Deal in a financial product by:
• issuing, applying for, acquiring, varying or disposing of,
OR
• Arranging for another person to issue, apply for, acquire, vary or dispose of…

Provide financial product advice…

I have an Australian financial services licence that authorises the holder to…

Provide only general advice…

Provide general advice by issuing a credit rating…

Deal in a financial product by issuing, applying for, acquiring, varying or disposing of…

To retail clients

Only to wholesale clients

To retail or wholesale clients

Non-cash payment products

Interests in managed investment schemes

Miscellaneous financial risk products

Basic deposit products or deposit products other than basic deposit products

A standard margin lending facility or a non standard margin lending facility

Interests in managed investment schemes

Miscellaneous financial investment products limited to 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

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

For MDA services

On relevant financial products

On products that are not relevant financial products

Subsector: Licensees that provide personal advice on relevant financial products to retail clients

Subsector: Licensees that provide personal advice to only wholesale clients

Subsector: Licensees that provide personal advice on only products that are not relevant financial products

Subsector: Licensees that provide only general advice to retail or wholesale clients

Subsector: Credit rating agency

Subsector: Payment product providers

Subsector: Wholesale trustees

Subsector: Risk management product providers

Subsector: Deposit product providers

Subsector: Margin lenders

Subsector: IDPS operators

Subsector: MDA providers

Subsector: MDA 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.

(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,
  - applying for, acquiring, varying or disposing of, on behalf of another person
  - arranging for another person to issue, apply for, acquire, vary or dispose of
  - 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...

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: Securities dealer
  - Subsector: Insurance product distributors
  - Subsector: Insurance product providers
  - Subsector: Responsible entities
  - Subsector: Custodians
  - Subsector: Traditional trustee service company providers

(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.

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.