



User Guide

ASIC Regulatory Portal

How to restrict a transaction or a transaction group

Version 1.0

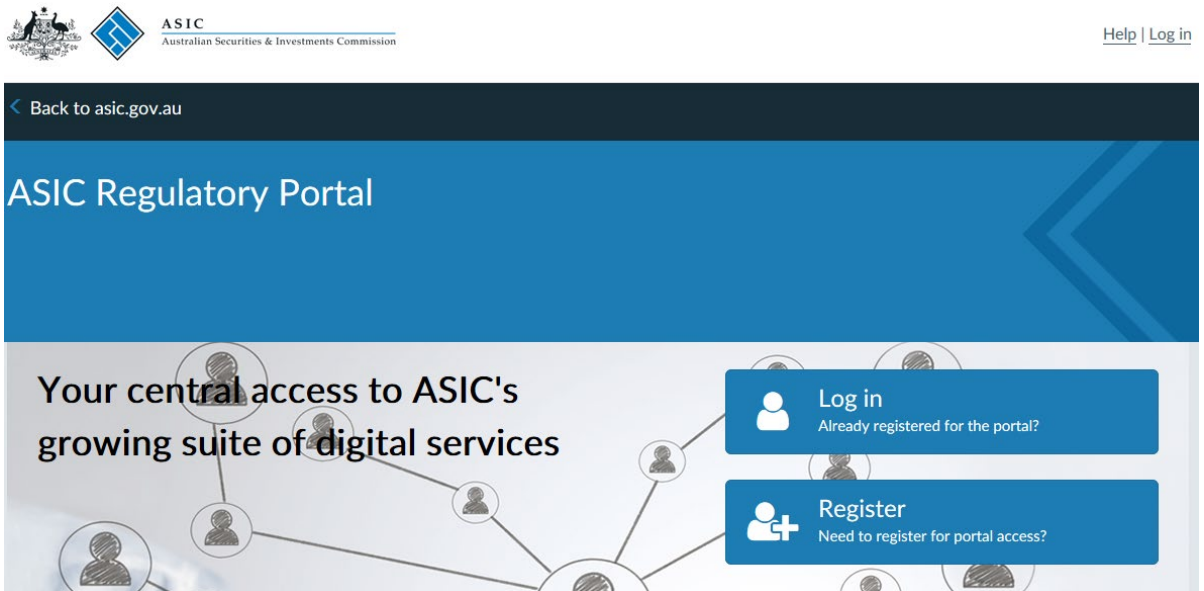


ASIC

Australian Securities & Investments Commission

How to restrict a transaction

1. Go to the **ASIC Regulatory Portal** – <https://regulatoryportal.asic.gov.au/>
2. On the portal homepage, click **Log in**.



3. Once you have logged into the portal, you will see the Select entity page which lists all your current connections. Select the entity from the list of connections that you would like to represent

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
Hannah Williams (Myself)	Individual	
Brody Jenner	Individual	
TEST COMPANY PROPRIETARY LIMITED	Australian registered company	

4. This will open the entity's dashboard. Click on **Start a new transaction**.

ASIC TEST COMPANY PTY LTD
Switch entity / Connect to another entity

Dashboard Transactions Messages Administration Notices

TEST COMPANY PTY LTD

Your industry funding invoice will arrive soon
If you are subject to industry funding, your industry funding invoice will be ready for payment from XX January 2019. We will notify registered portal users via email when invoices are available.
For more information, see our [FAQs](#).

+ Start a new transaction

Recent transactions ?

Title	Reference number	Last accessed	Accessed by	Status	Restricted ?
Apply for registration as an approved SMSF auditor	2072	09 Jan 2019 13:19 (AEDT)	ASIC	In Progress	

5. Select a transaction type.

Start a new transaction

Select a new transaction.

Industry funding

- Submit industry funding annual return 2020-21**
- Submit industry funding annual return 2019-20
- Submit industry funding annual return 2018-19
- Apply for a levy and/or penalty waiver
- Apply for a payment plan

6. Click on Launch transaction.

Dashboard Transactions Messages Administration Notices Transaction groups

- Applicable fees or levies
- Regulatory guides and related information
- What you will need
- Your privacy
- + Launch transaction**

7. The next screen you will see is the Transaction settings page. You will need to decide if you would like to restrict access to the transaction to selected users.

Dashboard Transactions Messages Administration Notices Transaction groups

Transaction settings

Do you want to restrict access to this transaction?

Setting access restrictions for a transaction
If you choose **not to restrict** access, all users connected to this entity will have access to this transaction.
If you choose **to restrict** access, only users you select will be able to access the transaction.
As you launched this transaction, you have access by default. Senior administrators have access by default; this cannot be changed.

Yes - restrict access No - allow access

To restrict access, click **Yes – restrict access**. This will show a list of all connected users and allows you to select who can access the transaction. Click **Next** to proceed to the confirmation page.

Note: Senior administrators have access to all transactions by default and cannot be restricted.

Dashboard Transactions Messages Administration Notices Transaction groups

Users who can access this transaction

<input type="checkbox"/> All	Name	Access level
<input checked="" type="checkbox"/>	Helen Edgar	SeniorAdmin
<input type="checkbox"/>	Geraldine Smith	Approver
<input checked="" type="checkbox"/>	Hannah Williams (Myself)	Approver
<input type="checkbox"/>	Joy Rogers	Approver
<input type="checkbox"/>	Diana Jones	Approver

You will then see the following warning message and a list of the users you have selected to give access to this transaction. Review the list and select **Yes** if you want to proceed or **Cancel** to go back to select other users.

The screenshot shows a warning dialog box with a dark blue header containing navigation links: Dashboard, Transactions, Messages, Administration, Notices, and Transaction groups. The main content area has a white background with a question: "Are you sure you want to restrict access to these users?". Below this is a red-bordered box containing the following text: "You are about to restrict access to this transaction. Restricting access to this transaction means only the users selected below will be able to access the transaction. Click 'Yes' to proceed with updating access restrictions or 'Cancel' to edit the users you have selected to have access to this transaction." Below the text is a table with two columns: "Name" and "Access level". The table lists two users: "Helen Edgar" with "SeniorAdmin" access level, and "Hannah Williams (Myself)" with "Approver" access level. At the bottom of the dialog are two buttons: "Cancel" and "Yes".

Name	Access level
Helen Edgar	SeniorAdmin
Hannah Williams (Myself)	Approver

If you select **No – allow access**, all users connected to the entity will be able to access the transaction.

8. You can also restrict access after you have created the transaction. To do this, from the entity dashboard or View all transactions page, open the transaction, click on the down arrow to the right of **Transaction access restrictions** and then click on the **Edit restrictions** button.

The screenshot shows the "Transaction access restrictions" page. At the top is a dark blue header with navigation links: Dashboard, Transactions, Messages, Administration, Notices, and Transaction groups. Below the header is a blue banner with the text "Submit industry funding annual return 2020-21". Underneath is a white area with a "Back to all transactions" link. There are two tabs: "Summary" and "Guide". Below the tabs is a grey header for "Transaction access restrictions" with a lock icon and an up arrow. The main content area says "Access to this transaction is not restricted." and has an "Edit restrictions" button with a lock icon. Below this is a table with four columns: "Reference number:", "Last accessed:", "Accessed by:", and "Status:". The table contains the following data: Reference number: 161726, Last accessed: 22 Sep 2021 16:23 (AEST), Accessed by: Hannah Williams, Status: Draft. At the bottom are two buttons: "Delete" and "Continue transaction".

Reference number:	Last accessed:	Accessed by:	Status:
161726	22 Sep 2021 16:23 (AEST)	Hannah Williams	Draft

This will take you to the **Transaction settings** page. The process for restricting access is the same as when creating the transaction described at step 7 above.

How to restrict transaction groups

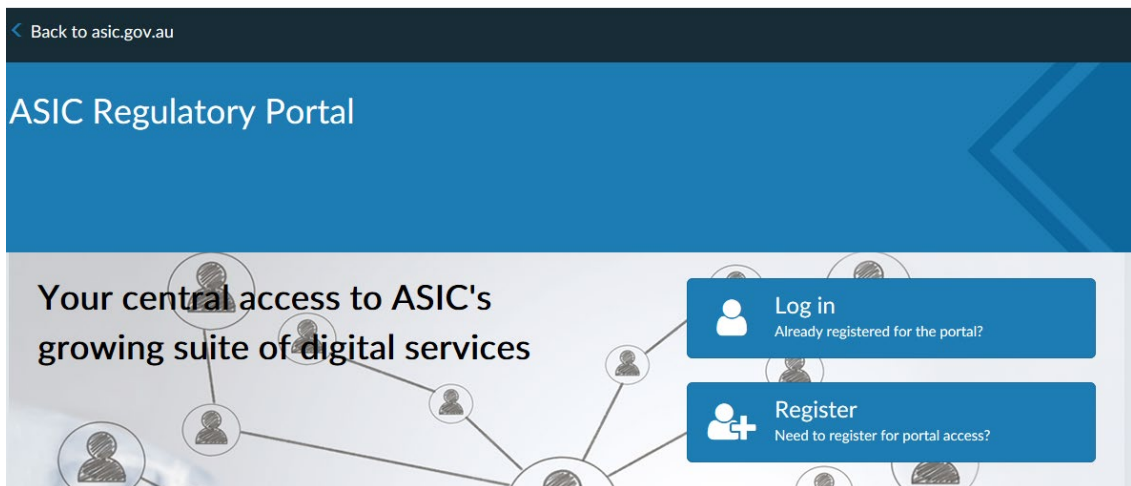
Currently, transaction groups are only for Australian financial services licensees (AFSL) and Australian credit licensees (ACL) breach reporting using the group Reportable situation events.

Note: You will **not** be prompted to restrict individual transactions within a transaction group as the restrictions settings you apply to the transaction group carry over to all transactions within the group.

1. Go to the ASIC Regulatory Portal – <https://regulatoryportal.asic.gov.au/>
2. On the portal homepage, click **Log in**.



[Help](#) | [Log in](#)



3. This will open the **Select entity** page which will list all your current connections. Select an entity from your list of current connections.

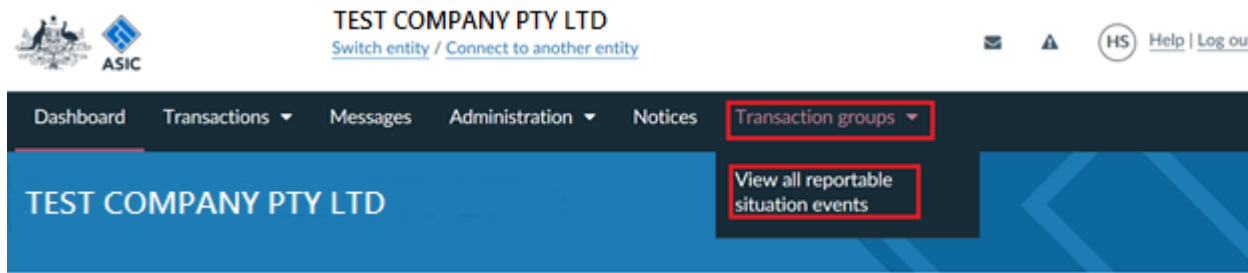
Who would you like to represent?

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

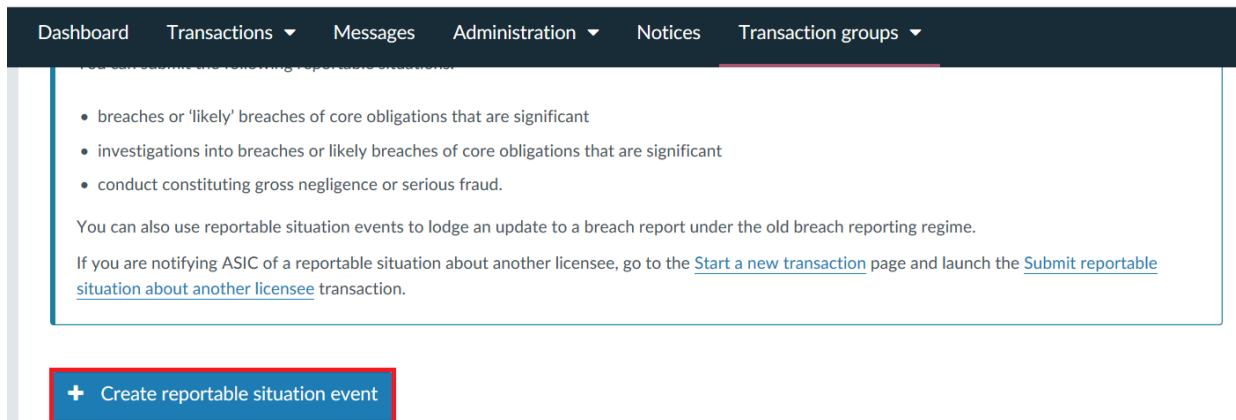
[+ Connect to an entity](#)

Current connections		
Entity name	Entity type	ASIC identifier
Hannah Williams (Myself)	Individual	
Brody Jenner	Individual	
TEST COMPANY PROPRIETARY LIMITED	Australian registered company	

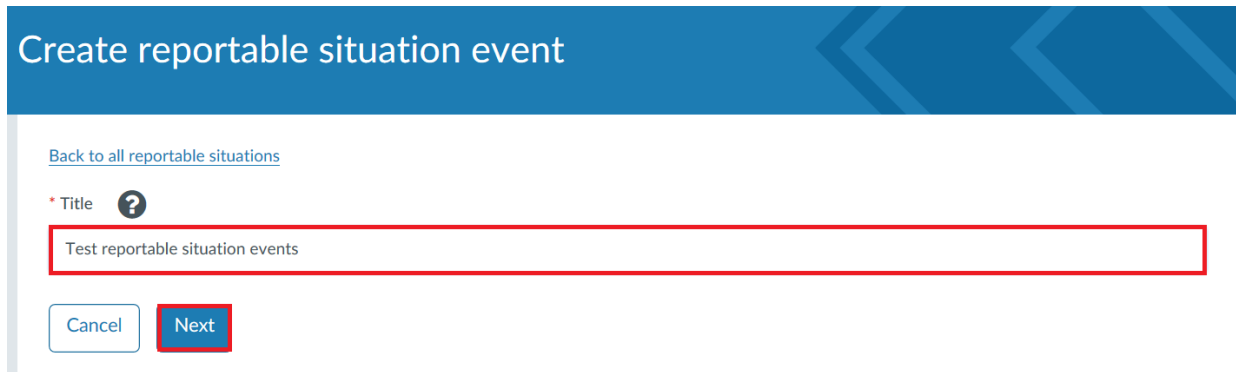
4. This will open the entity's dashboard. Click on Transaction groups – View all reportable situation events.



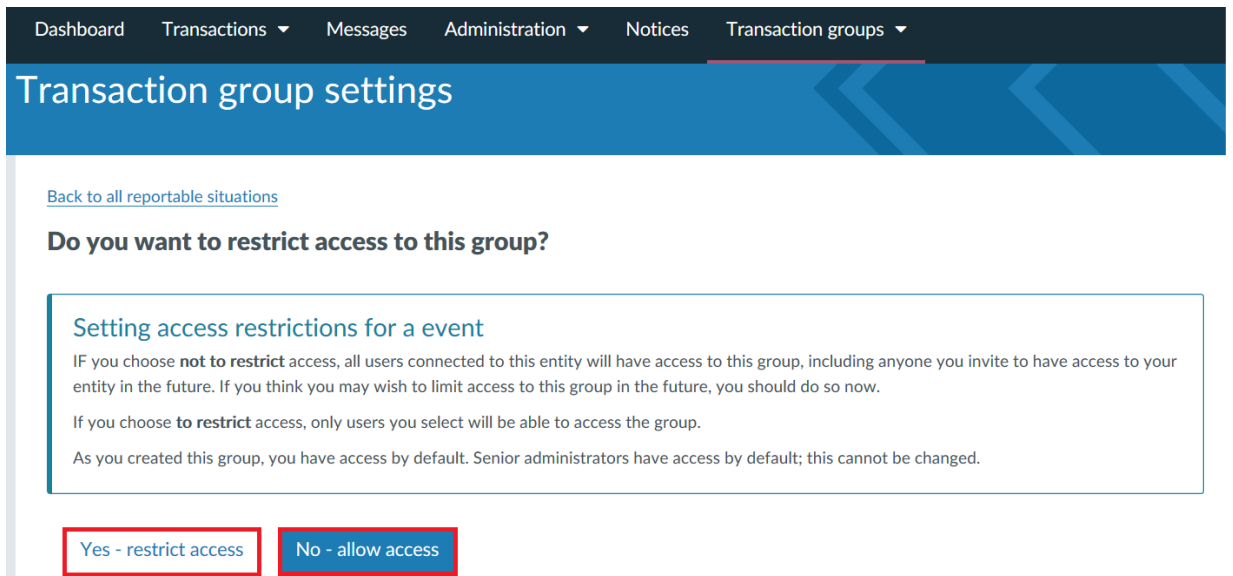
5. Select – Create reportable situation event



6. Once you create a transaction group and give it a title, click **Next**.



7. The next screen you will see is the **Transaction group settings** page. You will need to decide if you would like to restrict access to the transaction group to selected users.



Dashboard Transactions Messages Administration Notices Transaction groups

Transaction group settings

[Back to all reportable situations](#)

Do you want to restrict access to this group?

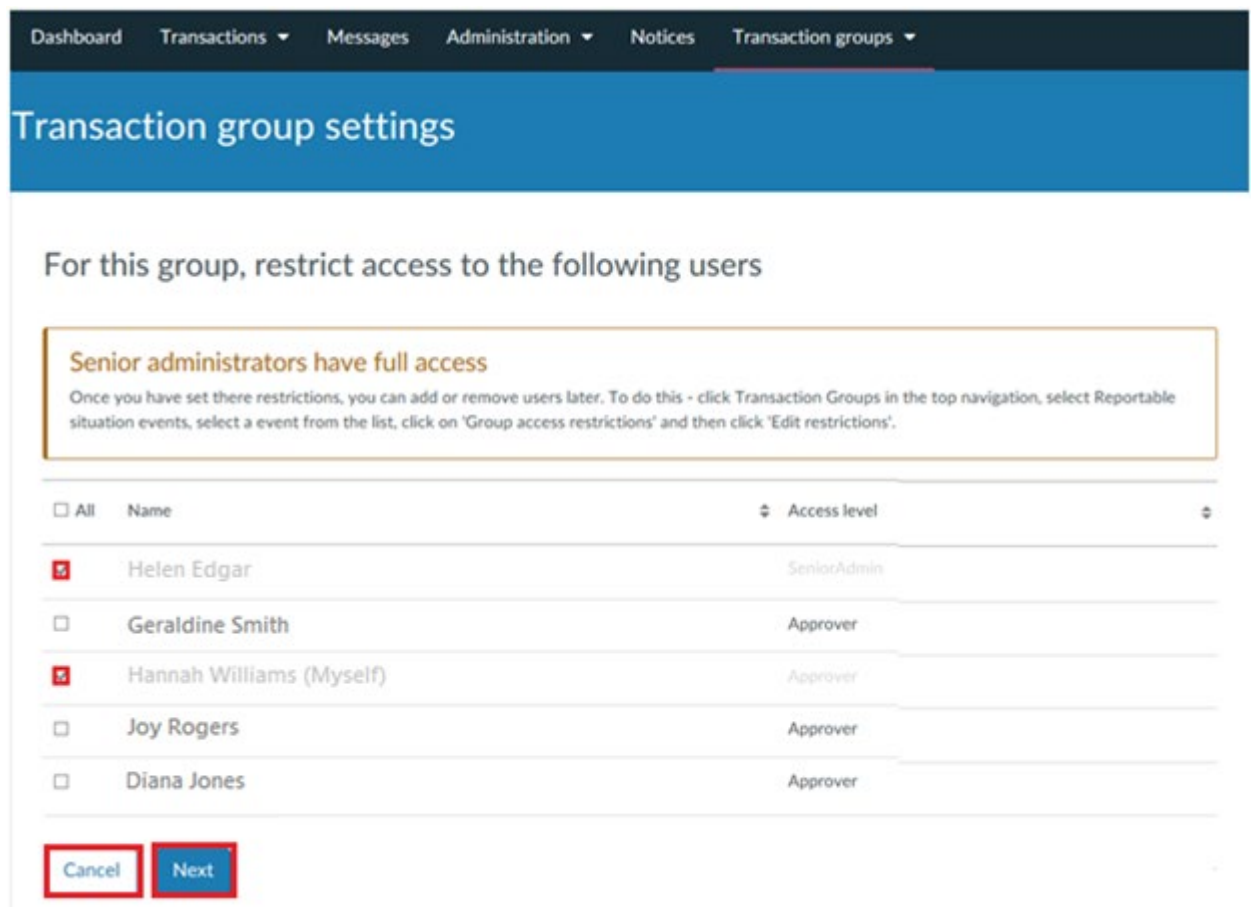
Setting access restrictions for a event

If you choose **not to restrict** access, all users connected to this entity will have access to this group, including anyone you invite to have access to your entity in the future. If you think you may wish to limit access to this group in the future, you should do so now.

If you choose **to restrict** access, only users you select will be able to access the group.

As you created this group, you have access by default. Senior administrators have access by default; this cannot be changed.

To restrict access, click **Yes – restrict access**. This will show a list of all connected users and allows you to select who can access the transaction group. Click **Next** to proceed to the confirmation page.



Dashboard Transactions Messages Administration Notices Transaction groups

Transaction group settings

For this group, restrict access to the following users

Senior administrators have full access

Once you have set there restrictions, you can add or remove users later. To do this - click Transaction Groups in the top navigation, select Reportable situation events, select a event from the list, click on 'Group access restrictions' and then click 'Edit restrictions'.

<input type="checkbox"/> All	Name	Access level
<input checked="" type="checkbox"/>	Helen Edgar	SeniorAdmin
<input type="checkbox"/>	Geraldine Smith	Approver
<input checked="" type="checkbox"/>	Hannah Williams (Myself)	Approver
<input type="checkbox"/>	Joy Rogers	Approver
<input type="checkbox"/>	Diana Jones	Approver

The below warning message will appear with the users you have selected to give access to this transaction. Select **Yes** if you want to proceed or **Cancel** to go back to change your selections

Are you sure you want to restrict access to these users?

You are about to restrict access to this transaction. Restricting access to this transaction means only the users selected below will be able to access the transaction.
Click 'Yes' to proceed with updating access restrictions or 'Cancel' to edit the users you have selected to have access to this transaction.

Name	Access level
Helen Edgar	SeniorAdmin
Hannah Williams (Myself)	Approver

If you select **No – allow access**, all users connected to the entity will be able to access the transaction group, including the transactions and messages in relation to the group.

8. Select Submit/update reportable situation by licensee

Test reportable situation events

[Back to all reportable situations](#)

Title:
Test reportable situation events

9. Select **Launch transaction** to proceed with your submission.

Note: You will **not** be prompted to restrict the transaction as the transaction group settings carry over to all transactions within the transaction group.

What you will need

Applicable fees and levies

Regulatory guides and related information

Your privacy

10. You can also restrict access after you have created the transaction group. To do this, from the reportable situation event landing page, open the transaction group, click on the down arrow to the right of **Group access restrictions** and then click on the **Edit restrictions** button.

Back to all reportable situations

Title:

Test reportable situation events

+ Submit/update reportable situation by licensee

Reportable situation event summary Transactions for this reportable situation event Messages for this reportable situation event

Group access restrictions

This is only accessible to the following users [Edit restrictions](#)

Name	Access role
Helen Roberts	SeniorAdmin
Hannah Soulsby	Approver

11. This will take you to the **Transaction group settings** page. The process for restricting access is the same as when creating the transaction group described at step 7 above.

Dashboard Transactions Messages Administration Notices Transaction groups

Transaction group settings

Back to all reportable situations

Do you want to restrict access to this group?

Setting access restrictions for a event

IF you choose **not to restrict** access, all users connected to this entity will have access to this group, including anyone you invite to have access to your entity in the future. If you think you may wish to limit access to this group in the future, you should do so now.

If you choose **to restrict** access, only users you select will be able to access the group.

As you created this group, you have access by default. Senior administrators have access by default; this cannot be changed.

[Yes - restrict access](#) [No - allow access](#)