



How to restrict a transaction or a transaction group

ASIC Regulatory Portal user guide | Version 1.2, November 2024

1. Log in to the [ASIC Regulatory Portal](#).
2. Once you have logged into the portal, you will see the Select entity page which lists all your current connections. Select the entity from the list of connections that you would like to represent.

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
Hannah Williams (Myself)	Individual	
TEST COMPANY PTY LTD	Australian registered company	

3. This will open the entity's dashboard. Click on **Start a new transaction**.

TEST COMPANY PTY LTD
Switch entity / Connect to another entity

Dashboard Transactions Messages Administration Notices Transaction Groups

TEST COMPANY PTY LTD

Industry funding metrics submissions now closed
The submission period for the 2023-24 industry funding annual return has now closed.
The deadline for submission was 25 September 2024. For more information, see [ASIC industry funding](#).
See our [Service availability](#) page for details of any impacts to our services.

+ Start a new transaction AFS licensing dashboard

Recent transactions ?

Title	Reference number	Last accessed	Accessed by	Status ?	Restricted ?
Apply for a no-action letter	2004	06 Sep 2024 07:49 (AEDT)	DataC TestC	Submitted	

4. Select a transaction type.

TEST COMPANY PTY LTD
Switch entity / Connect to another entity

Dashboard Transactions Messages Administration Notices Transaction Groups

Start a new transaction

Select a new transaction.

Industry funding

- > [Submit industry funding annual return 2023-24](#)
- > [Apply for a levy and/or penalty waiver](#)
- > [Apply for a payment plan](#)

5. Click on **Launch transaction**.

The screenshot shows the ASIC portal interface for 'TEST COMPANY PTY LTD'. The top navigation bar includes 'Dashboard', 'Transactions', 'Messages', 'Administration', 'Notices', and 'Transaction Groups'. The main content area contains information about levies and a list of links: 'What you will need', 'Applicable fees or levies', 'Regulatory guides and related information', and 'Your privacy'. The '+ Launch transaction' button is highlighted with a red border.

6. The next screen you will see is the Transaction settings page. You will need to decide if you would like to restrict access to the transaction to selected users.

The screenshot shows the 'Transaction settings' page titled 'How to restrict a transaction – Page 2'. The page asks 'Do you want to restrict access to this transaction?'. Below the question is a box titled 'Setting access restrictions for a transaction' with the following text: 'If you choose **not to restrict** access, all users connected to this entity will have access to this transaction, including anyone you invite to have access to your entity in the future. If you think you may wish to limit access to this transaction in the future, you should do so now. 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.' At the bottom, there are two buttons: 'Yes - restrict access' and 'No - allow access', both highlighted with red borders.

To restrict access, click **Yes – restrict access**. This will show a list of all connected users and allows you to select who can access the transaction. Click **Next** to proceed to the confirmation page.

Note: Senior Administrators have access to all transactions by default and cannot be restricted.

<input type="checkbox"/> All	Name	Access level
<input type="checkbox"/>	Helen Edgar	Admin
<input checked="" type="checkbox"/>	Hannah Williams (Myself)	SeniorAdmin
<input checked="" type="checkbox"/>	Joy Rogers	Admin
<input type="checkbox"/>	Hannah Williams	Editor
<input type="checkbox"/>	Diana Jones	Admin

You will then see the following warning message and a list of the users you have selected to give access to this transaction. Review the list and select **Yes** if you want to proceed or **Cancel** to go back to select other users.

Are you sure you want to restrict access to these users?

You are about to restrict access to this transaction. Restricting access to this transaction means only the users selected below will be able to access the transaction.
Click 'Yes' to proceed with updating access restrictions or 'Cancel' to edit the users you have selected to have access to this transaction.

Name	Access level
Hannah Williams (Myself)	SeniorAdmin
Joy Rogers	Admin
David Williamson	SeniorAdmin
Benjamin White	SeniorAdmin

7. You can also restrict access after you have created the transaction. To do this, from entity or View all transactions page, open the transaction, click on the down arrow to the right of **Transaction access restrictions** and then click on the **Edit restrictions** button.

The screenshot shows a web interface for applying for a no-action letter. At the top, there is a navigation bar with links for Dashboard, Transactions, Messages, Administration, Notices, and Transaction Groups. Below this is a blue header with the text 'Apply for a no-action letter'. A link 'Back to all transactions' is visible. There are two tabs: 'Summary' and 'Guide'. A grey bar with a lock icon and the text 'Transaction access restrictions' is present, with a small upward-pointing arrow on the right. Below this bar, the text 'Access to this transaction is not restricted.' is displayed, and a button labeled 'Edit restrictions' with a lock icon is highlighted with a red box. Below the restrictions section, there is a table with the following data:

Reference number:	Last accessed:	Accessed by:	Status: ?
2004	06 Sep 2024 07:49 (AEDT)	Hannah Williams	Draft

At the bottom of the page, there are two buttons: 'Delete' and 'Continue transaction'.

How to restrict transaction groups

Currently, transaction groups are only for Australian financial services licensee (AFSL) and Australian credit licensee (ACL) breach reporting using the group Reportable situation events.

Note: You will **not** be prompted to restrict individual transactions within a transaction group as the restrictions settings you apply to the transaction group carry over to all transactions within the group.

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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
Hannah Williams (Myself)	Individual	
TEST COMPANY PTY LTD	Australian registered company	

3. This will open the entity's dashboard. Click on Transaction groups -> View all reportable situation events.

ASIC TEST COMPANY PTY LTD

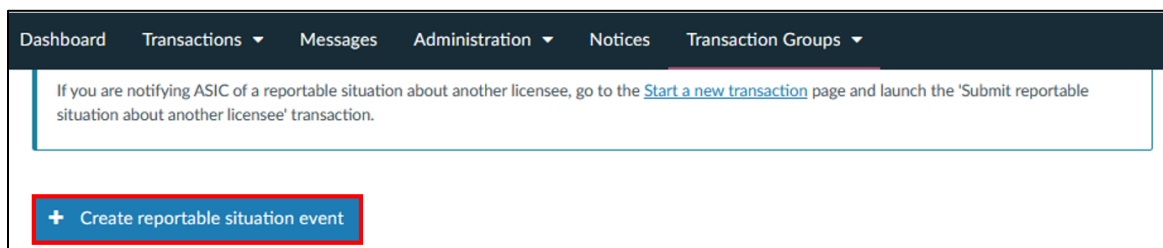
[Switch entity](#) / [Connect to another entity](#) DT Help | Log out

Dashboard Transactions Messages Administration Notices Transaction Groups

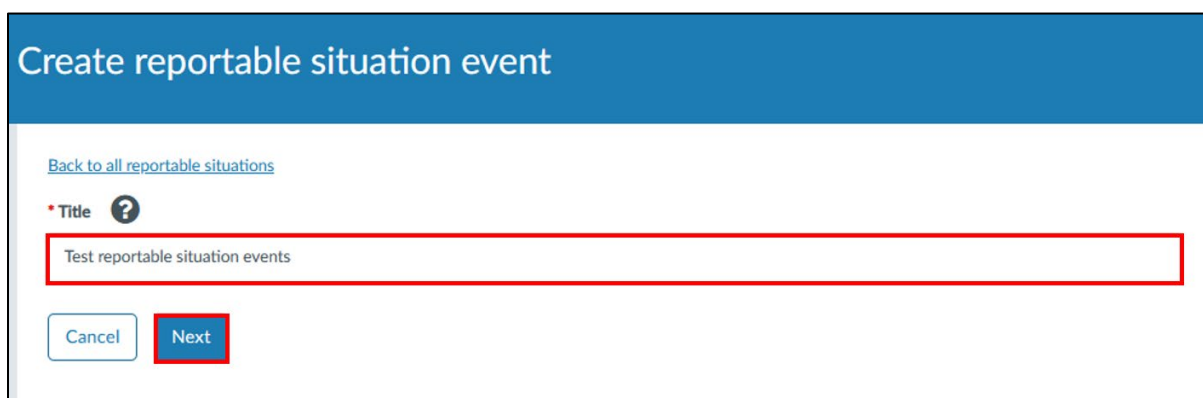
View all reportable situation events

TEST COMPANY PTY LTD

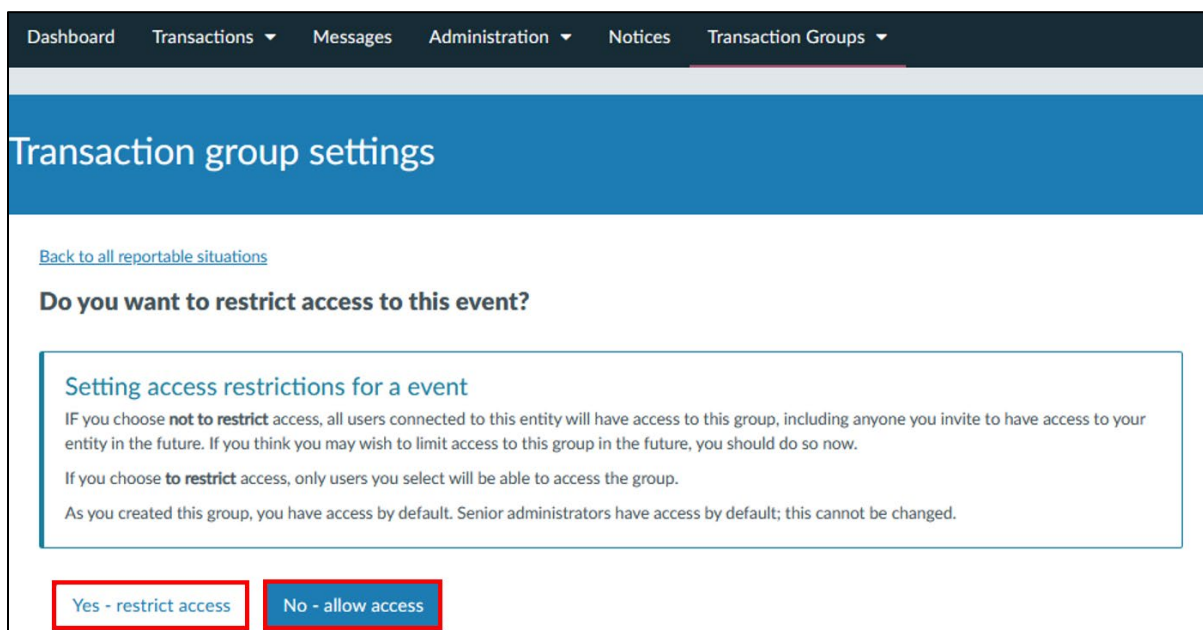
4. Select **Create reportable situation event**.



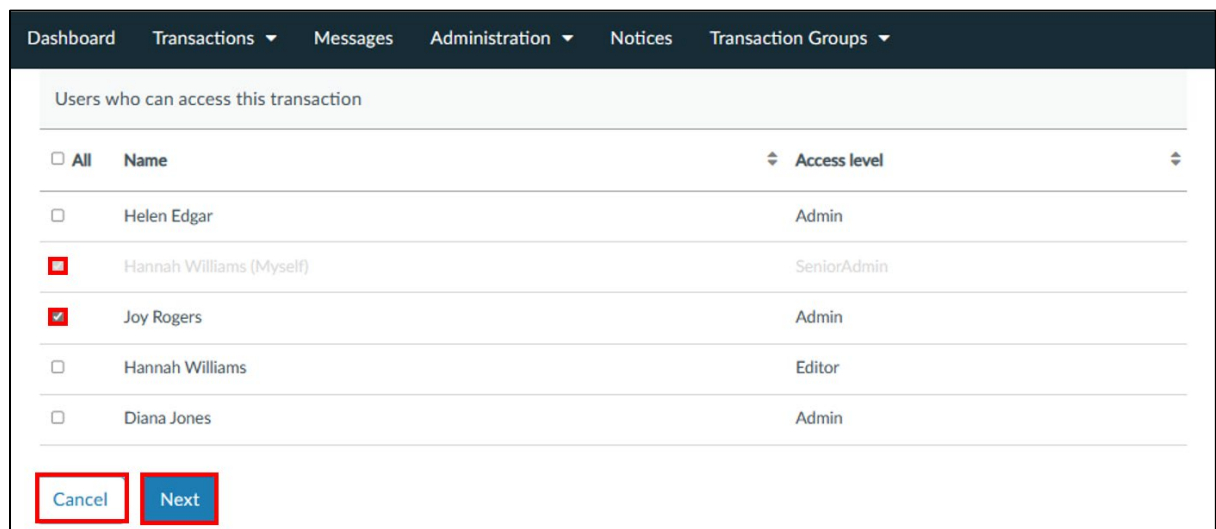
5. Once you create a transaction group and give it a title, click **Next**.



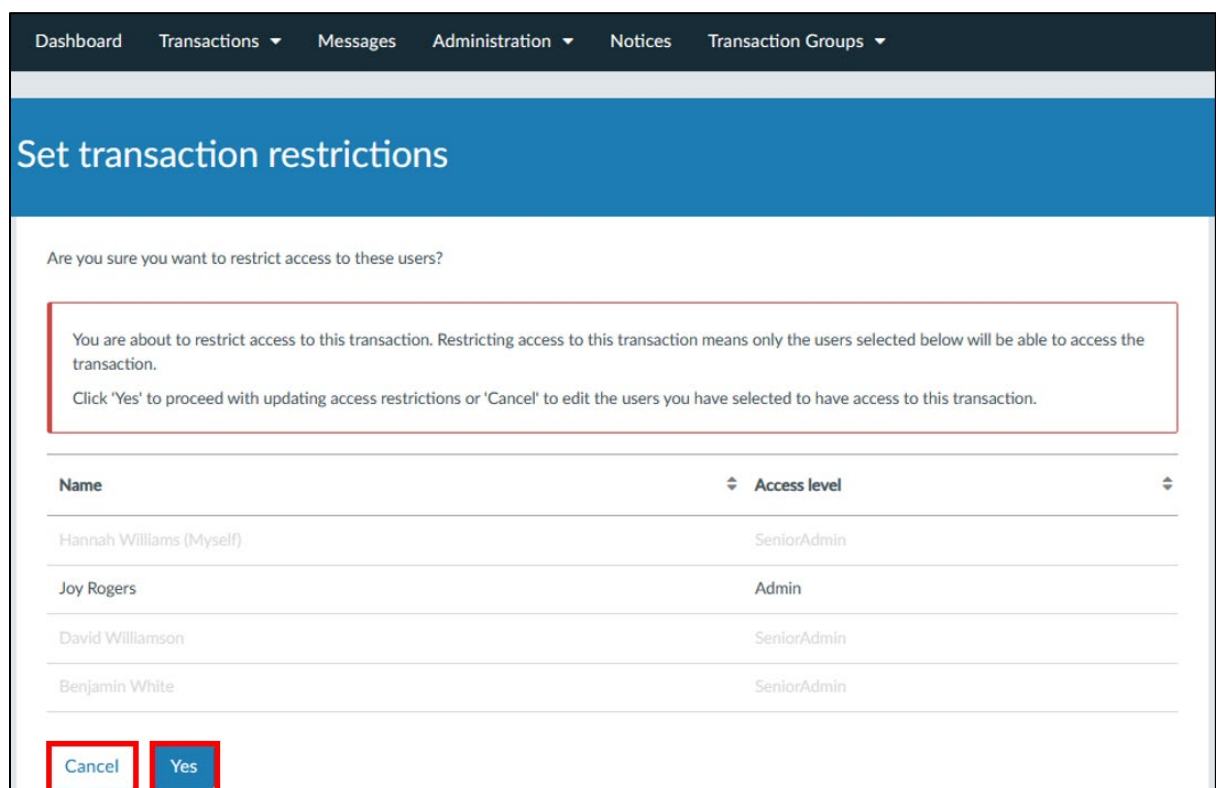
6. The next screen you will see is the Transaction group settings page. You will need to decide if you would like to restrict access to the transaction group to selected users.



To restrict access, click **Yes – restrict access**. This will show a list of all connected users and allows you to select who can access the transaction group. Click **Next** to proceed to the confirmation page.

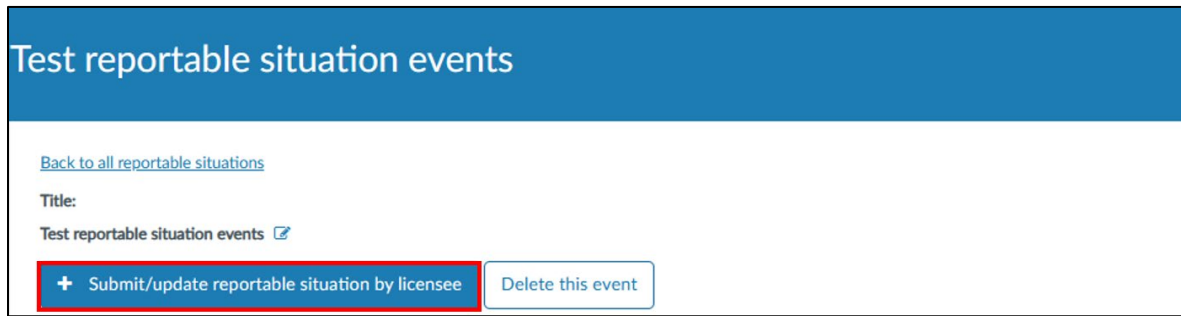


The below warning message will appear with the users you have selected to give access to this transaction. Select **Yes** if you want to proceed or **Cancel** to go back to change your selections.

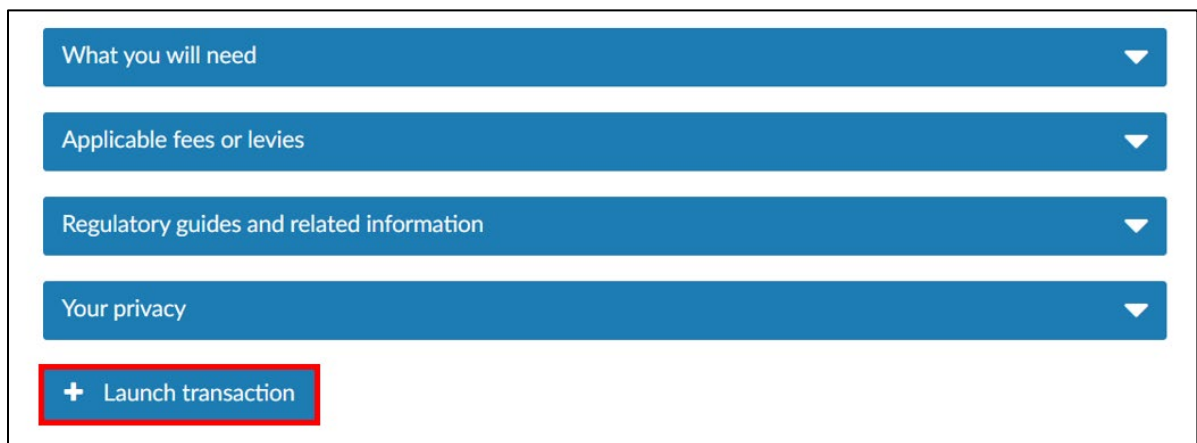


If you select **No – allow access**, all users connected to the entity will be able to access the transaction group, including the transactions and messages in relation to the group.

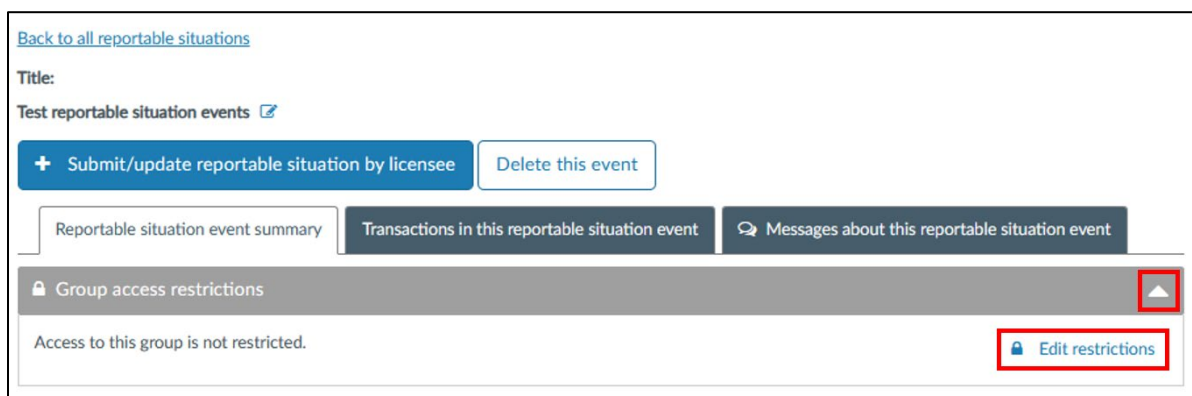
7. Select **Submit update reportable situation by licensee**.



8. Select **Launch transaction** to proceed with your submission.
Note: You will **not** be prompted to restrict the transaction as the transaction group settings carry over to all transactions within the transaction group.



9. Select **Submit update reportable situation by licensee**.



10. This will take you to the **Transaction group settings** page. The process for restricting access is the same as when creating the transaction group described at step 6 above.

Transaction group settings

[Back to all reportable situations](#)

Do you want to restrict access to this event?

Setting access restrictions for a event

If you choose **not to restrict** access, all users connected to this entity will have access to this group, including anyone you invite to have access to your entity in the future. If you think you may wish to limit access to this group in the future, you should do so now.

If you choose **to restrict** access, only users you select will be able to access the group.

As you created this group, you have access by default. Senior administrators have access by default; this cannot be changed.