



ASIC
Australian Securities &
Investments Commission

**Australian Securities
and Investments Commission**

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<Address details>

Our Reference: <ref>

21 April 2026

Dear <licensee>,

Thank you for your time on <date> (**meeting**) to discuss <licensee>'s arrangements for supervising its authorised representatives, including those ASIC considers 'influencers'.

Following the meeting, the purpose of this letter is to:

- a) provide feedback on <licensee>'s policies and practices for supervising its authorised representatives
- b) request further information from <licensee>.

Ensuring your representatives comply with the financial services laws

As an Australian Financial Services licensee, <licensee> must take reasonable steps to ensure its representatives comply with the financial services laws (s912A(1)(ca) of the *Corporations Act 2001*). <licensee> may also be liable for contraventions by its representatives (ss917B and 917C).

Based on the information <licensee> provided during the meeting, we make the following comments about <licensee>'s supervision of its authorised representatives:

1. [comment 1]
2. [comment 2]
3. [comment 3]

Information required

Following the meeting, we request the following information to address matters raised and any questions taken on notice.

Please email the information to market.intermediaries@asic.gov.au by **[date]**:

4. [item 1]

5. [item 2]

6. [item 3]

If you have any questions about this letter, please contact us at the email address above.

Yours faithfully,

[Signature]