

Form design document

Transaction requirements and content development for:

Submit reportable situation about another licensee

Version changes

| Version no. | Date | Summary of changes |
|-------------|------------|---|
| 1.0 | 10/01/2021 | Released |
| 2.0 | 17/06/2022 | Various amendments including changes from changes in the <i>Corporate Collective Investment Vehicle Framework and Other Measures Act 2022</i> |
| 2.2 | 6/12/2022 | Spelling error in G44 (Ex h orbitant) |

P1 – Reporting licensee

| ID | Mandatory | Label | Control type | Business rules, validation, control values | Business rules on control |
|-----------------------------------|-----------|---|---------------------------|---|--|
| <i>ID used for business rules</i> | Y/N | <i>Question text etc. Example: Do you know the ASIC Identifier for the entity?</i> | <i>(See the Appendix)</i> | <i>Specify show/hide business rules <u>driven from this control</u>; any validation needed; the values available for selection - example: Yes/No If Yes show 1a to 1d, then re-join common branch at 2 If No show 2</i> | <i>Specify show/hide business rule that is applied on this control</i> |
| | -- | Submit reportable situation about another licensee | Form name | | |
| P1 | -- | Reporting licensee | Page | | |
| P1-S1 | -- | Reporting licensee details | Sub page | | |
| A1 | -- | In this transaction, the licensee who is lodging the report is referred to as the 'reporting licensee'. | Information callout | | |
| A2 | -- | Source system | Hidden field | Pre-fill from portal for portal entity. | |
| A3 | -- | Source identifier | Hidden field (textbox) | Pre-fill from portal for portal entity. | |
| A4 | -- | Organisation name | Textbox | Pre-fill from RDR for portal entity. | Show if portal entity is Organisation. |
| A5 | -- | Australian Business Number | Textbox | Pre-fill from RDR for portal entity. | |
| A6 | -- | Australian Company Number / Australian Registered Body Number | Textbox | Pre-fill from RDR for portal entity. [Will be blank if asicNumberType = "NRET".] | Show if portal entity is Organisation. |
| A7 | -- | Given name | Textbox | Pre-fill from RDR for portal entity. | Show if portal entity is Individual. |
| A8 | -- | Other given name(s) | Textbox | Pre-fill from RDR for portal entity. | Show if portal entity is Individual. |
| A9 | -- | Family name | Textbox | Pre-fill from RDR for portal entity. | Show if portal entity is Individual. |
| A10 | -- | Australian financial services (AFS) licence number | Textbox | Pre-fill permission number for current/suspended AFSL held by portal entity. | Show if portal entity holds AFSL (i.e. AFSL is current or suspended). |
| A11 | -- | Australian credit licence number | Textbox | Pre-fill permission number for current/suspended ACL held by portal entity. | Show if portal entity holds ACL (i.e. ACL is current or suspended). |
| A12 | -- | Pre-filled information We have pre-filled the information above from ASIC records. If the pre-filled information is incorrect, you will be unable to make the required declaration as to the truth and accuracy of the information in this document. In this case, you must not submit the document until the information ASIC holds is corrected and then pre-filled into this document. For more information, please see our FAQ - <i>What should I do if there are errors in the pre-filled information of a form or transaction?</i> | Information callout | | |
| A13 | -- | System not available: The system we use to pre-fill information on this page is not available. We are currently | Error alert | Validation: stop user progressing. | Show if the portal entity pre-fill or the |

| ID | Mandatory | Label | Control type | Business rules, validation, control values | Business rules on control |
|----|-----------|---|--------------|--|----------------------------|
| | | working on restoring the system. You cannot progress past this page until we restore the system. Please reload the page in a few minutes. | | | RDR lookup is not working. |

P2 –Situation type

| ID | Mandatory | Label | Control type | Business rules, validation, control values | Business rules on control |
|-----------|-----------|--|---------------------|--|--------------------------------------|
| P2 | -- | Situation type | Page | | |
| B1 | -- | <p>All references to:</p> <ul style="list-style-type: none"> • 'Corporations Act' refer to the <i>Corporations Act 2001</i> • 'Credit Act' refer to the <i>National Consumer Credit Protection Act 2009</i> and • 'ASIC Act' refer to the <i>Australian Securities and Investments Commission Act 2001</i>. <p>Section 912D of the Corporations Act and s50A of the Credit Act each contain relevant definitions of 'reportable situation', 'core obligation' and set out when a breach is taken to be 'significant'. Section 910A of the Corporations Act also defines what is meant by 'relevant financial products'.</p> <p>When we refer to a 'likely breach' we are referring to a situation where a licensee is no longer able to comply with a core obligation and the breach, if it occurs, will be significant: s912D(1)(b) of the Corporations Act, s50A(1)(b) of the Credit Act.</p> <p>If there has been a breach and it is not or would not be significant, you are not required to submit the report. If you still want to advise ASIC of the matter, ASIC's website explains how to voluntarily report misconduct to ASIC.</p> <p>For further guidance about reportable situations refer to Regulatory Guide 78 <i>Breach reporting by AFS licensees and credit licensees</i> (RG 78).</p> | Information callout | | |
| B2 | Y | What is this report about, in relation to the other licensee (you are unable to select both of the first two options)? | Checkbox | <p>Allow multi select. List values: A. Significant breach of core obligation has occurred B. No longer able to comply with core obligation (likely significant breach) C. Gross negligence D. Serious fraud Do not allow selection of both A and B. If both A and B, show B3. If selections include A or B, show B4 and B6. Selection here also drives whether various controls on P4-S1 and P4-S2 are shown.</p> | |
| B3 | -- | You cannot select both 'Significant breach of core obligation has occurred' and 'No longer able to comply with core obligation (likely significant breach)'. To proceed with this transaction you must deselect one of these options. | Error alert | Validation: stop user progressing. | Show if both A and B selected at B2. |
| B4 | Y | What circumstances indicate that the breach is/would be significant (you can select more than one)? | Checkbox | <p>Allow multi select. List values: • Offence involves dishonesty and carries imprisonment penalty of at least three months • Offence carries imprisonment penalty of at least 12 months</p> | Show if B2 includes A or B. |

| ID | Mandatory | Label | Control type | Business rules, validation, control values | Business rules on control |
|------------|-----------|---|--------------|--|-----------------------------|
| | | | | <ul style="list-style-type: none"> • Contravention of civil penalty provision • Contravention of key requirement (as defined in National Credit Code) • Misleading or deceptive conduct re financial product/service (contravention of s1041H(1) of the Corporations Act or s12DA(1) of the ASIC Act) • Breach results, or is likely to result, in material loss or damage to members/clients • Number/frequency of similar breaches • Impact on licensee's ability to provide financial services/engage in credit activities • Indicates that compliance arrangements inadequate • Other circumstances specified in the regulations <p>If Other..., show B5 and B5a.</p> | |
| B5 | Y | Specify other circumstances | Textbox | Alphanumeric. Multi line. Character limit: 1,000. | Show if B4 = Other.... |
| B5a | -- | Maximum 1,000 characters | HTML control | Class: help-text. | Show if B4 = Other.... |
| B6 | Y | Select the provision covering the core obligation to which the breach or likely breach relates (you can select more than one) | Checkbox | <p>Allow multi select. List values:</p> <ul style="list-style-type: none"> • s47 of the Credit Act, other than s47(1)(d) • s47(1)(d) of the Credit Act – relating to that Act, the National Consumer Credit Protection (Transitional and Consequential Provisions) Act 2009 and Division 2 of Part 2 of the ASIC Act and regulations made for the purpose of that Division • s47(1)(d) of the Credit Act – relating to Commonwealth legislation that covers conduct relating to credit activities • s50A(3)(d) of the Credit Act • s912A or s912B of the Corporations Act, other than s912A(1)(c) • s912A(1)(c) of the Corporations Act – relating to provisions of that Act or the ASIC Act referred to in paragraphs (a), (b), (ba) and (c) of s761A definition of 'financial services law' • s912A(1)(c) of the Corporations Act – not relating to traditional trustee company services, but relating to Commonwealth legislation | Show if B2 includes A or B. |

| ID | Mandatory | Label | Control type | Business rules, validation, control values | Business rules on control |
|-----------|-----------|--|---------------|---|---------------------------|
| | | | | <p>that covers conduct re the provision of financial services and that is specified in regulations made for the purposes of s912D(3)(c)</p> <ul style="list-style-type: none"> • s912A(1)(c) of the Corporations Act– relating to traditional trustee company services and Commonwealth, State or Territory legislation, or a rule of common law or equity, that is covered by paragraph (d) or (e) of s761A definition of ‘financial services law’ • s912D(3)(e) of the Corporations Act | |
| B7 | Y | Does the individual who has engaged in conduct that forms part of the reportable situation provide personal advice to retail clients about relevant financial products OR are they a mortgage broker? | Radio buttons | Yes/No <i>If No, show B8 (stop progression).</i> | |
| B8 | -- | <p>If the answer to the above question is ‘No’, the reporting licensee is not required to lodge the report. You cannot proceed with this transaction.</p> <p>If the reporting licensee still wants to advise ASIC of the matter, ASIC’s website explains how to voluntarily report misconduct to ASIC.</p> | Error alert | Validation: stop user progressing. | Show if B7 = No. |

P3 – Other licensee/schemes/representatives

P3-S1 – Other licensee

| ID | Mandatory | Label | Control type | Business rules, validation, control values | Business rules on control |
|--------------|-----------|--|---------------------|--|---|
| P3 | -- | Other licensee/schemes/representatives | Page | | |
| P3-S1 | -- | Other licensee | Sub page | | |
| C1 | -- | Below you will be asked to provide details of the licensee about which you are making this report. | Information callout | | |
| C2 | Y | Which type(s) of licence does the other licensee hold? | Radio buttons | List values: <ul style="list-style-type: none"> • AFS licence • Australian credit licence • Both licences If AFSL or Both, show C4. If ACL or Both, show C18. If AFSL, show C37. Where relevant, selection here also impacts on whether P3-S3 and/or P3-S4 and some of their controls are shown. | |
| C3 | -- | You will need to provide their licence number(s) below. You can find the licence number by searching the Professional Registers on the ASIC Connect website. | Information callout | | |
| C4 | -- | Details of AFS licence | Section | | Show if C2 = AFSL or Both. |
| C5 | Y | AFS licence number | Search | Control includes search button. Lookup AFS licence number, check number is valid and licence is current/suspended, and return entity details (at C8 to C15). Page validation: check that search has run. | |
| C5a | -- | Click button to search for the licensee | Error alert | Validation: Stop user progressing. | Show if page validation at C5 fails. |
| C6 | -- | No current AFS licence exists for the data you have entered. You can check the AFS licence number by searching the Professional Registers on the ASIC Connect website. You cannot proceed with this transaction until this is corrected. | Error alert | Validation: stop user progressing. | Show if licence number validation at C5 fails. |
| C7 | -- | System not available: The system we use to pre-fill information on this page is not available. We are currently working on restoring the system. You cannot progress past this page until we restore the system. Please re-run the search in a few minutes. | Error alert | Validation: stop user progressing. | Show if the AFS licence lookup is not working. |
| C8 | -- | Organisation name | Textbox | Pre-fill licensee name for AFS licence number entered at C5. | Show if licence number at C5 relates to an Organisation. |
| C9 | -- | Australian Business Number | Textbox | Pre-fill ABN for AFS licence number entered at C5. | Show if lookup at C5 is successful. |
| C10 | -- | Australian Company Number / Australian Registered Body Number | Textbox | Pre-fill ACN/ARBN for AFS licence number entered at C5. | Show if licence number at C5 relates to an Organisation. Hide if asicNumberType = "NRET". |
| C11 | -- | Given name | Textbox | Pre-fill licensee name for AFS licence number entered at C5. | Show if licence number at C5 relates to an Individual. |
| C12 | -- | Other given name(s) | Textbox | Pre-fill licensee name for AFS licence number entered at C5. | Show if licence number at C5 relates to an Individual. |
| C13 | -- | Family name | Textbox | Pre-fill licensee name for AFS licence number entered at C5. | Show if licence number at C5 relates to an Individual. |

| ID | Mandatory | Label | Control type | Business rules, validation, control values | Business rules on control |
|------|-----------|---|------------------------|--|--|
| C14 | -- | Source system | Hidden field | Pre-fill source system for AFS licence number entered at C5. | |
| C15 | -- | Source identifier | Hidden field (textbox) | Pre-fill source identifier for AFS licence number entered at C5. | |
| C16 | -- | Check that the licensee shown above is the licensee you wish to identify. | Information callout | | Show if lookup at C5 is successful. |
| C18 | -- | Details of credit licence | Section | | Show if C2 = ACL or Both. |
| C19 | Y | Australian credit licence number | Search | Control includes search button. Lookup credit licence number, check number is valid and licence is current/suspended, and return entity details (at C22 to C30). Page validation: check that search has run. | |
| C19a | -- | Click button to search for the licensee | Error alert | Validation: Stop user progressing. | Show if page validation at C19 fails. |
| C20 | -- | No current credit licence exists for the data you have entered. You can check the credit licence number by searching the Professional Registers on the ASIC Connect website. You cannot proceed with this transaction until this is corrected. | Error alert | Validation: stop user progressing. | Show if licence number validation at C19 fails. |
| C21 | -- | System not available: The system we use to pre-fill information on this page is not available. We are currently working on restoring the system. You cannot progress past this page until we restore the system. Please re-run the search in a few minutes. | Error alert | Validation: stop user progressing. | Show if the credit licence lookup is not working. |
| C22 | -- | Organisation name | Textbox | Pre-fill licensee name for credit licence number entered at C19. | Show if licence number at C19 relates to an Organisation. |
| C23 | -- | Australian Business Number | Textbox | Pre-fill ABN for credit licence number entered at C19. | Show if lookup at C19 is successful. |
| C24 | -- | Australian Company Number / Australian Registered Body Number | Textbox | Pre-fill ACN/ARBN for credit licence number entered at C19. If C2 = Both, validate that this number is the same as shown at C10. | Show if licence number at C19 relates to an Organisation. Hide if asicNumberType = "NRET". |
| C25 | -- | This licence is held by a different company/body corporate to that which holds the AFS licence number provided earlier on this page. The two licences must be held by the same company/body corporate. You can check the credit licence number by searching the Professional Registers on the ASIC Connect website. You cannot proceed with this transaction until this is corrected. | Error alert | Validation: stop user progressing. | Show if validation at C24 fails. |
| C26 | -- | Given name | Textbox | Pre-fill licensee name for credit licence number entered at C19. | Show if licence number at C19 relates to an Individual. |
| C27 | -- | Other given name(s) | Textbox | Pre-fill licensee name for credit licence number entered at C19. | Show if licence number at C19 relates to an Individual. |
| C28 | -- | Family name | Textbox | Pre-fill licensee name for credit licence number entered at C19. | Show if licence number at C19 relates to an Individual. |
| C29 | -- | Source system | Hidden field | Pre-fill source system for credit licence number entered at C19. | |
| C30 | -- | Source identifier | Hidden field (textbox) | Pre-fill source identifier for credit licence number entered at C19. If this identifier is not the same as the identifier at C15 (if populated), show C33. | |
| C31 | -- | Check that the licensee shown above is the licensee you wish to identify. | Information callout | | Show if lookup at C19 is successful. |

| ID | Mandatory | Label | Control type | Business rules, validation, control values | Business rules on control |
|------|-----------|---|---------------|--|---|
| C34 | Y | To which of the above licences does the reportable situation relate? | Radio buttons | List values: <ul style="list-style-type: none"> • AFS licence • Credit licence • Both licences If AFSL or Both, show C37. Where relevant, selection here also impacts on whether P3-S3 and/or P3-S4 and some of their controls are shown. | Show if C2 = Both. |
| C35 | Y | What best describes the relationship between the reporting licensee and the other licensee (you can select more than one)? | Checkbox | List values: <ul style="list-style-type: none"> • In same corporate group • Formerly in same corporate group • Reporting licensee is lender; other licensee is mortgage broker • Reporting licensee is aggregator • Reporting licensee is former representative • No relationship • Other If Other, show C36 and C36a. | |
| C36 | Y | Specify the other relationship between the two licensees | Textbox | Alphanumeric. Multi line. Character limit: 1,000. | Show if C35 = Other. |
| C36a | -- | Maximum 1,000 characters | HTML control | Class: help-text. | Show if C35 = Other. |
| C37 | Y | Does the reportable situation relate to a registered managed investment scheme for which the other licensee is the responsible entity? | Radio buttons | Yes/No If Yes, show P3-S2. | Show if C2 = AFS licence OR if C34 = AFS licence OR if C34 = Both licences. |
| C38 | Y | Whose conduct or actions are the subject of the reportable situation (e.g. who has committed the breach; who has engaged in conduct constituting gross negligence)? | Radio buttons | List values: <ul style="list-style-type: none"> • The other licensee • Representative(s) • Both of the above If Representative(s) or Both, show P3-S3 and/or P3-S4. | |

| ID | Mandatory | Label | Control type | Business rules, validation, control values | Business rules on control |
|--------------|-----------|--|---------------------|---|--|
| P3-S2 | -- | Schemes | Sub page | | Show if C37 = Yes. |
| D1 | Y | Do you know the name of the registered managed investment scheme(s) to which the reportable situation relates? | Radio buttons | List values: <ul style="list-style-type: none"> • Yes • No • Not all If Yes or Not all, show D2 and D3. | |
| D2 | -- | Below you will need to provide the Australian Registered Scheme Number (ARSN) of each relevant managed investment scheme that you can identify. You can find this by searching the name of the scheme in 'Organisation & Business Names' on the ASIC Connect website. | Information callout | | Show if D1 = Yes or Not all. |
| D3 | -- | Provide details of the managed investment scheme(s) that you can identify | Repeater | Type: Vertical. Item: Scheme details. | Show if D1 = Yes or Not all. |
| D4 | Y | ARSN | Search | Control includes search button. Lookup scheme, check number is valid, check scheme's responsible entity holds the licence at C5 and return scheme name for given ARSN (at D7). Page validation: check that search has run. | |
| D4a | -- | Click button to search for the scheme | Error alert | Validation: Stop user progressing. | Show if page validation at D4 fails. |
| D7 | -- | Name of managed investment scheme | Textbox | Pre-fill scheme name for ARSN entered at D4. | Show if ARSN at D4 is a valid scheme number. |
| D6 | -- | System not available: The system we use to pre-fill information on this page is not available. We are currently working on restoring the system. You cannot progress past this page until we restore the system. Please re-run the search in a few minutes. | Error alert | Validation: stop user progressing. | Show if the ARSN lookup is not working. |
| D5 | -- | No ARSN exists for the data that you have entered or the ARSN relates to a scheme for which the other licensee is not the responsible entity. You can search the name of the scheme in the Organisation and Business Names register on the ASIC Connect website. You cannot proceed with this transaction until this is corrected. | Error alert | Validation: stop user progressing. | Show if ARSN validation at D4 fails. |
| D8 | -- | | Repeater end | Add button: Add another scheme Repeater limit: 30. | |

| ID | Mandatory | Label | Control type | Business rules, validation, control values | Business rules on control |
|-------|-----------|---|---------------------|---|---|
| P3-S3 | -- | AFS licence representatives | Sub page | | Show if C2 = AFS licence and C38 = Representative(s) or Both OR if C34 = AFS licence and C38 = Representative(s) or Both OR if C34 = Both licences and C38 = Representative(s) or Both. |
| E0 | Y | Does the reportable situation relate to the conduct or actions of any representatives for the other licensee's AFS licence? | Radio buttons | Yes/No If Yes, show E0a and E2. | Show if C34 = Both licences. |
| E0a | -- | You will need to provide each relevant AFS representative's Financial Advisers Register number below. You can find that number by searching the Financial Advisers Register on ASIC's Moneysmart website. | Information callout | | Show if E0 = Yes. |
| E1 | -- | Because the reportable situation relates to the AFS licence held by the other licensee, and you have indicated that it is the conduct or actions of one or more representatives that are the subject of the reportable situation, you will need to provide each relevant representative's Financial Advisers Register number below. You can find that number by searching the Financial Advisers Register on ASIC's Moneysmart website. | Information callout | | Show if C2 = AFS licence OR if C34 = AFS licence. |
| E2 | -- | Financial adviser details | Repeater | Type: Vertical. Item: Financial adviser. | Show if E0 = Yes OR if C2 = AFS licence OR if C34 = AFS licence. |
| E3 | N | Enter the Financial Advisers Register number of the representative | Search | Control includes search button. Lookup FAR, check number is valid and return adviser details (at E7 to E11). Page validation: if populated, check that search has run. | |
| E3a | -- | Click button to search for the financial adviser | Error alert | Validation: Stop user progressing. | Show if page validation at E3 fails. |
| E4 | -- | No Financial Adviser exists for the data you have entered. You can check the number by searching the Financial Advisers Register on ASIC's Moneysmart website. If you are unable to find the financial adviser on that register, tick the checkbox below. You will also need to delete the number you entered at 'Enter the Financial Advisers Register number of the representative'. | Error alert | | Show if FAR number validation at E3 fails. |
| E5 | -- | System not available: The system we use to pre-fill information on this page is not available. We are currently working on restoring the system. You cannot progress past this page until we restore the system. Please re-run the search in a few minutes. | Error alert | Validation: stop user progressing. | Show if the FAR lookup is not working. |
| E6 | Y | This representative is not recorded on the Financial Advisers Register | Checkbox | No list values. If checked, show E13 to E15. | Show if E3 is not populated OR if FAR number validation at E3 fails. |
| E7 | -- | Given name | Textbox | Pre-fill adviser name for FAR number entered at E3. | Show if validation at E3 passes. |
| E8 | -- | Other given name(s) | Textbox | Pre-fill adviser name for FAR number entered at E3. | Show if validation at E3 passes. |

| ID | Mandatory | Label | Control type | Business rules, validation, control values | Business rules on control |
|-----|-----------|---|------------------------|--|----------------------------------|
| E9 | -- | Family name | Textbox | Pre-fill adviser name for FAR number entered at E3. | Show if validation at E3 passes. |
| E10 | -- | Source system | Hidden field | Pre-fill source system for FAR number entered at E3. | |
| E11 | -- | Source identifier | Hidden field (textbox) | Pre-fill source identifier for FAR number entered at E3. | |
| E13 | Y | Given name | Textbox | Alphanumeric. Single line. Character limit: 50. | Show if E6 checkbox is checked. |
| E14 | N | Other given name(s) | Textbox | Alphanumeric. Single line. Character limit: 50. | Show if E6 checkbox is checked. |
| E15 | Y | Family name | Textbox | Alphanumeric. Single line. Character limit: 50. | Show if E6 checkbox is checked. |
| E16 | Y | Is this person also a representative for the other licensee's credit licence? | Radio buttons | Yes/No | Show if C34 = Both licences. |
| E17 | -- | | Repeater end | Add button: Add another financial adviser Repeater limit: 50. | |

P3-S4 – Credit licence representatives

| ID | Mandatory | Label | Control type | Business rules, validation, control values | Business rules on control |
|-------|-----------|--|---------------------|--|---|
| P3-S4 | -- | Credit licence representatives | Sub page | | Show if C2 = Credit licence and C38 = Representative(s) or Both OR if C34 = Credit licence and C38 = Representative(s) or Both OR if C34 = Both licences and C38 = Representative(s) or Both. |
| F1 | Y | Are there any representatives for the other licensee's credit licence whose conduct or actions are the subject of the reportable situation and that you have not already named on the 'Financial adviser representatives' page? | Radio buttons | Yes/No If Yes, show F2. | Show if E0 = Yes. |
| F2 | -- | Credit licence representative details | Repeater | Type: Vertical. Item: Credit licence representative. | Show if C2 = Credit licence OR if C34 = Credit licence OR if F1 = Yes OR if E0 = No. |
| F3 | Y | Is this person an authorised credit representative of the other licensee? | Radio buttons | Yes/No If Yes, show F5 and F8 to F10 – and populate F11 and F12. If No, show whichever is relevant out of F13 or F34 to F36. | |
| F4 | -- | You can check (and obtain their credit representative number) by searching the Professional Registers on the ASIC Connect website. | Information callout | | |
| F5 | Y | Enter the credit representative number | Search | Control includes search button. Lookup credit representative register, check number is valid, check representative is an individual and return representative details (at F8 to F12). Page validation: check that search has run. | Show if F3 = Yes. |
| F5a | -- | Click button to search for the authorised credit representative | Error alert | Validation: Stop user progressing. | Show if page validation at F5 fails. |
| F6 | -- | No credit representative exists for the data you have entered or the credit representative number belongs to an organisation, but this report must relate to the conduct of an individual. You can check the credit representative number by searching the Professional Registers on the ASIC Connect website. You cannot proceed with this transaction until this is corrected. | Error alert | Validation: stop user progressing. | Show if rep number validation at F5 fails. |
| F7 | -- | System not available: The system we use to pre-fill information on this page is not available. We are currently working on restoring the system. You cannot progress past this page until we restore the system. Please re-run the search in a few minutes. | Error alert | Validation: stop user progressing. | Show if the credit representative lookup is not working. |
| F8 | -- | Given name | Textbox | Pre-fill rep name for credit representative number entered at F5. | Show if F3 = Yes. |
| F9 | -- | Other given name(s) | Textbox | Pre-fill rep name for credit representative number entered at F5. | Show if F3 = Yes. |

| ID | Mandatory | Label | Control type | Business rules, validation, control values | Business rules on control |
|------|-----------|---|------------------------|--|--|
| F10 | -- | Family name | Textbox | Pre-fill rep name for credit representative number entered at F5. | Show if F3 = Yes. |
| F11 | -- | Source system | Hidden field | Pre-fill source system for credit representative number entered at F5. | Populate if F3 = Yes. |
| F12 | -- | Source identifier | Hidden field (textbox) | Pre-fill source identifier for credit representative number entered at F5. | Populate if F3 = Yes. |
| F13 | Y | In which capacity is/was this person a representative of the other licensee (you can select more than one)? | Checkbox | Allow multi select. List values: A. Employee of other licensee B. Employee of other licensee's related body corporate C. Current director of other licensee D. Former director of other licensee E. Current director of other licensee's related body corporate F. Former director of other licensee's related body corporate G. Unsure of capacity If selection is/includes C, show F14 if other criteria met. If selection is/includes E and NOT C, show F20, F21 and (if other criteria met) F26. Otherwise, show F34 to F36. | Show if licence number at C19 relates to an Organisation and F3 = No. |
| F13a | Y | Search for directors of other licensee | Search button | Lookup company register for the ACN at C24 and pre-fill details of current directors at F14b to F16. Page validation: check that search has run. | Show if F13 includes C and C24 is populated with an ACN. |
| F13b | -- | Click button to search for directors | Error alert | Validation: Stop user progressing. | Show if validation at F13a fails. |
| F14 | -- | Select the director(s) you wish to identify from the list of current directors of the other licensee | Repeater | Type: Table. | Show if search at F13a is successful. |
| F14a | N | [No text] | Checkbox | Page validation: At least one checkbox must be checked within this repeater. | |
| F14b | -- | Given name | Textbox | Single line. Pre-fill director's given name. | |
| F14c | -- | Family name | Textbox | Single line. Pre-fill director's family name. | |
| F14d | -- | Date of birth | Date | DD/MM/YYYY. Pre-fill director's date of birth. | |
| F15 | -- | Source system | Hidden field | Pre-fill source system for director. | |
| F16 | -- | Source identifier | Hidden field (textbox) | Pre-fill source identifier for director. | |
| F16a | -- | | Repeater end | Do not show add button. | |
| F20 | Y | Does the related body corporate of which this person is a director have an Australian Company Number (ACN)? | Radio buttons | Yes / No If Yes, show F22, F24 and F25. If No, show F34 to F36. | Show if F13 includes E and NOT C. |
| F21 | -- | If 'Yes', we will ask you to provide their ACN, so that we can verify the person's details recorded against that company on ASIC's register. You can check the ACN by searching the Organisation and Business Names Register on the ASIC Connect website. | Information callout | | Show if F13 includes E and NOT C. |
| F22 | Y | ACN of related body corporate | Search | Control includes search button. | Show if F20 = Yes. |

| ID | Mandatory | Label | Control type | Business rules, validation, control values | Business rules on control |
|------|-----------|--|------------------------|---|---|
| | | | | Lookup ACN, check number is valid and company is registered, and return company details. Page validation: check that search has run. | |
| F22a | -- | Click button to search for the body corporate | Error alert | Validation: Stop user progressing. | Show if page validation at F22 fails. |
| F23 | -- | No currently registered company exists for the data you have entered. You can check the ACN by searching the Organisation and Business Names Register on the ASIC Connect website. You cannot proceed with this transaction until this is corrected. | Error alert | Validation: stop user progressing. | Show if ACN validation at F22 fails. |
| F24 | -- | Body corporate name | Textbox | Pre-fill company name for ACN entered at F22. | Show if ACN validation at F22 passes. |
| F25b | -- | Related body corporate current directors | Section | | Show if ACN validation at F22 passes. |
| F26 | -- | Select the director(s) you wish to identify from the list of current directors of that related body corporate | Repeater | Type: Table. Lookup company register for the ACN entered at F22 and pre-fill details of current directors at F26b to F28. | |
| F26a | N | [No text] | Checkbox | Page validation: At least one checkbox must be checked within this repeater. | |
| F26b | -- | Given name | Textbox | Single line. Pre-fill director's given name. | |
| F26c | -- | Family name | Textbox | Single line. Pre-fill director's family name. | |
| F26d | -- | Date of birth | Date | DD/MM/YYYY. Pre-fill director's date of birth. | |
| F27 | -- | Source system | Hidden field | Pre-fill source system for director. | |
| F28 | -- | Source identifier | Hidden field (textbox) | Pre-fill source identifier for director. | |
| F28a | -- | | Repeater end | Hide add button. | |
| F28b | -- | At least one director must be selected in the table above. To proceed with this transaction you must either select a director or change your response to the question 'In which capacity is/was this person a representative of the other licensee (you can select more than one)?'. | Error alert | | Show if validation at F14a or F26a fails (no director is selected in the relevant repeater). |
| F32 | -- | System not available: The system we use to pre-fill information on this page is not available. We are currently working on restoring the system. You cannot progress past this page until we restore the system. Please re-run the search in a few minutes. | Error alert | Validation: stop user progressing. | Show if the company lookup is not working. |
| F34 | Y | Given name | Textbox | Alphanumeric. Single line. Character limit: 50. | Show if F13 includes A, B, D, F and/or G (and does not include C nor E) OR if F20 = No OR if F13 includes C and C24 is not populated or is not populated with an ACN OR if F3 = No and licence number at C19 relates to an Individual. |
| F35 | N | Other given name(s) | Textbox | Alphanumeric. Single line. Character limit: 50. | Show if F13 includes A, B, D, F or G (and |

| ID | Mandatory | Label | Control type | Business rules, validation, control values | Business rules on control |
|-----|-----------|-------------|--------------|---|--|
| | | | | | <p>does not include C nor E)</p> <p>OR if F20 = No</p> <p>OR if F13 includes C and C24 is not populated or is not populated with an ACN</p> <p>OR if F3 = No and licence number at C19 relates to an Individual.</p> |
| F36 | Y | Family name | Textbox | <p>Alphanumeric.</p> <p>Single line.</p> <p>Character limit: 50.</p> | <p>Show if F13 includes A, B, D, F or G (and does not include C nor E)</p> <p>OR if F20 = No</p> <p>OR if F13 includes C and C24 is not populated or is not populated with an ACN</p> <p>OR if F3 = No and licence number at C19 relates to an Individual.</p> |
| F37 | -- | | Repeater end | <p>Add button: Add another credit licence representative</p> <p>Repeater limit: 50.</p> | |

P4 – Situation details

P4-S1 – Nature of the reportable situation

| ID | Mandatory | Label | Control type | Business rules, validation, control values | Business rules on control |
|--------------|-----------|---|---------------|---|---|
| P4 | -- | Situation details | Page | | |
| P4-S1 | -- | Nature of the reportable situation | Sub page | | |
| G1 | Y | To what does the reportable situation relate? | Radio buttons | List values: <ul style="list-style-type: none"> Financial service/credit activities or product line General obligation (e.g. obligation to maintain competence, sufficient financial resources or professional indemnity insurance; obligation to comply with licence conditions) Both of the above If Financial service... or Both, show G2. | |
| G2 | -- | Financial service/credit activities/product line | Section | | Show if G1 = Financial service/credit activities or product line or Both . |
| G3 | -- | Financial service/credit activities or product line | Repeater | Type: Vertical. Item: Financial service/credit activities/product line. | |
| G4 | Y | Specify the financial service/credit activities or product line the reportable situation affected | Radio buttons | List values: <ul style="list-style-type: none"> A. Credit B. Deposit taking C. Financial advice D. General insurance E. Investments F. Life insurance G. Payment systems H. Superannuation I. Traditional trustee services If A, show G5. If B, show G6. If C, show G7. If D, show G8. If E, show G9. If F, show G10. If G, show G11. If H, show G12. If I, show G13. | |
| G5 | Y | Specify the credit category the reportable situation affected | Radio buttons | List values: <ul style="list-style-type: none"> A. Business finance B. Consumer credit C. Guarantees D. Margin loans If A, show G15. If B, show G16. If C, show G17. | Show if G3 = A. |
| G6 | Y | Specify the deposit taking category the reportable situation affected | Radio buttons | List values: <ul style="list-style-type: none"> A. Current accounts B. Savings account If A, show G18. If B, show G19. | Show if G3 = B. |
| G7 | Y | Specify the financial advice category the reportable situation affected | Radio buttons | List values: <ul style="list-style-type: none"> A. General advice B. Personal advice | Show if G3 = C. |

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| G8 | Y | Specify the general insurance category the reportable situation affected | Radio buttons | List values: A. Domestic insurance B. Extended warranty C. Professional indemnity insurance D. Small business/farm insurance E. A general insurance product that does not fit within one of the above categories If A, show G20. If E, show G20a and G20b. | Show if G3 = D. |
| G9 | Y | Specify the investments category the reportable situation affected | Radio buttons | List values: A. Derivatives/hedging B. Managed investments C. Real property D. Securities E. Superannuation – non-trustee related F. A financial investment product type that does not fit within one of the above categories G. Securities that are interests in a CCIV If A, show G21. If B, show G22. If D, show G23. If E, show G24. If F, show G24a and G24b. If G, show G9A | Show if G3 = E. |
| G9A | Y | Specify the type of CCIV the reportable situation affected | Radio buttons | List values: Derivatives Direct Real Property Films Financial Assets Mortgages Primary Production Crypto Assets Commodities Other If Other, show G9B | Show if new line item G is entered in G9 for Securities that are interests in a CCIV |
| G9B | Y | Specify the other type of CCIV | Textbox | Alphanumeric. Two lines. Character limit: 250. | Show if G9A = Other |
| G10 | Y | Specify the life insurance category the reportable situation affected | Radio buttons | List values: A. Income stream risk B. Non-income stream risk If A, show G25. If B, show G26. | Show if G3 = F. |
| G11 | Y | Specify the payment systems category the reportable situation affected | Radio buttons | List values: A. Direct transfer B. Non-cash If A, show G27. If B, show G28. | Show if G3 = G. |
| G12 | Y | Specify the superannuation category the reportable situation affected | Radio buttons | List values: A. Annuity policy B. Approved deposit fund C. Life policy fund D. Retirement savings account E. Small Australian Prudential Regulation Authority (APRA) fund F. Superannuation fund If A, show G29. | Show if G3 = H. |

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| | | | | <p>If B or E, show G30. If C or F, show G31. If D, show G32.</p> | |
| G13 | Y | Specify the traditional trustee services category the reportable situation affected | Radio buttons | <p>List values: A. Estate management B. Estate planning C. Trusts</p> <p>If B, show G33. If C, show G34.</p> | Show if G3 = I. |
| G15 | Y | Specify the business finance product the reportable situation affected | Radio buttons | <p>List values:</p> <ul style="list-style-type: none"> • Business credit card • Business loans • Commercial bills • Hire purchase/lease • Letter of credit • Line of credit/overdraft | Show if G5 = A. |
| G16 | Y | Specify the consumer credit product the reportable situation affected | Radio buttons | <p>List values:</p> <ul style="list-style-type: none"> • Buy now, pay later • Consumer lease (motor vehicles) • Consumer lease (household goods) • Continuing credit (not a credit card) • Credit cards • Debt management/credit repair • Equity release (not a reverse mortgage) • Hire purchase/rent to buy (not a consumer lease) • Home loans • Investment property loans • Limited recourse borrowing arrangement/loan to SMSF • Line of credit/overdraft • Low limit credit contract • Medium amount credit • Motor vehicle loan • Personal loans (other than motor vehicle) • Reverse mortgage • Short-term credit • Small amount credit | Show if G5 = B. |
| G17 | Y | Specify the guarantees product the reportable situation affected | Radio buttons | <p>List values:</p> <ul style="list-style-type: none"> • Bank guarantee • Business guarantee • Consumer guarantee | Show if G5 = C. |
| G18 | Y | Specify the current accounts product the reportable situation affected | Radio buttons | <p>List values:</p> <ul style="list-style-type: none"> • Business transaction accounts • Child/student accounts • Fee free accounts • Foreign currency accounts • Mortgage offset accounts • Personal transaction accounts | Show if G6 = A. |
| G19 | Y | Specify the savings account product the reportable situation affected | Radio buttons | <p>List values:</p> <ul style="list-style-type: none"> • Cash management accounts • Online accounts • Term deposits | Show if G6 = B. |
| G20 | Y | Specify the domestic insurance product the reportable situation affected | Radio buttons | <p>List values:</p> <ul style="list-style-type: none"> • Consumer credit insurance • Home building • Home contents | Show if G8 = A. |

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| | | | | <ul style="list-style-type: none"> • Landlords insurance • Motor vehicle • Personal and domestic property • Residential strata title • Sickness and accident insurance • Ticket insurance • Travel • Trust bond | |
| G20a | Y | Specify the other general insurance product type | Textbox | Alphanumeric. Two lines. Character limit: 250. | Show if G8 = E. |
| G20b | -- | Maximum 250 characters | HTML control | Class: help-text. | Show if G8 = E. |
| G21 | Y | Specify the derivatives/hedging product the reportable situation affected | Radio buttons | List values: <ul style="list-style-type: none"> • Contracts for difference • Cryptocurrency • Foreign exchange • Forwards • Futures • Options • Swaps | Show if G9 = A. |
| G22 | Y | Specify the managed investments product the reportable situation affected | Radio buttons | List values: <ul style="list-style-type: none"> • Australian equity funds • Cash management accounts • Charitable/educational schemes • Crowd-sourced equity funding • Film schemes • Horse schemes • International equity funds • Investor directed portfolio services • Managed discretionary accounts • Managed strata title schemes • Mixed asset fund/s • Mortgage schemes • Primary production schemes • Property funds • Timeshare schemes • Trustee common funds • Crypto assets • Commodities • Litigation funding scheme | Show if G9 = B. |
| G23 | Y | Specify the securities product the reportable situation affected | Radio buttons | List values: <ul style="list-style-type: none"> • Bills of exchange • Bonds • Debentures • Exchange traded funds • Promissory notes • Shares • Warrants | Show if G9 = D. |
| G24 | Y | Specify the superannuation (non-trustee related) product the reportable situation affected | Radio buttons | List values: <ul style="list-style-type: none"> • Annuity policy • Approved deposit fund • Corporate fund • Industry fund • Life policy fund • Pension • Pooled superannuation trust • Public sector fund • Retail fund | Show if G9 = E. |

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| | | | | <ul style="list-style-type: none"> • Retirement savings accounts • Self-managed superannuation fund • Small Australian Prudential Regulation Authority (APRA) fund • Superannuation fund | |
| G24a | Y | Specify the other financial investment product type | Textbox | Alphanumeric. Two lines. Character limit: 250. | Show if G9 = F. |
| G24b | -- | Maximum 250 characters | HTML control | Class: help-text. | Show if G9 = F. |
| G25 | Y | Specify the income stream risk product the reportable situation affected | Radio buttons | List values: <ul style="list-style-type: none"> • Consumer credit insurance • Income protection | Show if G10 = A. |
| G26 | Y | Specify the non-income stream risk product the reportable situation affected | Radio buttons | List values: <ul style="list-style-type: none"> • Annuities • Endowments • Funeral plans • Scholarship funds • Term life • Total and permanent disability • Trauma • Whole of life | Show if G10 = B. |
| G27 | Y | Specify the direct transfer product the reportable situation affected | Radio buttons | List values: <ul style="list-style-type: none"> • ATM • Bank drafts • Card-not-present • Cheques • Counter transactions • Direct debits/direct credits/recurring payments • EFTPOS • Electronic banking • Foreign currency transfers • Merchant facilities • Person to person ('pay anyone') electronic fund transfers • Telegraphic transfers • Telephone banking | Show if G11 = A. |
| G28 | Y | Specify the non-cash product the reportable situation affected | Radio buttons | List values: <ul style="list-style-type: none"> • Loyalty programs • Non-cash systems • Stored value or gift facilities • Travellers' cheques | Show if G11 = B. |
| G29 | Y | Specify the annuity policy product the reportable situation affected | Radio buttons | List values: <ul style="list-style-type: none"> • Death benefit • Pension | Show if G12 = A. |
| G30 | Y | Specify the approved deposit fund/small APRA fund product the reportable situation affected | Radio buttons | List values: <ul style="list-style-type: none"> • Death benefit • Income protection • Pension • Superannuation account • Terminal illness • Total and permanent disability | Show if G12 = B or E. |
| G31 | Y | Specify the life policy fund/superannuation fund product the reportable situation affected | Radio buttons | List values: <ul style="list-style-type: none"> • Death benefit • Income protection • Superannuation account • Terminal illness • Total and permanent disability | Show if G12 = C or F. |

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| G32 | Y | Specify the retirement savings account product the reportable situation affected | Radio buttons | List values: <ul style="list-style-type: none"> • Death benefit • Income protection • Retirement savings account • Superannuation account • Terminal illness • Total and permanent disability | Show if G12 = D. |
| G33 | Y | Specify the estate planning product the reportable situation affected | Radio buttons | List values: <ul style="list-style-type: none"> • Enduring powers of attorney • Wills | Show if G13 = B. |
| G34 | Y | Specify the trusts product the reportable situation affected | Radio buttons | List values: <ul style="list-style-type: none"> • Beneficiary • Specific purpose | Show if G13 = C. |
| G35 | -- | | Repeater end | Add button: Add another financial service/credit activity/product line Repeater limit: 10. | |
| G36 | -- | General category | Section | | |
| G37 | -- | Select the general category to which the reportable situation relates | Repeater | Type: Vertical. Item: Category. | |
| G38 | Y | Category | Radio buttons | List values: <ul style="list-style-type: none"> A. Advice B. Disclosure C. False or misleading statements D. Fees and charges or account administration E. Financial reporting F. Fraud/misconduct G. General obligations H. Lending I. Licence conditions J. Market K. Privacy and confidentiality <p>If A, show G39. If B, show G39a. If C, show G40. If D, show G41. If E, show G42. If F, show G43. If G, show G43a. If H, show G43b. If I, show G43c. If J, show G44. If K, show G45.</p> | |
| G39 | Y | Specify the advice issue to which the reportable situation relates | Radio buttons | List values: <ul style="list-style-type: none"> • Act in client's best interests • Conflicted remuneration • Debt management • Failure to provide advice • Inappropriate advice • Misclassification of advice • Prioritise client's interests • Unlicensed/unauthorised advice | Show if G38 = A (Advice). |
| G39a | Y | Specify the disclosure issue to which the reportable situation relates | Radio buttons | List values: <ul style="list-style-type: none"> • Advertising and related conduct • Break costs • Commission • Fees • Hawking (failure to obtain appropriate consent) | Show if G38 = B (Disclosure). |

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| | | | | <ul style="list-style-type: none"> • Inappropriate referral selling/introducing broker conduct • Product/service information/warning statement • Target market determination (design and distribution obligations) | |
| G40 | Y | Specify the false or misleading statements issue to which the reportable situation relates | Radio buttons | List values: <ul style="list-style-type: none"> • Advertising and related conduct • Break costs • Commission • Fees • Hawking (failure to obtain appropriate consent) • Inappropriate referral selling/introducing broker conduct • Product/service information/warning statement • Restricted terms • Returns • Target market determination (design and distribution obligations) | Show if G38 = C (False or misleading statements). |
| G41 | Y | Specify the fees/charges or account administration issue to which the reportable situation relates | Radio buttons | List values: <ul style="list-style-type: none"> • Break costs • Commissions • Deductible or excess • Fees/costs • Fee consent • Interest • No claim bonus • Premiums • Tax | Show if G38 = D (Fees and charges or account administration). |
| G42 | Y | Specify the financial reporting issue to which the reportable situation relates | Radio buttons | List values: <ul style="list-style-type: none"> • Audit report • Financial statement obligations • Keep account of client money • Maintain trust account • Net tangible asset requirements • Solvency concerns | Show if G38 = E (Financial reporting). |
| G43 | Y | Specify the fraud/misconduct issue to which the reportable situation relates | Radio buttons | List values: <ul style="list-style-type: none"> • Cloning of AFS licences • Fraud/forgery • Maintain trust account • Pressure selling • Scams | Show if G38 = F (Fraud/misconduct). |
| G43a | Y | Specify the general obligations issue to which the reportable situation relates | Radio buttons | List values: <ul style="list-style-type: none"> • Adequate financial resources • Adequate human resources • Adequate supervisory arrangements • Adequate technological resources • Breach of Product Intervention Order • Claims handling • Compensation arrangements • Competence/training | Show if G38 = G (General obligations). |

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| | | | | <ul style="list-style-type: none"> • Compliance arrangements • Conflict of interest arrangements • External dispute resolution • Internal dispute resolution • Professional indemnity insurance • Provide services efficiently, honestly and fairly • Other | |
| G43b | Y | Specify the lending issue to which the reportable situation relates | Radio buttons | List values: <ul style="list-style-type: none"> • Consumer lease provisions • Debt collection • Hardship • Responsible lending • Small amount credit contract provisions • Unfair contract terms | Show if G38 = H (Lending). |
| G43c | Y | Specify the licence conditions issue to which the reportable situation relates | Radio buttons | List values: <ul style="list-style-type: none"> • Authorisations • Compliance/independent review • Financial requirements • Key person • Record keeping/retention of materials • Responsible manager obligations • Other | Show if G38 = I (Licence conditions). |
| G44 | Y | Specify the market issue to which the reportable situation relates | Radio buttons | List values: <ul style="list-style-type: none"> • Exorbitant trading/unfair pricing/latency concerns • Front running • Inappropriate classification of clients (onboarding – retail to wholesale; repapering of clients) • Insider trading • Market manipulation • Platform failure • Price gouging (excessive mark ups) • Spoofing • Trading without client approval • Transaction reporting • Unfair contract terms • Use of client information to detriment of client (i.e. slow automatic close outs, trading to hit stop losses, partial fills and order preferencing) | Show if G38 = J (Market). |
| G45 | Y | Specify the privacy and confidentiality issue to which the reportable situation relates | Radio buttons | List values: <ul style="list-style-type: none"> • Cybersecurity • Inappropriate disclosure of confidential information • Other privacy breaches | Show if G38 = K (Privacy and confidentiality). |
| G46 | -- | | Repeater end | Add button: Add another category Repeater limit: 10. | |
| G47 | -- | Description | Section | | |
| G48 | Y | What made the reporting licensee aware of the matter? | Combobox | List values: <ul style="list-style-type: none"> • Internal – Compliance • Internal – Staff report or Business Unit report • Internal – Whistleblower | |

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|-------------|----|---|-------------------|---|--|
| | | | | <ul style="list-style-type: none"> • Internal – Audit function • Internal – Advisor Assurance • External – Client complaint(s) – internal dispute resolution • External – Client complaint(s) – external dispute resolution • External – Audit • External – Media • External – Industry Codes • External – Committee or industry association • External – Australian Financial Complaints Authority (AFCA) systemic issue • Regulator – ASIC • Regulator – Australian Prudential Regulation Authority (APRA) • Regulator – Australian Transaction Reports and Analysis Centre (AUSTRAC) • Regulator – Other • Other <p>If Regulator – Other, show G49 and G50a.</p> <p>If Other, show G50 and G50a.</p> | |
| G49 | Y | Specify other regulator | Textbox | Placeholder text: Specify name of other regulator Alphanumeric. Two lines. Character limit: 250. | Show if G48 = Regulator - Other. |
| G50 | Y | Specify other trigger | Textbox | Placeholder text: Briefly specify how made aware Alphanumeric. Two lines. Character limit: 250. | Show if G48 = Other. |
| G50a | -- | Maximum 250 characters | HTML control | Class: help-text. | Show if G48 = Regulator – Other OR if G48 = Other. |
| G51 | Y | Describe what the reporting licensee knows about the reportable situation and explain how they became aware of it | Textbox | Alphanumeric. Multi line. Character limit: 10,000. | |
| G51a | -- | Maximum 10,000 characters | HTML control | Class: help-text. | |
| G54 | Y | When did the reporting licensee identify that the circumstances required them to make this report to ASIC? | Date | DD/MM/YYYY. Must not be a future date. | |
| G55 | -- | Reminder: The reporting licensee is required to provide the other licensee with a copy of this report within 30 days after the above date. | Information alert | | |
| G56 | Y | How long ago did the conduct occur or start occurring (to the best of the reporting licensee’s knowledge)? | Radio buttons | List values: <ul style="list-style-type: none"> • Less than 3 months ago • 3-6 months ago • 6-12 months ago • 1-2 years ago • 2-6 years ago • More than 6 years ago | Hide if B2 = B (likely breach) only. |
| G57 | Y | How long ago did the other licensee – or its representative – become unable to comply with the core obligation (to the best of the reporting licensee’s knowledge)? | Radio buttons | List values: <ul style="list-style-type: none"> • Less than 3 months ago • 3-6 months ago • 6-12 months ago • 1-2 years ago | Show if B2 = B (likely breach) only. |

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| | | | | <ul style="list-style-type: none"> • 2-6 years ago • More than 6 years ago | |
| G58 | Y | Is the breach/conduct continuing (to the best of the reporting licensee's knowledge)? | Radio buttons | Yes/No | Hide if B2 = B (likely breach) only. |
| G59 | Y | Does the reporting licensee have any written evidence of the reportable situation that they would be prepared to provide to ASIC? | Radio buttons | Yes/No If Yes, show G60. | |
| G60 | -- | ASIC may request copies of this evidence where we consider it will be helpful to us to identify misconduct. | Information callout | | Show if G59 = Yes. |
| G61 | -- | Regulatory/industry body | Section | | |
| G62 | Y | Has the reporting licensee reported this matter to any other regulatory/industry body? | Radio buttons | Yes/No If Yes, show G63. | |
| G63 | -- | Details of regulatory/industry body | Repeater | Type: Vertical. Item: Regulatory/industry body. | Show if G62 = Yes. |
| G64 | Y | Name of body | Combobox | List values: A. Australian Prudential Regulation Authority (APRA) B. Australian Securities Exchange (ASX) C. Chi-X D. Australian Transaction Reports and Analysis Centre (AUSTRAC) E. Australian Taxation Office (ATO) F. Australian Competition and Consumer Commission (ACCC) G. State fair trading/commerce agency H. Australian Financial Security Authority (AFSA) I. Office of the Australian Information Commissioner J. Police (federal or state) K. Overseas regulator L. Banking Code Compliance Committee M. Australian Financial Complaints Authority (AFCA) N. Other If G, J, K or N, show G65 and G65a. | |
| G65 | Y | Provide the name of the body | Textbox | Alphanumeric. Two lines. Character limit: 250. | Show if G64 = G, J, K or N. |
| G65a | -- | Maximum 250 characters | HTML control | Class: help-text. | Show if G64 = G, J, K or N. |
| G66 | Y | Do you have a reference number that the regulatory/industry body has given to this matter? | Radio buttons | Yes/No If Yes, show G67. | |
| G67 | Y | Provide the reference number | Textbox | Alphanumeric. Single line. Character limit: 50. | Show if G66 = Yes. |
| G68 | Y | Do you know the contact details for the regulatory/industry body? | Radio buttons | Yes/No If Yes, show G69 to G73. | |
| G69 | N | Given name | Textbox | Alphanumeric. Single line. Character limit: 50. | Show if G68 = Yes. |
| G70 | N | Other given name(s) | Textbox | Alphanumeric. Single line. Character limit: 50. | Show if G68 = Yes. |
| G71 | N | Family name | Textbox | Alphanumeric. Single line. Character limit: 50. | Show if G68 = Yes. |

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| G72 | N | Phone number | Textbox | Standard validation rules for phone number. | Show if G68 = Yes. |
| G73 | N | Email address | Textbox | Standard validation rules for email address. | Show if G68 = Yes. |
| G74 | -- | | Repeater end | Add button: Add another regulatory/industry body Repeater limit: 10. | |
| G75 | Y | If we consider this report falls within the jurisdiction of another government organisation or agency in Australia or overseas, does the reporting licensee consent to us referring the information in this report including any personal information to that other government organisation or agency? | Radio buttons | Yes/No | |

| ID | Mandatory | Label | Control type | Business rules, validation, control values | Business rules on control |
|--------------|-----------|--|---------------------|--|--------------------------------------|
| P4-S2 | -- | Extent/impact | Sub page | | |
| H1 | -- | Number of instances | Section | | Hide if B2 = B (likely breach) only. |
| H2 | -- | Below you will be asked about whether there have been multiple instances of the event. As an example, if 100 customers were each charged an erroneous fee, then the total number of instances of the event would be 100. | Information callout | | |
| H3 | Y | Is the reporting licensee aware of multiple instances of the event that relates to the reportable situation? | Radio buttons | Yes/No | |
| H4 | -- | Client impact | Section | | |
| H5 | Y | Has the reportable situation affected any clients – or are there likely to be any clients affected if the breach does occur (to the best of the reporting licensee’s knowledge)? | Radio buttons | Yes/No/Not known <i>If Yes, show H6, H7 and H9.</i> | |
| H6 | -- | If the reporting licensee is unsure about the number of affected clients, provide a best estimate below. | Information callout | | Show if H5 = Yes. |
| H7 | Y | Specify (or estimate) the total number of clients the reporting licensee is aware of that the reportable situation affects – or will likely affect if the breach does occur | Textbox | Numeric. Character limit: 10. | Show if H5 = Yes. |
| H9 | Y | Is the reporting licensee aware of any financial loss that clients have suffered because of the reportable situation – or are likely to suffer if the breach occurs? | Radio buttons | Yes/No <i>If Yes, show H11 and H11a.</i> | Show if H5 = Yes. |
| H11 | Y | Provide an estimate of the financial loss the other licensee’s clients have suffered or are likely to suffer | Textbox | Alphanumeric. Multi line. Character limit: 100. | Show if H9 = Yes. |
| H11a | -- | Maximum 100 characters | HTML control | Class: help-text. | Show if H9 = Yes. |
| H12 | -- | Impact on other licensee | Section | | |
| H13 | Y | Is the reporting licensee aware of any financial loss that the other licensee has suffered because of the reportable situation – or is likely to suffer if the breach does occur? | Radio buttons | Yes/No <i>If Yes, show H14 and H15.</i> | |
| H14 | Y | Provide an estimate of the financial loss the other licensee has suffered or is likely to suffer | Textbox | Alphanumeric. Multi line. Character limit: 100. | Show if H13 = Yes. |
| H15 | -- | Maximum 100 characters | HTML control | Class: help-text. | Show if H13 = Yes. |

P5-P8 – Contact details, Review, Declaration, Confirmation

| ID | Mandatory | Label | Control type | Business rules, validation, control values | Business rules on control |
|-------------|-----------|---|---------------------|--|---------------------------|
| P5 | | <Contact details> | Page | | |
| P5-1 | -- | <p>We will send an email Notification to both the submitter of this transaction and the entity Senior administrator/s for which it is submitted if we send any Messages about this transaction in the portal. If you select 'Another person' below, we will also send a Notification to the email address you nominate for that person (which can be a group email address).</p> <p>If you wish for someone other than the submitter or the entity Senior administrator/s to respond to Messages in the portal, you should invite them to connect to your entity and give them Approve access or above. They will not receive Notifications but will be able to view and respond to messages about the transaction.</p> <p>Note: Messages about a transaction are disabled once a transaction is finalised.</p> | Information callout | | |
| P6 | | <Review> | Page | | |
| P7 | | <Declaration> | Page | | |
| P7-1 | -- | <p>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.</p> <p>Note: If this document including any attachments contain another individual's confidential, personal or sensitive information, you may wish to use this template consent to document their written consent to submit that information to ASIC.</p> <p>In submitting this document, I confirm on behalf of the Regulated Entity that:</p> <ol style="list-style-type: none"> 1. I am authorised by the Regulated Entity to submit the information set out in this form; 2. Giving false or misleading information known to be false or where reasonable steps have not been taken to ensure the information is true and correct is a serious offence (see ss136 and 137 <i>Criminal Code Act 2001</i>, s1308 <i>Corporations Act 2001</i> and s225 <i>National Consumer Credit Protection Act 2009</i>). | HTML control | | |
| P8 | | <Confirmation> | Page | | |