ul style="list-style-type: none"> (i) issuing, apply for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products: <ul style="list-style-type: none"> (A) non standard margin lending facility; and (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of financial products: <ul style="list-style-type: none"> (A) non standard margin lending facility; and (c) provide financial product advice to retail and wholesale clients for the following classes of financial products: <ul style="list-style-type: none"> (A) deposit and payment products limited to:



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- (1) basic deposit products;
- (2) deposit products other than basic deposit products;
- (B) derivatives;
- (C) foreign exchange contracts;
- (D) general insurance products limited to:
 - (1) consumer credit insurance products;
- (E) debentures, stocks or bonds issued or proposed to be issued by a government;
- (F) life products including:
 - (1) investment life insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds; and
 - (2) life risk insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds;
- (G) interests in managed investment schemes including:
 - (1) investor directed portfolio services;
- (H) interests in managed investment schemes limited to:
 - (1) MDA services;
- (I) retirement savings accounts ("RSA") products (within the meaning of the Retirement Savings Account Act 1997);
- (J) securities;
- (K) standard margin lending facility;
- (L) superannuation; and
- (M) financial products limited to:
 - (1) miscellaneous financial investment products;
 - (2) miscellaneous financial investment products limited to MDA services;
- (d) deal in a financial product to retail and wholesale clients by:
 - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) derivatives;
 - (B) foreign exchange contracts;
 - (C) interests in managed investment schemes limited to:
 - (D) MDA services;



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- (E) securities;
- (F) standard margin lending facility; and
- (G) financial products limited to:
 - (I) miscellaneous financial investment products limited to MDA services;
 - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
 - (A) deposit and payment products including:
 - (a) basic deposit products;
 - (b) deposit products other than basic deposit products; and
 - (c) non-cash payment products;
 - (B) derivatives;
 - (C) foreign exchange contracts;
 - (D) general insurance products limited to:
 - (a) consumer credit insurance products;
 - (E) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (F) life products including:
 - (a) investment life insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds; and
 - (b) life risk insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds;
 - (G) interests in managed investment schemes including:
 - (a) investor directed portfolio services;
 - (H) interests in managed investment schemes limited to:
 - (a) MDA services;
 - (I) retirement savings accounts ("RSA") products (within the meaning of the Retirement Savings Account Act 1997);
 - (J) securities;
 - (K) standard margin lending facility;
 - (L) superannuation; and
 - (M) financial products limited to:
 - (a) miscellaneous financial investment products;
 - (b) miscellaneous financial investment products



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- limited to MDA services; and
- (v) underwriting to retail and wholesale clients in respect of the following classes of financial products:
 - (A) interests in managed investment schemes; and
 - (B) an issue of securities;
- (e) make a market for the following financial products in respect of retail and wholesale clients:
 - (i) foreign exchange contracts;
 - (ii) derivatives;
 - (iii) debentures, stocks or bonds issued or proposed to be issued by a government and/or debentures issued by any other body; and
 - (iv) limited to financial products other than:
 - (1) derivatives;
 - (2) foreign exchange contracts; and
 - (3) debentures, stocks or bonds issued or proposed to be issued by a government and/or debentures issued by any other body; and
- (f) provide the following custodial or depository services to retail and wholesale clients:
 - (i) operate custodial or depository services other than investor directed portfolio services.

From: 04/12/2006

- Details:
1. This licence authorises the licensee to carry on a financial services business to:
 - (a) provide financial product advice for the following classes of financial products:
 - (i) deposit and payment products limited to:
 - (A) basic deposit products;
 - (B) deposit products other than basic deposit products;
 - (ii) derivatives;
 - (iii) foreign exchange contracts;
 - (iv) general insurance products limited to:
 - (A) consumer credit insurance products;
 - (v) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (vi) life products including:
 - (A) investment life insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds; and
 - (B) life risk insurance products as well as any



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- products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds;
- (vii) interests in managed investment schemes including:
 - (A) investor directed portfolio services;
- (viii) interests in managed investment schemes limited to:
 - (B) MDA services;
- (ix) retirement savings accounts ("RSA") products (within the meaning of the Retirement Savings Account Act 1997);
- (x) securities;
- (xi) superannuation; and
- (xii) financial products limited to:
 - (A) miscellaneous financial investment products;
 - (B) miscellaneous financial investment products limited to MDA services;
- (b) deal in a financial product by:
 - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) derivatives;
 - (B) foreign exchange contracts;
 - (C) interests in managed investment schemes limited to:
 - (1) MDA services;
 - (D) securities; and
 - (E) financial products limited to:
 - (1) miscellaneous financial investment products limited to MDA services; and
 - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
 - (A) deposit and payment products including:
 - (1) basic deposit products;
 - (2) deposit products other than basic deposit products; and
 - (3) non-cash payment products;
 - (B) derivatives;
 - (C) foreign exchange contracts;
 - (D) general insurance products limited to:
 - (1) consumer credit insurance products;



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- (E) debentures, stocks or bonds issued or proposed to be issued by a government;
- (F) life products including:
 - (1) investment life insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds; and
 - (2) life risk insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds;
- (G) interests in managed investment schemes including:
 - (1) investor directed portfolio services;
- (H) interests in managed investment schemes limited to:
 - (2) MDA services;
- (I) retirement savings accounts ("RSA") products (within the meaning of the Retirement Savings Account Act 1997);
- (J) securities;
- (K) superannuation; and
- (L) financial products limited to:
 - (1) miscellaneous financial investment products;
 - (2) miscellaneous financial investment products limited to MDA services;
- (c) make a market for the following financial products:
 - (i) foreign exchange contracts;
 - (ii) derivatives;
 - (iii) debentures, stocks or bonds issued or proposed to be issued by a government and/or debentures issued by any other body; and
 - (iv) limited to financial products other than:
 - (A) derivatives;
 - (B) foreign exchange contracts; and
 - (C) debentures, stocks or bonds issued or proposed to be issued by a government and/or debentures issued by any other body; and
- (d) provide the following custodial or depository services:
 - (i) operate custodial or depository services other than investor directed portfolio services;



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to retail and wholesale clients.

From: 10/03/2004

- Details: 1. This licence authorises the licensee to carry on a financial services business to:
- (a) provide financial product advice for the following classes of financial products:
 - (i) deposit and payment products limited to:
 - (A) basic deposit products;
 - (B) deposit products other than basic deposit products;
 - (ii) derivatives;
 - (iii) foreign exchange contracts;
 - (iv) general insurance products limited to:
 - (A) consumer credit insurance products;
 - (v) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (vi) life products including:
 - (A) investment life insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds; and
 - (B) life risk insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds;
 - (vii) interests in managed investment schemes including:
 - (A) investor directed portfolio services;
 - (viii) retirement savings accounts ("RSA") products (within the meaning of the Retirement Savings Account Act 1997);
 - (ix) securities;
 - (x) superannuation; and
 - (xi) financial products limited to miscellaneous financial investment products limited to managed investment warrants:
 - (A) to which the definition of derivative in sub section 761D(1) applies that is a financial product of the kind referred to in subparagraph 764A(1)(b)(ii) or 764A(1)(ba)(ii); and
 - (B) that is transferable; and
 - (C) that is a warrant as defined in the ASX Operating Rule that has been admitted by the



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ASX to trading status on a financial market of the ASX;

- (b) deal in a financial product by:
 - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) derivatives;
 - (B) foreign exchange contracts; and
 - (C) securities; and
 - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
 - (A) deposit and payment products including:
 - (1) basic deposit products;
 - (2) deposit products other than basic deposit products; and
 - (3) non-cash payment products;
 - (B) derivatives;
 - (C) foreign exchange contracts;
 - (D) general insurance products limited to:
 - (1) consumer credit insurance products;
 - (E) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (F) life products including:
 - (1) investment life insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds; and
 - (2) life risk insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds;
 - (G) interests in managed investment schemes including:
 - (1) investor directed portfolio services;
 - (H) retirement savings accounts ("RSA") products (within the meaning of the Retirement Savings Account Act 1997);
 - (I) securities;
 - (J) superannuation; and
 - (K) financial products limited to miscellaneous financial investment products limited to managed investment warrants:



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- (1) to which the definition of derivative in sub section 761D(1) applies that is a financial product of the kind referred to in subparagraph 764A(1)(b)(ii) or 764A(1)(ba)(ii); and
- (2) that is transferable; and
- (3) that is a warrant as defined in the ASX Operating Rule that has been admitted by the ASX to trading status on a financial market of the ASX; and
- (c) make a market for the following financial products:
 - (i) foreign exchange contracts;
 - (ii) derivatives;
 - (iii) debentures, stocks or bonds issued or proposed to be issued by a government and/or debentures issued by any other body; and
 - (iv) limited to financial products other than:
 - (A) derivatives;
 - (B) foreign exchange contracts; and
 - (C) debentures, stocks or bonds issued or proposed to be issued by a government and/or debentures issued by any other body; and
- (d) provide the following custodial or depository services:
 - (i) operate custodial or depository services other than investor directed portfolio services; to retail and wholesale clients.

Further information relating to this Licensee may be purchased from ASIC.