



**ASIC**  
Australian Securities &  
Investments Commission

# How to respond to a notice

ASIC Regulatory Portal user guide | Version 1.3, March 2026



**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 to send a message about a notice' in our [FAQs about messages, notifications and official notices](#).

## Log in and select an entity

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.

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## 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

Current connections

Entity name	Entity type	ASIC identifier	Messages	Notices count
<a href="#">Shane Ross (Myself)</a>	Individual			

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

## View notices

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

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Shane Ross  
Switch entity / Connect to another entity

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## Notices

All Unread

Notices

Title	Reference number	Date served	Response due by	Status	Restricted
<a href="#">Notice requiring reasonable assistance in connection</a>	NTC20062	28 Nov 2020 08:09 (AEDT)	29 Nov 2020 00:00 (AEDT)	Completed	
<a href="#">Notice requiring the production of books</a>	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.

The screenshot displays the ASIC Notice interface. At the top, there is a blue header with the word "Notice". Below the header, there is a navigation bar with a link to "Back to all Notices" and two tabs: "Notice" (active) and "Messages for this notice". The main content area is divided into sections. The first section, titled "Notice information", contains text explaining that this is a formal notice issued by the Australian Securities and Investments Commission, requiring a formal response. It also provides instructions on how to mark a notice as 'read' and lists the allowed file types for attachments (DOC, DOCX, XLS, XLSX, PPT, PPTX, PDF, CSV, TXT, RTF, GIF, JPG, JPEG, PNG). Below this is a section for "Notice access restrictions". The main notice content is titled "Notice requiring the production of books" and includes the following details: Recipient: Shane Ross, Entity served on: Shane Ross, Reference number: NTC2004, and Date served: 25 Jul 2020 11:34 (AEST). A red box highlights the "Response due: 26 Jul 2020 00:00 (AEST)" text. At the bottom of the notice content, there is a blue button labeled "Open notice" and a red-bordered button labeled "Formally respond to this notice" with a question mark icon. Below this is a button labeled "Send ASIC a message about this 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.

The screenshot shows a web interface for submitting an 'Official ASIC Notice response'. On the left is a sidebar with tabs for 'Review', 'Declaration', and 'Confirmation'. The main area contains an 'Important note' box with instructions on how to respond to an official ASIC notice, including a note about attachments (up to 10 files, 25.0 MB max per file). Below the note, there is a field for the notice recipient ('Shane Ross'), a reference number ('NTC2317'), and a large text area for the 'Notice response message' (limited to 3,000 characters). An 'Attachments' section with an 'Add more' button is located below the text area. At the top right of the form is a 'Save & close' button, and at the bottom right are 'Save' and 'Next' buttons.



**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.

## Declaration and submission

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.

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[← 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.

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[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'.