

Limited AFS Licence Application

Applicant information

- Details of the entity applying for the AFS licence:
 - if it is a company, then:
 - the name of the company,
 - the number of directors,
 - their names.
 - if it is a partnership, then:
 - the name of the partnership,
 - The number and type of partners, i.e. company, trust or individual.
- The application reference number from ASIC when the FS01 application had been started.

Licence Authorisations

- Confirm if you wish to give general class of product advice on any of the following:
 - securities,
 - general insurance products,
 - life risk insurance products,
 - basic deposit products, or
 - simple managed investment schemes.

Business Information

- Confirm the likely growth of the business.
- Estimated gross revenue that the business will generate in the first year.
- Estimated proportion of gross revenue that will be generated from various activities under the licence.
- Confirm if the business will charge only 'fees for service'.
- Address details of the primary place of business.
- Confirm if the business will outsource any of the financial service-related functions and if so, details of the provider.
- Confirm if the business will appoint any authorised representatives to provide financial services and if so, how many.

Responsible Managers

- The number of responsible managers being nominated, their names and position held in the business.

To create a Limited AFS Licence Application document package, you need to provide the information listed to the left. Print this checklist out for convenience and gather the information before you start online.

Notes

Notes

Notes

Notes

- The accounting body that the responsible manager holds a certificate of public practice from and the year it was awarded.
- Details of the qualifications held by the responsible manager.
- The responsible manager the business wishes to nominate as the compliance manager.

Notes

Financial Resources

- Confirm the option of RG 166 will the applicant rely on for the cash needs requirement.
- Confirm if the applicant can provide ASIC with audited financial statements no more than 3 months old, or signed unaudited financial statements no more than 3 months old.

Notes

Date of Preparation

- The date of preparation that will appear on all the proofs.

Notes
