

# Australian Securities & Investments Commission

## Statement of Personal Information

This template is to be used only in relation to fit and proper persons as outlined in section 913BA of the *Corporations Act 2001* that are not also nominated responsible managers of the Applicant.

## 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](http://www.asic.gov.au).

## Statement of Personal Information for:

### For Applicant name:

### 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

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

### For more information

Web [www.asic.gov.au](http://www.asic.gov.au)

Need help? [www.asic.gov.au/question](http://www.asic.gov.au/question)

Telephone 1300 300 630