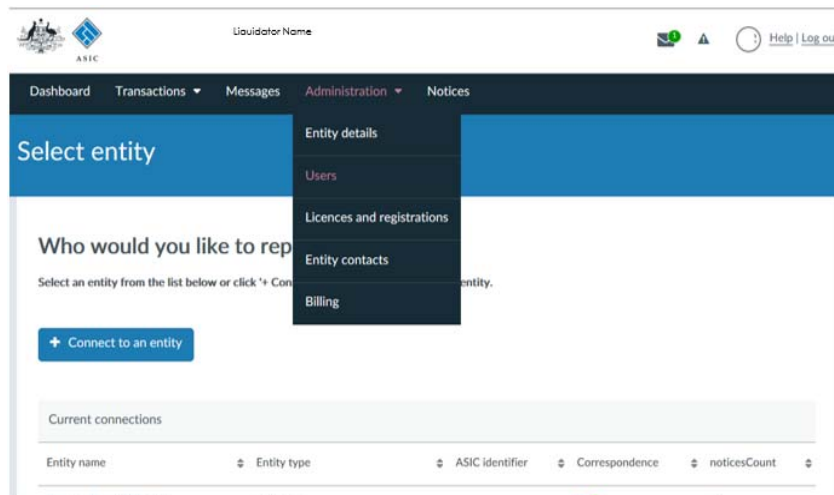


## Inviting trusted representatives



Registered liquidator information session – 13 March 2020

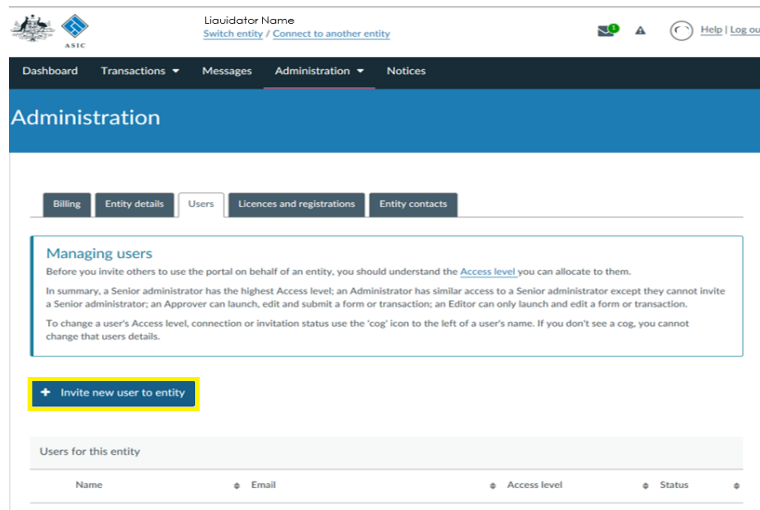
For the purpose of the Regulatory Portal **the Registered Liquidator is an 'entity'**. The Registered Liquidator is automatically set up as a Senior Administrator and can invite users (trusted representatives) to act on their behalf, including to appoint others to the role of Senior Administrator.

Only a user with Senior administrator or Administrator Access level for the Registered Liquidator can invite other users to connect to the Registered Liquidator.

To invite a user:

- Make sure you are viewing the Registered Liquidator (entity) you want to invite the user to connect to.
- Click on Administration in the top navigation bar.
- Click on the Users tab.

## Inviting trusted representatives



Registered liquidator information session – 13 March 2020

Click on **Invite new user to entity** button.

Enter the invitee's details – name, email address etc. You also need to declare that you understand the access you are giving the invitee.

Click Confirm.

## Inviting trusted representatives – Access levels

The screenshot shows a web interface for inviting trusted representatives. At the top, there's a navigation bar with 'Dashboard', 'Transactions', 'Messages', 'Administration', and 'Notices'. Below this, a section titled 'Inviting trusted representatives' contains instructions and a list of access levels: Administrator, Approver, and Editor. A callout box highlights the 'Access level' dropdown menu, which is expanded to show the options: 'Please select an access level...', 'Administrator', 'Approver', and 'Editor'. Below the dropdown, there are input fields for 'Email', 'Confirm email', and 'Access level'.

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When inviting someone to connect to your account you can define user access levels that control what others can do on your behalf. When allocating levels of access, each Registered Liquidator should have regard to their own firms processes, procedures and risk controls.

There are four Access levels - Senior administrator, Administrator, Approver and Editor.

- **Senior administrator** – can launch, edit and submit a transaction, invite other users to the entity and view other administrative details for an entity.
- **Administrator** – can launch, edit and submit a transaction and invite other users to the entity. We anticipate that many Registered Liquidators may invite senior staff or their PA to this level of access to the Registered Liquidator's account.
- **Approver** – can launch, edit and submit a form or transaction, and view other administrative details for an entity. We anticipate that many Registered Liquidators may invite senior staff this level of access to the Registered Liquidator's account so the senior staff can submit a transaction after the Registered Liquidator has approved the working papers etc.
- **Editor** – in general, can launch and edit a form and transaction, but they cannot submit it. We anticipate that many Registered Liquidators may invite analysts or

Accountant level staff to this level of access to the Registered Liquidator's account to Analyst / Accountant to draft transactions only but not submit them.

More information on Access levels: <https://regulatoryportal.asic.gov.au/faq/#513>

## Inviting trusted representatives – Accepting invites

ASIC

[Help](#) | [Log out](#)

[Back to portal homepage](#)

### Select entity

**Who would you like to represent?**

Select an entity from the list below or click '+ Connect to an entity' to add another entity.

[+ Connect to an entity](#)

Current connections

Entity name	Entity type	ASIC identifier	Correspondence	noticesCount
Liquidator name	Individual			

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The invitee is emailed an invitation key.

How the invitee connects will depend on whether they already have an account or need to register.

Many Registered Liquidators have already given user access to staff for the purposes on managing ASIC industry funding lodgements and payments.

For those with an account they login then click – “Connect to an entity”.

## Inviting trusted representatives – Accepting invites

### Connect to an entity, licence or registration

Select a tile to connect.

I want to  
submit industry  
funding metrics

I have an industry  
funding letter and  
security key

I want to accept  
an invitation from  
a portal user

I want to register using  
my invitation key

I want to link to a  
licence or  
registration I hold

I'm a credit or financial  
services licensee,  
auditor or liquidator

I want to act on  
behalf of a  
registered  
company or body

I'm an officeholder or  
equivalent

#### Personal information collected for registration purposes

We collect your personal information for purpose of connecting you to an entity only.

\* Invitation key

☐ \* I understand and acknowledge that I may access information about the regulated entity in the ASIC Regulatory Portal and do only the things permitted for my access level on behalf of the entity. I agree not to act outside the scope of the authority given to me by or on behalf of the entity.

Cancel

Connect


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Once this screen appears, the invitee should select the relevant prompt and enter the invitation key.

Those who do not already have an account, can create one by selecting the tile “I want to accept an invitation from a portal user” highlighted in the slide above.

The ASIC Regulatory Portal help page has a range of resources available to you if you need assistance: <https://regulatoryportal.asic.gov.au/faq/>

## Messaging - viewing

 [Help](#) | [Log out](#)

[Back to portal homepage](#)



### Select entity

Who would you like to represent?

Select an entity from the list below or click '+ Connect to an entity' to add another entity.

[+ Connect to an entity](#)

Current connections

Entity name	Entity type	ASIC identifier	Correspondence	noticesCount
Liquidator name	Individual			

Registered liquidator information session – 13 March 2020

To view a received message log into the portal. Click the envelope icon in the notification to view the message.

## Messaging - sending

The screenshot displays the ASIC portal interface. At the top, the 'Liquidator name' is shown with links for 'Switch entity' and 'Connect to another entity'. The main navigation bar includes 'Dashboard', 'Transactions', 'Messages', 'Administration', and 'Notices'. The 'Transactions' menu is highlighted with a red box, and a yellow arrow points to the 'View all transactions' button in the left sidebar. Below the navigation bar, a message states: 'Your industry funding invoice will arrive soon. If you are subject to industry funding, your industry funding invoice will be ready for payment from 30 January 2020. We will notify registered portal users via email when invoices are available. For more information, see our FAQs.' A table below shows transaction details:

	Last accessed	Accessed by	Status	Restricted ?
registration	17 Aug 2019 16:06 (AEST)	Shane Ross	Draft	
Request extension of time to submit SMSF auditor annual statement	26 Jul 2019 11:14 (AEST)	Shane Ross	Draft	

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To send a message, you can either go to the transaction page (a submitted transaction) that your message is about or to the Messages page.

When logged in, go to the Dashboard for the Registered Liquidator who has submitted the transaction.

Select 'View all transactions'.



## Messaging - sending

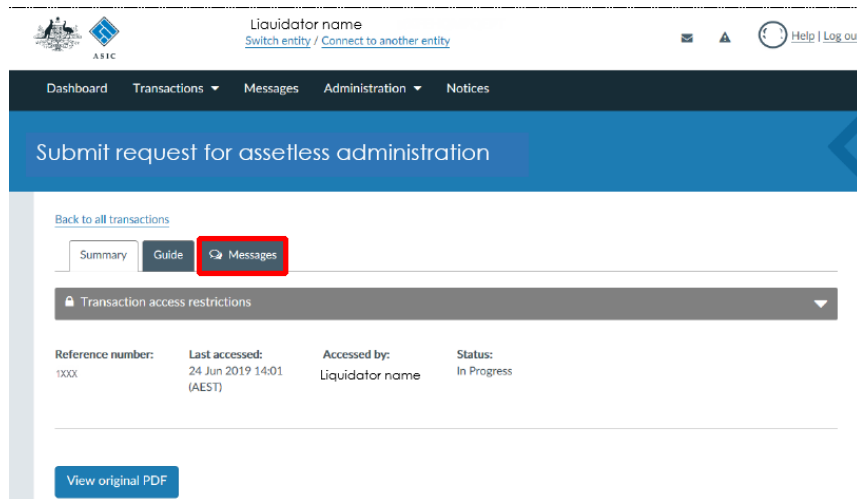
The screenshot shows the ASIC Liquidator Portal interface. At the top, there's a header with the ASIC logo, the user's name 'Liquidator name', and links to 'Switch entity' and 'Connect to another entity'. Below the header is a navigation bar with tabs: Dashboard, Transactions (selected), Messages, Administration, and Notices. The main content area is titled 'View all transactions' and includes a 'Back to dashboard' link and a '+ New transaction' button. A table titled 'Transactions' lists the following data:

Title	Reference number	Last accessed	Accessed by	Status	Restricted
<a href="#">Submit insolvency supplementary statutory report (under ss 533(2)/438D(2)/422(2) of the Corporations Act 2001)</a>	123456	06 Mar 2020 17:48 (AEDT)	Liquidator name	In Progress	
<a href="#">Submit request for assetless administration funding</a>	654321	05 Mar 2020 12:39 (AEDT)	Liquidator name	In Progress	
<a href="#">Submit insolvency supplementary statutory report (under ss 533(2)/438D(2)/422(2) of the Corporations Act 2001)</a>	654987	04 Mar 2020 22:23 (AEDT)	Liquidator name	Submitted	

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Select the transaction you want to send a message in relation to (NOTE THAT IT MUST BE “IN PROGRESS”). This is because this means an ASIC case officer has been assigned to the matter, until the matter is allocated you are unable to send messages in relation to the transaction.

## Messaging - sending



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You are then taken to the individual transaction page. This page has three tabs – **Summary, Guide and Messages**.

1. Click on the Messages tab.
2. This will show all the current messages against this transaction. If you would like to start a thread or send a new message, **click New message**. Type in your message in the space provided.
3. To attach any supporting documentation, click Browse and select and attachment.
4. Click Send

## Messaging - sending

The screenshot shows the ASIC Regulatory Portal interface for sending a message. At the top, there's a navigation bar with 'Dashboard', 'Transactions', 'Messages', 'Administration', and 'Notices'. Below this is a blue banner that says 'Submit request for assetless administration'. The main content area has a 'Back to all transactions' link and tabs for 'Summary', 'Guide', and 'Messages'. The 'Messages' tab is active, showing the 'Subject: Submit request for assetless administration' and 'Transaction reference number: 1000'. Below this is a 'New message' section with a large text input area labeled 'Message' (marked with a red 'A'). Below the input area is a 'Browse...' button (marked with a red 'B') and a 'Send' button (marked with a red 'C'). A 'Cancel' button is also present. The footer of the portal indicates 'Registered liquidator information session - 13 March 2020'.

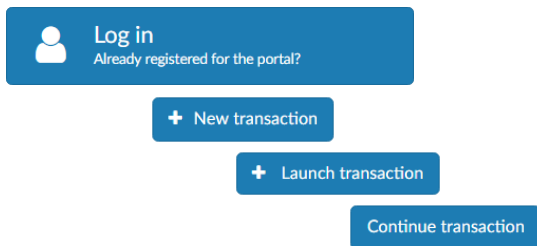
Type in your message in the space provided (A).

To attach any supporting documentation, click Browse and select and attachment (B).

Click Send (C).

The portal help page has more detail on how to send Messages:  
<https://regulatoryportal.asic.gov.au/faq/#514>

## Tips for all transactions



Registered liquidator information session – 13 March 2020

### How are transactions lodged for entities of which I am a External Administrator?

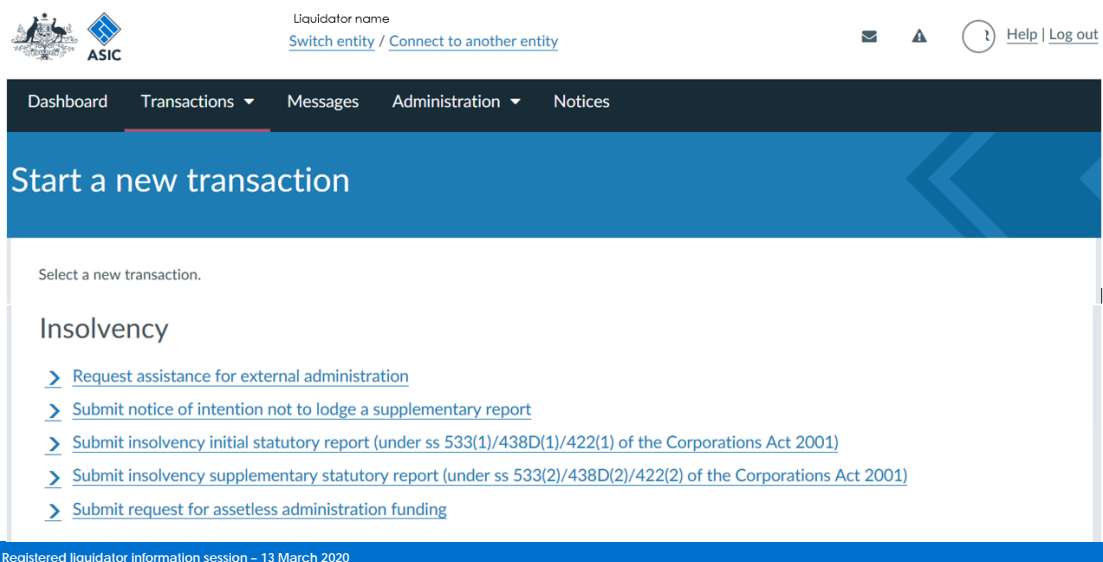
You need to log into the Regulatory Portal (or someone authorised to act on your behalf needs to log onto their portal account and access your Registration).

*Note that you DO NOT lodge the transactions **on the company** you **lodge it as the External Administrator.***

*The process to lodge on the company director is much more arduous in any case as it would require an officer of the company to invite you via the portal AND If you were to access the company directly and lodge a transaction then any officer of that company could also view the transactions lodged – naturally not desirable.*

You can navigate backward but then must click sequentially through every question from that point onward (it is locked sequentially to ensure no loss of data and to take into account branched questions).

## Tips for all transactions – [starting a new transaction](#)



Select 'new' to create a new transaction and the above screen appears.

You select from one of the five available transaction types. This list shows all the transactions now available via the regulatory portal:

- Request assistance for external administration.
- Notice of intention not to submit an insolvency supplementary report.
- Insolvency initial statutory report.
- Insolvency supplementary report.
- Request for assetless administration funding. **NOTE:** this form branches into different paths (Director banning, Other matters then Director banning and Asset recoveries).

**Important:**

Draft transactions remain in the portal for six months from the last time they were edited. They are then automatically deleted.

You can delete a transaction if you have the right Access level. From the 'view all transactions' page, click on an individual form or transaction.

## Tips for all transactions – restricting a [transaction](#)

### Transaction settings

Do you want to restrict access to this transaction?

#### Setting access restrictions for a transaction

If you choose **not to restrict** access, all users connected to this entity will have access to this transaction.

If you choose **to restrict** access, only users you select will be able to access the transaction. As you launched this transaction, you have access by default.

Senior administrators have access by default; this cannot be changed.

Yes - restrict access

No - allow access

You can restrict access by individual transactions (in addition to the access granted to users generally).

There is a prompt on every transaction once commenced. In most circumstances select “no-allow access” as the user settings would have previously been setup appropriately.

## Tips for all transactions – [saving a draft transaction](#)

The image displays two screenshots of the ASIC portal interface. The top screenshot, labeled 'Top of Screen', shows a blue header with the ASIC logo and the text 'Submit request for assetless administration funding'. A yellow box highlights a 'Save & close' button in the bottom right corner. Below the header is a tabbed interface with 'Background information' selected. The bottom screenshot, labeled 'Bottom of Screen', shows a dark footer with a 'Back' button on the left and 'Save' and 'Next' buttons on the right, all highlighted with yellow boxes. The footer also contains a grid of links: 'Contact us', 'About the portal', 'Information publication scheme', 'Frequently asked questions', 'Accessibility', 'Password management', 'Privacy', 'Copyright', and 'Sitemap'. At the very bottom of the footer is the text 'Copyright © 2020 Australian Securities & Investments Commission'.

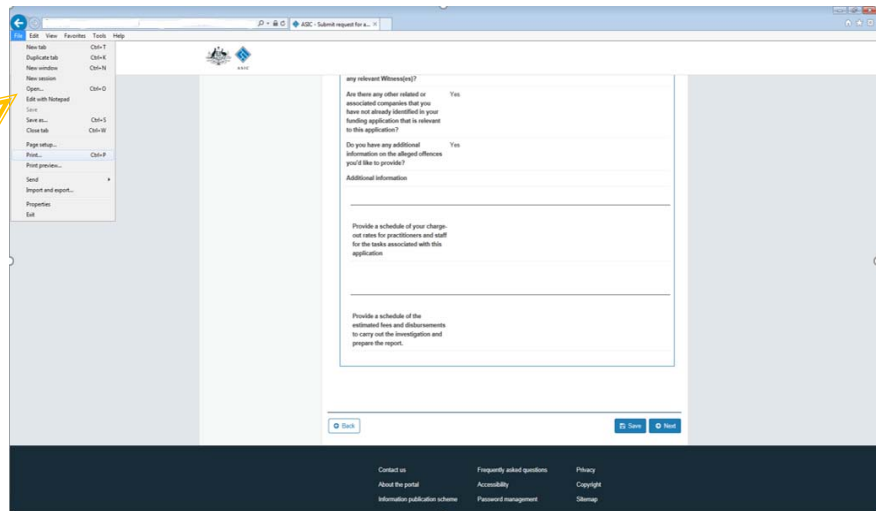
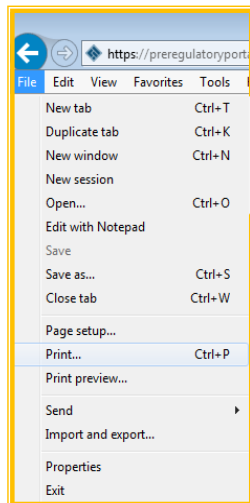
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At the top and bottom of each screen there is the option to save the form.

If you select save and close, the transaction closes and you are taken back to the start.



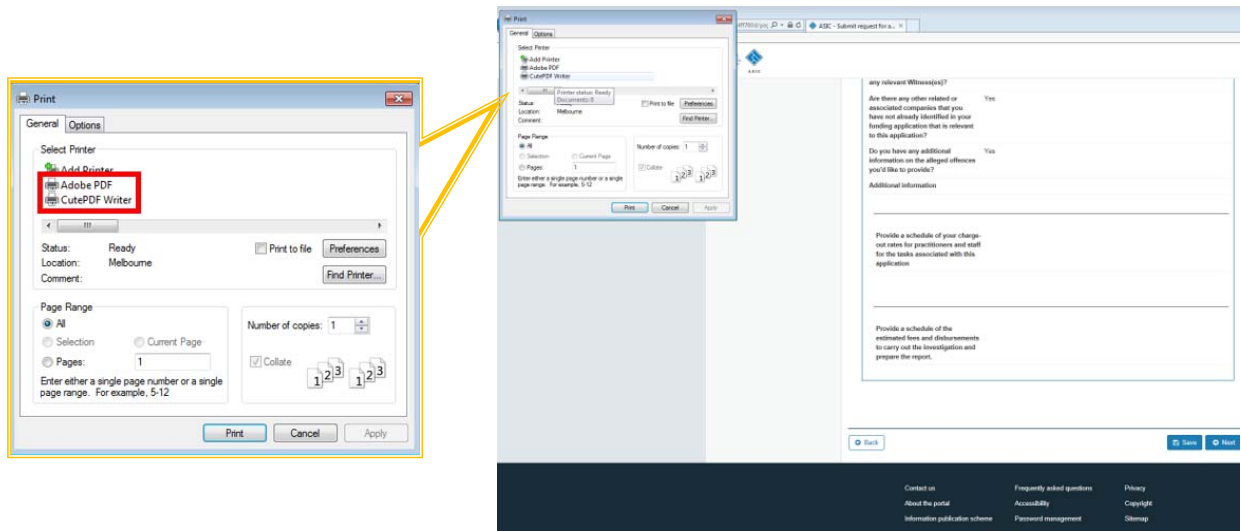
## Tips for all transactions – [print/PDF a draft transaction](#)



At the review section of each transaction you can print the transaction as above using Print to PDF.

This copy can be used as evidence it was reviewed by the Registered Liquidator and a copy saved to the file.

## Tips for all transactions – [print/PDF a draft transaction](#)



Registered liquidator information session – 13 March 2020

Select your Print PDF software (usually either or both “Adobe PDF” or “cute PDF”)

Note that if you choose to print out a transaction from the portal, all possible questions will be printed, even when they were not selected.