

ASIC industry funding
Do you have an Australian
credit licence?

Credit licensees

I have an Australian credit
licence that authorises the
holder to...

Engage in credit activities
as a credit provider

Subsector:
Credit provider

You will be required to report consumer credit
provided under:

1. small and medium amount credit contracts;
2. other than small and medium amount credit contracts

This information is reported to ASIC via the ASIC
Regulatory Portal from July to September.

Engage in credit activities
other than a credit provider

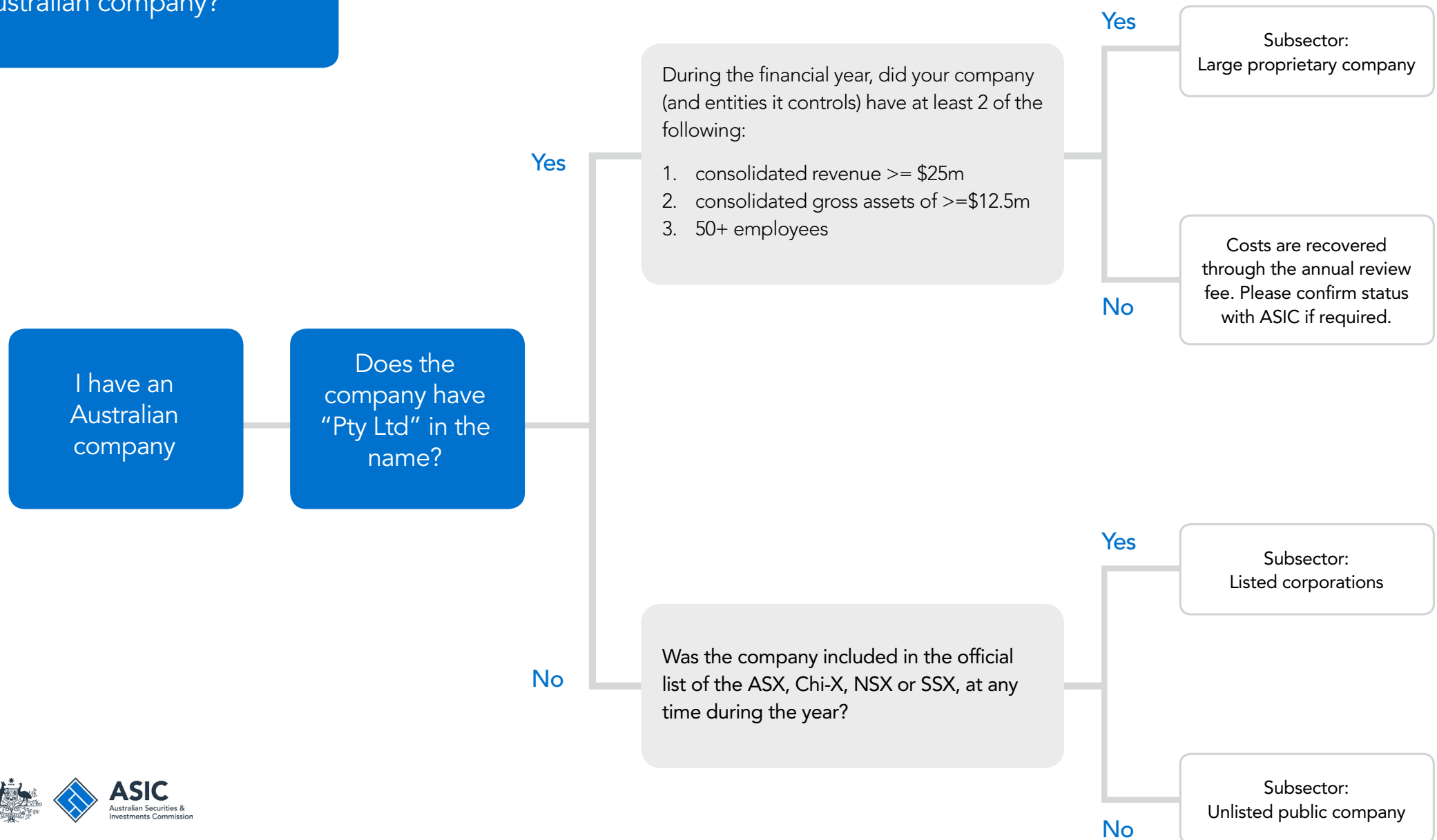
Subsector:
Credit intermediary

You must keep details of your credit
representatives up to date with ASIC, and
verify this information on the ASIC Regulatory
Portal from July to September.

ASIC industry funding

Do you have a registered Australian company?

Companies



ASIC industry funding

Do you have an Australian financial services licence?

I have an Australian financial services licence that authorises the holder to...

Provide financial product advice...

Provide only general advice...

Provide general advice by issuing a credit rating...

Deal in a financial product by:

- issuing, applying for, acquiring, varying or disposing of,
- OR
- Arranging for another person to issue, apply for, acquire, vary or dispose of...

Deal in a financial product by issuing, applying for, acquiring, varying or disposing of...

To retail clients

Only to wholesale clients⁽²⁾

To retail or wholesale clients

On relevant financial products⁽¹⁾

On products that are not relevant financial products⁽¹⁾

Subsector: Licensees that provide personal advice on relevant financial products to retail clients

Subsector: Licensees that provide personal advice to retail clients on only products that are not relevant financial products

Subsector: Licensees that provide personal advice to only wholesale clients⁽²⁾

Subsector: Licensees that provide only general advice to retail or wholesale clients

Subsector: Credit rating agency

Subsector: Payment product providers

Non-cash payment products

Interests in managed investment schemes

Miscellaneous financial risk products

Excluding investor directed portfolio services
OR
including investor directed portfolio services
OR
limited to own managed schemes only
OR
limited to horse racing schemes only
OR
limited to time-sharing schemes only
OR
if no product is specified

To wholesale clients

Subsector: Wholesale trustees

Subsector: Risk management product providers

Basic deposit products or deposit products other than basic deposit products

A standard margin lending facility or a non standard margin lending facility

Interests in managed investment schemes

Miscellaneous financial investment products limited to MDA services

Including investor directed portfolio services
OR
limited to a nominated investor directed portfolio service

For MDA services

Subsector: Deposit product providers

Subsector: Margin lenders

Subsector: IDPS operators

Subsector: MDA providers

(1) Relevant products are defined in section 910A of the Corporations Act 2001.

(2) The subsector 'Licensees that provide personal advice to only wholesale clients' includes licensees that provide general advice to only wholesale clients as well as licensees that provide personal advice to only wholesale clients.

Note: The above depiction is a scenario only, other levies may be applicable for your entity depending on your activity. Please refer to the ASIC Supervisory Cost Recovery Levy Regulations 2017 for further details.

ASIC industry funding

Do you have an Australian financial services licence?

I have an Australian financial services licence that authorises the holder to...

Make a market in derivatives
AND...

Deal in a financial product by:
• Issuing, applying for, acquiring, varying or disposing of derivatives.

To retail clients

Subsector: Retail over-the-counter derivatives issuers⁽³⁾

Deal in a financial product by:
• issuing, applying for, acquiring, varying or disposing of,
OR
• applying for, acquiring, varying or disposing of, on behalf of another person
OR
• arranging for another person to issue, apply for, acquire, vary or dispose of
OR
• arranging for another person to apply for, acquire, vary or dispose of...

Securities

Subsector: Securities dealer⁽⁴⁾

My licensed entity is a general insurer, an authorised NOHC, or a subsidiary of a general insurer or an authorised NOHC⁽⁵⁾, or a registered life company or registered NOHC⁽⁶⁾

Subsector: Insurance product providers

My licensed entity has an intermediary authorisation⁽⁷⁾ with a general insurer, authorised NOHC or subsidiary of an authorised NOHC under the *Insurance Act 1973*; or a registered life company, registered NOHC or subsidiary of a registered NOHC under the *Life Insurance Act 1996*; that does not hold an AFS licence

Subsector: Insurance product distributors

My licensed entity does not fall in either of the two categories stated directly above

Subsector: Claims handling and settling services

Provide a claims handling and settling service...

Operate a registered managed investment scheme (including the holding of any incidental property) in its capacity as responsible entity...

Subsector: Responsible entities

Provide a custodial or depository service...

Subsector: Custodians

Provide traditional trustee company services...

Subsector: Traditional trustee service company providers

General insurance products
OR
Life products
AND...

(3) Entities will not be levied as a retail over-the-counter derivatives issuer if they are regulated by the Australian Prudential Regulation Authority (APRA).

(4) Entities will not be levied as a securities dealer if their annual transaction value is less than or equal to \$250k and/or a participant in a large futures exchange or a large securities exchange.

(5) See Insurance Act 1973 for definitions of these entities.

(6) See Life Insurance Act 1996 for definitions of these entities.

(7) 'Intermediary authorisation' has the same meaning as in paragraph 911A(2)(b) of the Corporations Act 2001.

Note: The above depiction is a scenario only, other levies may be applicable for your entity depending on your activity. Please refer to the ASIC Supervisory Cost Recovery Levy Regulations 2017 for further