

AFS licence application: Template for information on fit and proper people

This template is for applicants that are applying for a new or varied Australian financial services (AFS) licence. It sets out the information you need to provide to ASIC about your fit and proper people.

Note: We refer to the people who ASIC must have no reason to believe are not ‘fit and proper persons’ as your ‘fit and proper people’.

Please complete the relevant table, depending on whether the entity applying for the licence is:

* a [natural person applicant](#_Natural_person_applicant)
* a [body corporate applicant](#_Body_corporate_applicant)
* a [partnership applicant](#_Partnership_applicant)
* a [multiple trustees of a trust applicant](#_Multiple_trustees_of).

If there is no relevant person for the category in the table, please write ‘N/A’. For example, a body corporate applicant that is not in administration would write ‘N/A’ in the administrator row. These rows are all marked with an asterisk.

# Natural person applicant

## Fit and proper person

| Full name | Position and short description of duties | Residential address | Have you already provided a national criminal history check, bankruptcy check and Statement of Personal Information for this person? | National criminal history check and bankruptcy check (not more than 12 months old), Statement of Personal Information (if not already provided) |
| --- | --- | --- | --- | --- |
| *[Fit and proper person]* | *[Fit and proper person position and description of duties]* | *[Fit and proper person address]* | *[Yes or no]* | *[Attachment number]* |

## Officers, partners, trustees and senior managers of any controllers of applicant (relevant person) (if you listed any persons who control the applicant in your application)

| Controlling entity name | Controlling entity type | Full name of relevant person | Position and short description of duties | Residential address | National criminal history check and bankruptcy check (not more than 12 months old), Statement of Personal Information |
| --- | --- | --- | --- | --- | --- |
| *[Controlling entity 1]* | *[Natural person, body corporate, partnership, multiple trustees of trust]* | *[Relevant person 1]* | *[Relevant person 1 position and description of duties]* | *[Relevant person 1 residential address]* | *[Attachment number]* |
| *[Controlling entity 2]* | *[Natural person, body corporate, partnership, multiple trustees of trust]* | *[Relevant person 2]* | *[Relevant person 2 position and description of duties]* | *[Relevant person 2 residential address]* | *[Attachment number]* |

Note: Add more rows to table as needed.

## Applicant’s declaration:

*[Insert applicant’s name]*

(the applicant) declares that to the best of the applicant’s knowledge, the above information is true and correct and that:

1. to the best of the applicant’s knowledge, each relevant person is a fit and proper person to perform one or more functions relevant to their position; and
2. the applicant is not aware of any misconduct matters relevant to determining whether any of these relevant persons are fit and proper to perform one or more functions relevant to their position.

|  |  |
| --- | --- |
| Signature of applicant |  |
| Print name |  |
| Date |  |

# Body corporate applicant

## Fit and proper persons

| Full name | Position and short description of duties | Residential address | Have you already provided a national criminal history check, bankruptcy check and Statement of Personal Information for this person? | National criminal history check and bankruptcy check (not more than 12 months old), Statement of Personal Information (if not already provided) |
| --- | --- | --- | --- | --- |
| *[Director 1]* | *[Director 1 description of duties]* | *[Director 1 residential address]* | *[Yes or no]* | *[Attachment number]* |
| *[Director 2]\** | *[Director 2 description of duties]* | *[Director 2 residential address]* | *[Yes or no]* | *[Attachment number]* |
| *[Secretary]* | *[Secretary description of duties]* | *[Secretary residential address]* | *[Yes or no]* | *[Attachment number]* |
| *[Senior manager 1]\** | *[Senior manager 1 position and description of duties]* | *[Senior manager 1 residential address]* | *[Yes or no]* | *[Attachment number]* |
| *[Senior manager 2]\** | *[Senior manager 2 position and description of duties]\** | *[Senior manager 2 residential address]* | *[Yes or no]* | *[Attachment number]* |
| *[Receiver or receiver and manager]\** | *[Receiver or receiver and manager description of duties]* | *[Receiver or receiver and manager residential address]* | *[Yes or no]* | *[Attachment number]* |
| *[Administrator]\** | *[Administrator description of duties]* | *[Administrator residential address]* | *[Yes or no]* | *[Attachment number]* |
| *[Administrator of deed of company arrangement]\** | *[Administrator of deed of company arrangement description of duties]* | *[Administrator of deed of company arrangement residential address]* | *[Yes or no]* | *[Attachment number]* |
| *[Liquidator]\** | *[Liquidator description of duties]* | *[Liquidator residential address]\** | *[Yes or no]* | *[Attachment number]* |
| *[Trustee or other person administering a compromise or arrangement made between the corporation and someone else]\** | *[Trustee or other person administering a compromise or arrangement made between the corporation and someone else description of duties]* | *[Trustee or other person administering a compromise or arrangement made between the corporation and someone else residential address]* | *[Yes or no]* | *[Attachment number]* |

Note 1: Rows marked with an asterisk only need to be filled out if applicable.

Note 2: Add more rows to table as needed.

## Officers, partners, trustees and senior managers of any controllers of applicant (relevant person)

| Controlling entity name | Controlling entity type | Full name of relevant person | Position and short description of duties | Residential address | National criminal history check and bankruptcy check (not more than 12 months old), Statement of Personal Information |
| --- | --- | --- | --- | --- | --- |
| *[Controlling entity 1]* | *[Natural person, body corporate, partnership, multiple trustees of trust]* | *[Relevant person 1]* | *[Relevant person 1 position and description of duties]* | *[Relevant person 1 residential address]* | *[Attachment number]* |
| *[Controlling entity 2]* | *[Natural person, body corporate, partnership, multiple trustees of trust]* | *[Relevant person 2]* | *[Relevant person 2 position and description of duties]* | *[Relevant person 2 residential address]* | *[Attachment number]* |

Note: Add more rows to table as needed.

## Applicant’s declaration:

*[Insert applicant’s name]*

(the applicant) declares that to the best of the applicant’s knowledge, the above information is true and correct and that:

1. to the best of the applicant’s knowledge, each relevant person is a fit and proper person to perform one or more functions relevant to their position; and
2. the applicant is not aware of any misconduct matters relevant to determining whether any of these relevant persons are fit and proper to perform one or more functions relevant to their position.

|  |  |
| --- | --- |
| Signature of applicant |  |
| Print name |  |
| Date |  |

# Partnership applicant

## Fit and proper persons

| Full name | Position and short description of duties | Residential address | Have you already provided a national criminal history check, bankruptcy check and Statement of Personal Information for this person? | National criminal history check and bankruptcy check (not more than 12 months old), Statement of Personal Information (if not already provided) |
| --- | --- | --- | --- | --- |
| *[Partner 1]* | *[Partner 1 description of duties]* | *[Partner 1 residential address]* | *[Yes or no]* | *[Attachment number]* |
| *[Partner 2]* | *[Partner 2 description of duties]* | *[Partner 2 residential address]* | *[Yes or no]* | *[Attachment number]* |
| *[Partner 3]\** | *[Partner 3 description of duties]* | *[Partner 3 residential address]* | *[Yes or no]* | *[Attachment number]* |
| *[Senior manager 1]\** | *[Senior manager 1 position and description of duties]* | *[Senior manager 1 residential address]* | *[Yes or no]* | *[Attachment number]* |

Note 1: Rows marked with an asterisk only need to be filled out if applicable

Note 2: Add more rows to table as needed.

## Officers, partners, trustees and senior managers of any controllers of applicant (relevant person)

| Controlling entity name | Controlling entity type | Full name of relevant person | Position and short description of duties | Residential address | National criminal history check and bankruptcy check (not more than 12 months old), Statement of Personal Information |
| --- | --- | --- | --- | --- | --- |
| *[Controlling entity 1]* | *[Natural person, body corporate, partnership, multiple trustees of trust]* | *[Relevant person 1]* | *[Relevant person 1 position and description of duties]* | *[Relevant person 1 residential address]* | *[Attachment number]* |
| *[Controlling entity 2]* | *[Natural person, body corporate, partnership, multiple trustees of trust]* | *[Relevant person 2]* | *[Relevant person 2 position and description of duties]* | *[Relevant person 2 residential address]* | *[Attachment number]* |

Note: Add more rows to table as needed.

## Applicant’s declaration:

*[Insert applicant’s name]*

(the applicant) declares that to the best of the applicant’s knowledge, the above information is true and correct and that:

1. to the best of the applicant’s knowledge, each relevant person is a fit and proper person to perform one or more functions relevant to their position; and
2. the applicant is not aware of any misconduct matters relevant to determining whether any of these relevant persons are fit and proper to perform one or more functions relevant to their position.

|  |  |
| --- | --- |
| Signature of applicant |  |
| Print name |  |
| Date |  |

# Multiple trustees of a trust applicant

## Fit and proper persons

| Full name | Position and short description of duties | Residential address | Have you already provided a national criminal history check, bankruptcy check and Statement of Personal Information for this person? | National criminal history check and bankruptcy check (not more than 12 months old), Statement of Personal Information (if not already provided) |
| --- | --- | --- | --- | --- |
| *[Trustee 1]* | *[Trustee 1 description of duties]* | *[Trustee 1 residential address]* | *[Yes or no]* | *[Attachment number]* |
| *[Trustee 2]* | *[Trustee 2 description of duties]* | *[Trustee 2 residential address]* | *[Yes or no]* | *[Attachment number]* |
| *[Trustee 3]\** | *[Trustee 3 description of duties]* | *[Trustee 3 residential address]* | *[Yes or no]* | *[Attachment number]* |
| *[Senior manager 1]\** | *[Senior manager 1 position and description of duties]* | *[Senior manager 1 residential address]* | *[Yes or no]* | *[Attachment number]* |

Note 1: Rows marked with an asterisk only need to be filled out if applicable

Note 2: Add more rows to table as needed.

## Officers, partners, trustees and senior managers of any controllers of applicant (relevant person)

| Controlling entity name | Controlling entity type | Full name of relevant person | Position and short description of duties | Residential address | National criminal history check and bankruptcy check (not more than 12 months old), Statement of Personal Information |
| --- | --- | --- | --- | --- | --- |
| *[Controlling entity 1]* | *[Natural person, body corporate, partnership, multiple trustees of trust]* | *[Relevant person 1]* | *[Relevant person 1 position and description of duties]* | *[Relevant person 1 residential address]* | *[Attachment number]* |
| *[Controlling entity 2]* | *[Natural person, body corporate, partnership, multiple trustees of trust]* | *[Relevant person 2]* | *[Relevant person 2 position and description of duties]* | *[Relevant person 2 residential address]* | *[Attachment number]* |

Note: Add more rows to table as needed.

## Applicant’s declaration:

*[Insert applicant’s name]*

(the applicant) declares that to the best of the applicant’s knowledge, the above information is true and correct and that:

1. to the best of the applicant’s knowledge, each relevant person is a fit and proper person to perform one or more functions relevant to their position; and
2. the applicant is not aware of any misconduct matters relevant to determining whether any of these relevant persons are fit and proper to perform one or more functions relevant to their position.

|  |  |
| --- | --- |
| Signature of applicant |  |
| Print name |  |
| Date |  |