Credit licensees

Do you have an Australian credit licence?

I have an Australian credit licence that authorises the holder to...

Subsector: Credit provider

Engage in credit activities as a credit provider

You will be required to report consumer credit provided under:
1. small amount credit contracts;
2. other than small amount credit contracts

This information is reported to ASIC via the ASIC Regulatory Portal from July to September.

Subsector: Credit intermediary

Engage in credit activities other than a credit provider

You must keep details of your credit representatives up to date with ASIC, and verify this information on the ASIC Regulatory Portal from July to September.

Note: The above depiction is a scenario only, other levies may be applicable for your entity depending on your activity. Please refer to the ASIC Supervisory Cost Recovery Levy Regulations 2017 for further details.
Do you have a registered Australian company?

I have an Australian company

Does the company have “Pty Ltd” in the name?

Yes

Subsector: Large proprietary company

No

During the financial year, did your company (and entities it controls) have at least 2 of the following:

1. consolidated revenue $25m
2. consolidated gross assets $12.5m
3. 50+ employees

Yes

Subsector: Listed corporations

No

Was the company included in the official list of the ASX, Chi-X, NSX, SSX, SIM at any time during the year?

Yes

Subsector: Unlisted public company

No
**ASIC industry funding**

**Do you have an Australian financial services licence?**

<table>
<thead>
<tr>
<th>Deal in a financial product by:</th>
<th>Subsector: Licensees that provide personal advice to only wholesale clients</th>
<th>Subsector: Margin lenders</th>
</tr>
</thead>
<tbody>
<tr>
<td>• issuing, applying for, acquiring, varying or disposing of,</td>
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<td></td>
</tr>
<tr>
<td>OR • Arranging for another person to issue, apply for, acquire, vary or dispose of...</td>
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<tr>
<td></td>
<td>Subsector: Credit rating agency</td>
<td>Subsector: Risk management product providers</td>
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<tr>
<td>Provide financial product advice...</td>
<td>Subsector: Licensees that provide personal advice to retail clients</td>
<td>Subsector: Deposit product providers</td>
</tr>
<tr>
<td>Provide only general advice...</td>
<td>Subsector: Licensees that provide general advice to only wholesale clients</td>
<td>Subsector: Wholesale trustees</td>
</tr>
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<td></td>
<td>Subsector: IDPS operators</td>
<td>Subsector: Payment product providers</td>
</tr>
<tr>
<td>Provide general advice by issuing a credit rating...</td>
<td>Subsector: Licensees that provide personal advice to only wholesale clients</td>
<td>Subsector: MDA providers</td>
</tr>
<tr>
<td></td>
<td>Subsector: Licensees that provide personal advice to retail clients</td>
<td></td>
</tr>
</tbody>
</table>

**Deal in a financial product by:**

- basic deposit products or deposit products other than basic deposit products
- non-cash payment products
- A standard margin lending facility or a non standard margin lending facility
- interests in managed investment schemes
- miscellaneous financial risk products
- interests in managed investment schemes
- miscellaneous financial investment products limited to MDA services

**To retail clients**

- on relevant financial products

**To wholesale clients**

- on products that are not relevant financial products

**For MDA services**

- excluding investor directed portfolio services OR including investor directed portfolio services OR limited to own managed schemes only OR limited to horse racing schemes only OR limited to time-sharing schemes only OR if no product is specified

**Interests in managed investment schemes**

- Including investor directed portfolio services OR limited to a nominated investor directed portfolio service

**Miscellaneous financial investment products limited to MDA services**

Note: The above depiction is a scenario only, other levies may be applicable for your entity depending on your activity. Please refer to the ASIC Supervisory Cost Recovery Levy Regulations 2017 for further details.

(1) Relevant products are defined in section 910A of the Corporations Act 2001.

(2) The subsector 'Licensees that provide personal advice to only wholesale clients' includes licensees that provide general advice to only wholesale clients as well as licensees that provide personal advice to only wholesale clients.
I have an Australian financial services licence that authorises the holder to...

- Make a market in derivatives AND...
- Deal in a financial product by:
  - issuing, applying for, acquiring, varying or disposing of,
  - OR
  - applying for, acquiring, varying or disposing of, on behalf of another person
  - OR
  - arranging for another person to issue, apply for, acquire, vary or dispose of
  - OR
  - arranging for another person to apply for, acquire, vary or dispose of...

- Operate a registered managed investment scheme (including the holding of any incidental property) in its capacity as responsible entity...

- Provide a custodial or depository service...

- Provide traditional trustee company services...

- Deal in a financial product by:
  - issuing, applying for, acquiring, varying or disposing of derivatives.

- To retail clients

- Securities

- My licensed entity is an APRA regulated insurer

- My licensed entity has an intermediary arrangement with an unlicensed APRA regulated insurer

- My licensed entity is neither an APRA regulated insurer NOR has an intermediary arrangement with an unlicensed APRA regulated insurer

- Subsector: Retail over-the-counter derivatives issuers

- Subsector: Securities dealer

- Subsector: Insurance product providers

- Subsector: Insurance product distributors

- Subsector: Responsible entities

- Subsector: Custodians

- Subsector: Traditional trustee service company providers

Note: The above depiction is a scenario only, other levies may be applicable for your entity depending on your activity. Please refer to the ASIC Supervisory Cost Recovery Levy Regulations 2017 for further details.

(3) Entities will not be levied as a retail over-the-counter derivatives issuer if they are regulated by the Australian Prudential Regulation Authority (APRA).

(4) Entities will not be levied as a securities dealer if their annual transaction value is less than $250k and/or a participant in a large futures exchange or a large securities exchange.

(5) In this context, unlicensed refers to an entity without an Australian financial services licence.