

ASIC registered agent number _____
lodging party or agent name _____
office, level, building name or PO Box no. _____
street number and name _____
suburb / city _____ state/territory _____ postcode _____
telephone () _____
facsimile () _____
DX number _____ suburb / city _____

| | | | | | |
|--|--|-------|--------------------------|-------|--------------------------|
| | | ASS. | <input type="checkbox"/> | REQ-A | <input type="checkbox"/> |
| | | CASH. | <input type="checkbox"/> | REQ-P | <input type="checkbox"/> |
| | | PROC. | <input type="checkbox"/> | | <input type="checkbox"/> |

Australian Securities & Investments Commission

Preliminary application for an

Australian financial services licence

form **FS05**

Corporations Act 2001
913A

You can apply for an Australian financial services licence through ASIC's online eLicensing service at www.asic.gov.au.

eLicensing provides:

- a tailored application so that you are only asked questions relevant to you;
- pre-filled details wherever possible;
- fewer errors – the system will check that you have completed each applicable question and automatically verify some answers;
- faster processing – we can begin to assess your application immediately as we will not have to re-enter information; and
- a substantially reduced application fee

If you cannot obtain access to eLicensing, you can use this form to commence the process. It will allow some tailoring of the application to suit you. If you are unable to apply through eLicensing you should allow sufficient time for us to process this form and then process your subsequent manual application.

1. Applicant Details

Provide the following details for the entity that will be applying for this AFS licence.

- 1.1 Australian Business Number _____
- 1.2 Name _____
- 1.3 Postal address _____
- Office, level, building name or PO Box no. _____
- Street number and name _____
- Suburb / City _____ State/Territory _____ Postcode _____
- Telephone () _____
- Facsimile () _____
- DX number _____ Suburb / City _____
- 1.4 Contact Officer _____
- 1.5 Contact telephone number _____

2. Your Australian financial services (AFS) licence

- 2.1 Is the applicant applying for 'limited financial services' as defined in Corporations Regulation 7.6.01BA?

☐ Yes ☐ No

If yes, please go to 3.1 and complete the remaining questions.

If no, go to 2.2 and complete the remaining questions.

- 2.2 What type(s) of financial services will you be applying to be authorised to provide under this AFS licence?

☐ Provide Financial Product Advice

☐ Deal in a Financial Product

What particular type(s) of dealing services will you be applying to be authorised to provide?

☐ Issue, apply for, vary, acquire or dispose of a financial product

☐ Apply for, vary, acquire or dispose of financial products on behalf of another

☐ Underwriting an issue of securities or interests in registered managed investment schemes

☐ Make a Market for a Financial Product

☐ Operate a Registered Scheme

☐ Provide a Custodial or Depository Service

☐ Provide Traditional Trustee Company Services

☐ Provide a Crowd-Funding Service

☐ Operate the business and conduct the affairs of a retail CCIV

☐ Operate the business and conduct the affairs of a wholesale CCIV

- 2.3 Will you be applying to be authorised to provide any of the following particular specialised services or products?

| | | |
|--|------------------------------|-----------------------------|
| Derivatives | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Foreign Exchange Contracts | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Horse Racing Syndicate | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Life Insurance Products | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Operating an IDPS | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Managed Discretionary Account Services | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Standard Margin Lending Facility | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Non-Standard Margin Lending Facility | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

- 2.4 The law restricts the use of certain words or expressions, or like words or expressions, unless they are authorised in the AFS licence conditions. Will you be applying to use any of the following?

| | | |
|---------------------------------------|------------------------------|-----------------------------|
| Stockbroker or Sharebroker | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Futures Broker | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Insurance Broker or Insurance Broking | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| General Insurance Broker | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Life Insurance Broker | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

3. Business Description

3.1 What type of client group(s) will your current or intended business service?

- ☐ Retail clients
- ☐ Wholesale clients

3.2 Are you a body regulated by the Australian Prudential Regulation Authority (APRA)?

☐ Yes ☐ No

If No:

Are you a wholly owned subsidiary (either directly or indirectly) of a body regulated by APRA?

☐ Yes ☐ No

3.3 Will you be acting as one of the following under this AFS licence?

- a general insurance underwriting agent
- a managing general underwriter
- a general insurance broker acting under binders

☐ Yes ☐ No

3.4 Will any substantial activities under this AFS licence be outsourced?

☐ Yes ☐ No

Signature

Sign and lodge this document and a tailored application will be provided to you.

Print name

Capacity

Print entity name (if entity acting as agent)

Sign here

Date / /

GUIDE

This guide does not form part of the form and is included by ASIC to assist you in completing and lodging form FS05.

| | |
|-------------------------------|---|
| Signature | This form must be signed by a person authorised by the entity applying for the Australian financial services (AFS) licence. |
| Lodging period | Nil |
| Lodging Fee | Nil A Fee applies on lodgement of the resultant FS01, Application for an Australian financial services licence. |
| Additional Information | <p>You can apply for an AFS licence through ASIC's online eLicensing service at www.asic.gov.au</p> <p>eLicensing provides:</p> <ul style="list-style-type: none">• a tailored application so that you are only asked questions relevant to you;• pre-filled details wherever possible;• fewer errors – the system will check that you have completed each applicable question and automatically verify some answers;• faster processing – we can begin to assess your application immediately as we will not have to re-enter information; <p>and</p> <ul style="list-style-type: none">• a substantially reduced application fee <p>If you cannot access ASIC's eLicensing system, the FS05 form will allow you to commence the AFS licence application process. Once completed, the set of filter questions on this form will allow ASIC to generate an FS01 with some tailoring of the application to suit you.</p> |
| Timing | It is important that you allow sufficient time for us to process this form, generate and forward to you your tailored AFS licence application form and then receive and process your completed application. |
| Procedure | You must complete all fields as indicated on the FS05. If any required fields are incomplete or contain invalid data types, ASIC staff will be unable to generate an FS01 form for your entity. If appropriate, ASIC will contact you by telephone or, if the incomplete or invalid data is significant, the FS05 will be returned to you. |
| Annexures | Nil |
| Privacy | The information provided to ASIC in this form may include personal information. Please refer to our privacy policy (www.asic.gov.au/privacy) for information about how we handle your personal information, your rights to seek access to and correct personal information, and to complain about breaches of your privacy. |
| Send to | AFS Licence Applications Australian Securities and Investments Commission GPO Box 9827 MELBOURNE VIC 3001 |