



ASIC

Australian Securities & Investments Commission

User guide

ASIC Search

Banned & Disqualified Person Search

The screens and data pictured in this guide are examples only. Actual screens may have minor differences in text and layout.

Searching the ASIC registers

- ASIC's registers can be searched directly from the [ASIC website](#).
- The more criteria you enter about the search you want to conduct, the more relevant the results will be.
- Assistance with using the search facility and purchasing search items can be accessed via the help function.

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Screen layout

The screenshot shows the ASIC Connect website interface. At the top, there is a blue header with the ASIC logo and the text 'Connect'. Below the logo, there is a search bar labeled 'Search ASIC Registers' with a dropdown menu for 'Within:' set to 'Select' and a text input for 'For:' containing 'Name or Number'. A red arrow points from the text 'Search ASIC Registers' at the top right to the search bar. Below the header, there is a navigation bar with links: 'Check Name Availability', 'Professional Registers', and 'Information Brokers'. The main content area is titled 'Search ASIC Registers' and features a search box with the same 'Within:' and 'For:' fields. To the left of the search box is a sidebar with navigation links: 'Organisations & Business Names', 'Check Name Availability', 'Documents', 'Banned & Disqualified', and 'Professional Registers'. Below the search box, there are sections for 'More About' (Information Brokers, Payment by Credit Card, Search Other Registers) and 'Need Help' (Using Search, Understanding free vs paid searches, Fees, Search Tips, Using the shopping cart, Viewing your search results, Frequently asked questions, Product examples, Glossary of terms). On the right side, there are utility boxes for 'Shopping Cart (0)', 'Quick Links', 'Recent Purchases', 'Recent Searches', and 'Follow ASIC'.

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Screen layout

- Shopping cart
- Related links
- Recent purchases
- Recent searches
- Follow ASIC

- Help links

Connect
ASIC

Search ASIC Registers

Within: For:

Search ASIC Registers

Check Name Availability Professional Registers Information Brokers

Search ASIC Registers

Organisations & Business Names Search information on companies or other organisations. [Learn More](#)

Check Name Availability

Documents

Banned & Disqualified

Professional Registers

Search ASIC Registers

Search Within:

For:

More About

Information Brokers
Information Brokers can offer additional information and services in conducting your searches. [Learn More](#)

Payment by Credit Card
Purchase paid searches with ASIC online now using your credit card. [Learn More](#)

Search Other Registers
Search for gazettes, product disclosure statements, enforceable undertakings and other ASIC registers. [Learn More](#)

Need Help

- Using Search
- Understanding free vs paid searches
- Fees
- Search Tips
- Using the shopping cart
- Viewing your search results
- Frequently asked questions
- Product examples
- Glossary of terms

Shopping Cart (0)

Quick Links

- Report a data issue
- Look up ABN information
- ASIC Website
- Setup an alert
- Information brokers
- NZ Companies
- Ask a question
- Service availability

Recent Purchases

Recent Searches

Follow ASIC

FOLLOW US ON [twitter](#)

See more on [YouTube](#)

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Screen layout

The screenshot displays the ASIC Connect website interface. At the top, there is a navigation bar with the ASIC logo and the text 'Connect'. Below this, there is a search bar labeled 'Search ASIC Registers' with a dropdown menu for 'Within:' (set to 'Select') and a text input for 'For:' (set to 'Name or Number'). A 'Go' button is located to the right of the search bar. Below the search bar, there are links for 'Check Name Availability', 'Professional Registers', and 'Information Brokers'. The main content area is titled 'Search ASIC Registers' and features a search form with a 'Search Within:' dropdown (set to 'Select') and a 'For:' text input (set to 'Name or Number'). A 'Go' button is positioned below the search form. To the right of the search form, there is a 'Shopping Cart (0)' button with a 'View Cart' link. Below the search form, there is a 'Quick Links' section with a dropdown menu containing links for 'Report a data issue', 'Look up ABN information', 'ASIC Website', 'Setup an alert', 'Information brokers', 'NZ Companies', 'Ask a question', and 'Service availability'. Below the 'Quick Links' section, there is a 'Recent Purchases' section with a dropdown menu. Below the 'Recent Purchases' section, there is a 'Recent Searches' section with a dropdown menu. Below the 'Recent Searches' section, there is a 'Follow ASIC' section with a dropdown menu containing links for 'FOLLOW US ON twitter' and 'See more on YouTube'. Below the search form, there is a 'More About' section with three sub-sections: 'Information Brokers', 'Payment by Credit Card', and 'Search Other Registers'. Each sub-section includes a small image and a 'Learn More' link. Below the 'More About' section, there is a 'Need Help' section with a dropdown menu containing links for 'Using Search', 'Understanding free vs paid searches', 'Fees', 'Search Tips', 'Using the shopping cart', 'Viewing your search results', 'Frequently asked questions', 'Product examples', and 'Glossary of terms'. At the bottom of the page, there is a footer with links for 'Help', 'Copyright', 'Privacy', 'Accessibility', and 'Contact us'.

Information about searching the register.

Learn more about searching and lodging..

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Screen layout

Select one of these sub-menus to search a particular register.

Select this link to access a list of Information Brokers and alternative search services.

The screenshot displays the ASIC Connect website interface. At the top, the ASIC logo and 'Connect' branding are visible. A search bar for 'Search ASIC Registers' is present, with dropdown menus for 'Within:' (set to 'Select') and 'For:' (set to 'Name or Number'), and a 'Go' button. Below the search bar, a navigation menu includes 'Search ASIC Registers', 'Check Name Availability', 'Professional Registers', and 'Information Brokers'. A red box highlights the 'Search ASIC Registers' link, and a red arrow points from the text 'Select one of these sub-menus to search a particular register.' to it. Another red arrow points from the text 'Select this link to access a list of Information Brokers and alternative search services.' to the 'Information Brokers' link in the navigation menu.

The main content area features a 'Search ASIC Registers' section with a search bar and a 'Go' button. To the left, a sidebar lists navigation options: 'Organisations & Business Names', 'Check Name Availability', 'Documents', 'Banned & Disqualified', and 'Professional Registers'. Below this, the 'More About' section includes links for 'Information Brokers', 'Payment by Credit Card', and 'Search Other Registers'. The 'Need Help' section provides links for 'Using Search', 'Understanding free vs paid searches', 'Fees', 'Search Tips', 'Using the shopping cart', 'Viewing your search results', 'Frequently asked questions', 'Product examples', and 'Glossary of terms'. On the right side, there are sections for 'Shopping Cart (0)', 'Quick Links', 'Recent Purchases', 'Recent Searches', and 'Follow ASIC' with social media links for Twitter and YouTube.

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Start your search

Visit our website at www.asic.gov.au.

Click on **Companies and organisations**.

This will take you to ASIC Connect Search.

The screenshot shows the ASIC website homepage. At the top, there is a search bar with the text "Start searching" and a "SEARCH" button. Below the search bar is a navigation menu with tabs for "FOR BUSINESS", "FOR FINANCE PROFESSIONALS", "FOR CONSUMERS", "REGULATORY RESOURCES", and "ABOUT ASIC". The main content area is divided into several sections:

- Find out more:** A dark blue box containing links for "About business names", "Starting a company", "Making a complaint", "Paying fees", "Using our online services", and "Frequently asked questions".
- ASIC's small business hub:** A banner image of a man and a woman at a cafe counter with the text "ASIC's small business hub" and "Legal information for small business operators." A red box highlights the "1" next to the text.
- Search our registers:** A section with a red box around the "Companies and organisations" link. Other links include "Business names", "Professional registers", and "View all registers".
- Pay now - business name renewals:** A green button with a right arrow.
- Use our online services:** A section with a dropdown menu and a list of services: "Change addresses", "Update details", and "Pay your company annual review fee".
- Log in:** A dark blue button.
- Learn about online services:** A link with a checkmark icon.
- Service availability:** A link with a checkmark icon.
- Find a form:** A section with links for "484 Change company details", "201 Register a company", and "370 Officeholder notifies resignation/retirement". A "View all forms" link is at the bottom.

At the bottom of the page, there is a footer with links for "Information Public Scheme (IPS)", "Freedom of information", "Copyright", "Privacy", "Contact us", "Accessibility statement", "Disclaimer", and "Site map". On the right side of the footer, there are social media icons for YouTube and Facebook, with the text "Social Media Title".

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Start your Banned & Disqualified Person Search

ASIC Connect

1. In the search field, select **Banned & Disqualified**.
2. Enter the family name and given name of the person.
(Both fields need completing, however you may enter an initial if you are unsure of exact name.)
3. Click **Go** to view the results.

The screenshot shows the ASIC Connect website interface. At the top, there is a navigation bar with the ASIC logo and the text 'Connect'. Below this, there is a search bar labeled 'Search ASIC Registers' with a dropdown menu for 'Within:' set to 'Select' and a text input field for 'For:' containing 'Name or Number'. A red arrow points from the text 'Search ASIC Registers' at the top right to the search bar. Below the navigation bar, there is a main content area with a sidebar on the left and a main search area on the right. The sidebar contains a menu with options: 'Organisations & Business Names', 'Check Name Availability', 'Documents', 'Banned & Disqualified', and 'Professional Registers'. The main search area has a heading 'Search ASIC Registers' and a search form with a dropdown menu for 'Search Within:' set to 'Banned & Disqualified', and two text input fields for 'For:' containing 'Payne' and 'J'. A red arrow points from the top search bar to this search form. Below the search form, there is a 'Go' button. To the right of the search form, there is a 'Shopping Cart (0)' button and a 'Help' button. Below the search form, there is a 'More About' section with three sub-sections: 'Information Brokers', 'Payment by Credit Card', and 'Search Other Registers'. To the right of the 'More About' section, there is a 'Need Help' section with a list of links: 'Using Search', 'Understanding free vs paid searches', 'Fees', 'Search Tips', 'Using the shopping cart', 'Viewing your search results', 'Frequently asked questions', 'Product examples', and 'Glossary of terms'. At the bottom of the page, there is a footer with links for 'Help', 'Copyright', 'Privacy', 'Accessibility', and 'Contact us'.

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Search results

Up to 20 results are listed per page.

The results will show basic details about each person.

To view more information about a person either click on the name, or tick the box next to the name (you may select more than one person at a time) and click on **View Details** at the bottom of the page.

To view or print the results list in PDF format click on **View Results List**.

The screenshot shows the ASIC Connect search results page. At the top, there is a search bar with 'Search ASIC Registers' and a 'Go' button. Below the search bar, there are navigation links: 'Check Name Availability', 'Professional Registers', and 'Information Brokers'. The main content area is titled 'Search Results' and shows a search for 'Payne' within the 'Banned & Disqualified' category. The results are displayed in a table with columns: Family Name, Given Name(s), Type, Commenced, Ceased, and Address. Three results are shown for 'J Payne'. The first result is for 'PAYNE' (JOHN), Banned Securities Representative, commenced 06/09/1991, permanent. The second result is for 'PAYNE' (JOHN RAYDEN), Banned Securities Representative, commenced 05/04/1993, ceased 05/04/1996. The third result is for 'PAYNE' (JOHN PATERSON), Banned Futures Representative, commenced 18/03/1996, ceased 18/03/1996. Below the table, there are buttons for 'View Results List', 'Back', 'New Search', and 'View Details'. The right sidebar contains 'Quick Links', 'Recent Purchases', 'Recent Searches', and 'Follow ASIC' sections.

Family Name (*indicates former name)	Given Name(s)	Type	Commenced	Ceased	Address
<input type="checkbox"/> PAYNE	JOHN	Banned Securities Repre	06/09/1991	PERMANENT	'Lvl' U 310 31 E
<input type="checkbox"/> PAYNE	JOHN RAYDEN	Banned Securities Repre	05/04/1993	05/04/1996	77 Sunset Strip
<input checked="" type="checkbox"/> PAYNE	JOHN PATERSON	Banned Futures Represe	18/03/1996	18/03/1996	25 Gordon Cres

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Search results

This screen displays further information about a particular result.

The page shows information that is available for purchase.

To purchase information products:

1. Select one or more products (if available).
2. Click on **Add To Cart**. Click **OK** when confirmation box appears.
3. Click **Checkout**.

To access the shopping cart click on **View Cart** in the orange box at the top right of the screen.

Search ASIC Registers

Within: Select

For: Name or Number

Go

Check Name Availability Professional Registers Information Brokers

View Details

Help

Shopping Cart (0) View Cart

Quick Links

- Report a data issue
- Look up ABN information
- ASIC Website
- Setup an alert
- Information brokers
- NZ Companies
- Ask a question
- Service availability

Recent Purchases

Recent Searches

- Banned and disqualified search - 'J Payne'

Follow ASIC

FOLLOW US ON twitter

See more on YouTube

Banned & Disqualified Persons

Hide all details

JOHN PATERSON PAYNE

Summary

Type: Banned Futures Representative

Commenced: 18/03/1996

Ceased: 18/03/1996

Address: 25 Gordon Crescent DENISTONE NSW 2114

Comments:

View PDF

Documents

Show all documents

Documents Lodged

Date	Document No.	Document type	Pages	Uncertified	Certified
18/03/1996	103456789	Banning Order Prohibiting Person From Acting As Representative Of Futures Broker (829A)	5	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Back

New Search

Add To Cart

Checkout

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Added to cart

The item(s) you selected have been added to the shopping cart.

OK

Shopping cart

This screen will confirm all the products that were selected and give the option to remove any, prior to purchasing.

To remove a product or products from the cart, tick the relevant box and click **Remove**.

To purchase products in the cart, click on **Pay Now**.

The screenshot shows the ASIC Connect Shopping Cart interface. At the top, there is a search bar for ASIC Registers and navigation links for 'Check Name Availability', 'Professional Registers', and 'Information Brokers'. The main content area is titled 'Shopping Cart' and contains a table with the following items:

	Price	Remove
JOHN PATERSON PAYNE		
Document - 103456789 - 829A Banning Order Prohibiting Person From Acting As Representative Of Futures Broker	\$0.00	<input type="checkbox"/>
Subtotal	\$0.00	

Below the table, there is a warning message: "We cannot refund payments once a purchase request is complete. Ensure you review your product selection before payment. Refer to our [refund policy](#) for further information." A 'Remove' button with a checked checkbox is located to the right of this message. At the bottom of the cart, there is a 'TOTAL (AUD)' section, a 'Back' button, a 'New Search' button, and a 'Pay Now' button. The 'Pay Now' button is highlighted with a red box and a red arrow points from the text on the left to it. Another red arrow points from the text on the left to the 'Remove' button.

On the right side of the page, there are several utility sections: 'Shopping Cart (1) View Cart', 'Quick Links' (with links like 'Report a data issue', 'Look up ABN information', etc.), 'Recent Purchases', 'Recent Searches' (showing a search for 'J Payne'), and 'Follow ASIC' (with social media links for Twitter and YouTube).

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Payment screen

1. Enter an the email address for the delivery of the purchased products and the payment receipt. You will need to confirm the email address by entering it twice.
2. Enter credit card details to make the payment.
3. Click on **Next**.

The next screen will confirm payment or highlight any problems with the transaction.

Payment Details

***Mandatory Fields**

Delivery

ASIC will send links to PDF versions of the payment receipt and purchased products to this email address.

*Email Address:

*Confirm Email Address:

***Mandatory Fields**

Credit Card Payment

Invoice Amount (AUD):

Credit Card Details

*Card Type: VISA Visa MasterCard Mastercard

*Card Number:

*Expiry Date: mm/yy

*CVV:

*Name on Card:

We cannot refund payments once a purchase request is complete. Ensure you review your product selection before payment. Refer to our [refund policy](#) for further information.

Note: Mock Gateway

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Receipt

This screen confirms the purchase of products.

Click **View & Print Payment Receipt** to open your receipt in PDF form.

Your product and receipt will be sent to your email address for you to view, save and print. Alternatively you can collect the payment receipt and product online by clicking **Online Retrieval Status**.

The screenshot shows the ASIC Connect website interface. At the top, there is a search bar for ASIC Registers with a dropdown menu for 'Within' (set to 'Select') and a text input for 'For' (set to 'Name or Number'). Below the search bar are navigation links: 'Check Name Availability', 'Professional Registers', and 'Information Brokers'. The main content area is titled 'Receipt' and features a green success message: 'Your purchase was successful'. Below this, a text box states: 'The PDF versions of your products are currently being generated. Once generated, links to PDF versions of the payment receipt and purchased products will be emailed to noname@noemail.com. Please ensure you retrieve and store the payment receipt and purchased products at your earliest convenience, as the links will become inactive after 90 days. Note: Depending on the size of your document, there may be a delay in receiving your email.' A table provides purchase details: Receipt number 31314, Payment method Visa, Date 20/03/2012, and Amount (AUD) [redacted]. A button labeled 'View & Print Payment Receipt' is positioned to the right of the table. Below the table, the 'Purchased Product(s)' section lists 'JOHN PATERSON PAYNE' and an 'Information product' table with one entry: 'Document - 103456789 - 829A Banning Order Prohibiting Person From Acting As Representative Of Futures Broker'. At the bottom, a section asks 'Would you like to collect the payment receipt and products online?' and includes an 'Online Retrieval Status' button. A red arrow points from the 'View & Print Payment Receipt' button in the screenshot to the 'View & Print Payment Receipt' text in the left-hand text block. Another red arrow points from the 'Online Retrieval Status' button in the screenshot to the 'Online Retrieval Status' text in the left-hand text block.

Receipt

Your purchase was successful

The PDF versions of your products are currently being generated. Once generated, links to PDF versions of the payment receipt and purchased products will be emailed to noname@noemail.com. Please ensure you retrieve and store the payment receipt and purchased products at your earliest convenience, as the links will become inactive after 90 days. Note: Depending on the size of your document, there may be a delay in receiving your email.

Receipt number	31314
Payment method	Visa
Date	20/03/2012
Amount (AUD)	[redacted]

[View & Print Payment Receipt](#)

Purchased Product(s)

JOHN PATERSON PAYNE

Information product
Document - 103456789 - 829A Banning Order Prohibiting Person From Acting As Representative Of Futures Broker

Would you like to collect the payment receipt and products online?

Once the products have been generated, you can also access the payment receipt and purchased products from this screen. To check if the products have been generated and are available for collection from this screen, click the online retrieval status button.

Please note: Generation of products may take up to 10 minutes.

[Online Retrieval Status](#)

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