



How to respond to a notice

ASIC Regulatory Portal user guide | Version 1.2, March 2024



The steps below describe how to provide a formal response for a notice.

If you want to ask a question in writing before you provide the formal response, you can send a message about the notice through the portal. See user guide 'How do I send a message about a notice' in our [FAQs about messages, notifications and official notices](#).

1. Log in to the [ASIC Regulatory Portal](#).
2. This will open the Select entity page, which will list all your current connections. To view and respond to notices for an entity you can either:
 - A Select an **entity** from your list of current connections to access the entity's dashboard. Then click **Notices** in the top navigation bar; or
 - B Click the triangle shaped **Notices icon** for the entity whose notices you wish to view.

Back to portal homepage

Select entity

Who would you like to represent?

Select an entity from the list below or click '+ Connect to an entity' to add another entity.

[+ Connect to an entity](#)

Entity name	Entity type	ASIC identifier	Messages	Notices count
Shane Ross (Myself)	Individual		1	2

Note: The number on the triangle icon indicates the number of unread notices.

3. This will take you to the **Notices** page. Click the notice you wish to respond to.

Shane Ross
[Switch entity](#) / [Connect to another entity](#)

Dashboard Transactions Messages Administration Notices Transaction Groups

Notices

All Unread

Title	Reference number	Date served	Response due by	Status	Restricted
Notice requiring reasonable assistance in connection	NTC20062	28 Nov 2020 08:09 (AEDT)	29 Nov 2020 00:00 (AEDT)	Completed	🔒
Notice requiring the production of books	NTC20040	25 Jul 2020 11:34 (AEST)	31 Jul 2020 00:00 (AEST)	Response Required	🔒

4. Click **Formally respond to this notice**. This will launch a Respond to an Official ASIC Notice transaction.

Shane Ross
[Switch entity](#) / [Connect to another entity](#)

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Notice

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Notice Messages for this notice

Notice information

This is a formal notice issued by the Australian Securities and Investments Commission.

Notices require a formal response. You can respond online or by post. Please view the PDF and submit your formal response by the due date.

In order to mark a notice as 'read', you must view the full notice in the PDF below.

Messages can contain up to a maximum of 3000 characters. You can add up to 10 attachments (25.0 MB maximum per file). The allowed file types are DOC, DOCX, XLS, XLSX, PPT, PPTX, PDF, CSV, TXT, RTF, GIF, JPG, JPEG, PNG.

🔒 Notice access restrictions

Notice requiring the production of books

Recipient: Shane Ross
Entity served on: Shane Ross
Reference number: NTC2004
Date served: 25 Jul 2020 11:34 (AEST)

Response due: 26 Jul 2020 00:00 (AEST)

[Formally respond to this notice](#) ?

[Send ASIC a message about this notice](#)

[Open notice](#)

5. Enter the notice response and attach supporting documentation (if applicable). Click **Next** to navigate through the transaction. You can also click **Save & close** and return to complete the response later.

Official ASIC Notice response

Review

Declaration

Confirmation

Save & close

Important note
This transaction is for responding formally to an official ASIC notice.

To ask a question or clarify the contents of the notice, 'Save & close' this response and then choose 'Send ASIC a message about this notice'.

If you wish to advise ASIC that the recipient of the notice holds no relevant information, please state this in the 'Notice response message' field below.

Note: You can add up to 10 attachments (25.0 MB maximum per file). The allowed file types are DOC, DOCX, XLS, XLSX, PPT, PPTX, PDF, CSV, TXT, RTF, BMP, GIF, JPEG, PNG, TIF, TIFF, ZIP, 7ZIP, RAR, GZIP, EML, MDB, MSG, 7Z.

Response to the official ASIC notice issued to **Shane Ross** (Notice)

Reference number: NTC2317

* Notice response message (Maximum 3,000 characters)

Attachments

Add more

Save **Next**



Note: The notice response message can contain up to a maximum of 3000 characters. You can add up to 10 attachments to your response (25.0 MB maximum per file). The allowed file types are DOC, DOCX, XLS, XLSX, PPT, PPTX, PDF, CSV, TXT, RTF, GIF, JPG, JPEG and PNG.

6. Make the required declarations, then click **Submit response to notice**.

Declarant and authority

I am logged into the Portal with my personal log in details. I submit this document and make the following declarations.

Confidential and personal information

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.

I have read and understood ASIC's Privacy Collection Notice for the Regulatory Portal and Privacy Policy.

True and correct

I make the following declarations:

I understand that giving false or misleading information or documents to ASIC is a serious offence.

I understand that failing to properly comply with a notice ASIC issues is an offence.

To the best of my knowledge and understanding, by submitting the information in this document, the notice has been complied with.

[Back](#) [Submit response to notice](#)

7. Once you have submitted the notice response, a confirmation page is displayed that includes a reference number for your own records. Click **Finish** to return to the entity's dashboard. The status of the notice will then be updated on the notices dashboard.

Official ASIC Notice response

Declaration

Confirmation

Confirmation

You have submitted your transaction.

Reference number: 1XX
Date and time: 14-Aug-2019 12:07

What happens next?
You can view the status of this transaction on the [View all transactions](#) page for this entity.

If we need to contact you about this transaction we will do so through the portal.

[Finish](#)



Different statuses of notices in the portal explained:

- **Response required** – The formal response has not yet been submitted to ASIC via the portal.
- **Response submitted** – The formal response has been submitted to ASIC.
- **Completed** – ASIC has determined that no further response is required for the notice.
- **Withdrawn by ASIC** – ASIC has withdrawn the notice. This can only occur before the notice is 'Completed'.