



ASIC
Australian Securities &
Investments Commission

User guide

ASIC Connect

How to cease authorised representatives/financial advisers

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

How to cease authorised representatives/ financial advisers

- You will need to use [ASIC Connect](#) to cease authorised representatives and financial advisers.
- You can notify up to 25 cessations per transaction.
- Further assistance about using [ASIC Connect](#) can be accessed via the  button at the top right-hand side of the screen.
- If you're unable to select the next button, please ensure you have provided all mandatory information on the screen.
- Visit our [support page](#) for more user guides about other [ASIC Connect](#) transactions.

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Get started

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

Click on the blue **ASIC Connect** box.

This will take you to ASIC Connect.



Find out more

- [Registering a business name](#)
- [Registering a company](#)
- [Using our online services](#)
- [Search fees](#)
- [Frequently asked questions](#)
- [Make a complaint](#)
- [Scams targeting ASIC customers](#)

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[Check the switching calculator](#)

ASIC Connect

For business

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For finance professionals

- [Your obligations as an AFS licensee](#)
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News centre

18 October 2019 - PODCAST
 Episode 59: Ben Jayaweera found guilty after three-week trial, sentenced to 12 years
 18 October 2019. Mr Jayaweera's former clients were at or near retirement age. He invested their superannuation money into a scheme, an abalone ...

18 October 2019 - MEDIA RELEASE
 19-286MR Lime FS Pty Ltd agrees to shut down digital advice tools
 Sydney-based Australian financial services (AFS) licensee, Lime FS Pty Ltd (Lime FS), has voluntarily shut down two digital advice tools following ...

18 October 2019 - MEDIA RELEASE
 19-285MR Former Brisbane financial adviser found guilty of fraud after three-week trial, sentenced to 12 years
 Following an ASIC investigation and a three-week trial, former financial adviser Ben Jayaweera, of Mount Gravatt East, Queensland, has been found ...

17 October 2019 - SPEECH
 New Frontiers in Regulation
 Opening statement by ASIC Chair, James Shipton, at the CFA Societies Australia Investment Conference, Sydney, 17 October 2019. Check against ...

17 October 2019 - SPEECH
 GRC Conference: Regulatory Panel
 A speech by ASIC Commissioner Sean Hughes at the Governance Risk Compliance Institute (GRC) Conference: Regulatory Panel, Melbourne, 17 October 2019. ...

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- Bushfire relief
- Corporate plan 2019-23
- Innovation Hub
- Illegal phoenix activity
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- Spectrum Wealth Advisers
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- My Group Fintech
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- Quintis Limited
- Courtney House
- Sherwin Group
- Prime Trust
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- More key matters

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ASIC Regulatory Portal

Pay now - business name renewals

Use our online services

Please select

Some of the things you can do online:

- Change addresses
- Update details
- Download your company annual statement

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[Learn about online services](#)

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[How to cease authorised representatives/financial advisers](#)

Log in

Go to ASIC Connect and select **Log in**.
 If you do not have an ASIC Connect account select **Sign up**.



The screenshot shows the ASIC Connect website interface. At the top, there is a search bar for ASIC registers. Below the header, the main content area is divided into several sections:

- Welcome:** Contains navigation links for 'First time user?', 'Search ASIC's registers', and 'Log in to other ASIC registers'. It also features a 'Log in to ASIC Connect' section with buttons for 'Log in', 'Sign up', and 'AUKey'. A red box highlights these buttons, and a red arrow points from the text on the left to the 'Log in' button.
- Log in to other ASIC Registers:** Includes a dropdown menu and a 'Go' button.
- Quick Links:** A list of links for various services like 'Australian Business Register', 'ABN Lookup', etc.
- Do it now:** Sections for 'Search' and 'See more on YouTube'.
- What's new:** A list of recent updates.

At the bottom, there is a footer with links for 'Sitemap', 'Help', 'Copyright', 'Privacy', 'Accessibility', 'Accessibility Settings', 'Service Availability', and 'Contact us'.

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[How to cease authorised representatives/financial advisers](#)

Log in

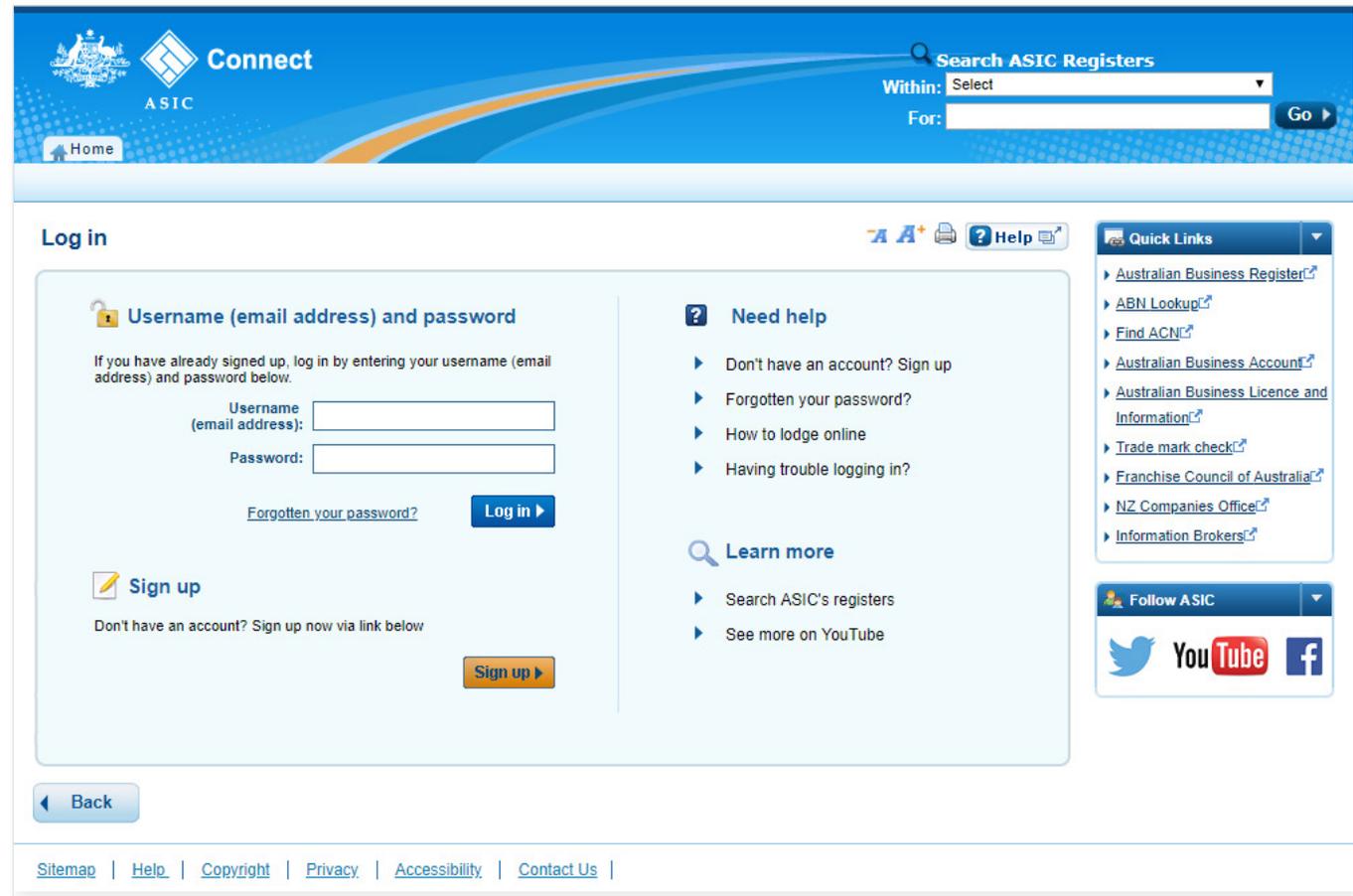
Log in using your email address and password.

If you do not have an ASIC Connect account select **Sign up**.

You can refer to our user guides:

[How to sign up for an ASIC Connect account and link your licence\(s\).](#)

[How to sign up for an ASIC Connect account and link authorised representatives.](#)



The screenshot shows the ASIC Connect login page. At the top, there is a navigation bar with the ASIC logo, the word 'Connect', and a search bar for 'Search ASIC Registers'. Below the navigation bar, there is a 'Home' button. The main content area is titled 'Log in' and contains a login form with fields for 'Username (email address)' and 'Password'. There is a 'Log in' button and a link for 'Forgotten your password?'. To the right of the login form, there is a 'Need help' section with links for 'Don't have an account? Sign up', 'Forgotten your password?', 'How to lodge online', and 'Having trouble logging in?'. Below the login form, there is a 'Sign up' section with a 'Sign up' button and the text 'Don't have an account? Sign up now via link below'. On the right side of the page, there is a 'Quick Links' section with various links and a 'Follow ASIC' section with social media icons for Twitter, YouTube, and Facebook. At the bottom of the page, there is a footer with links for 'Sitemap', 'Help', 'Copyright', 'Privacy', 'Accessibility', and 'Contact Us'.

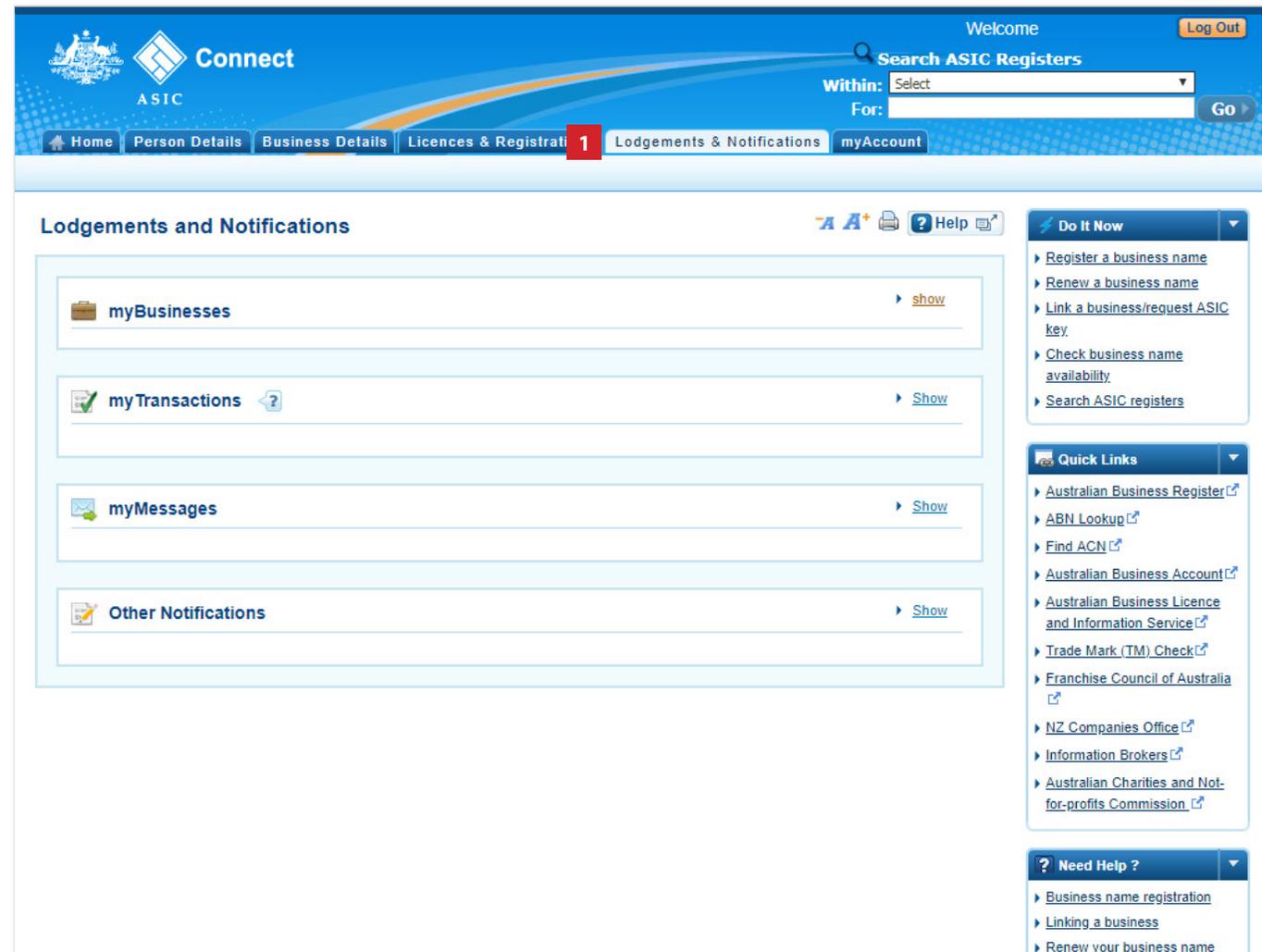
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[How to cease authorised representatives/financial advisers](#)

Home

Once you have logged in, the home screen will be visible.

1. Select **Lodgements & Notifications** to cease an authorised representative/financial adviser.



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[How to cease authorised representatives/financial advisers](#)

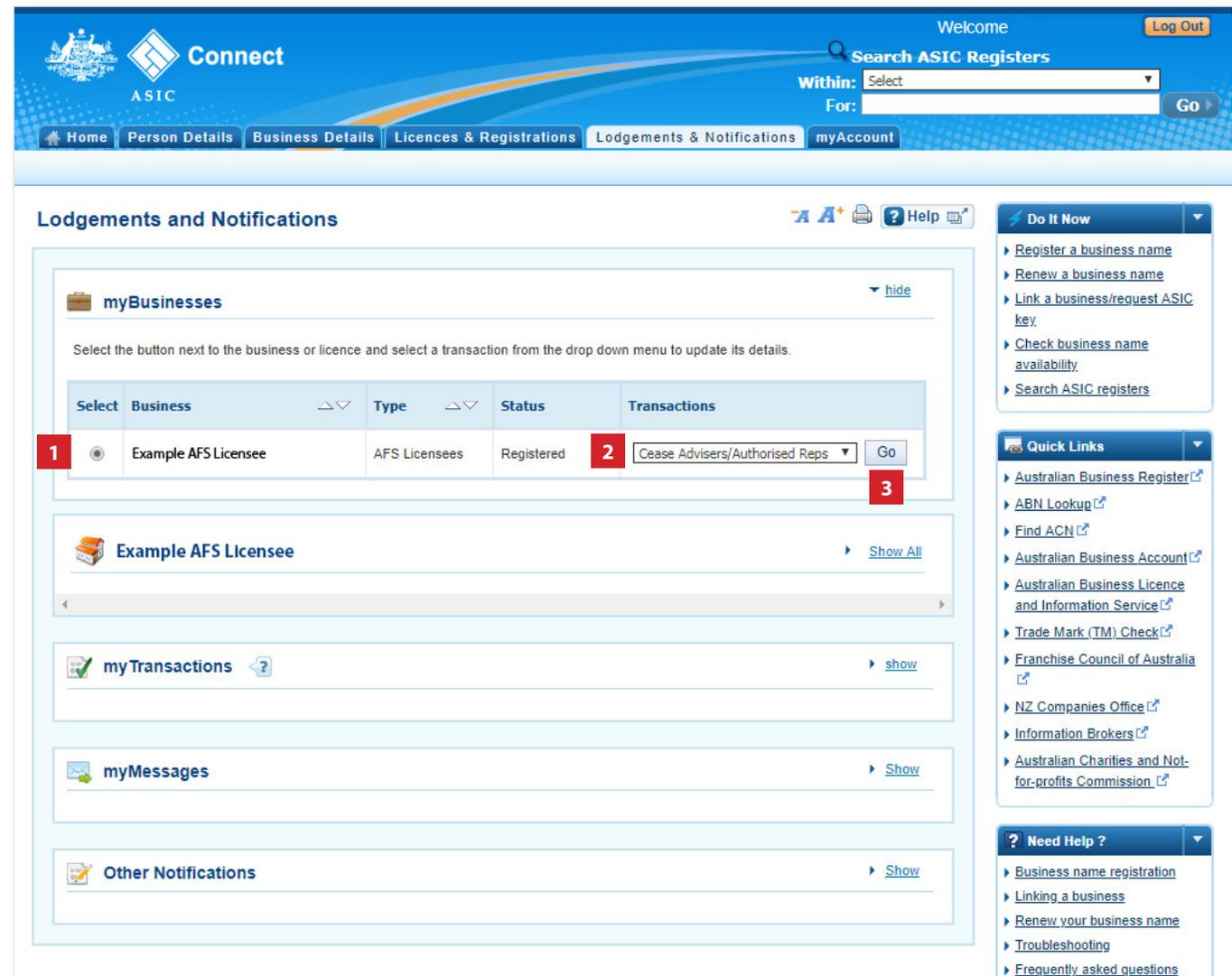
Cease authorised representatives/ financial advisers

1. Select the radio button next to the AFS licensee or AFS representative whose authorised representatives/ financial advisers you want to cease.

2. In the transactions column, select *Cease Adviser / Authorised Representative*.

This is the name of the transaction you use to cease an authorised representative or financial adviser.

3. Select **Go** to proceed.



Welcome [Log Out](#)

Search ASIC Registers
 Within: Select
 For: [Go](#)

Home Person Details Business Details Licences & Registrations Lodgements & Notifications myAccount

Lodgements and Notifications

[myBusinesses](#) [hide](#)

Select the button next to the business or licence and select a transaction from the drop down menu to update its details.

Select	Business	Type	Status	Transactions
<input checked="" type="radio"/>	Example AFS Licensee	AFS Licensees	Registered	Cease Advisers/Authorised Reps Go

[Example AFS Licensee](#) [Show All](#)

[myTransactions](#) [show](#)

[myMessages](#) [Show](#)

[Other Notifications](#) [Show](#)

Do It Now

- [Register a business name](#)
- [Renew a business name](#)
- [Link a business/request ASIC key](#)
- [Check business name availability](#)
- [Search ASIC registers](#)

Quick Links

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- [Australian Business Licence and Information Service](#)
- [Trade Mark \(TM\) Check](#)
- [Franchise Council of Australia](#)
- [NZ Companies Office](#)
- [Information Brokers](#)
- [Australian Charities and Not-for-profits Commission](#)

Need Help ?

- [Business name registration](#)
- [Linking a business](#)
- [Renew your business name](#)
- [Troubleshooting](#)
- [Frequently asked questions](#)

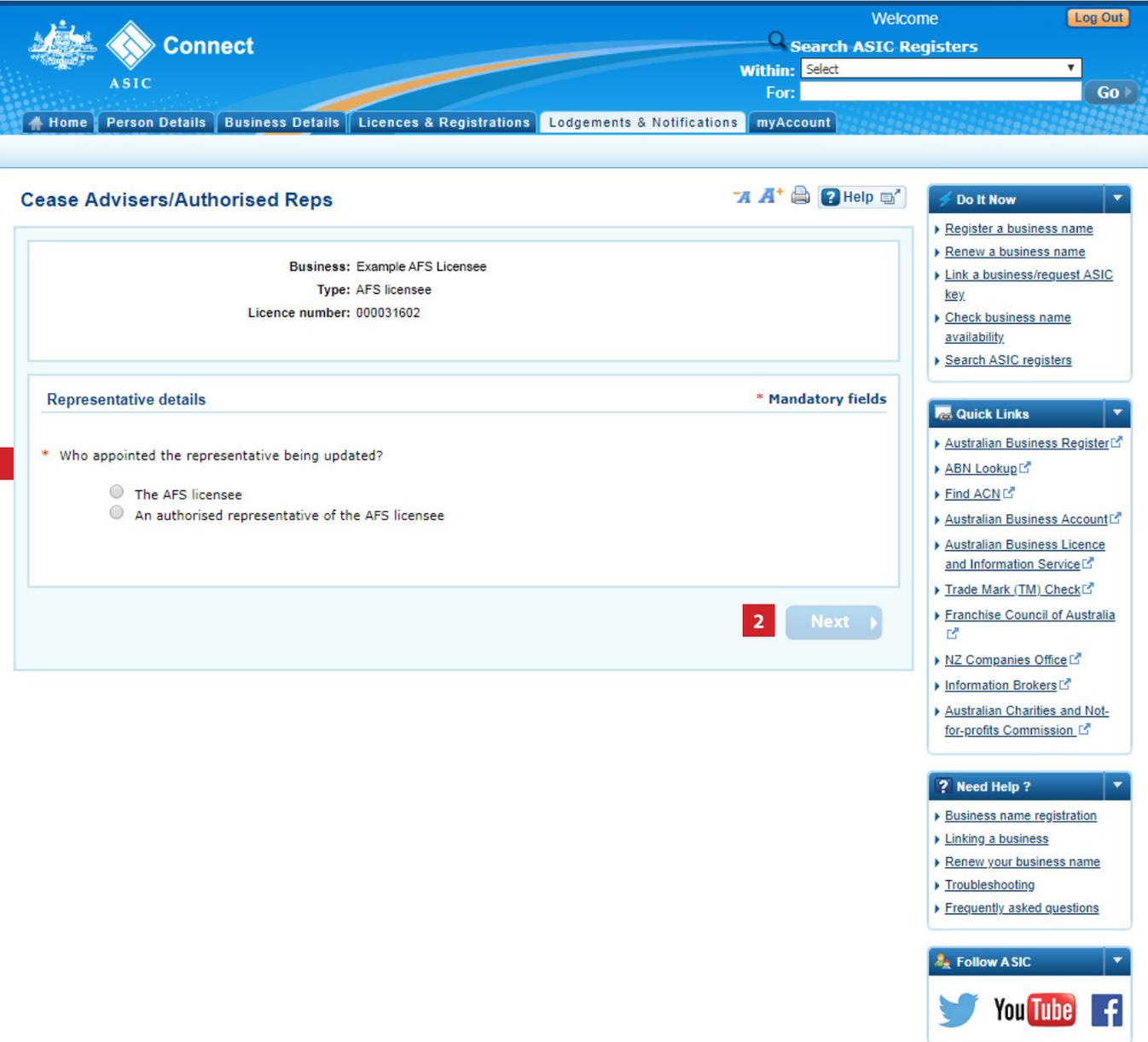
The screens and data pictured in this guide are examples only. Actual screens can have minor differences in text and layout.

Cease authorised representatives/ financial advisers

1. Select who appointed the representative you are ceasing in this transaction.

If the authorised representative of the AFS licensee appointed the representative, you must provide their representative number.

2. Select **Next** to continue.



Connect ASIC

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Search ASIC Registers

Within: For: [Go](#)

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Cease Advisers/Authorised Reps

Business: Example AFS Licensee
 Type: AFS licensee
 Licence number: 000031602

Representative details * Mandatory fields

* Who appointed the representative being updated?

The AFS licensee
 An authorised representative of the AFS licensee

2 [Next](#)

Do It Now

- Register a business name
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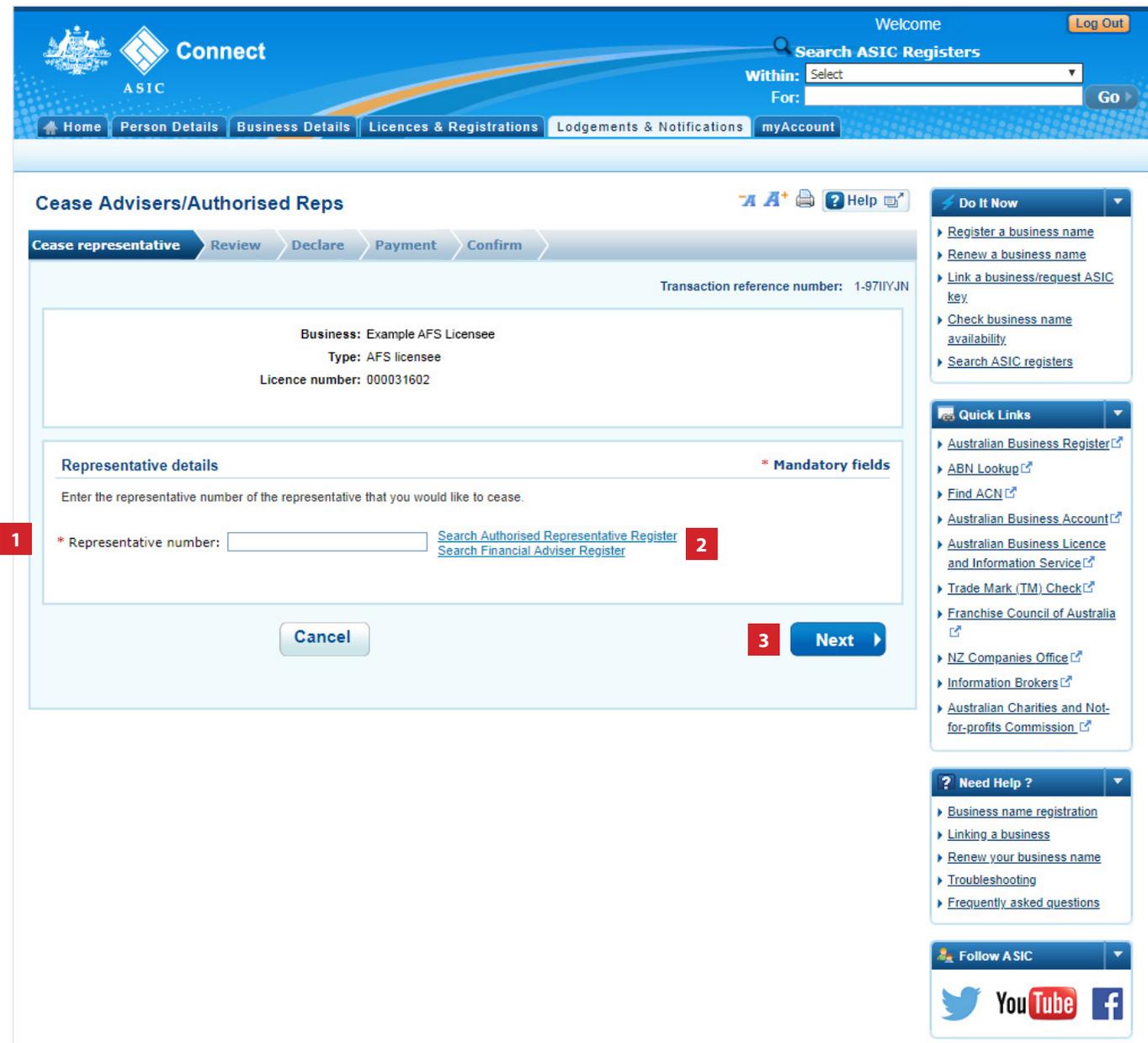
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Cease authorised representatives/ financial advisers

1. Enter the representative number of the authorised representative/ financial adviser you would like to cease.
2. You can use the link provided to search for the representative number.
3. Select **Next** to continue.



Connect ASIC

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Search ASIC Registers

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Cease Advisers/Authorised Reps

[Cease representative](#) [Review](#) [Declare](#) [Payment](#) [Confirm](#)

Transaction reference number: 1-971IYJN

Business: Example AFS Licensee
Type: AFS licensee
Licence number: 000031602

Representative details * Mandatory fields

Enter the representative number of the representative that you would like to cease.

* Representative number: [Search Authorised Representative Register](#) [Search Financial Adviser Register](#)

[Cancel](#) [Next](#)

Do It Now

- Register a business name
- Renew a business name
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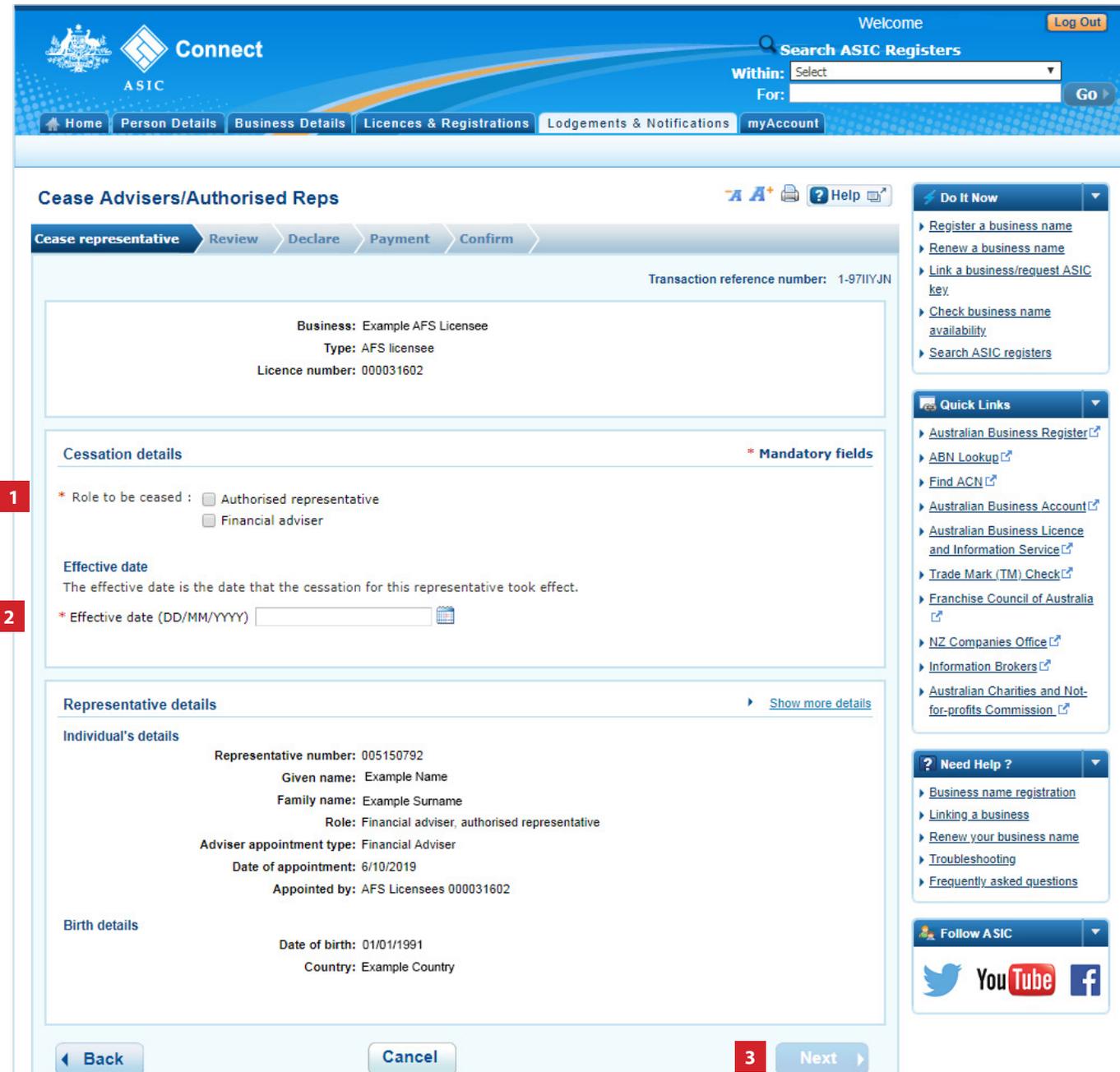
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The screens and data pictured in this guide are examples only. Actual screens can have minor differences in text and layout.

Cease authorised representatives/ financial advisers

1. Tick the box next to the role type you are ceasing. You can select one or both roles. If the representative only has one role, it will automatically be selected for ceasing.
2. Enter the date the authorised representative/financial adviser was ceased.
3. Select **Next** to continue.



Connect
 ASIC

Welcome Log Out

Search ASIC Registers
 Within: Select
 For: Go

Home Person Details Business Details Licences & Registrations Lodgements & Notifications myAccount

Cease Advisers/Authorised Reps

Transaction reference number: 1-97IYJN

Business: Example AFS Licensee
 Type: AFS licensee
 Licence number: 000031602

1 * Role to be ceased : Authorised representative
 Financial adviser

2 * Effective date (DD/MM/YYYY)

Representative details
 Representative number: 005150792
 Given name: Example Name
 Family name: Example Surname
 Role: Financial adviser, authorised representative
 Adviser appointment type: Financial Adviser
 Date of appointment: 6/10/2019
 Appointed by: AFS Licensees 000031602

Birth details
 Date of birth: 01/01/1991
 Country: Example Country

Back Cancel **3** Next

Do It Now

- Register a business name
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Review

Check that the information you have entered is correct.

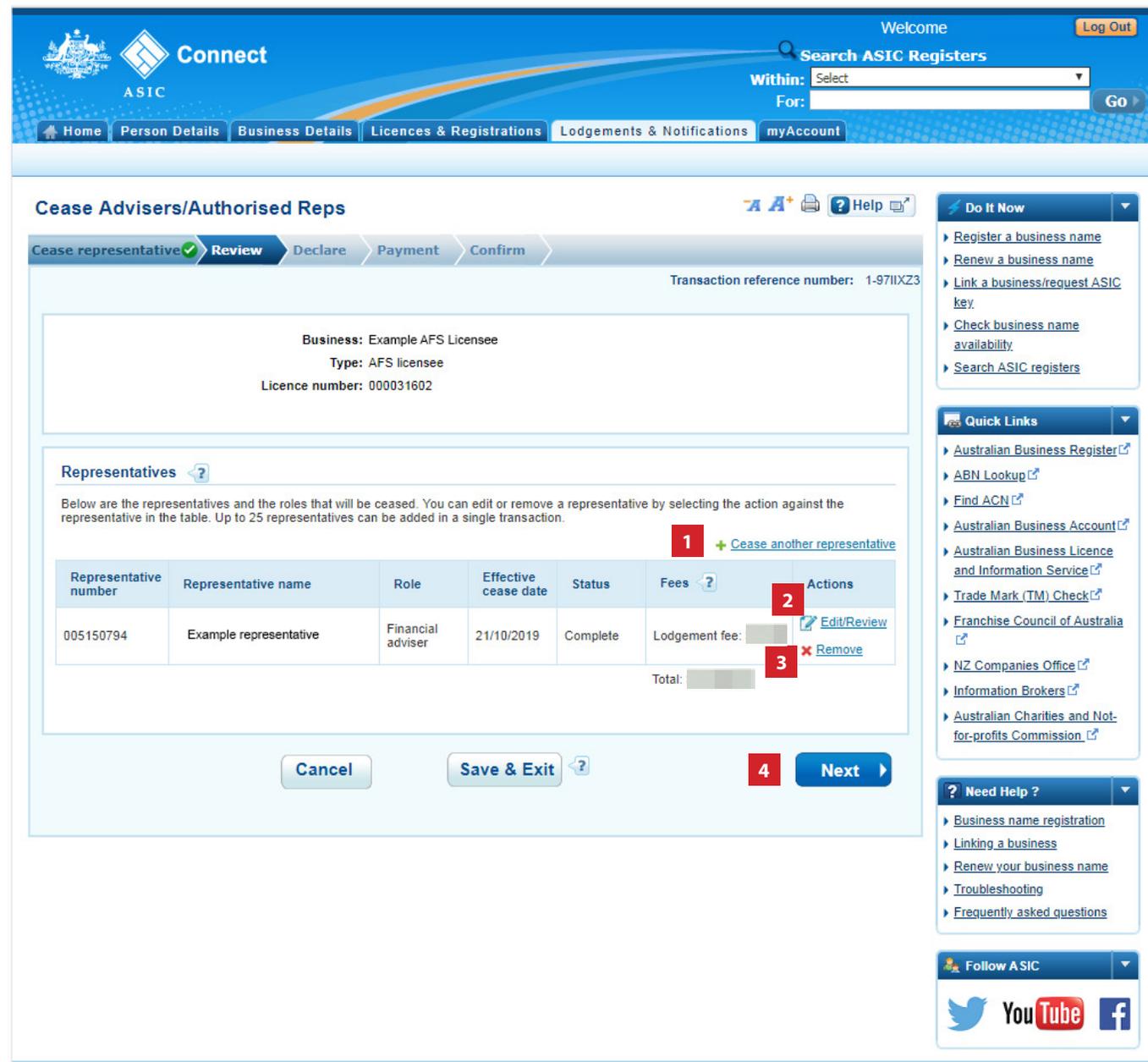
1. Select **+Cease another representative** to cease more authorised representatives/financial advisers.

You can notify up to 25 cessations per transaction.

2. Select **Edit/Review** if the information has been entered incorrectly for an authorised representative or financial adviser.

3. Select **Remove** to stop an authorised representative or financial adviser from being ceased.

4. When all authorised representatives and financial advisers to be ceased have been added correctly, select **Next** to continue.



Cease Advisers/Authorised Reps

Transaction reference number: 1-97IIXZ3

Business: Example AFS Licensee
Type: AFS licensee
Licence number: 000031602

Representatives

Below are the representatives and the roles that will be ceased. You can edit or remove a representative by selecting the action against the representative in the table. Up to 25 representatives can be added in a single transaction.

Representative number	Representative name	Role	Effective cease date	Status	Fees	Actions
005150794	Example representative	Financial adviser	21/10/2019	Complete	Lodgement fee: [input]	Edit/Review Remove
					Total:	[input]

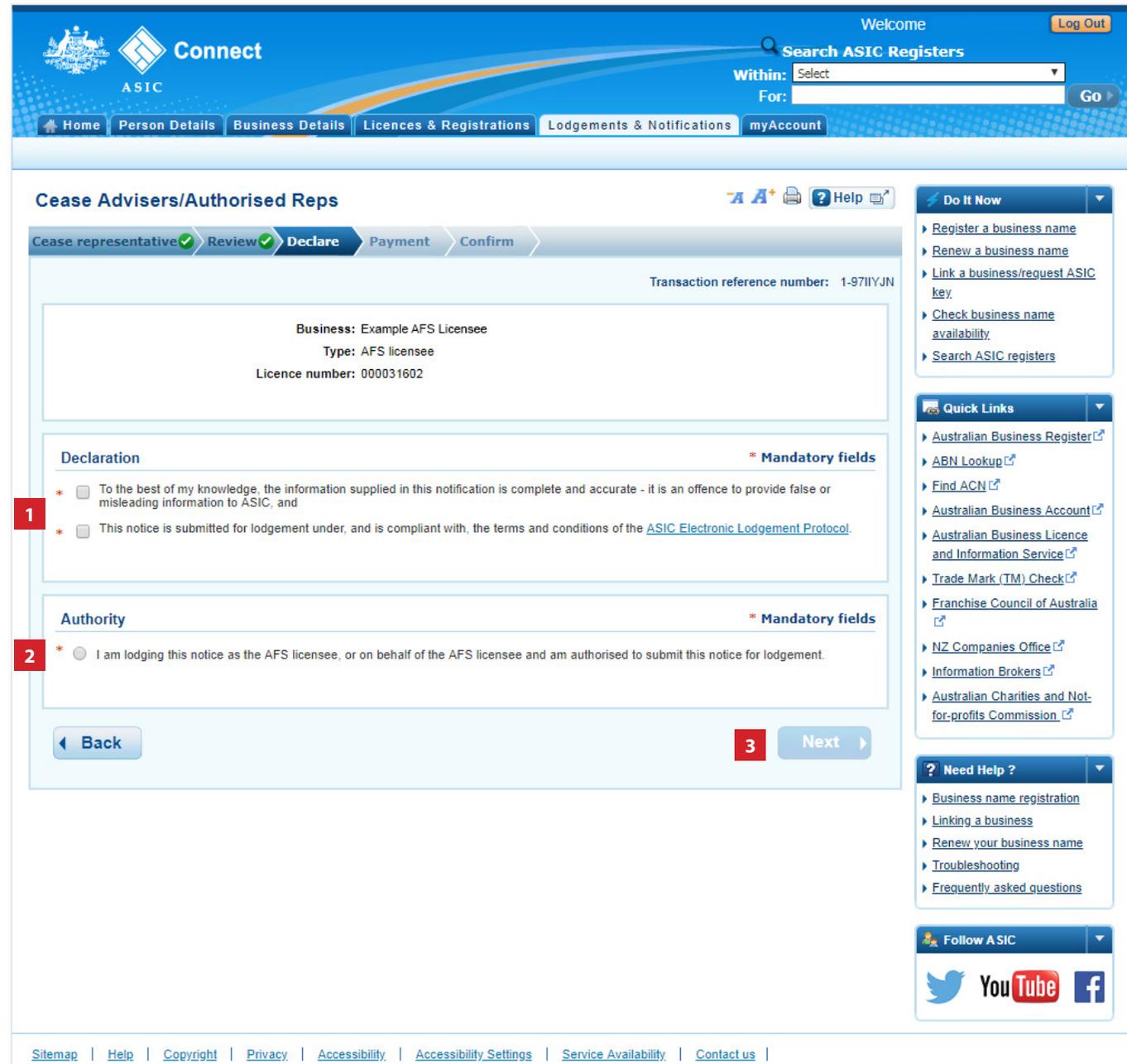
Buttons: Cancel, Save & Exit, Next

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Declarations

Read the declaration to ensure you agree with the conditions of the transaction.

1. If you agree, tick the boxes next to the declarations to proceed.
2. Select your authority for submitting the transaction.
3. Select **Next** to continue.



Welcome [Log Out](#)

Search ASIC Registers
 Within: Select
 For:
[Go](#)

[Home](#) [Person Details](#) [Business Details](#) [Licences & Registrations](#) [Lodgements & Notifications](#) [myAccount](#)

Cease Advisers/Authorised Reps

[Help](#)

Cease representative **Review** **Declare** **Payment** **Confirm**

Transaction reference number: 1-9711YJN

Business: Example AFS Licensee
 Type: AFS licensee
 Licence number: 000031602

Declaration * Mandatory fields

1 * To the best of my knowledge, the information supplied in this notification is complete and accurate - it is an offence to provide false or misleading information to ASIC, and

* This notice is submitted for lodgement under, and is compliant with, the terms and conditions of the [ASIC Electronic Lodgement Protocol](#).

Authority * Mandatory fields

2 * I am lodging this notice as the AFS licensee, or on behalf of the AFS licensee and am authorised to submit this notice for lodgement.

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[How to cease authorised representatives/financial advisers](#)

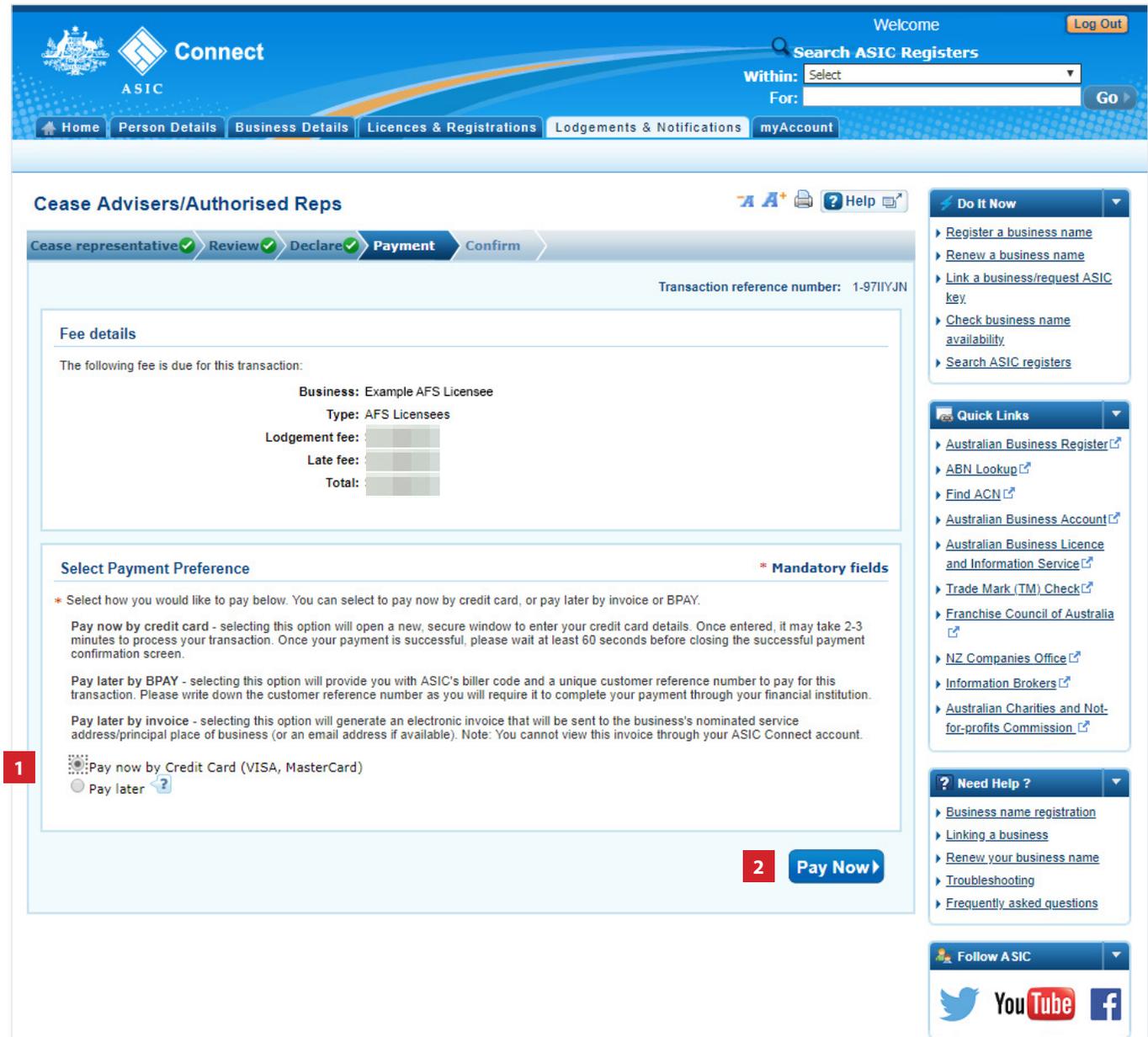
Payment

Pay Now

You can choose to pay using a credit card, or BPAY.

Alternatively, you can request an invoice to be sent to you.

1. Select the **Pay Now** option.
2. Select **Pay Now** to continue.



Welcome [Log Out](#)

Search ASIC Registers
 Within: Select
 For: [Go](#)

Home Person Details Business Details Licences & Registrations Lodgements & Notifications myAccount

Cease Advisers/Authorised Reps

Transaction reference number: 1-971IYJN

Cease representative Review Declare **Payment** Confirm

Fee details

The following fee is due for this transaction:

Business: Example AFS Licensee
 Type: AFS Licensees

Lodgement fee:
 Late fee:
 Total:

Select Payment Preference

* **Mandatory fields**

* Select how you would like to pay below. You can select to pay now by credit card, or pay later by invoice or BPAY.

Pay now by credit card - selecting this option will open a new, secure window to enter your credit card details. Once entered, it may take 2-3 minutes to process your transaction. Once your payment is successful, please wait at least 60 seconds before closing the successful payment confirmation screen.

Pay later by BPAY - selecting this option will provide you with ASIC's biller code and a unique customer reference number to pay for this transaction. Please write down the customer reference number as you will require it to complete your payment through your financial institution.

Pay later by invoice - selecting this option will generate an electronic invoice that will be sent to the business's nominated service address/principal place of business (or an email address if available). Note: You cannot view this invoice through your ASIC Connect account.

Pay now by Credit Card (VISA, MasterCard)
 Pay later [?](#)

2 [Pay Now](#)

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Credit card payment

1. Enter your credit card details.
2. Select **Submit** to process the payment.

Pay Now ✕ Close

 **Connect**
ASIC

Credit Card Payment

Amount(AUD):

Cards Accepted:  

1 * Card Number:

* Expiry Date:

* CVV: 

2

You are about to make a payment to the Australian Securities and Investment Commission, in Australia. Ensure you review our [refund policy and security policy](#) before making payment.

You have been redirected to a secure page. Once you have completed your payment, you will be sent back to the transaction confirmation page.



[Privacy](#) [Help](#) [Contact Us](#)

Please do not click on the back button on your browser while we complete this request.
Note: We do not accept American Express and Diners cards.

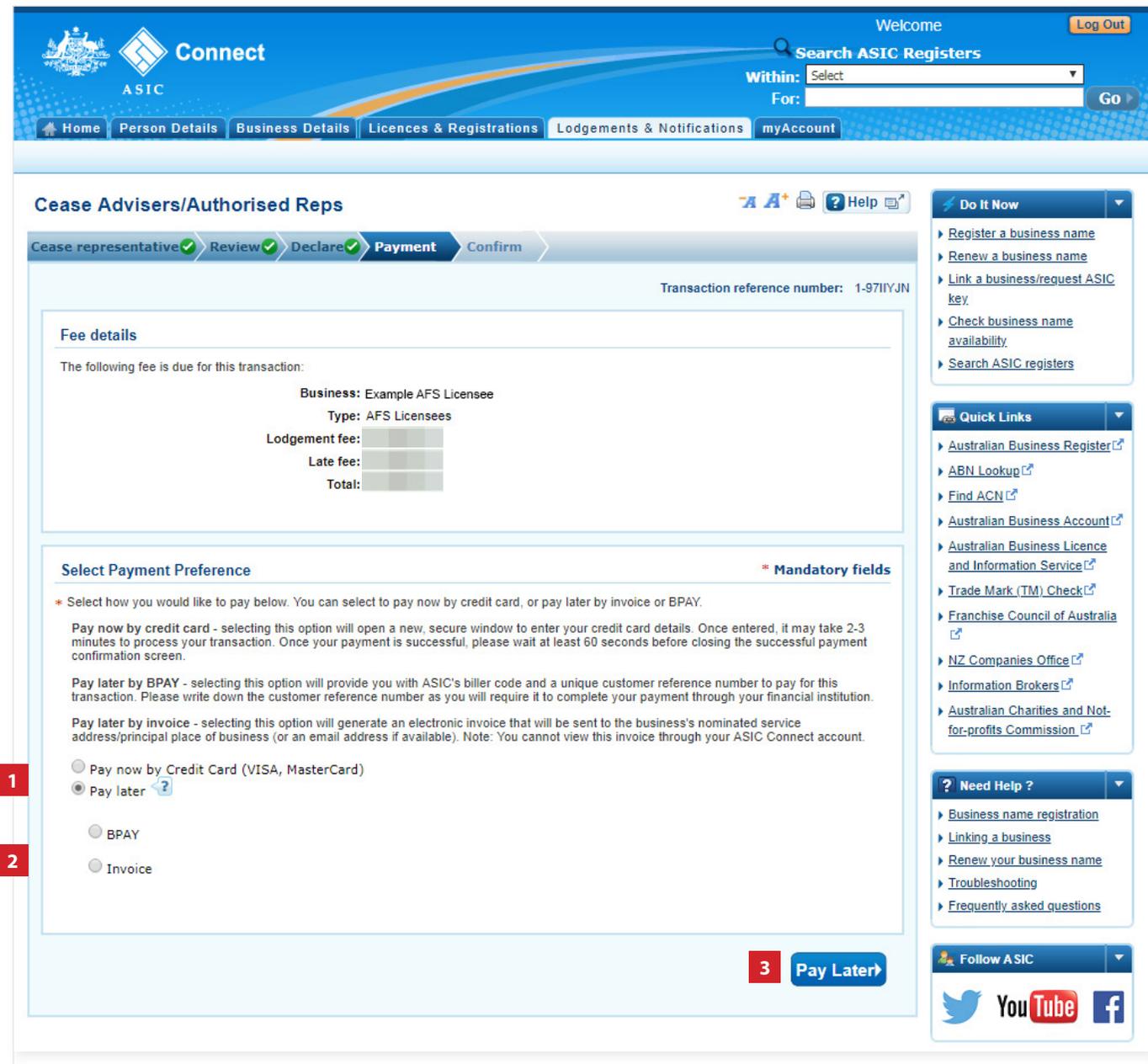
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Payment

Pay Later

If you want to pay at a later date, you can do so by using BPAY or requesting an invoice to be sent to you.

1. Select the **Pay Later** option.
2. Select the **Invoice or BPAY** option.
 - If you select **Invoice** it will be sent to:
 - AFS licensee: the email address if one has been provided. Otherwise it will be sent to the service address.
 - AFS representative: the email address if one has been provided. Otherwise it will be sent to the principal place of business.
 - If you select **BPAY** you will need to print or make note of the BPAY details and process your payment.
3. Select **Pay Later**.



Connect
ASIC

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Search ASIC Registers
 Within: Select
 For: [Go](#)

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Cease Advisers/Authorised Reps

Cease representative Review Declare **Payment** Confirm

Transaction reference number: 1-971IYJN

Fee details

The following fee is due for this transaction:

Business:	Example AFS Licensee
Type:	AFS Licensees
Lodgement fee:	
Late fee:	
Total:	

Select Payment Preference

*** Mandatory fields**

* Select how you would like to pay below. You can select to pay now by credit card, or pay later by invoice or BPAY.

Pay now by credit card - selecting this option will open a new, secure window to enter your credit card details. Once entered, it may take 2-3 minutes to process your transaction. Once your payment is successful, please wait at least 60 seconds before closing the successful payment confirmation screen.

Pay later by BPAY - selecting this option will provide you with ASIC's biller code and a unique customer reference number to pay for this transaction. Please write down the customer reference number as you will require it to complete your payment through your financial institution.

Pay later by invoice - selecting this option will generate an electronic invoice that will be sent to the business's nominated service address/principal place of business (or an email address if available). Note: You cannot view this invoice through your ASIC Connect account.

Pay now by Credit Card (VISA, MasterCard)
 Pay later [?](#)
 BPAY
 Invoice

3 [Pay Later](#)

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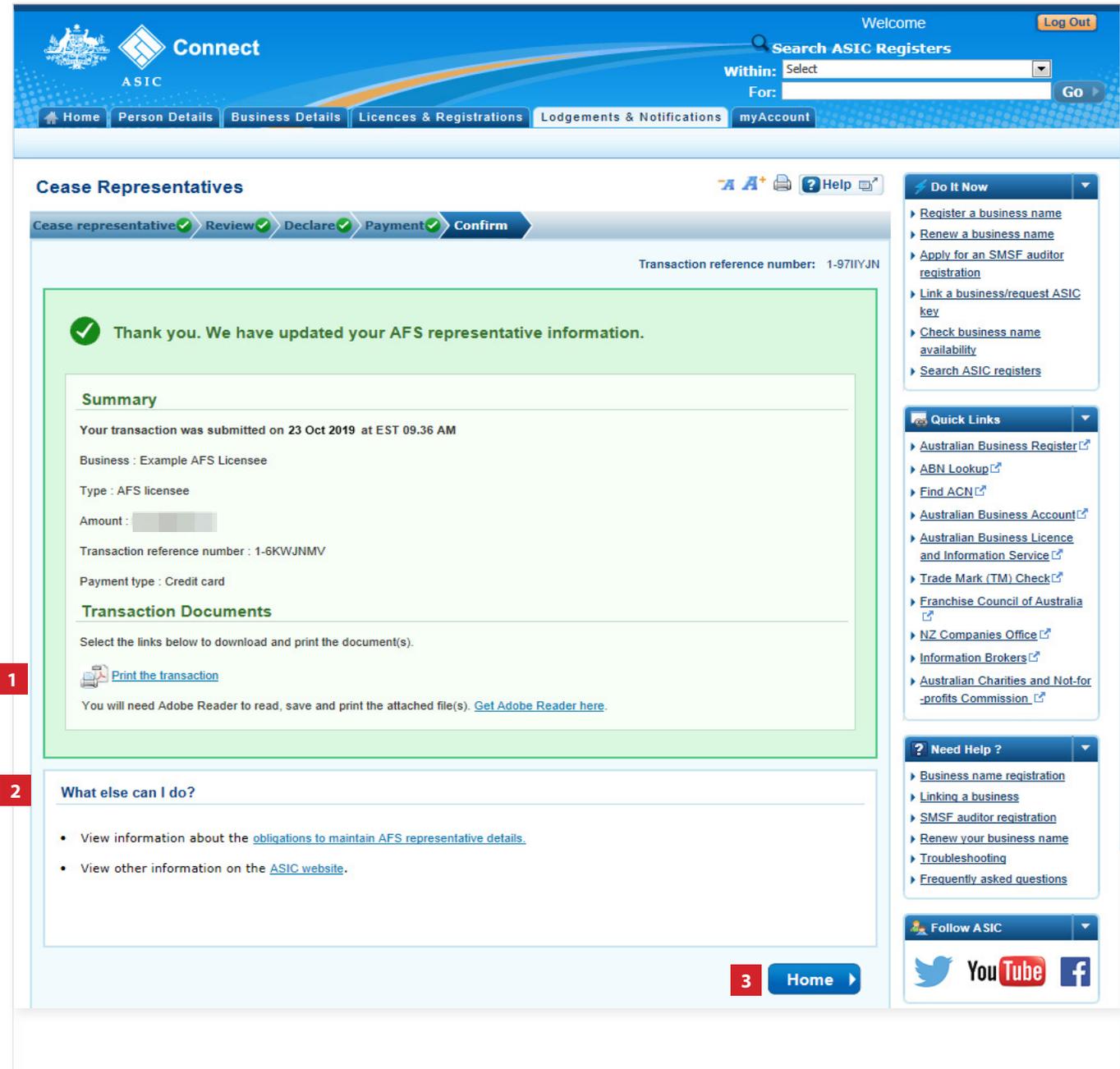
[Twitter](#) [YouTube](#) [Facebook](#)

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

Confirmation

This screen confirms your transaction has been submitted.

1. Select **Print the transaction** to download a printable PDF version of the transaction.
2. Select one of the links under *What else can I do* for more information about other services.
Or
3. Select **Home** to return to the ASIC Connect home page.



Connect ASIC

Welcome Log Out

Search ASIC Registers

Within: Select

For: Go

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Cease Representatives

Cease representative Review Declare Payment **Confirm**

Transaction reference number: 1-97IYJN

Thank you. We have updated your AFS representative information.

Summary

Your transaction was submitted on 23 Oct 2019 at EST 09.36 AM

Business : Example AFS Licensee

Type : AFS licensee

Amount :

Transaction reference number : 1-6KWJNMV

Payment type : Credit card

Transaction Documents

Select the links below to download and print the document(s).

You will need Adobe Reader to read, save and print the attached file(s). [Get Adobe Reader here.](#)

1

2

What else can I do?

- View information about the [obligations to maintain AFS representative details.](#)
- View other information on the [ASIC website.](#)

3 Home

Do It Now

- Register a business name
- Renew a business name
- Apply for an SMSF auditor registration
- Link a business/request ASIC key
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- Search ASIC registers

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