



Application to vary the authorisation conditions and other conditions of 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

Lodgement details

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

Firm/organisation

Contact name/position description

ASIC registered agent number (if applicable)

Telephone number

Postal address or DX address

1 Applicant details

Provide the following details for the entity that will be applying for this AFS licence.

1.1 AFS licence number

1.2 Australian Business Number (if no ABN assigned, provide ACN or ARBN)

1.3 Licensee name

Postal address

1.4 Office, unit, level

Street number and Street name

Suburb/City

State/Territory

Postcode

1.5 Contact name for this application

1.6 Contact telephone number for this application

2 Your variation

2.1 What are you applying for?

- to vary the authorisation conditions (services and/or products) authorised by your AFS licence only -
COMPLETE **PART 1**
- to vary both authorisation conditions and other conditions applying to your AFS licence -
COMPLETE **PART 1**
- to vary other conditions applying to your AFS licence only -
COMPLETE **PART 2**

2 General Declaration and consent

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

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

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

Signature

Refer to Guide for details on eligible signatories.

Name

Capacity

Entity name (if entity acting as agent)

Signature

Date signed

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

PART 1 Pre-form to apply to vary the authorisation conditions

Note: this information will be used to generate a variation application which will be sent to you. Use this part if you want to apply to vary only authorisation conditions or to apply to vary both the authorisation conditions and other conditions together.

Do you want to change other conditions as well as the authorisation conditions?

Yes

No

3 Your Australian financial services licence

Limited financial services' include the following financial services:

- financial product advice on self-managed superannuation funds
- financial product advice on a client's existing superannuation holdings in certain circumstances
- class of product advice on the following:
 - superannuation products
 - securities
 - general insurance products
 - life risk insurance products
 - basic deposit products, and
 - simple managed investment schemes (as defined in Corporations Regulation 1.0.02).
- arranging to deal in an interest in a self-managed superannuation fund.

If the applicant wants to vary the authorisations to provide 'limited financial services', answer 'Yes' to 3.1.

If the applicant wants to apply to broaden the authorisations of the licence so that the financial services provided are no longer 'limited financial services', answer 'No' to 3.1.

If the applicant holds an AFS licence that is not authorised to provide 'limited financial services' and wants to apply to vary the authorisations or conditions of that licence, answer 'No' to 3.1

If yes, go to 3.5. If no, go to 3.2	<p>3.1 Does the applicant wish to be authorised for 'limited financial services' as defined in Corporations Regulation 7.6.01BA(3)?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>3.2 What type(s) of financial services are you applying for this AFS licence to be authorised to provide, including those already authorised?</p> <p><input type="checkbox"/> Provide Financial Product Advice</p> <p><input type="checkbox"/> Deal in a Financial Product</p> <p>What particular type(s) of dealing services will you be applying to be authorised to provide?</p> <p><input type="checkbox"/> Issue, apply for, acquire, vary or dispose of a financial product</p> <p><input type="checkbox"/> Apply for, acquire, vary or dispose of financial products on behalf of another</p> <p><input type="checkbox"/> Underwriting an issue of securities or interests in registered managed investment schemes</p> <p><input type="checkbox"/> Make a Market for a Financial Product</p> <p><input type="checkbox"/> Operate a Registered Scheme</p> <p><input type="checkbox"/> Provide a Custodial or Depository Service</p> <p><input type="checkbox"/> Provide Traditional Trustee Company Services. <i>(You must be prescribed by the Corporations Regulations 2001 as a trustee company to be authorised to provide traditional trustee company services.)</i></p> <p><input type="checkbox"/> Provide a Crowd-Funding Service</p> <p><input type="checkbox"/> Operate the business and conduct the affairs of a retail CCIV</p> <p><input type="checkbox"/> Operate the business and conduct the affairs of a wholesale CCIV</p>
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3 Continued... Your Australian financial services licence

3.3 Are you already, or are you applying to be, authorised to provide any of the following particular specialised services or products?

- | | | |
|--|------------------------------|-----------------------------|
| Derivatives | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Foreign Exchange Contracts | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Horse Racing Syndicate | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Life Insurance Products | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Operate an IDPS | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Managed Discretionary Account Services | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Standard Margin Lending Facility | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Non-Standard Margin Lending Facility | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

3.4 The law restricts the use of certain words or expressions, or like words or expressions, unless they are authorised in the AFS licence conditions. Are you already, or are you applying to be, authorised to use any of the following?

- | | | |
|---------------------------------------|------------------------------|-----------------------------|
| Stockbroker or Sharebroker | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Futures Broker | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Insurance Broker or Insurance Broking | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| General Insurance Broker | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Life Insurance Broker | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

3.5 Have you added, or will you be adding, one or more new responsible managers to cover this variation?

- Yes No

4 Business description

4.1 What type of client group(s) will your current or intended business service?

- Retail clients
- Wholesale clients
- Both retail and wholesale clients

4.2 Are you a body regulated by the Australian Prudential Regulation Authority?

- Yes No

4.3 Will you be acting as a general insurance underwriting agent; a managing general underwriter and/or a general insurance broker acting under binders under this AFS licence?

- Yes No

PART 2 Vary the conditions of an AFS licence

Use this part if you want to apply to vary conditions other than the authorisation conditions.

Your Australian financial services licence

Provide the details of the AFS licence conditions you are applying to vary. This should include the reference and condition text from your licence.

Provide the reasons you believe the conditions should be varied and, if applicable, why an exception to current ASIC policy should be considered.

Annexures

Provide the following details for all annexures that are attached to this FS03X in support of this application.

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 title

Lodgement

Send completed and signed forms to:
AFS Licence Applications
Australian Securities and Investments Commission
GPO Box 9827
MELBOURNE VIC 3001

For more information

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

Guide: Application to vary the authorisation conditions and other conditions of 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 FS03X.

Signature	<p>This form must be signed by the person authorised by the Australian financial services (AFS) licensee.</p> <table border="1"> <thead> <tr> <th>Entity</th> <th>Signatory</th> </tr> </thead> <tbody> <tr> <td>Partnership comprised of individuals</td> <td>Any one of the individual partners</td> </tr> <tr> <td>Partnership comprised of both individuals and companies</td> <td>Any one of the individual partners or a director or secretary of one of the companies</td> </tr> <tr> <td>Multiple trustees</td> <td>Any one of the trustees, or where the trustee is a body, a director or secretary of the body</td> </tr> <tr> <td>Company</td> <td>Director or secretary</td> </tr> <tr> <td>Foreign company</td> <td>Director or secretary or local agent</td> </tr> <tr> <td>Individual</td> <td>The individual</td> </tr> </tbody> </table>	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	Foreign company	Director or secretary or local agent	Individual	The individual
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														
Foreign company	Director or secretary or local agent														
Individual	The individual														
Lodgement period	<p>Nil.</p>														
Lodgement fees	<p>A lodgement fee applies to this form.</p> <p>For information on fees refer to www.asic.gov.au/forms.</p>														
Lodge this form online	<p>You can also apply to vary your AFS licence online at www.asic.gov.au.</p> <p>The AFS licensee portal provides:</p> <ul style="list-style-type: none"> • 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, and • a reduced fee. 														
Key points to note	<p>You must complete all fields in Part 1 or Part 2 as indicated on the FS03X. Do not complete both parts.</p> <p>If appropriate, ASIC will contact you by telephone for clarification or, if the incomplete or invalid data is significant, the FS03X will be returned to you unprocessed.</p> <p>Part 1 of this form is a pre-form which is used to prepare the paper variation form (FS03) which will be sent to you. The actual variation application is made using the FS03.</p> <p>Part 2 of this form is only for applying to vary non authorisation conditions (e.g change to key person)</p>														
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

It is an offence under the *Corporations Act 2001* to provide false or misleading information to ASIC.

How to provide additional information**Annexures**

If there is insufficient space in any section of the form, you may submit annexures as part of this lodgement.

To make any annexure conform to the regulations, you must

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 eg 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

The annexure must be signed by the same person(s) who signed the form.

Lodgement

Send completed and signed forms to:
AFS Licence Applications
Australian Securities and Investments Commission
GPO Box 9827
MELBOURNE VIC 3001

For more information

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