



Form FS20

Corporations Act 2001
922HA

Corporations Regulations 2001
7.6.04(1)(b), 7.6.04(1)(i), 7.6.04(2),
7.6.05(1)(a), 7.6.05(1)(b),
7.6.05(1)(e), 7.6.05(1)(g)

Change of details for an Australian financial services licence

If there is insufficient space in any section of the form, you may photocopy the relevant page(s) and submit as part of this lodgement

AFS licence details

AFS licence number

ABN (if no ABN assigned, provide ACN or ARBN)

AFS licence name

Lodgement details

Who should ASIC contact if there is a query about this form?

ASIC registered agent number (if applicable)

Firm/organisation

Contact name/position description

Telephone number (during business hours)

Email address (optional)

Postal address

Suburb/City

State/Territory

Postcode

1 AFS licensee details

Tick appropriate box

Do you wish to change the AFS licensee address, business name or controlling entity details?

Yes No

If Yes, commence at 1.1 and provide only that information that has changed. If No, go to 2

1.1 Principal business address

Office, unit, level

Street number and Street name

Suburb/City

State/Territory

Postcode

1 Continued... AFS licensee details

1.2 Address for service of notices

Office, unit, level

Street number and Street name

Suburb/City

State/Territory

Postcode

1.3 Remove a business name under which the AFS licensee trades:

If the business name was registered before 28 May 2012, the business registration number and the State/Territory of registration is required.

Business name

Registered business name number

State/Territory of registration

Business name

Registered business name number

State/Territory of registration

If insufficient space, provide details of business names to be added or removed on an attached annexure.

1.4 Add a business name under which the AFS licensee trades:

If the business name was registered before 28 May 2012, the business registration number and the State/Territory of registration is required.

Business name

Registered business name number

State/Territory of registration

Business name

Registered business name number

State/Territory of registration

For non-corporate entities only:

1.5 Name

ABN

1.6 Effective date of change

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>
[D	D]		[M	M]		[Y	Y]

1 Continued... AFS licensee details

1.7 Do you wish to change the licensee controlling entity details?

Yes No

If Yes commence at 1.7.1, if No go to 2.

You are required to provide us with a list of the person or persons who control the licensee. Person includes both natural persons and body corporates. The definition of control is set out in Corporations Regulation 7.6.04(2).

Control is determined by:

- voting power of more than 50% of voting shares;
- shareholding (directly or indirectly) of more than 50% of the issued capital (excluding preference shares);
- capacity to control the composition of the board of the licensee; and
- capacity to determine the outcome of decisions about financial and operating policies of the licensee.

A person controls a licensee if the person, either alone or together with its associates, controls the licensee. The person or an associate could be an individual or a body corporate. Further, as control can exist as a matter of law or as a matter of fact, two or more persons may control the licensee even in circumstances where such persons are not associates.

For more information go to www.asic.gov.au/afs-change-control

1.7.1 Details of new controlling entities

Controlling entity ABN (if applicable)	Controlling entity name	Effective date
		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D D] [M M] [Y Y]
		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D D] [M M] [Y Y]
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		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D D] [M M] [Y Y]
		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D D] [M M] [Y Y]

1.7.2 Details of ceased controlling entities

Controlling entity ABN (if applicable)	Controlling entity name	Effective date
		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D D] [M M] [Y Y]
		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D D] [M M] [Y Y]
		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D D] [M M] [Y Y]
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		<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D D] [M M] [Y Y]

1.7.3 If there are no persons who control the licensee, you must provide an explanation with reference to the definition of control as set out in Corporations Regulation 7.6.04(2)

2 Contact details

ASIC will use the email address of the ongoing contact person to send correspondence (including invoices) relating to lodgements by the licensee under the *Corporations Act 2001* concerning the maintenance of the licence, and the appointment and maintenance of the licensee's authorised representatives and financial advisers (if any).

Do you wish to change the contact details for this AFS licence?

Yes No

If Yes, commence at 2.1 and provide only that information that has changed. If No go to 3.

2.1	Full name	<input type="text"/>
2.2	Relationship to applicant	<input type="checkbox"/> Licensee (including officers & staff) <input type="checkbox"/> External service provider
2.3	Email address	<input type="text"/>
2.4	Telephone number	<input type="text"/>
2.5	Facsimile number	<input type="text"/>
2.6	Office, unit, level	<input type="text"/>
	Street number and Street name	<input type="text"/>
	Suburb/City	<input type="text"/>
	State/Territory	<input type="text"/>
	Postcode	<input type="text"/>
2.7	Effective date of change	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] [M] [M] [Y] [Y]

Postal address

3 Responsible managers

Do you wish to change your responsible managers?

Yes

No

If Yes, commence at 3.1. If No go to 4.

3.1 Do you wish to remove one or more responsible managers?

Yes

No

If Yes, go to 3.1.1. If No go to 3.2.

If insufficient space, provide the details of responsible managers to be removed on an attached annexure.

3.1.1 Provide the following details for the responsible managers you wish to remove.

Full Name (Given names, family name)

Date of birth

Full Name (Given names, family name)	Date of birth

If you are removing a key person, you must also lodge a variation application (FS03) to apply for the key person condition to be varied or removed.

3.1.2 Effective date of change

/ /
[D] [D] [M] [M] [Y] [Y]

If you are adding or amending more than one responsible manager attach completed copies of pages 5 and 6 of this form as annexures to the FS20.

3.2 Do you wish to add or amend the details of one or more responsible managers?

Yes

No

If Yes, go to 3.2.1. If No go to 4.

3.2.1 Provide the following details for **each** responsible manager you wish to add or whose details you wish to amend.

Personal details

Given names

Family name

Date of birth

/ /
[D] [D] [M] [M] [Y] [Y]

Place of birth

City/Town

Country

New responsible manager

Existing responsible manager

4 Dispute resolution

This question applies to AFS licensees that service retail clients only.

Do you wish to change your external dispute resolution details?

Yes

No

If Yes commence at 4.1 and provide only that information that has changed. If No go to 5.

4.1 What best describes the role of the person in your organisation with responsibility for external dispute resolution.

Chief Executive Officer

Complaints Manager

Compliance Manager

Compliance Officer

Customer Services Manager

Director

General Manager

Operations Manager

Partner/Proprietor

4.2 Please provide the details of membership of the Australian Financial Complaints Authority (AFCA).

Membership Number

Commencement date

 / /

[D] [D] [M] [M] [Y] [Y]

Scheme details

5 Compensation arrangements

This question applies to AFS licensees that service retail clients, operate a registered scheme or operate an IDPS only.

5.1 Do you wish to change your security bond details?

Yes No

If Yes go to 5.1.1

5.1.1 Provide details of new bond

Name of the financial institution that issued bond

Amount of bond (Bond amounts can only be \$10,000 or \$20,000)

5.1.2 Effective date of change

 / /

[D] [D] [M] [M] [Y] [Y]

5.2 Are you seeking to discharge your bond?

Yes No

6 Continuing professional development (CPD) year

This question applies to AFS licensees that can authorise relevant providers (known as financial advisers) to provide personal advice to retail clients in relation to relevant financial products

If you are notifying us of your CPD year for the first time

6.1 The start date of the CPD year applying to providers of personal advice to retail clients in relation to relevant financial products:

 /

[D] [D] [M] [M]

OR

If you are changing your CPD year

6.2 Current CPD year start date

 /

[D] [D] [M] [M]

Change to new CPD year start date

 /

[D] [D] [M] [M]

Date decision to change CPD year was made

 / /

[D] [D] [M] [M] [Y] [Y] [Y] [Y]

Annexures

Provide the following details for all annexures that are attached to this document.

Please note that all annexures must be clearly marked with the AFS licence number, annexure number and the number of pages.

Total number of annexures

Annexure Number	Annexure Detail (eg additional business name, Statement of Personal Information for xxx, etc...)

Declarations and Certifications

General Declaration and Consent

The AFS licensee declares that, to the best of its knowledge, the information supplied in, and with, this document is complete and accurate.

The AFS licensee declares that it will comply with its obligations as a financial services licensee.

The AFS licensee acknowledges that the Australian Securities and Investments Commission may take action to verify that the statements and certifications made in relation to this document were not false or misleading.

Certifications

I certify that as at the date of this application to the best of my knowledge the following is true:

- new responsible managers named in this document have completed the statement of personal information and the applicant believes the responsible managers are of good fame and character
- new responsible managers named in this document have the relevant knowledge, skills and experience to perform their particular roles within this business.

ASIC Privacy Policy:

ASIC will store the information you have provided and may use this information to contact you. Please refer to our privacy policy (www.asic.gov.au/privacy) for information about how we handle your personal information, your rights to seek access to and correct personal information, and to complain about breaches of your privacy.

I have read and understood the ASIC privacy policy.

Signature

Refer to Guide for details on eligible signatories.

Name

Signature

Capacity

Entity name (if entity acting as agent)

Date signed

/ /
[D] [D] [M] [M] [Y] [Y]

Lodgement

Send completed and signed forms to:
AFS Licence Applications
Australian Securities and Investments Commission
PO Box 4000
Gippsland Mail Centre VIC 3841

For more information

Web www.asic.gov.au
Need help? www.asic.gov.au/question
Telephone 1300 300 630

Or lodge the form online at www.asic.gov.au

Appendix A: Change of details for an Australian financial services licence

Statement of Personal Information

To obtain an AFS licence, an applicant must show that they have the experience and expertise to ensure that the financial services to be covered by the AFS licence will be provided efficiently, honestly and fairly.

You have been nominated as a Responsible Manager for this application.

To demonstrate that you have the necessary experience, expertise and are of good fame and character, please respond to all of the following questions.

When signed, this Statement becomes an attachment to the change of details for an AFS licence that will be forwarded to the Australian Securities and Investments Commission (ASIC) by the AFS licensee.

PRIVACY NOTICE

ASIC is authorised to collect the information under the *Corporations Act 2001* and *Corporations Regulations 2001*. We will not use it for any other purpose nor will we disclose it unless we have obtained your consent or the use or disclosure is permitted under the *Privacy Act 1988* (Cth).

For more details, see the Privacy Statement on our website www.asic.gov.au.

Statement of Personal Information for:

For Australian financial services licence number:

Within the last 10 years, within Australia and/or overseas:

1. Have you been refused the right, or been restricted in the right, to carry on any trade, business or profession for which a licence, registration or other authority is required by law?
 Yes No
2. Have you been a member, or partner in a member firm, of any securities, stock, futures, commodities or other exchange?
 Yes No
3. Have you been suspended from membership of, or disciplined by, any securities, stock, futures, commodities or other exchange?
 Yes No
4. Have you been refused membership of any securities, stock, futures, commodities or other exchange?
 Yes No
5. Have you been removed from membership of, or disciplined by, any professional body or external dispute resolution scheme?
 Yes No
6. Have you carried on business under any name other than the name or names shown in this application?
 Yes No
7. Have you been known by any name other than the name or names shown in this application?
 Yes No
8. Have you been the subject of any findings, judgment or current proceeding, including findings, in relation to fraud, misrepresentation or dishonesty, in any administrative, civil or criminal proceedings in any country?
 Yes No
9. Are you, or have you ever been, declared bankrupt or insolvent under administration?
 Yes No
10. Have you been engaged in the management of any companies/businesses that have had an external administrator appointed?
 Yes No
11. Have you been engaged in the management of any companies/businesses that were declared insolvent?
 Yes No

12. Have you been engaged in the management of any companies/businesses that carry on a trade, business or profession for which a licence, registration or other authority is required by law?
 Yes No
13. Have you been engaged in the management of any companies/businesses that have been the subject of any investigations or proceedings that are current or pending and which may result in disciplinary action being taken in relation to any such authorisation?
 Yes No
14. Have you been engaged in the management of any companies/businesses that have failed to comply with a determination from an external dispute resolution scheme?
 Yes No
15. Have you been engaged in the management of any companies/businesses that were declared the equivalent of insolvent under the law of an external territory or country other than Australia?
 Yes No
16. Have you ever been engaged in the management of any company that has had an instrument of approval under the Superannuation Industry (Supervision) Act 1993 revoked?
 Yes No
17. Have you ever been engaged in the management of any companies/businesses that have had a *Corporations Act 2001* (or previous corresponding laws) licence or *National Consumer Credit Protection Act 2009* licence or *Insurance Agents and Brokers Act 1984* registration revoked or suspended?
 Yes No

Attachments

A. If you have answered Yes to any question, please provide a separate attachment that includes individual details. In addition, please provide the following:

- Question 8 the judgment and if it has been satisfied
- Question 9 to 15 For a declaration of bankruptcy or insolvency:
- ▮ date of the declaration and district in which it was made
 - ▮ bankruptcy number
- For a deed of arrangement, assignment or where creditors have accepted a composition under Part X of the *Bankruptcy Act 1966*:
- ▮ date of the deed of arrangement, assignment or the special resolution accepting composition and the district in which it was made
 - ▮ name and address of the trustee of the deed of arrangement, assignment or of the composition
 - ▮ identifying number used in relation to the deed of arrangement or assignment or the composition in the office of the Registrar in Bankruptcy

B. You must provide the following details of your educational qualifications relevant to your responsibilities for this AFS licence. If insufficient space, attach an annexure. If any of your qualifications are foreign qualifications, please provide details about how the qualification has been approved by the National Office of Overseas Skills Recognition (NOOSR) in Canberra - for example, the letter verifying the qualification provided to you by NOOSR and what Australian short courses you have completed.

Institution

Course Name

Year of completion

Institution

Course Name

Year of completion

Institution

Course Name

Year of completion

Institution

Course Name

Year of completion

C. You must provide the following details on your organisational experience for each of the financial services you are responsible for. If insufficient space, attach an annexure.

Financial service

Relevant qualifications

Relevant experience

Financial service

Relevant qualifications

Relevant experience

Financial service

Relevant qualifications

Relevant experience

D. The following documents must be provided to support your Statement. If the licensee is a body regulated by APRA, you only need to provide the documents described in 1.

1. Copies of your relevant qualification certificates.
2. A copy of a criminal history check on you not more than 12 months old (also called a police check).
3. A copy of a bankruptcy check on you not more than 12 months old.
4. Copies of two business references not more than 12 months old (at least one of these should be from someone external to your current organisation).

Even if you have previously given these documents to us as part of an earlier licence application or notification, you must still provide them. Further details regarding these documents can be found in Part 2 of the AFS Licensing Kit.

Declaration

I, agree to be a Responsible Manager for

(Name and ABN, ACN or ARBN of AFS licensee) as defined by the *Corporations Act 2001*.

I certify that the information in this Statement and all attachments are true and correct.

Signature

Role

Date signed

/ /
[D] [D] [M] [M] [Y] [Y]

Witness

Name

Signature

Address

Date signed

/ /
[D] [D] [M] [M] [Y] [Y]

Lodgement

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Australian Securities and Investments Commission
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For more information

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Telephone 1300 300 630

Guide: Change of details for an Australian financial services licence

This guide does not form part of the form. It is included by ASIC to assist you in completing and lodging the Form FS20.

Signature

This form must be signed by the person authorised by the Australian financial services (AFS) licensee.

Entity	Signatory
Partnership comprised of individuals	Any one of the individual partners
Partnership comprised of both individuals and companies	Any one of the individual partners or a director or secretary of one of the companies
Multiple trustees	Any one of the trustees, or where the trustee is a body, a director or secretary of the body
Company	Director or secretary, or the director or secretary of the corporate director, if the company is a CCIV
Foreign company	Director or secretary or local agent
Individual	The individual

Lodgement period

10 business days for changes to responsible managers and principal business address details.

10 business days for changes to controlling entity details for licensees other than body corporate licensees as defined by s910A of the *Corporations Act 2001*.

30 business days for changes to controlling entity details for licensees who are body corporate licensees as defined by s910A of the *Corporations Act 2001*.

30 business days from the day the licence is granted or the day the licensee decides to change the CPD year.

Lodgement fees

A lodgement fee may apply to this form.

For information on fees refer to www.asic.gov.au/forms.

Late fees

Late fees may apply if you notify a change outside of the lodgement period.

For information on fees refer to www.asic.gov.au/forms.

Lodge this form online

You can also apply to change the details for an AFS licence online www.asic.gov.au.

The AFS licensee portal provides:

- a tailored process that will lead you through each relevant step
- pre-filled data wherever possible
- fewer errors – the system will check that you have completed each applicable question and automatically verify some answers
- faster processing – we will not have to enter information

Key points to note

Some questions have been designed so that you provide ASIC with your base information and then only those details that have changed. However, if any required fields are incomplete or contain invalid data types ASIC staff will be unable to process this form.

If appropriate, ASIC will contact you by telephone for clarification or, if the incomplete or invalid data is significant, the FS20 will not be accepted for lodgement and will be returned to you unprocessed.

Proofs and evidences	<p>Where changes have been made in the following areas the relevant proofs and evidences must be included as annexures to the FS20. Refer to the AFS Licensing Kit for further details.</p> <ol style="list-style-type: none"> 1. Responsible Managers - <i>A Statement of Personal Information</i> for each responsible manager added 2. Compensation arrangements - <i>Compensation Capacity Statement</i>. 				
Privacy	<p>The information provided to ASIC in this form may include personal information. Please refer to our privacy policy (www.asic.gov.au/privacy) for information about how we handle your personal information, your rights to seek access to and correct personal information, and to complain about breaches of your privacy.</p>				
Warning	<p>It is an offence under the <i>Corporations Act 2001</i> to provide false or misleading information to ASIC.</p>				
How to provide additional information	<p>Annexures If there is insufficient space in any section of the form, you may submit annexures as part of this lodgement.</p> <p>To make any annexure conform to the regulations, you must</p> <ol style="list-style-type: none"> 1. use A4 size paper of white or light pastel colour with a margin of at least 10mm on all sides 2. show the AFS licence number 3. number the pages consecutively 4. print or type in BLOCK letters in dark blue or black ink so that the document is clearly legible when photocopied 5. mark the annexure with an identifying letter or symbol (e.g. a,b,c or 1,2,3 etc.) 6. endorse the annexure with the words: This annexure (mark) of (number) pages referred to in form (form number and title) 7. sign and date the annexure <p>The annexure must be signed by the same person(s) who signed the form.</p>				
Lodgement	<table border="0"> <tr> <td data-bbox="454 925 1021 1081"> <p>Send completed and signed forms to: AFS Licence Applications Australian Securities and Investments Commission PO Box 4000 Gippsland Mail Centre VIC 3841</p> </td> <td data-bbox="1021 925 1541 1081"> <p>For more information Web www.asic.gov.au Need help? www.asic.gov.au/question Telephone 1300 300 630</p> </td> </tr> <tr> <td colspan="2" data-bbox="454 1104 1541 1135"> <p>Or lodge the form online at www.asic.gov.au</p> </td> </tr> </table>	<p>Send completed and signed forms to: AFS Licence Applications Australian Securities and Investments Commission PO Box 4000 Gippsland Mail Centre VIC 3841</p>	<p>For more information Web www.asic.gov.au Need help? www.asic.gov.au/question Telephone 1300 300 630</p>	<p>Or lodge the form online at www.asic.gov.au</p>	
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