



**Form FS20**

Corporations Regulations 2001  
7.6.04(1)(b), 7.6.05(1)(a), 7.6.05(1)(b),  
7.6.05(1)(e), 7.6.05(1)(g)

# Change of details for an Australian financial services licence

If there is insufficient space in any section of the form, you may photocopy the relevant page(s) and submit as part of this lodgement

## AFS licence details

AFS licence number

ABN (if no ABN assigned, provide ACN or ARBN)

AFS licence name

## Lodgement details

Who should ASIC contact if there is a query about this form?

Firm/organisation

Contact name/position description

ASIC registered agent number (if applicable)

Telephone number

Postal address or DX address

## 1 AFS licensee details

Tick appropriate box

Do you wish to change the AFS licensee address or business name details?

Yes  No

If Yes, commence at 1.1 and provide only that information that has changed. If No go to 2

1.1 Principal business address

Office, unit, level

Street number and Street name

Suburb/City

State/Territory

Postcode

## 1 Continued... AFS licensee details

1.2	Address for service of notices Office, unit, level <input type="text"/> Street number and Street name <input type="text"/> Suburb/City <input type="text"/> State/Territory <input type="text"/> Postcode <input type="text"/>
1.3	Remove a business name under which the AFS licensee trades: Business name <input type="text"/> Registered business name number <input type="text"/> State of registration <input type="text"/> Business name <input type="text"/> Registered business name number <input type="text"/> State of registration <input type="text"/>
1.4	Add a business name under which the AFS licensee trades: Business name <input type="text"/> Registered business name number <input type="text"/> State of registration <input type="text"/> Business name <input type="text"/> Registered business name number <input type="text"/> State of registration <input type="text"/>
1.5	Name <input type="text"/> ABN <input type="text"/>
1.6	Effective date of change <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] [M] [M] [Y] [Y]

If insufficient space, provide details of business names to be added or removed on an attached annexure.

For non-corporate entities only:

## 2 Contact details

Do you wish to change the contact details for this AFS licence? <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, commence at 2.1 and provide only that information that has changed. If No go to 3.	
2.1	Full name <input type="text"/>
2.2	Relationship to applicant <input type="checkbox"/> Licensee (including officers & staff) <input type="checkbox"/> External service provider
2.3	Email address <input type="text"/> Email is our preferred way to contact you. Can we use this email address to deliver correspondence? <input type="checkbox"/> Yes <input type="checkbox"/> No
2.4	Telephone number <input type="text"/>

## 2 Continued... Contact details

	2.5	Facsimile number	<input type="text"/>
		Can we use this fax number to deliver correspondence?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Postal address	2.6	Office, unit, level	<input type="text"/>
		Street number and Street name	<input type="text"/>
		Suburb/City	<input type="text"/>
		State/Territory	<input type="text"/>
		Postcode	<input type="text"/>
DX address	2.7	DX number	<input type="text"/>
		Suburb/City	<input type="text"/>
	2.8	Effective date of change	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] [M] [M] [Y] [Y]

## 3 Responsible managers

		Do you wish to change your responsible managers?	<input type="checkbox"/> Yes <input type="checkbox"/> No
		If Yes, commence at 3.1. If No go to 4.	
	3.1	Do you wish to remove one or more responsible managers?	<input type="checkbox"/> Yes <input type="checkbox"/> No
		If Yes, go to 3.1.1. If No go to 3.2.	
If insufficient space, provide the details of responsible managers to be removed on an attached annexure.	3.1.1	Provide the following details for the responsible managers you wish to remove.	
		Full Name (Given names, family name)	Date of birth
		<input type="text"/>	<input type="text"/>
		<input type="text"/>	<input type="text"/>
		<input type="text"/>	<input type="text"/>
		<input type="text"/>	<input type="text"/>
		<input type="text"/>	<input type="text"/>
	3.1.2	Effective date of change	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] [M] [M] [Y] [Y]
If you are removing a key person, you must also lodge a variation application (FS03) to apply for the key person condition to be varied or removed.	3.2	Do you wish to add or amend the details of one or more responsible managers?	<input type="checkbox"/> Yes <input type="checkbox"/> No
		If Yes, go to 3.2.1. If No go to 4.	
	3.2.1	Provide the following details for <b>each</b> responsible manager you wish to add or whose details you wish to amend.	
Personal details		Given names	<input type="text"/>
		Family name	<input type="text"/>
		Date of birth	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] [M] [M] [Y] [Y]
		Place of birth	
		City/Town	<input type="text"/>
		Country	<input type="text"/>
		<input type="checkbox"/> New responsible manager	<input type="checkbox"/> Existing responsible manager

### 3 Continued... Responsible managers

**Personal details**

The service you select must be authorised under your AFS licence or be a subset of your authorisation.

What is the relationship of this person to the entity that will hold this AFS licence?

An employee/officer  Owner/partner  
 An external service provider

What best describes this person's role for your organisation?

Accountant  Asset Specialist  
 Chief Executive Officer  Chief Investment Officer  
 Company Secretary  Compliance Manager  
 Compliance Officer  Director  
 Distribution Manager  Financial Controller  
 General Manager  Human Resource Manager  
 Legal Adviser  Marketing Manager  
 Operations Manager  Partner/Proprietor  
 Professional Adviser  Trustee

What financial services will this person be a responsible manager for?

Provide financial product advice  Deal in a financial product  
 Make a market for a financial product  Operate a registered scheme  
 Provide custodial or depository service

On average, how many days will this person spend on duties related to the provision of financial services by the applicant or its related body corporate?

Less than 1 day per month  Less than 1 day per week  
 1 to 3 days per week  More than 3 days per week

What industry category(ies) best describes this person's area of experience?

Accounting  Asset Specialist  
 Banking or like services  Custodial / Depository  
 Derivatives  Financial/Investment Advising  
 Foreign Exchange  Funds Management  
 General Insurance  Law Firm/Legal  
 Life Insurance  Management  
 Securities Dealing  Stockbroking  
 Superannuation  Technical Adviser  
 Underwriting

What best describes the overall type of experience they have?

Management – small entity  Management – medium to large entity  
 Technical adviser  Employee/representative – small entity  
 Employee/representative – medium to large entity

Which of the following best describes the length of their relevant industry experience?

At least 3 years experience in the last 5 years  At least 5 years experience in the last 8 years  
 Neither of the above

Where was this experience predominantly obtained?

Australia  
 Overseas country  (please specify)

The five options are explained in Section C of RG105

Which of the five options for demonstrating knowledge and skills do they meet?

Meets widely adopted and relevant industry standard, or relevant standard set by APRA; or  
 Has been individually assessed by an authorised assessor as having relevant knowledge equivalent to a diploma; or  
 Holds a university degree in a relevant discipline and has completed a relevant short industry course; or  
 Holds a relevant industry or product-specific qualification equivalent to a diploma or higher; or  
 Other demonstration of knowledge and skills.

3.3 Effective date of change

/  /   /

[D] [D] / [M] [M] / [Y] [Y]

If adding or amending more than one responsible manager, include additional details as an annexure. A Statement of Personal Information must also be completed and included as an annexure for each responsible manager added, refer Appendix A of this form.

## 4 Dispute resolution

This question applies to AFS licensees that service retail clients only.

Do you wish to change your external dispute resolution details?

Yes

No

If Yes commence at 4.1 and provide only that information that has changed. If No go to 5.

4.1 What best describes the role of the person in your organisation with responsibility for external dispute resolution.

Chief Executive Officer

Complaints Manager

Compliance Manager

Compliance Officer

Customer Services Manager

Director

General Manager

Operations Manager

Partner/Proprietor

4.2 Provide the following details for the external dispute resolution schemes that cover some or all of the financial services you will provide under this AFS licence

**Coverage**

All services covered

Some services covered

Scheme details

Scheme Financial Industry Complaints Service Ltd

Membership number

Commencement date

   /    /     
[D] [D] [M] [M] [Y] [Y]

Scheme Insurance Ombudsman Service Limited

Membership number

Commencement date

   /    /     
[D] [D] [M] [M] [Y] [Y]

Scheme Banking and Financial Services Ombudsman

(formerly Australian Banking Industry Ombudsman)

Membership number

Commencement date

   /    /     
[D] [D] [M] [M] [Y] [Y]

Scheme Superannuation Complaints Tribunal

Membership number

Commencement date

   /    /     
[D] [D] [M] [M] [Y] [Y]

Scheme Credit Union Dispute Resolution Centre

Membership number

Commencement date

   /    /     
[D] [D] [M] [M] [Y] [Y]

Scheme Insurance Brokers Dispute Facility

Membership number

Commencement date

   /    /     
[D] [D] [M] [M] [Y] [Y]

Scheme Financial Co-Operative Dispute Resolution Scheme

Membership number

Commencement date

   /    /     
[D] [D] [M] [M] [Y] [Y]

## 4 Continued... Dispute resolution

Scheme	Credit Ombudsman Service Limited
Membership number	<input type="text"/>
Commencement date	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] [M] [M] [Y] [Y]
Scheme	Financial Ombudsman Service
Membership number	<input type="text"/>
Commencement date	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] [M] [M] [Y] [Y]
Other	
Please specify scheme	<input type="text"/>
Membership number	<input type="text"/>
Commencement date	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] [M] [M] [Y] [Y]

4.3 Do the external dispute resolution schemes cover all of the financial services to be authorised under your AFS licence?  
 Yes  No

### Scheme details

If insufficient space, provide details of additional schemes as an annexure.

## 5 Compensation arrangements

This question applies to AFS licensees that service retail clients, operate a registered scheme or operate an IDPS only.

5.1 Do you wish to change your security bond details?  
 Yes  No  
If Yes go to 5.1.1

5.1.1 Provide details of new bond

Name of the financial institution that issued bond

Amount of bond (Bond amounts can only be \$10,000 or \$20,000)

5.1.2 Effective date of change

/   /    
[D] [D] [M] [M] [Y] [Y]

5.2 Are you seeking to discharge your bond?  
 Yes  No

## Annexures

Provide the following details for all annexures that are attached to this document.

Please note that all annexures must be clearly marked with the AFS licence number, annexure number and the number of pages.

Total number of annexures

Annexure Number	Annexure Detail (eg additional business name, Statement of Personal Information for xxx, etc...)

## Declarations and Certifications

### General Declaration and Consent

The AFS licensee declares that, to the best of its knowledge, the information supplied in, and with, this document is complete and accurate.

The AFS licensee declares that it will comply with its obligations as a financial services licensee.

The AFS licensee acknowledges that the Australian Securities and Investments Commission may take action to verify that the statements and certifications made in relation to this document were not false or misleading.

### Certifications

I certify that as at the date of this application to the best of my knowledge the following is true:

- new responsible managers named in this document have completed the statement of personal information and the applicant believes the responsible managers are of good fame and character
- new responsible managers named in this document have the relevant knowledge, skills and experience to perform their particular roles within this business.

## Signature

Name

Signature

Capacity

Entity name (if entity acting as agent)

Date signed

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>
[D	D]		[M	M]		[Y	Y]

## Lodgement

Send completed and signed forms to:  
AFS Licence Applications  
Australian Securities and Investments Commission,  
GPO Box 9827, Melbourne VIC 3001.

### For help or more information

Telephone 1300 300 630  
Email [info.enquiries@asic.gov.au](mailto:info.enquiries@asic.gov.au)  
Web [www.asic.gov.au](http://www.asic.gov.au)

# Appendix A: Change of details for an Australian financial services licence

## Statement of Personal Information

To obtain an AFS licence, an applicant must show that they have the experience and expertise to ensure that the financial services to be covered by the AFS licence will be provided efficiently, honestly and fairly.

You have been nominated as a Responsible Manager for this application.

To demonstrate that you have the necessary experience, expertise and are of good fame and character, please respond to all of the following questions.

When signed, this Statement becomes an attachment to the change of details for an AFS licence that will be forwarded to the Australian Securities and Investments Commission (ASIC) by the AFS licensee.

## 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 (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 Australian financial services licence number:

## 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?  
 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 were declared the equivalent of insolvent under the law of an external territory or country other than Australia?  
 Yes  No
13. 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
14. 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 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 12 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

- B. You must provide the following details of your educational qualifications relevant to your responsibilities for this AFS licence. If insufficient space, attach an annexure. If any of your qualifications are foreign qualifications, please provide details about how the qualification has been approved by the National Office of Overseas Skills Recognition (NOOSR) in Canberra - for example, the letter verifying the qualification provided to you by NOOSR and what Australian short courses you have completed.

Institution

Course Name

Year of completion

Institution

Course Name

Year of completion

Institution

Course Name

Year of completion

Institution

Course Name

Year of completion

C. You must provide the following details on your organisational experience for each of the financial services you are responsible for. If insufficient space, attach an annexure.

Financial service

Relevant qualifications

Relevant experience

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Financial service

Relevant qualifications

Relevant experience

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Financial service

Relevant qualifications

Relevant experience

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D. The following documents must be provided to support your Statement. If the proposed or existing licensee is a body regulated by APRA, you do not need to provide these documents:

- certified copies of your relevant qualification certificates
- a certified copy of a criminal history check on you not more than 12 months old (also called a police check)
- a certified copy of a bankruptcy check on you not more than 12 months old
- certified copies of two business references not more than 12 months old (at least one of these should be from someone external to your current organisation).

Even if you have previously given these documents to us as part of an earlier licence application or notification, you must still provide them. Further details regarding these documents can be found in Part 2 of the AFS Licensing Kit.

## Declaration

I,  agree to be a Responsible Manager for  
  
(Name and ABN, ACN or ARBN of AFS licensee) as defined by the *Corporations Act 2001*.

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

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# Guide: Change of details for an Australian financial services licence

This guide does not form part of the form. It is included by ASIC to assist you in completing and lodging the Form FS20.

Signature	This form must be signed by the person authorised by the Australian financial services (AFS) licensee.
Lodgement period	10 business days for changes to responsible managers and principal business address details.
Lodgement fees	No fee if lodged within 10 business days.
Late fees	<p>In all cases, late fees will apply if the document is lodged outside the prescribed period.</p> <p>The late fees are:</p> <ul style="list-style-type: none"><li>• \$65 for up to one month late</li><li>• \$270 for over one month late.</li></ul> <p>A form is not considered lodged until it is received and accepted by ASIC as being in compliance with s1274(8) of the <i>Corporations Act 2001</i>. A receipt will not be issued unless requested.</p>
Additional information	<p>You can also apply to change the details for an AFS licence through ASIC's online eLicensing service at <a href="http://www.asic.gov.au">www.asic.gov.au</a>.</p> <p>eLicensing provides:</p> <ul style="list-style-type: none"><li>• a tailored process that will lead you through each relevant step</li><li>• pre-filled data wherever possible</li><li>• fewer errors – the system will check that you have completed each applicable question and automatically verify some answers</li><li>• faster processing – we will not have to enter information</li></ul>
Key points to note	<p>Some questions have been designed so that you provide ASIC with your base information and then only those details that have changed. However, if any required fields are incomplete or contain invalid data types ASIC staff will be unable to process this form.</p> <p>If appropriate, ASIC will contact you by telephone for clarification or, if the incomplete or invalid data is significant, the FS20 will not be accepted for lodgement and will be returned to you unprocessed.</p>
Proofs and evidences	<p>Where changes have been made in the following areas the relevant proofs and evidences must be included as annexures to the FS20. Refer to the AFS Licensing Kit for further details.</p> <ol style="list-style-type: none"><li>1. Responsible Managers - <i>A Statement of Personal Information</i> for each responsible manager added</li><li>2. Compensation arrangements - <i>Compensation Capacity Statement</i>.</li></ol>
Your privacy	<p>ASIC is authorised to collect the information under the <i>Corporations Act 2001</i> and Corporations Regulations 2001. We will not use the information you provide for any other purpose nor will we disclose it unless we have obtained your consent or the use or disclosure is permitted under the <i>Privacy Act (Cth)</i>. For more details see the Privacy Statement on our website, <a href="http://www.asic.gov.au">www.asic.gov.au</a></p>
Warning	It is an offence under the <i>Corporations Act 2001</i> to provide false or misleading information to ASIC.

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## How to provide additional information

### Annexures

If there is insufficient space in any section of the form, you may submit annexures as part of this lodgement.

To make any annexure conform to the regulations, you must

1. use A4 size paper of white or light pastel colour with a margin of at least 10mm on all sides
2. show the AFS licence number
3. number the pages consecutively
4. print or type in BLOCK letters in dark blue or black ink so that the document is clearly legible when photocopied
5. mark the annexure with an identifying letter or symbol eg a,b,c or 1,2,3 etc.
6. endorse the annexure with the words:  
This annexure (mark) of (number) pages referred to in form (form number and title)
7. sign and date the annexure

The annexure must be signed by the same person(s) who signed the form.

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