



Submit Australian financial services licence annual financial statements

About the licensee

Pre-filled information

We may pre-fill some of the information in this section from ASIC or other Commonwealth records, or from a previous section of this document. 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 - [What should I do if there are errors in the pre-filled information of a form or transaction?](#)

* Given name	
Other given name(s)	
* Family name	
* Organisation name	
* Australian Company Number / Australian Registered Body Number	
Australian Business Number	
* Australian financial services (AFS) licence number	

Financial year and lodgement requirements

Pre-filled information

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* Select the financial year end date that this transaction is about	
* Financial year start date	

* Financial year end date	
* At the financial year end date, was the licensee a disclosing entity?	
The term 'disclosing entity' is defined in section 111AC of the Corporations Act 2001 .	
In this transaction the term 'financial statements' refers to the profit and loss statement and balance sheet the licensee is required to prepare and lodge under section 989B of the Corporations Act 2001 (Corporations Act). The legislation requires financial services licensees to lodge financial statements with either an auditor's report or a compliance certificate or both. The following question(s) identify which of those are required to accompany the licensee's financial statements for the financial year to which this transaction relates. You may wish to review our guidance about limited financial services before continuing.	
* Was the licensee only licensed to provide one or more limited financial services as defined in reg 7.8.12A(4) of the Corporations Regulations 2001 for any part of the financial year to which this transaction relates?	
* During that financial year, did the licensee deal with client money to which Division 2 of Part 7.8 of the Corporations Act applies?	
* During the part of that financial year where the licensee was only licensed to provide limited financial services, did the licensee deal with client money to which Division 2 of Part 7.8 of the Corporations Act applies?	
Based on your answer(s) above, the Corporations Act 2001 requires the licensee to provide an auditor's report in this transaction. See Auditor's report for Australian financial services licensee .	
Based on your answers above, the licensee is required to answer questions that address the requirement for a compliance certificate in this transaction.	
Based on your answers above, the Corporations Act 2001 requires the licensee to: <ul style="list-style-type: none"> answer questions that address the requirement for a compliance certificate relating to the part of the financial year where the licensee was only licensed to provide limited financial services and did not deal with client money to which Division 2 of Part 7.8 of the Corporations Act applies, and provide an auditor's report covering the remaining part of the financial year. See Auditor's report for Australian financial services licensee. 	

Financial and other details

Summary results of the AFS licensee financial statements

Summary

1. Where no value or answer is shown in the right column (blank), this is because the question was either non-mandatory and no answer was given OR not presented to the user.
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* Total revenue including tax benefit (for financial year)	
* Total expenses including tax expense (for financial year)	
* Net profit after tax (for financial year)	
* Total equity (as at end of financial year)	
* Total liabilities (as at end of financial year)	
* What best describes the licensee's principal business during the financial year?	
In the question above, 'relevant financial products' are defined in section 910A of the Corporations Act 2001 (Corporations Act).	
* Were there any events after the last reporting date?	
Refer to Australian Accounting Standard AASB 110 Events after the Reporting Period on the Accounting Standards page of the Australian Accounting Standards Board website.	
* Were there any significant changes in the licensee's state of affairs during the financial year?	
* Did the licensee pay any dividends or were any recommended during the financial year?	
* Did the licensee grant any options?	
* Are there any options outstanding?	
* Was there any indemnification of officers/auditors?	
* Were there any proceedings on behalf of the licensee?	
Responsible entity/investor directed portfolio services (IDPS) operator/corporate director of retail corporate collective investment vehicles (CCIVs)	
* At the end of the financial year, did section 912AA(1) of the Corporations Act, as inserted by ASIC Corporations (Financial Requirements for Responsible Entities, IDPS Operators and Corporate Directors of Retail CCIVs) Instrument 2023/647 , apply to the licensee?	
* Select which authorisation was applicable (you can select more than one)	
All the items below have the same meaning as in section 912AA as inserted by ASIC Instrument 2023/647 .	

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* Net tangible assets (NTA) as at the end of the financial year	
* The NTA the licensee was required to hold under subsection 912AA(4) applying under ASIC Instrument 2023/647 , as at the end of the financial year	
* Cash and/or cash equivalents as at the end of the financial year	
* Liquid assets as at the end of the financial year	
* Average value of fund assets of the registered schemes, IDPSs and retail CCIVs the licensee operated	
* Average revenue	
* Average value of CCIV assets	
Custodial or depository services provider	
* At the end of the financial year, did section 912AC of the Corporations Act, as inserted by ASIC Corporations (Financial Requirements for Custodial or Depository Service Providers) Instrument 2023/648 , apply to the licensee?	
All the items below have the same meaning as in section 912AC as inserted by ASIC Instrument 2023/648 .	
* Net tangible assets (NTA) as at the end of the financial year	
* The NTA the licensee was required to hold under subsection 912AC(4) applying under ASIC Instrument 2023/648 , as at the end of the financial year	
* Cash and/or cash equivalents as at the end of the financial year	
* Liquid assets as at the end of financial year	
* Average revenue	
* As at the end of the financial year was the licensee relying on being an incidental provider (as defined in ASIC Instrument 2023/648) to meet the requirements of section 912AC?	
* Custodial or depository service revenue	
* Financial services business revenue	

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Retail over-the-counter (OTC) derivative issuer	
* At the end of the financial year, did section 912AB of the Corporations Act, as inserted by ASIC Corporations (Financial Requirements for Issuers of Retail OTC Derivatives) Instrument 2022/705 , apply to the licensee?	
All the items below have the same meaning as in section 912AB as inserted by ASIC Instrument 2022/705 .	
* The amount of actual or contingent liabilities the licensee owed in connection with issuing derivatives to persons as a retail client as at the end of the financial year	
* Net tangible assets (NTA) as at the end of the financial year	
* The NTA the licensee was required to hold under subsection 912AB(4) applying under ASIC Instrument 2022/705 , as at the end of the financial year	
* Cash and/or cash equivalents as at the end of the financial year	
* Average revenue	

Professional indemnity insurance requirements

* Was the licensee required to have professional indemnity (PI) insurance during the relevant financial year?	
For further information, refer to Regulatory Guide 126 <i>Compensation and insurance arrangements for AFS licensees</i> for guidance (RG 126).	
* Select the applicable reason(s) why the licensee was not required to have PI insurance for that year	
* Did the licensee hold PI insurance for the relevant financial year?	
* Was the PI insurance held by the licensee during the relevant financial year adequate considering the nature of the licensee's business and its potential liability for compensation claims?	
* What was the total sum insured of the PI insurance policy/ies held as at the end of the relevant financial year?	
* What was the amount of excess for the PI	

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insurance policy held as at the end of the relevant financial year?	
* Were there any PI insurance claims paid in the relevant financial year?	

Compliance certificate

Compliance certificate – part 1

Obligations and compliance	
<p>General conduct obligations apply to AFS licensees. You must certify compliance with these obligations. The certification is made on behalf of the licensee and by the person required to sign this certificate under reg 7.8.13A(b) of the Corporations Regulations 2001 for the financial year based on appropriate inquiries about the arrangements, systems and how the licensee has operated.</p> <p>If you answer 'No' to any of the questions in this section, consider whether the licensee should notify ASIC of a reportable situation if the licensee has not already done so. For more information see Regulatory Guide 78 <i>Breach reporting by AFS licensees and credit licensees</i> (RG 78).</p>	
Efficiently, honestly and fairly	
* During the relevant financial year, did the licensee provide the financial services the licence covers efficiently, honestly and fairly?	
* Does the licensee consider that failure to provide financial services efficiently, honestly and fairly to be a reportable situation under section 912D of the Corporations Act 2001 ?	
* Explain why that is not a reportable situation	
* Has the licensee notified ASIC of that reportable situation?	
* Date the licensee notified ASIC of the reportable situation (if more than one notification was submitted about this, provide one of the dates a notification was submitted)	
* Explain why the licensee has not notified ASIC of that reportable situation	
Conflicts of interest	
* During the relevant financial year, did the licensee have adequate arrangements to meet its conflicts management obligation?	
For further information, refer to Regulatory Guide 181 <i>Licensing: Managing conflicts of interest</i> (RG 181).	

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* Does the licensee consider that failure to have adequate arrangements for the management of conflicts of interest to be a reportable situation under section 912D of the Corporations Act 2001 ?	
* Explain why that is not a reportable situation	
* Has the licensee notified ASIC of that reportable situation?	
* Date the licensee notified ASIC of the reportable situation (if more than one notification was submitted about this, provide one of the dates a notification was submitted)	
* Explain why the licensee has not notified ASIC of that reportable situation	
Licence conditions	
* During the relevant financial year, did the licensee comply with the conditions on its licence?	
* Does the licensee consider that failure to comply with its licence conditions to be a reportable situation under section 912D of the Corporations Act 2001 ?	
* Explain why that is not a reportable situation	
* Has the licensee notified ASIC of that reportable situation?	
* Date the licensee notified ASIC of the reportable situation (if more than one notification was submitted about this, provide one of the dates a notification was submitted)	
* Explain why the licensee has not notified ASIC of that reportable situation	
* During the relevant financial year, did the licensee comply with the financial resources-related conditions on the licence?	
For further information, refer to Regulatory Guide 166 <i>AFS licensing: Financial requirements</i> (RG 166).	
Process to ensure compliance with financial conditions on the licence	
* During the relevant financial year, did the licensee have processes for: <ul style="list-style-type: none"> • monitoring and reporting on financial obligations, including reporting lines and the frequency of reporting 	

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<ul style="list-style-type: none"> ensuring that the licensee had and will have in the future adequate funds to properly carry out its responsibilities under the AFS licence ensuring compliance with all ongoing record-keeping obligations? 	
* Does the licensee consider the failure to have those processes to be a reportable situation under section 912D of the Corporations Act 2001 ?	
* Explain why that is not a reportable situation	
* Has the licensee notified ASIC of that reportable situation?	
* Date the licensee notified ASIC of the reportable situation (if more than one notification was submitted about this, provide one of the dates a notification was submitted)	
* Explain why the licensee has not notified ASIC of that reportable situation	
Conditions imposed by the Corporations Regulations	
* During the relevant financial year, did the licensee comply with all the conditions imposed on the licence by reg 7.6.04(1) of the Corporations Regulations 2001 ?	
* Does the licensee consider that failure to comply with the conditions imposed by reg 7.6.04(1) to be a reportable situation under section 912D of the Corporations Act 2001 ?	
* Explain why that is not a reportable situation	
* Has the licensee notified ASIC of that reportable situation?	
* Date the licensee notified ASIC of the reportable situation (if more than one notification was submitted about this, provide one of the dates a notification was submitted)	
* Explain why the licensee has not notified ASIC of that reportable situation	
Financial services laws	
* During the relevant financial year, did the licensee ensure that it and its representatives complied with all financial services laws?	
The term 'financial services law' is defined in section 761A of the Corporations Act 2001 .	

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* Does the licensee consider that failure to ensure compliance with the financial services laws to be a reportable situation under section 912D of the Corporations Act 2001 ?	
* Explain why that is not a reportable situation	
* Has the licensee notified ASIC of that reportable situation?	
* Date the licensee notified ASIC of the reportable situation (if more than one notification was submitted about this, provide one of the dates a notification was submitted)	
* Explain why the licensee has not notified ASIC of that reportable situation	

Compliance certificate – part 2

Adequate resources	
* During the relevant financial year, did the licensee have available adequate resources (including financial, technological and human) to provide financial services the licence covers and to carry out supervisory arrangements?	
* Does the licensee consider that failure to have adequate resources to be a reportable situation under section 912D of the Corporations Act 2001 ?	
* Explain why that is not a reportable situation	
* Has the licensee notified ASIC of that reportable situation?	
* Date the licensee notified ASIC of the reportable situation (if more than one notification was submitted about this, provide one of the dates a notification was submitted)	
* Explain why the licensee has not notified ASIC of that reportable situation	
Maintain competence	
* During the relevant financial year, did the licensee maintain the competence to provide the financial services the licence covers?	
For further information, refer to Regulatory Guide 105 <i>AFS licensing: Organisational competence</i> (RG 105).	

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* Does the licensee consider that failure to maintain competence to be a reportable situation under section 912D of the Corporations Act 2001 ?	
* Explain why that is not a reportable situation	
* Has the licensee notified ASIC of that reportable situation?	
* Date the licensee notified ASIC of the reportable situation (if more than one notification was submitted about this, provide one of the dates a notification was submitted)	
* Explain why the licensee has not notified ASIC of that reportable situation	
Continuing education requirements	
* During the relevant financial year, did the licensee and/or its responsible managers comply with any applicable ongoing education requirements?	
Where the licensee is a limited licensee and/or its responsible managers are recognised accountants, the above question includes compliance with the continuing education requirements specified by the relevant accounting body or bodies of which they hold membership.	
* Does the licensee consider that failure to comply with ongoing education requirements to be a reportable situation under section 912D of the Corporations Act 2001 ?	
* Explain why that is not a reportable situation	
* Has the licensee notified ASIC of that reportable situation?	
* Date the licensee notified ASIC of the reportable situation (if more than one notification was submitted about this, provide one of the dates a notification was submitted)	
* Explain why the licensee has not notified ASIC of that reportable situation	
Training	
* During the relevant financial year, did the licensee ensure that its representatives were adequately trained and competent to provide the financial services authorised by the licence?	
For further information, refer to Regulatory Guide 146 Licensing: training of financial product advisers (RG 146) .	

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* Does the licensee consider that failure to ensure representatives were adequately trained and competent to be a reportable situation under section 912D of the Corporations Act 2001 ?	
* Explain why that is not a reportable situation	
* Has the licensee notified ASIC of that reportable situation?	
* Date the licensee notified ASIC of the reportable situation (if more than one notification was submitted about this, provide one of the dates a notification was submitted)	
* Explain why the licensee has not notified ASIC of that reportable situation	

Compliance certificate – part 3

Internal dispute resolution	
* During the relevant financial year, did the licensee have an internal dispute resolution system: <ul style="list-style-type: none"> that was compliant with the standards and requirements set out in Regulatory Guide 271 <i>Internal dispute resolution</i> (RG 271) covering complaints retail clients made about the licensee? 	
* Does the licensee consider that failure to have such an internal dispute resolution system to be a reportable situation under section 912D of the Corporations Act 2001 ?	
* Explain why that is not a reportable situation	
* Has the licensee notified ASIC of that reportable situation?	
* Date the licensee notified ASIC of the reportable situation (if more than one notification was submitted about this, provide one of the dates a notification was submitted)	
* Explain why the licensee has not notified ASIC of that reportable situation	
External dispute resolution	
* During the relevant financial year, did the licensee have continuous membership of the	

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Australian Financial Complaints Authority (AFCA)?	
* Was the licensee authorised by the AFS licence to provide financial services to retail clients at any time during that period in the relevant financial year where the licensee did not have membership of AFCA?	
* Does the licensee consider that failure to have an AFCA membership while being authorised to provide financial services to retail clients to be a reportable situation under section 912D of the Corporations Act 2001 (Corporations Act)?	
* Explain why that is not a reportable situation	
* Has the licensee notified ASIC of that reportable situation?	
* Date the licensee notified ASIC of the reportable situation (if more than one notification was submitted about this, provide one of the dates a notification was submitted)	
* Explain why the licensee has not notified ASIC of that reportable situation	
* AFCA membership number	
Risk management	
* During the relevant financial year, did the licensee have adequate risk management systems as set out in Regulatory Guide 104 <i>AFS licensing: Meeting the general obligations</i> (RG 104)?	
* Does the licensee consider that failure to have adequate risk management systems to be a reportable situation under section 912D of the Corporations Act 2001 ?	
* Explain why that is not a reportable situation	
* Has the licensee notified ASIC of that reportable situation?	
* Date the licensee notified ASIC of the reportable situation (if more than one notification was submitted about this, provide one of the dates a notification was submitted)	
* Explain why the licensee has not notified ASIC of that reportable situation	
Details on the Australian financial services licensee register	

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<p>* Are the licensee's details on the register of Australian financial services licensees up to date?</p>	
<p>You can check the details shown on the register by searching the Professional Registers Search. Refer to Lodgement requirements for AFS licensees for guidance if the licensee needs to update any details.</p>	
<p>* Does the licensee consider that failure to notify ASIC of a change to its details on the register to be a reportable situation under section 912D of the Corporations Act 2001?</p>	
<p>* Explain why that is not a reportable situation</p>	
<p>* Has the licensee notified ASIC of that reportable situation?</p>	
<p>* Date the licensee notified ASIC of the reportable situation (if more than one notification was submitted about this, provide one of the dates a notification was submitted)</p>	
<p>* Explain why the licensee has not notified ASIC of that reportable situation</p>	
<p>Representatives details</p>	
<p>* Number of financial advisers the licensee had at the end of the financial year</p>	
<p>* Number of authorised representatives the licensee had at the end of the financial year</p>	
<p>* Are all details of the licensee's financial advisers and authorised representatives on ASIC's relevant registers complete, accurate and up to date?</p>	
<p>You can check the details shown on those registers by:</p> <ul style="list-style-type: none"> • searching the Professional Registers Search to check details of the licensee's authorised representatives, and • searching the Financial Advisers Register to check details of the licensee's financial advisers. <p>Refer to Lodgement requirements for AFS licensees and Who updates the Financial Advisers Register? if the licensee needs to update any details.</p>	
<p>* Does the licensee consider that failure to notify ASIC of changes to details of its financial advisers and authorised representatives to be a reportable situation under section 912D of the Corporations Act 2001?</p>	
<p>* Explain why that is not a reportable situation</p>	
<p>* Has the licensee notified ASIC of that reportable situation?</p>	

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* Date the licensee notified ASIC of the reportable situation (if more than one notification was submitted about this, provide one of the dates a notification was submitted)	
* Explain why the licensee has not notified ASIC of that reportable situation	
Breach reporting	
* Did the licensee comply with its obligations under section 912DAA of the Corporations Act 2001 to notify ASIC of all reportable situations?	
For further information, refer to Regulatory Guide 78 <i>Breach reporting by AFS licensees and credit licensees</i> (RG 78).	
* Provide details, including an explanation of why the licensee did not comply with this requirement	

Auditor's report

Auditor details

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No auditor is appointed to this AFS licence. Whenever the licensee appoints an auditor, it must submit the 'Notify ASIC or apply to ASIC about Australian financial services licensee auditor appointments' transaction to notify of the appointment of its auditor.
Auditor details recorded against AFS licence
We have pre-filled details of the current auditor(s) recorded against the AFS licence. Expand the record to see details.

Current auditor details recorded against the AFS licence

Given name	
Other given name(s)	
Family name	
Business name	

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Organisation name	
Australian Company Number / Australian Registered Body Number	
Australian Business Number	
Auditor registration number	

Note: If the licensee has submitted a 'Notify ASIC or apply to ASIC about Australian financial services licensee auditor appointments' transaction to notify of the appointment of the auditor who was engaged to audit its financial statements and the information shown on this page indicates ASIC has not yet processed that update, you can wait for the update to be processed, but it is not mandatory for you to do so.

If you want to refresh the pre-filled information, click the Refresh button. Refreshing may clear any information you had previously entered in this section.

* Is the auditor who was engaged to audit the licensee's financial statements for the relevant financial year listed above?	
* Select the auditor	
* Is the auditor an auditor-general (federal or state)?	
For information about the requirements relating to changing an auditor of an AFS licence, refer to Resignation and removal of auditors of AFS licensees .	
* Explain why the auditor is different to the current auditor recorded for the AFS licence	
For information about the requirements relating to changing an auditor of a public company, refer to Resignation of an auditor of a public company or Removal of an auditor of a company .	
Provide details of the auditor	
* Auditor appointment date	
* Select the auditor type	
Registered company auditor or authorised audit company	
* Enter their auditor registration number	
You can check the auditor registration number by searching the Professional Registers Search .	
* Given name	
Other given name(s)	
* Family name	
* Authorised audit company name	

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* Australian Company Number / Australian Registered Body Number	
Audit firm	
* Select the relevant audit firm	
* Does the audit firm practice under a business name?	
Audit firm – business name(s)	
You can look up details of the business name by searching ASIC Business Names Register within Business names index search.	
* Was the business name registered after 28 May 2012?	
* Enter an Australian Business Number (ABN)	
If this business name is registered in more than one state, provide the following information for the principal state of operation only.	
* Select the state or territory of registration of the business name	
You must enter the state or territory registration number as it appears in the ASIC Business Names Register. You can check the business name by searching the Organisation and Business Names Register on the ASIC Connect website .	
* Enter the state or territory registration number	
* Business name associated with the firm	
* Firm name or auditor-general title	
If the auditor is an auditor-general, provide their title – e.g. Auditor-General for Australia; Auditor-General of Victoria.	
Audit firm – registered company auditor	
* Enter the auditor registration number of a registered company auditor who is a member of the firm	
You can check the auditor registration number by searching the Professional Registers Search .	
* Given name	
Other given name(s)	
* Family name	
Details of the person who signed the auditor's report	

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* Enter the registered auditor number for the person who signed the auditor's report	
You can check the auditor registration number by searching the Professional Registers Search .	
* Given name	
Other given name(s)	
* Family name	

Report

<p>This section relates to the answers the auditor provided in their 'Auditor's report for Australian financial services licensee' for the relevant financial year.</p> <p>You will need to copy the auditor's answers or indicate the information the auditor provided in each relevant Part or section of their report.</p>	
Part 1: Application statements	
<p>Copy the answers the auditor provided in Part 1 'Application statements' of their auditor's report for the relevant financial year.</p> <p>If you answer 'Yes' to any of the questions below, you will be prompted to populate 'From' and 'To' fields with the dates the auditor entered relevant to that 'Yes' answer.</p>	
* What was the auditor's response to the question 'Has this auditor's report been prepared on the basis that the licensee was a limited licensee (as defined in regulation 7.8.12A of the Corporations Regulations) for any part of the relevant financial year?'	
From	
To	
* What was the auditor's response directly under '(a) a retail OTC derivative issuer?'	
From	
To	
* What was the auditor's response directly under '(b) authorised to operate registered schemes as a responsible entity?'	
From	
To	
* What was the auditor's response directly under	

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'(c) authorised to operate an IDPS as an IDPS operator'??	
From	
To	
* What was the auditor's response directly under '(d) authorised to operate the business and conduct the affairs of a retail CCIV'??	
From	
To	
* What was the auditor's response directly under '(e) authorised to authorised to provide custodial or depository services'??	
From	
To	
* What was the auditor's response directly under '(f) authorised to provide a crowd-funding service'??	
From	
To	
* What was the auditor's response to the question 'Has the auditor's report been prepared on the basis that during any part of the financial year the licensee relied on being a market participant or a clearing participant...'??	
From	
To	
* What was the auditor's response to the question 'Has the auditor's report been prepared on the basis that during any part of the financial year the licensee relied on being, and was, an APRA-regulated body'?	
From	
To	
Part 2: Independent auditor's report – subsection 989B(3) of the Corporations Act	
Copy the answers the auditor provided in Part 2 'Independent auditor's report – subsection 989B(3) of the Corporations Act' of their auditor's report for the relevant financial year.	

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Report on the licensee's financial statements	
* Which selection(s) did the auditor make in this section of the auditor's report (you can select more than one)	
Report on internal controls and required accounts	
* Has the auditor made a selection under the subheading 'Modified opinion' within this section of the auditor's report?	
* Which of these selection(s) did the auditor make in this section of the auditor's report (you can select more than one)?	
Report on records, information and explanations	
* Has the auditor made a selection under the subheading 'Modified opinion' within this section of the auditor's report?	
* Which of these selection(s) did the auditor make in this section of the auditor's report (you can select more than one)?	
Part 4: Licence conditions – base level financial requirements	
Copy the answers the auditor provided in Part 4 'Licence conditions – base level financial requirements' of their auditor's report for the relevant financial year.	
* At the beginning of this Part of the report, what did the auditor select directly under the text 'Part 4 of this auditor's report'?	
Licence conditions	
* Provide the first licence condition number that the auditor entered within the 'Licence conditions' section	
* Provide the second licence condition number that the auditor entered within the 'Licence conditions' section	
Cash needs requirements option	
* Did the auditor provide an option number within the 'Cash needs requirements option' section?	
* Which option(s) did the auditor indicate the licensee used (you can select more than one)?	
Populate the 'From' and 'To' fields with the dates the auditor entered relating to 'Option 1' or 'Option 2'.	

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* From	
* To	
* Has the auditor made a selection under the subheading 'Modified opinion' within the "Option 1' and 'Option 2'" section of the auditor's report?	
* Which of these selection(s) did the auditor make in this section of the auditor's report (you can select more than one)?	
Populate the 'From' and 'To' fields with the dates the auditor entered relating to 'Option 3'.	
* From	
* To	
* Has the auditor made a selection under the subheading 'Modified opinion' within the 'Option 3' section of the auditor's report?	
* Which of these selection(s) did the auditor make in this section of the auditor's report (you can select more than one)?	
Populate the 'From' and 'To' fields with the dates the auditor entered relating to 'Option 4'.	
* From	
* To	
* Has the auditor made a selection under the subheading 'Modified opinion' within the 'Option 4' section of the auditor's report?	
* Which of these selection(s) did the auditor make in this section of the auditor's report (you can select more than one)?	
Populate the 'From' and 'To' fields with the dates the auditor entered relating to 'Option 5', directly under the text 'The licensee purports to comply with Alternative A in subparagraph 13(c)(v)(E) for the following period'.	
From	
To	
Populate the 'From' and 'To' fields with the dates the auditor entered relating to 'Option 5', directly under the text 'The licensee relied on Alternative B in subparagraph 13(c)(v)(E) for the following period'.	
From	
To	

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Populate the 'From' and 'To' fields with the dates the auditor entered relating to 'Option 5', directly under the text 'In relation to the period'.	
* From	
* To	
* Has the auditor made a selection under the subheading 'Modified opinion' within the 'Option 5' section of the auditor's report?	
* Which of these selection(s) did the auditor make in this section of the auditor's report (you can select more than one)?	
Part 5: Licence conditions – retail OTC derivative issuer	
Copy the answers the auditor provided in Part 5 'Licence conditions – retail OTC derivative issuer' of their auditor's report for the relevant financial year.	
* At the beginning of this Part of the report, what did the auditor select directly under the text 'Part 5 of this auditor's report'?	
Populate the 'From' and 'To' fields with the dates the auditor entered in this section directly under the text 'In relation to the period'.	
* From	
* To	
* Has the auditor made a selection under the subheading 'Modified opinion' within this section of the auditor's report?	
* Which of these selection(s) did the auditor make in this section of the auditor's report (you can select more than one)?	
Part 6: Licence conditions – responsible entity or IDPS operator or corporate director of CCIV	
Copy the answers the auditor provided in Part 6 'Licence conditions – responsible entity or IDPS operator or corporate director of retail CCIV' of their auditor's report for the relevant financial year.	
* At the beginning of this Part of the report, what did the auditor select directly under the text 'Part 6 of this auditor's report'?	
Populate the 'From' and 'To' fields with the dates the auditor entered in this section directly under the text 'In relation to the period'.	
* From	
* To	

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* Has the auditor made a selection under the subheading 'Modified opinion' within this section of the auditor's report?	
* Which of these selection(s) did the auditor make in this section of the auditor's report (you can select more than one)?	
Part 7: Licence conditions – custodial or depository service provider	
Copy the answers the auditor provided in Part 7 'Licence conditions – custodial or depository service provider' of their auditor's report for the relevant financial year.	
* At the beginning of this Part of the report, what did the auditor select directly under the text 'Part 7 of this auditor's report'?	
Populate the 'From' and 'To' fields with the dates the auditor entered in this section directly under the text 'In relation to the period'.	
* From	
* To	
* Has the auditor made a selection under the subheading 'Modified opinion' within this section of the auditor's report?	
* Which of these selection(s) did the auditor make in this section of the auditor's report (you can select more than one)?	
Part 8: Licence conditions – Crowd-sourced funding intermediary	
Copy the answers the auditor provided in Part 8 'Licence conditions – crowd-sourced funding intermediary' of their auditor's report for the relevant financial year.	
* At the beginning of this Part of the report, what did the auditor select directly under the text 'Part 8 of this auditor's report'?	
Populate the 'From' and 'To' fields with the dates the auditor entered in this section directly under the text 'In relation to the period'.	
* From	
* To	
* Has the auditor made a selection under the subheading 'Modified opinion' within this section of the auditor's report?	
* Which of these selection(s) did the auditor make in this section of the auditor's report (you can	

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select more than one)?	
Part 9: Non-material matters	
Indicate whether the auditor populated any information into Part 9 'Non-material matters' of their auditor's report for the relevant financial year.	
* Has the auditor populated any information into this section?	
Part 11: Section 990K matters	
Indicate whether the auditor populated any information into Part 11 'Section 990K matters' of their auditor's report for the relevant financial year.	
* Has the auditor populated any information into this section?	
* Which selection(s) did the auditor make in this section directly under the text 'We have reported all matters to ASIC as required by section 990K'?	
Date audit report signed	
* Date the auditor signed the audit report	

Document upload

Attach the financial statements which, if the licensee prepares consolidated financial statements for itself and its controlled entities, can be presented as separate items in the same document as the consolidated financial statements.	
* Attach the financial statements for the relevant financial year (you can upload up to 10 files)	
* Attach the 'Auditor's report for Australian financial services licensee'	
If ASIC Corporations (Managed Discretionary Account Services) Instrument 2016/968 requires the licensee to lodge an audit report, attach that report	
If ASIC Corporations (Investor Directed Portfolio Services) Instrument 2023/669 requires the licensee to lodge an audit report, attach that report	
If for any other reason an audit report is required, attach that report (you can upload up to 10 files)	

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Certification

<p>* 1. The licensee certifies that, subject to paragraphs 2 and 3:</p> <p>(a) the profit and loss statement and balance sheet are included in financial statements (within the meaning of paragraph 10 of Accounting Standard AASB 101 <i>Presentation of Financial Statements</i>) that:</p> <p>(i) give a true and fair view of the matters stated in the financial statements</p> <p>(ii) if the licensee is one or more of the following at the end of the financial year, have been prepared on the basis that Tier 1 reporting requirements (as described in Accounting Standard AASB 1053 <i>Application of Tiers of Australian Accounting Standards</i>) apply:</p> <ul style="list-style-type: none">• a body regulated by the Australian Prudential Regulation Authority• a participant in a licensed market• a participant in a clearing and settlement facility• a licensee that forms part of the retail over-the-counter derivative issuers sub-sector (as defined in regulation 61 of the ASIC Supervisory Cost Recovery Levy Regulations 2017)• a licensee that forms part of the wholesale electricity dealers sub-sector (as defined in regulation 62 of the ASIC Supervisory Cost Recovery Levy Regulations 2017)• a licensee that deals in financial products and that forms part of the corporate advisors sub-sector (as defined in regulation 63 of the ASIC Supervisory Cost Recovery Levy Regulations 2017)• a licensee that forms part of the over-the-counter traders sub-sector (as defined in regulation 66 of the ASIC Supervisory Cost Recovery Levy Regulations 2017)• a licensee that forms part of the wholesale trustees sub-sector (as defined in regulation 37 of the ASIC Supervisory Cost Recovery Levy Regulations 2017)• a responsible entity of a registered scheme	
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<ul style="list-style-type: none"> • a corporate director of a corporate collective investment vehicle • a licensee that holds an AFS licence that authorises the holder to provide a custodial or depository service, and • a licensee that holds an AFS licence that authorises the holder to operate an IDPS (as defined in ASIC Corporations (Investor Directed Portfolio Services) Instrument 2023/669) <p>(iii) if the licensee had 'control of an investee' as defined in Accounting Standard AASB 10 <i>Consolidated Financial Statements</i> at any time during the financial year, include both parent entity and consolidated financial statements except that an intermediate parent entity need not present consolidated financial statements where an exemption in the accounting standards applies</p> <p>(iv) if the financial statements do not comply with a requirement of an accounting standard in order to give a true and fair view, disclose the non-compliance and its impact in the notes to the financial statements, and</p> <p>(v) subject to paragraphs (i) to (iv) above, comply with the accounting standards, and</p> <p>(b) if the licensee is a body corporate, the board or other governing body of the licensee has resolved to the effect of paragraph (a).</p> <p>2. If the licensee is a natural person, the financial statements may exclude revenue and expenses that do not relate to any business of the licensee or all revenue and expenses that do not relate to a financial services business of the licensee, provided the exclusion is noted in the financial statement.</p> <p>3. If the licensee:</p> <p>(a) is not a reporting entity (within the meaning of the first paragraph of the definition of 'reporting entity' in Accounting Standard AASB 1057 <i>Application of Accounting Standards</i>), and</p> <p>(b) prepared a special purpose financial report for the immediately preceding financial year,</p> <p>then for its financial statements for a financial year commencing 1 July 2021 to 23 June 2022 and/or the comparative information in its</p>	<p style="text-align: center; opacity: 0.5; font-size: 2em; transform: rotate(-45deg);">Draft - Not for lodgement</p>
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<p>financial statements for financial years commencing before 23 June 2023:</p> <p>(c) if the licensee is not required to prepare a financial report under Chapter 2M of the Corporations Act 2001 (Corporations Act), the licensee may choose to only disclose the following:</p> <ul style="list-style-type: none"> (i) the profit and loss statement and balance sheet (ii) information that would have been required by the accounting standards for special purpose financial reports for years commencing 1 July 2020, and (iii) information necessary to give a true and fair view, and <p>(d) if the licensee is required to prepare a financial report under Chapter 2M of the Corporations Act, the licensee must prepare financial statements for the purposes of reporting under Chapter 7 based on:</p> <ul style="list-style-type: none"> (i) Tier 1 reporting requirements if the licensee has 'public accountability' (as defined in Appendix A of Accounting Standard AASB 1053 <i>Application of Tiers of Australian Accounting Standards</i>), and (ii) otherwise, either Tier 1 reporting requirements or Tier 2 reporting requirements. 	
<p>* The licensee certifies that during the financial year it has complied with all the financial requirements of the Corporations Act and the conditions on the licence, as modified, and the requirements relating to trigger points, except as it has disclosed in writing to ASIC.</p>	
<p>* The licensee certifies that the 'Auditor's report for Australian financial services licensee' attached to this transaction is a true copy of the auditor's report on the financial statements under subsection 989B(3) of the Corporations Act.</p>	
<p>* The licensee certifies that information in the compliance certificate attached to this transaction is complete and accurate.</p>	

Contact details

<p>* Who should ASIC contact if there is a query about this transaction?</p>	
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Privacy Collection Notice

The Privacy Collection Notice given under APP 5 of the *Privacy Act 1988* applies to your provision of personal or sensitive information in this section.

If you are providing personal details of another person, you are responsible for obtaining and recording their [consent](#) before you provide their personal or sensitive information in this section.

* Given name	
Other given name(s)	
* Family name	
* Contact phone number	
* Email address	
Company or business name	
Role	
* Is the contact person's address in Australia?	
* Enter an Australian address	
Can't find your address?	
Unit / Office	
Building / Property name	
Floor / Level	
* Street number	
* Street name	
* Street type	
* Suburb / City	
* State / Territory	
* Postcode	
* Country / Territory	foreign address
* Other country	foreign address
* Address line 1	foreign address
Address line 2	foreign address
* City / Municipality	foreign address

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* Province / County / State	foreign address
* Postal Code / ZIP Code	foreign address

Fee summary

Late lodgement fee	
There is no fee associated with this transaction.	

Declaration

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.

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.

This document includes a compliance certificate as required by s989B(3)(a) of the [Corporations Act 2001](#), as inserted by reg 7.8.12A of the [Corporations Regulations 2001](#).

Regulation 7.8.13A requires the compliance certificate to be signed by:

- if the licensee is an individual, the licensee;
- if the licensee is a corporation, an officer of the corporation; or
- if the licensee is a partnership or the trustees of a trust, a partner or trustee who performs duties in relation to financial services.

You must not submit the transaction unless you meet the signatory requirements of reg 7.8.13A.

In submitting this document, I confirm on behalf of the Regulated Entity that:

1. I am authorised by the Regulated Entity to submit the information set out in this form;
2. I am:
 - (a) if the licensee is an individual, the licensee; or
 - (b) if the licensee is a corporation, an officer of the corporation; or
 - (c) if the licensee is a partnership of the trustees of a trust, a partner or trustee who performs duties in relation to financial services.
3. 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 *Criminal Code Act 2001*, s1308 *Corporations Act 2001* and s225 *National Consumer Credit Protection Act 2009*).

In submitting this document, I confirm on behalf of the Regulated Entity that:

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 *Criminal Code Act 2001*, s1308 *Corporations Act 2001* and s225 *National Consumer Credit Protection Act 2009*).

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Confirmation

You have submitted your transaction.

Reference number:

Date and time:

Blank - not for lodgement

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