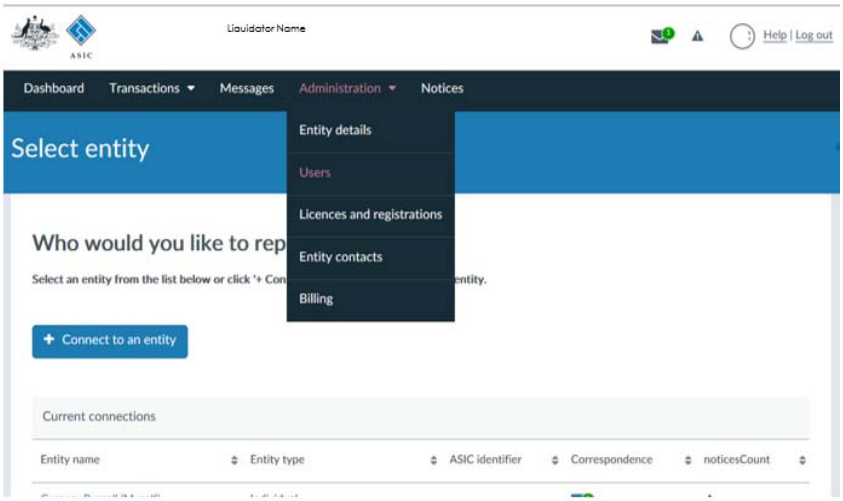
Inviting trusted representatives



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.

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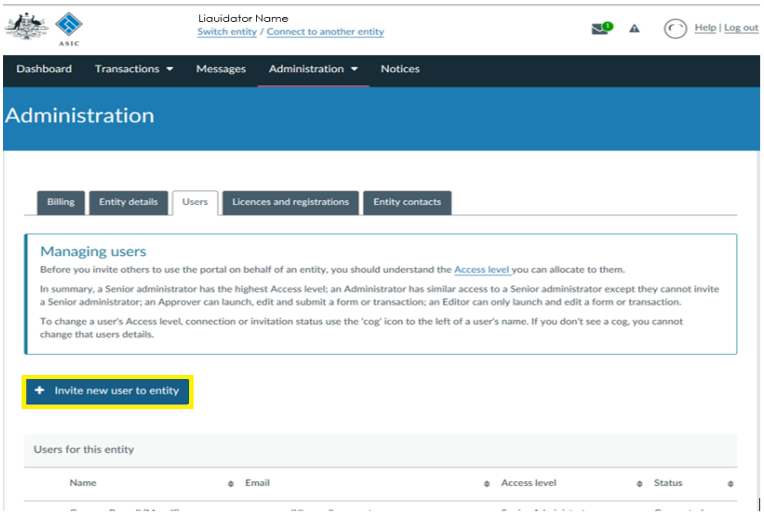
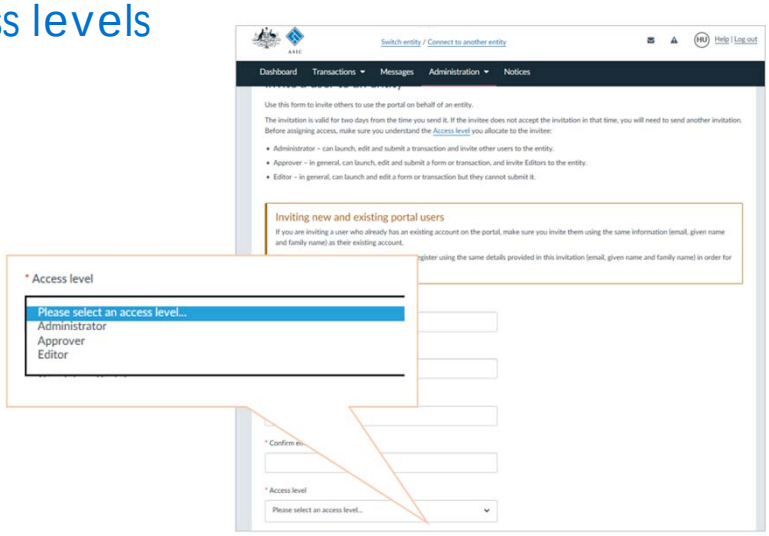


Click on **Invite new user to entity** button.

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



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.

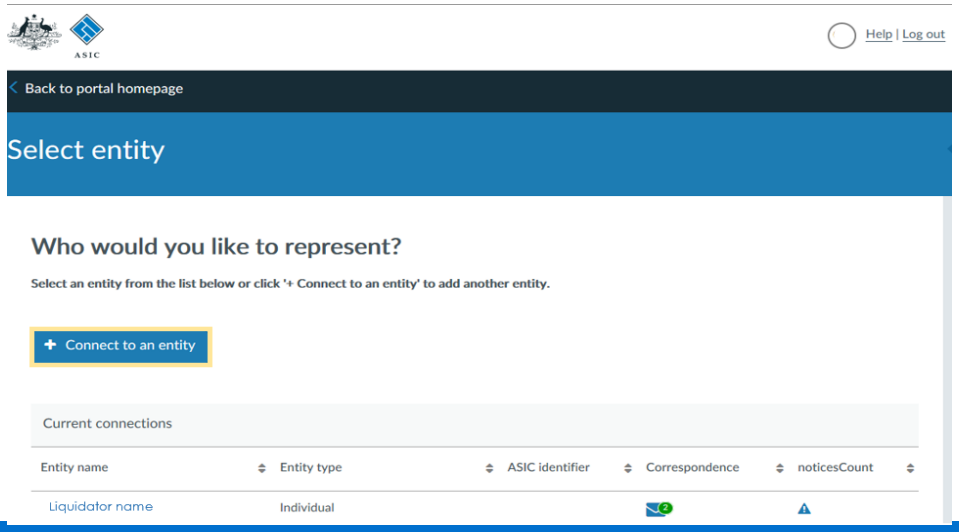
The are four Access levels - Senior administrator, Administrator, Approver and Editor.

- **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



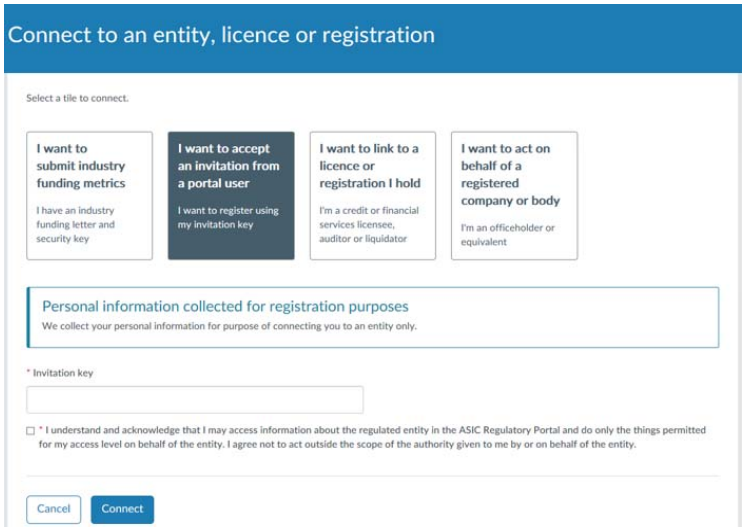
The invitee is emailed an invitation key.

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

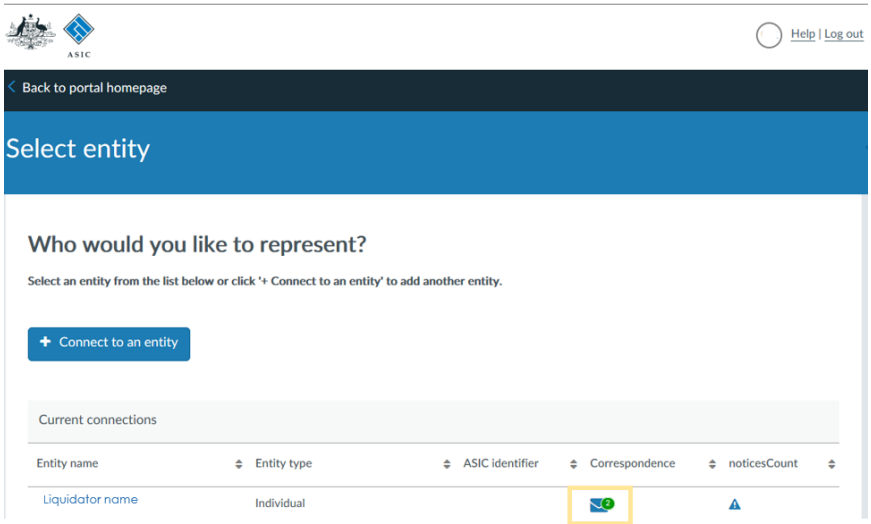


Once this screen appears, the invitee should select the relevant prompt and enter the invitation key.

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

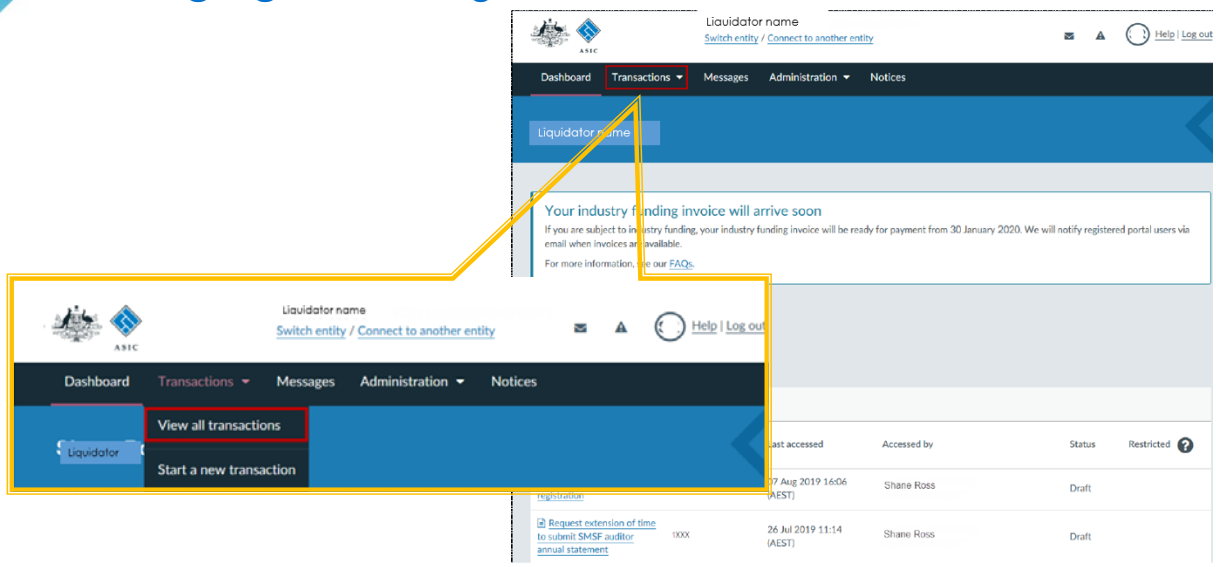
The ASIC Regulatory Portal help page has a range of resources available to you if you need assistance: https://regulatoryportal.asic.gov.au/faq/

Messaging - viewing



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

Messaging - sending

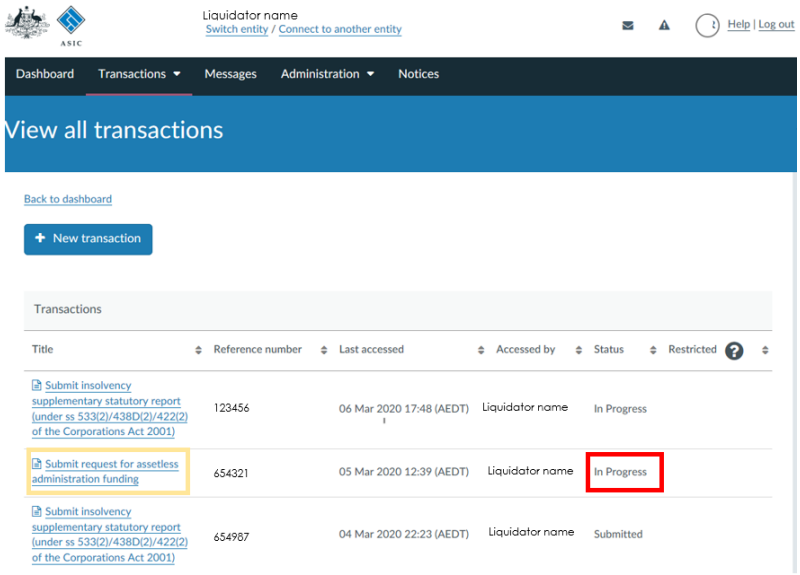


To send a message, you can either go to the transaction page (a submitted transaction) that your message is about or to the Messages page.

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

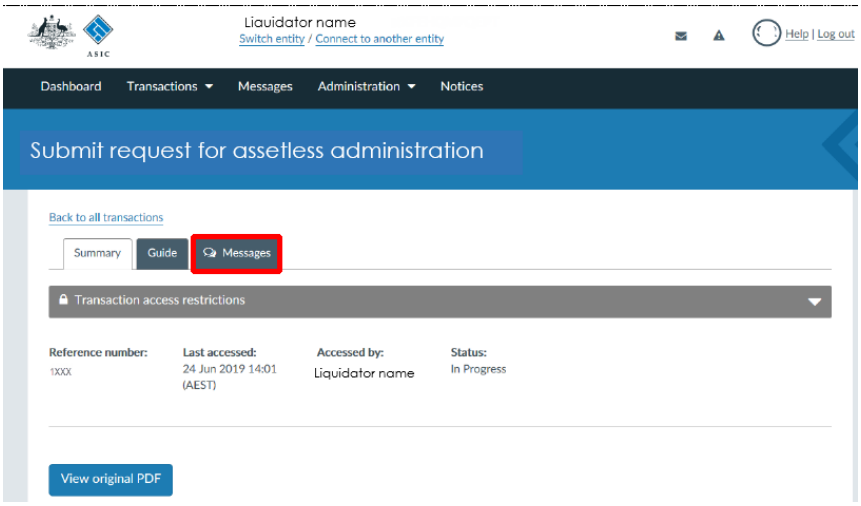
Select ‘View all transactions’.

Messaging - sending



Select the transaction you want to send a message in relation to (NOTE THAT IT MUST BE “IN PROGESS”). 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.

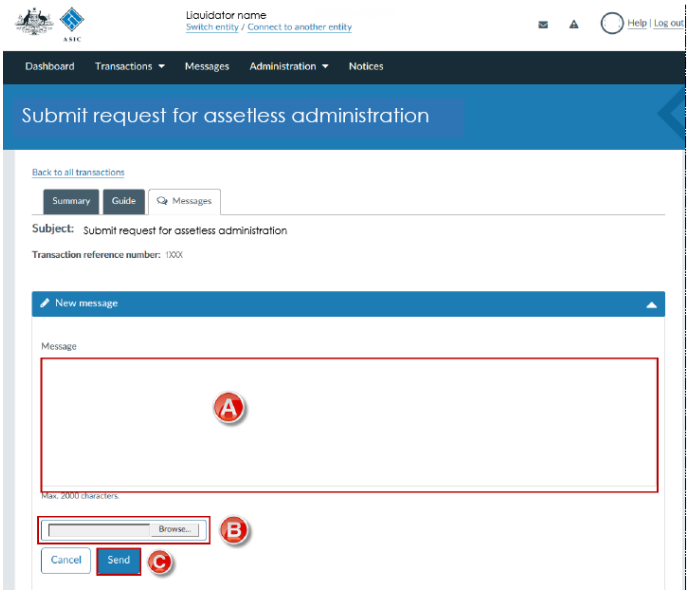
Messaging - sending



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

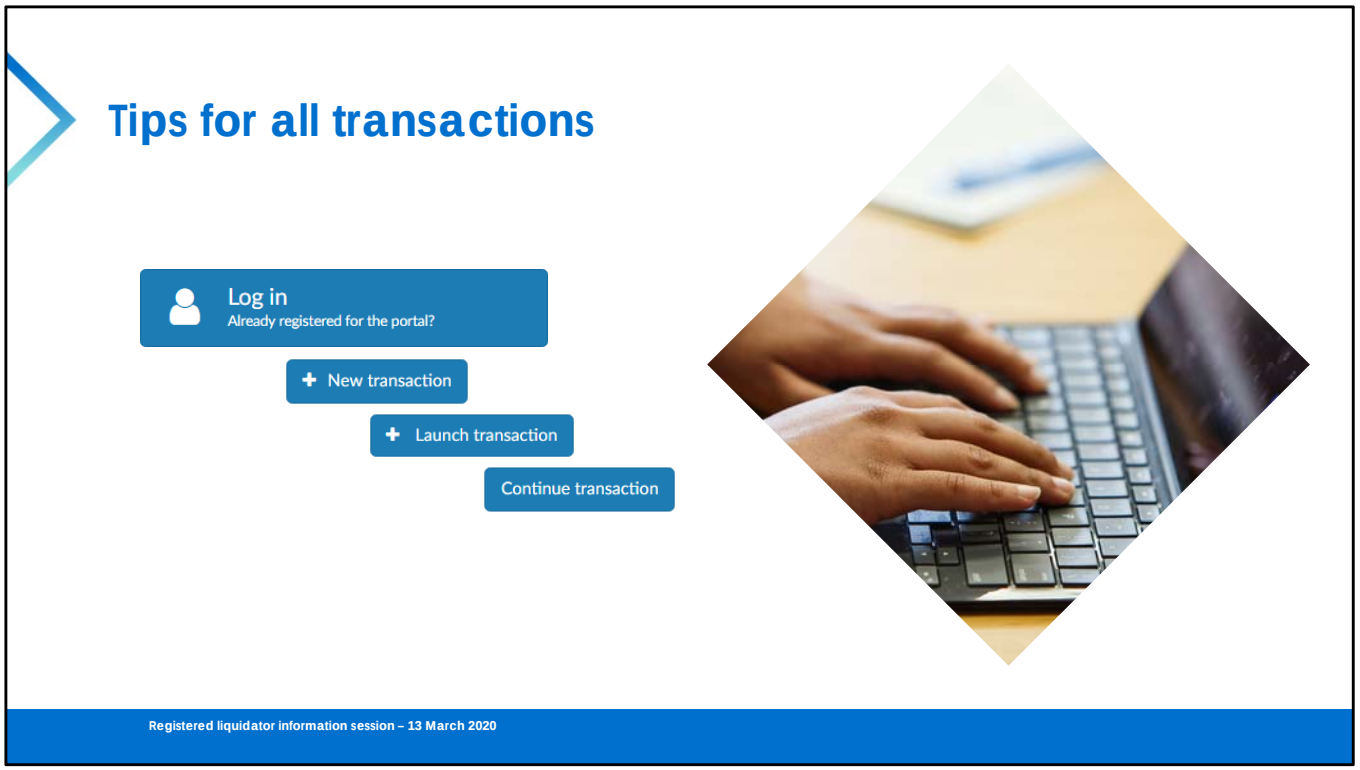


Type in your message in the space provided (A).

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

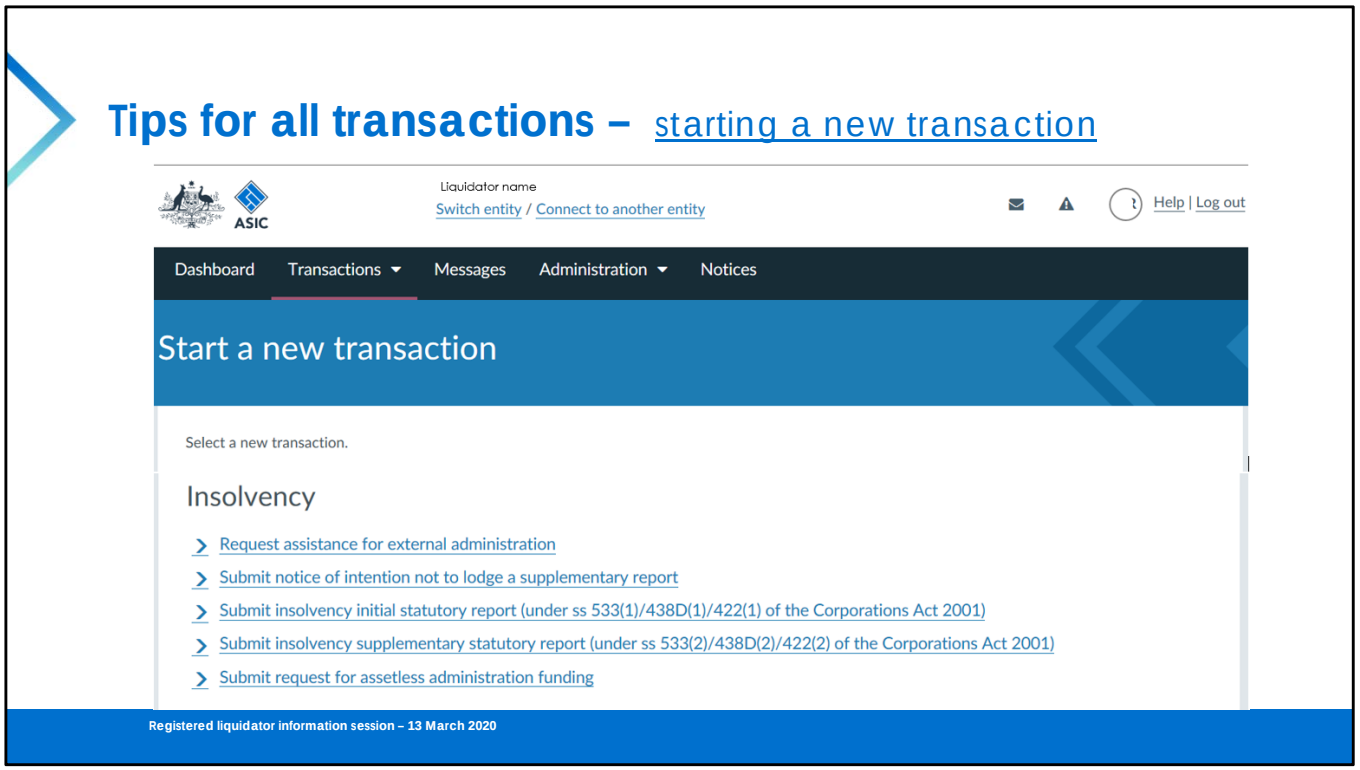


How are transactions lodged for entities of which I am a External Administrator?

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).



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:

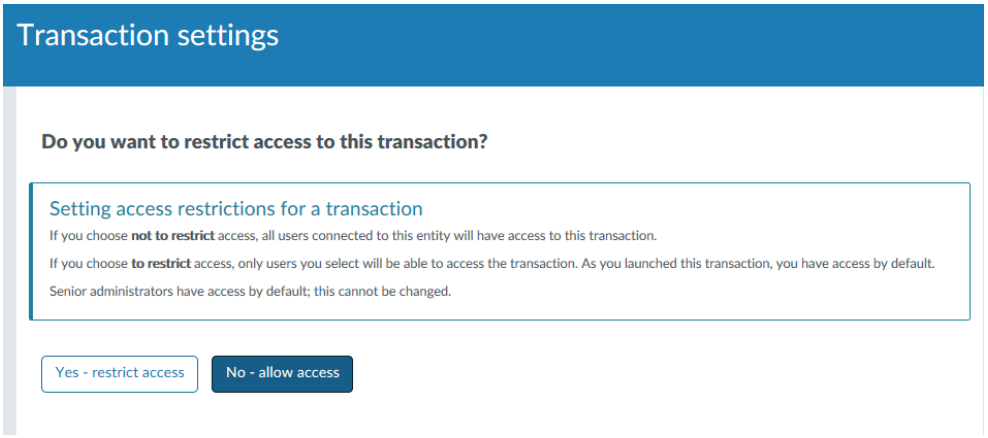
- Request assistance for external administration.
- Notice of intention not to submit an insolvency supplementary report.
- Insolvency initial statutory report.
- Insolvency supplementary report.
- Request for assetless administration funding. **NOTE:** this form branches into different paths (Director 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.

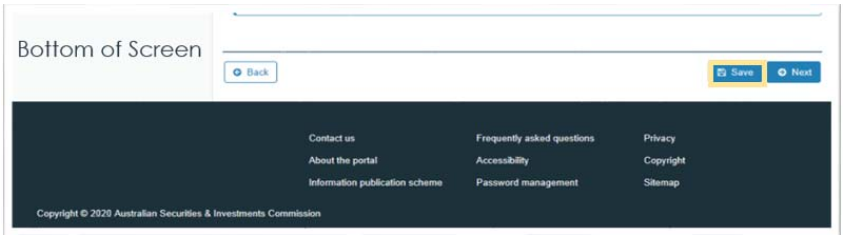
Tips for all transactions – restricting a transaction



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.

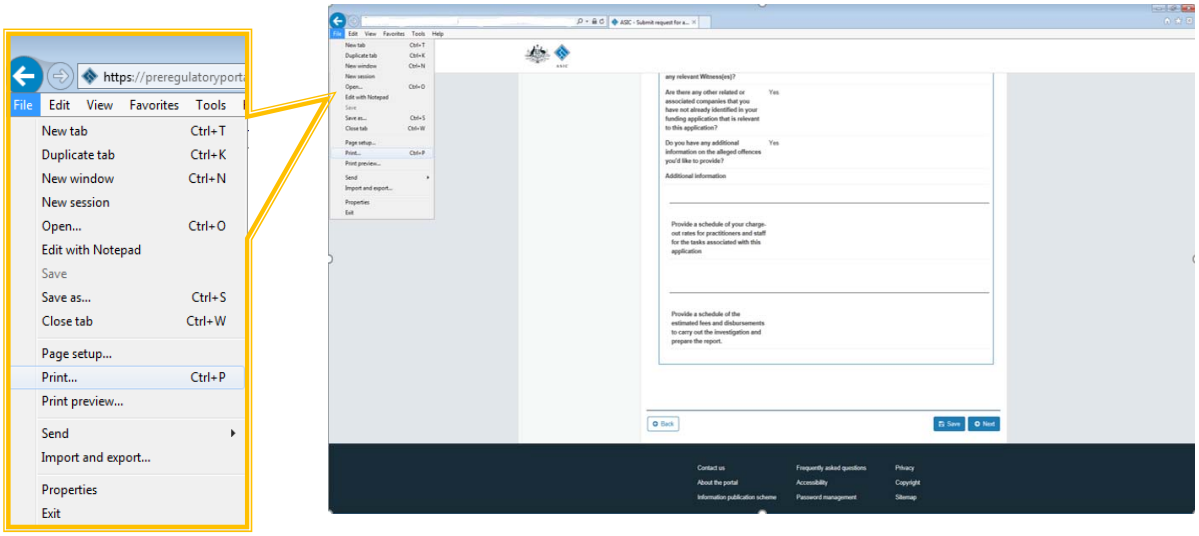
Tips for all transactions – saving a draft transaction



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.

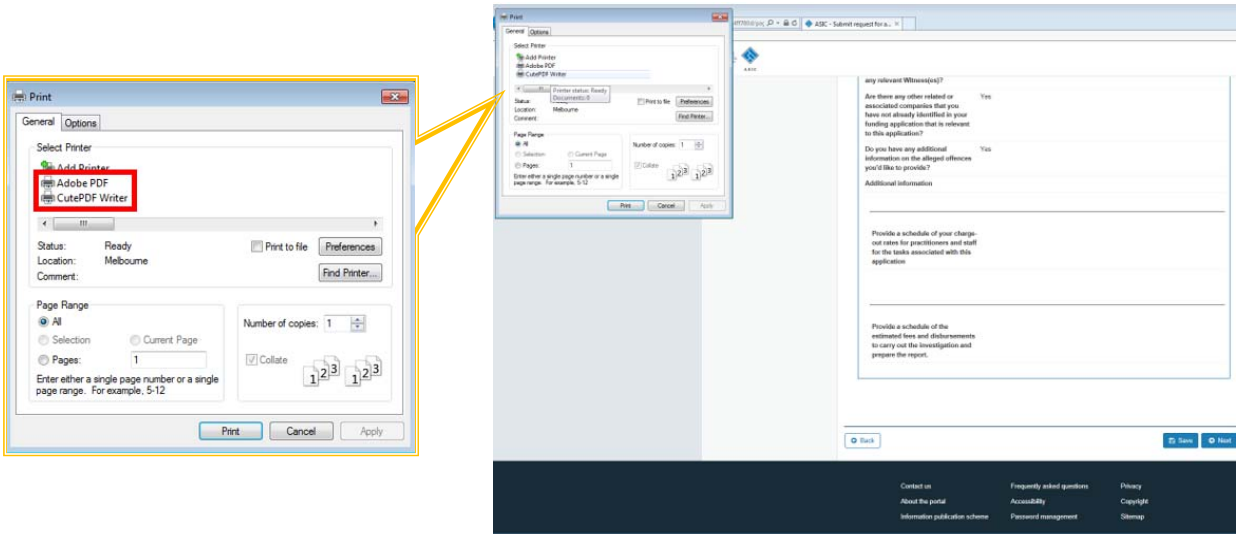
Tips for all transactions – print/PDF a draft transaction



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



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.