



User Guide

ASIC Regulatory Portal

How to respond to a Notice

Version 1.1



ASIC

Australian Securities & Investments Commission

How to respond to a Notice



The steps below describe how to provide a formal response for a Notice.

If you want to ask a question in writing before you provide the formal response, you can send a message about the Notice. See other FAQs on messages about Notices.

1. Log in to the **ASIC Regulatory Portal** – <https://regulatoryportal.asic.gov.au/>
2. This will open the Select entity page which will list all your current connections. Select an **entity** from your list of current connections.

3. This will open the entity's dashboard. Click **Notices** in the top navigation bar.

4. This will take you to the Notices page. Click the Notice you wish to respond to.

The screenshot shows the ASIC Regulatory Portal interface. At the top, the user is logged in as 'Shane Ross' with links to 'Switch entity' and 'Connect to another entity'. The navigation bar includes 'Dashboard', 'Transactions', 'Messages', 'Administration', and 'Notices'. The 'Notices' section is active, showing a list of notices. Two notices are visible, both with reference number 'NTC19000XX'. The first notice, 'Notice requiring the production of books', is highlighted with a red box and has a status of 'Response required'. The second notice, 'Notice requiring reasonable assistance in connection', has a status of 'Response submitted'.

Title	Reference number	Date issued	Response due by	Status	Restricted
Notice requiring the production of books	NTC19000XX	08 Aug 2019 10:06 (AEST)	09 Aug 2019 00:00 (AEST)	Response required	🔒
Notice requiring reasonable assistance in connection	NTC19000XX	12 Jul 2019 10:54 (AEST)	13 Jul 2019 00:00 (AEST)	Response submitted	🔒

5. This will open the individual Notice page. Click **Formally respond to this notice**.

The screenshot shows the ASIC Regulatory Portal interface. At the top, the user is logged in as 'Shane Ross' with links to 'Switch entity' and 'Connect to another entity'. The navigation bar includes 'Dashboard', 'Transactions', 'Messages', 'Administration', and 'Notices'. The main header is 'Notice'. Below this, there is a link to 'Back to all Notices' and two tabs: 'Notice' (active) and 'Messages for this notice'. A red-bordered box contains 'Notice information' stating that this is a formal notice from ASIC requiring a response, and that users must view the full notice in a PDF to mark it as 'read'. Below this is a grey bar for 'Notice access restrictions'. The main content area is titled 'Notice requiring the production of books' and lists details: Recipient: Shane Ross, Entity served on: Shane Ross, Reference number: NTC - 19 - 000XX, and Date issued: 08 Aug 2019 10:06 (AEST). A red box highlights the 'Response due: 09 Mar 2020 00:00 (AEST)' date. At the bottom, there are three buttons: 'Formally respond to this notice' (highlighted with a red border and a question mark icon), 'Open notice' (with a PDF icon), and 'Send ASIC a message about this notice'.

ASIC

Shane Ross
[Switch entity](#) / [Connect to another entity](#)

Help | Log out

Dashboard Transactions Messages Administration Notices

Notice

[Back to all Notices](#)

Notice Messages for this notice

Notice information

This is a formal notice issued by the Australian Securities and Investments Commission.

Notices require a formal response. You can respond online or by post. Please view the PDF and submit your formal response by the due date.

In order to mark a notice as 'read', you must view the full notice in the PDF below.

Notice access restrictions

Notice requiring the production of books

Recipient: Shane Ross
Entity served on: Shane Ross
Reference number: NTC - 19 - 000XX
Date issued: 08 Aug 2019 10:06 (AEST)

Response due: 09 Mar 2020 00:00 (AEST)

Formally respond to this notice ?

Open notice

Send ASIC a message about this notice

6. This will launch a Respond to an Official ASIC Notice transaction. Enter all the required information.



Alternatively, you can click Save & close and return to complete the response later.

7. Make the required declarations, then click **Submit response to notice**.

Declarant and authority

* ☒ I am logged into the Portal with my personal log in details. I submit this document and make the following declarations.

Confidential and personal information

The information provided to ASIC in this document may include confidential, personal or sensitive information. The [Privacy Collection Notice for the ASIC Regulatory Portal](#) describes how we will use and disclose the information collected through the Regulatory Portal. The [Privacy Policy](#) contains information about how ASIC handles personal information generally and sets out how you can request access or correction to your personal information and how to make a complaint if you think your privacy has been breached.

* ☒ I have read and understood ASIC's Privacy Collection Notice for the Regulatory Portal and Privacy Policy.

True and correct

I make the following declarations:

* ☒ I understand that giving false or misleading information or documents to ASIC is a serious offence.

* ☒ I understand that failing to properly comply with a notice ASIC issues is an offence.

* ☒ To the best of my knowledge and understanding, by submitting the information in this document, the notice has been complied with.

[← Back](#)

[→ Submit response to notice](#)



Once you have submitted the Notice response, a confirmation page is displayed that includes a reference number for your own records. Click **Finish** to return to the **entity's dashboard**.

Official ASIC Notice response

Declaration

Confirmation

Confirmation

✓ You have submitted your transaction.

Reference number: 1XX
Date and time: 14-Aug-2019 12:07

What happens next?

You can view the status of this transaction on the **View all transactions** page for this entity.

If we need to contact you about this transaction we will do so through the portal.

[Finish](#)