



# Application for a permit to engage in credit activities to a small business

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

## 1 Details of applicant

Indicate what type of entity the applicant is and provide the required information.

Company  
ACN/ARBN/ABN  
  
AFS licence no (if applicable)  
  
Company name

Partnership  
ABN  
  
AFS licence no (if applicable)  
  
Partnership firm name

Trustees of a trust (Only multiple trustees)  
ABN  
  
AFS licence no (if applicable)  
  
Trust name (The credit registration name will be recorded as "Trustees of <trust name>".)

Natural person  
ABN  
  
AFS licence no (if applicable)  
  
Family name  Given name   
Date of birth  
 /  /   
[D] [D] [M] [M] [Y] [Y]  
Place of birth (town/city)  (state/country)

Other body corporate  
ABN (if available)  
  
Body corporate name

A multiple trustee is a 'notional person' consisting of two or more trustees of a trust. We expect this type of applicant to be extremely rare.

If you are the sole trustee of a trust you cannot apply as a multiple trustee. The application should be made under the appropriate entity type such as a company, partnership or natural person. (see Information Sheet NNN for assistance).

DRAFT

# 1 Continued... Details of applicant

Tick box(es) that apply.

Include licence or registration number with any selection.

The applicant is:

an Australian Credit Licence holder issued under Section 37 of the National Consumer Credit Protection Act 2009  
Australian credit licence number

a body regulated by the Australian Prudential Regulation Authority (APRA) or registered under the *Financial Sector (Collection of Data) Act 2001*

Indicate what type of body:

authorised deposit taking institution

general insurer

registered financial corporation

life insurer

other

none of the above

## Principal business address

This address should be the same as the:

- principal place of business notified to ASIC for a registered company
- principal business address notified to ASIC for an Australian credit licensee.

If the address is different, this application cannot be processed.

If the address has changed, you must notify ASIC by lodging a:

- Form 484 *Change to company details* for a company
- Form CL20 *Notification of change of credit licence details*.

Office, unit, level

Street number and street name

Suburb/City

State/Territory

Postcode

Country (if not Australia)

## 1 Continued... Details of applicant

If this principal business address is the applicant's residential address, does the applicant want the public register to record an alternative address at which documents can be served on the applicant because publication of the residential address will be a personal safety risk for the applicant or the applicant's family?

Yes  No

If yes, provide the alternative address

No PO Box can be accepted.

This must be an address in Australia.

Office, unit, level

Street number and street name

Suburb/City

State/Territory

Postcode

### Contact details

Provide the following details for the person to whom we should direct all questions and correspondence about this application.

Family name of key contact person

Given name

Email address

At the office of, C/- (if applicable)

Office, unit, level

Street number and street name

Suburb/City

State/Territory

Postcode

Country (if not Australia)

Phone number

Comments

Fax number

Comments

## 2 Details of External Dispute Resolution Scheme

The applicant must be a member of an External Dispute Resolution Scheme (EDRS). For more information, refer to RG 202 *Credit registration and transition*.

Tick one box

Indicate the EDRS of which the applicant is a member.

Financial Ombudsman Service (FOS)

Credit Ombudsman Service Ltd (COSL)

### 3 Details of business activities

**Type of business**

Tick one or more box(es).

What activity(ies) from the list below best describe the applicant's existing business or intended business upon registration?

- aggregator
- assignee of debts
- bank
- credit union or building society
- door to door or phone sales of goods and services
- equipment finance
- finance broker
- financial planner/advisor
- lenders mortgage insurer
- lessor
- mortgage broker
- mortgage manager
- other lender
- property developer or real estate agent
- responsible entity of a managed investment scheme
- securitisation manager or securitisation trustee
- seller of goods by instalments
- seller of real property by instalments
- other, please describe below

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### 4 Business names

Search ASIC Connect at [www.asic.gov.au](http://www.asic.gov.au) to find out business name details.

If the applicant is an Australian credit licensee, the business names listed should be recorded with ASIC. If not, lodge a Form CL20 *Notification of change of credit licence details*.

Please provide details for all current business names (if any) under which the applicant trades.

Business name	Number	State/Territory of registration

You may submit additional copies of relevant pages as part of this lodgement. See guide for details.

## 5 Details of persons

### Where the applicant is a company or other body corporate:

Enter details of all officeholders (directors, alternate directors and secretaries) of the applicant. The applicant will be required to make a Statement that certain matters are true in respect of the applicant and each officeholder of the company or other body corporate before submitting this application.

### Where the applicant is a partnership:

Enter details of each partner. The applicant will be required to make a Statement that certain matters are true in respect of the applicant and each partner before submitting this application. If a partner is a body corporate, enter ACN, ARBN or ABN.

### Where the applicant is a multiple trustee:

Enter details of each trustee. The applicant will be required to make a Statement that certain matters are true in respect of the applicant and each trustee before submitting this application. If a trustee is a body corporate, enter ACN, ARBN or ABN.

### Where the applicant is a natural person:

Further details are not required however, the applicant will be required to make a Statement that certain matters are true before submitting this application.

Family name	Given name
<input type="text"/>	<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 (town/city)	(state/country)
<input type="text"/>	<input type="text"/>
Role held e.g. director, secretary (if applicant is a company or other body corporate)	
<input type="text"/>	
OR	
ACN/ARBN/ABN	
<input type="text"/>	
Body corporate name	
<input type="text"/>	

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Family name	Given name
<input type="text"/>	<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 (town/city)	(state/country)
<input type="text"/>	<input type="text"/>
Role held e.g. director, secretary (if applicant is a company or other body corporate)	
<input type="text"/>	
OR	
ACN/ARBN/ABN	
<input type="text"/>	
Body corporate name	
<input type="text"/>	

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Family name	Given name
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Date of birth	
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Place of birth (town/city)	(state/country)
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Role held e.g. director, secretary (if applicant is a company or other body corporate)	
<input type="text"/>	
OR	
ACN/ARBN/ABN	
<input type="text"/>	
Body corporate name	
<input type="text"/>	

If there is insufficient space, submit additional copies of the page as part of this lodgement. See Guide for details.

## 6 Statement and declaration

Tick all boxes that apply

Each of the following statements are true for the applicant and each person listed in this application (together referred to as 'the person' for the purpose of this Statement):

- if the applicant is a company or other body corporate — each director and secretary of the applicant, or
- if the applicant is a partnership — each partner, or
- if the applicant is a multiple trustee — each trustee.

- A banning order or disqualification order under Part 2-4 of the *National Consumer Credit Protection Act 2009* is not in force against the person.
- A banning order or disqualification order under Division 8 of Part 7.6 of the *Corporations Act 2001* is not in force against the person.
- The person is not banned from engaging in a credit activity under a law of a state or territory.
- If the person is, or has been a licensee or permit holder, or is, or has been registered - the person's licence, permit or registration is neither suspended or cancelled.
- An Australian financial services licence of the person is neither suspended, nor cancelled within the last 7 years, under:
- s915B(1)(d) or s915B(4)(b)(iii) of the *Corporations Act 2001* (which deal with suspension or cancellations because of mental or physical incapacity), or
  - s915C of the *Corporations Act 2001* (which deals with suspension or cancellation after offering a hearing).
- The person is not insolvent.
- If the person is a natural person:
- the person is not disqualified from managing corporations under Part 2D.6 of the *Corporations Act 2001*
  - the person has not been convicted, within the last 10 years, of serious fraud
  - a prescribed state or territory order is not in force against the person.

### Declaration

I, the applicant, and:

- if the applicant is a company or other body corporate — each director and secretary of the applicant, or
- if the applicant is a partnership — each partner, or
- if the applicant is a multiple trustee — each trustee, or
- if the applicant is a natural person — that person,

declare that the information in this application is complete, accurate and true.

I, the applicant, am authorised to sign this form on behalf of the persons listed on this application.

Name

Capacity (e.g director, secretary, partner, trustee, natural person)

Signature

Date signed

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

## Lodgement

Send completed and signed forms to:  
Australian Securities and Investments Commission,  
PO Box 4000, Gippsland Mail Centre VIC 3841.

Or lodge the form online by visiting the ASIC website  
[www.asic.gov.au](http://www.asic.gov.au)

### For more information

Web [www.asic.gov.au](http://www.asic.gov.au)  
Need help? [www.asic.gov.au/question](http://www.asic.gov.au/question)  
Telephone 1300 300 630

# Guide: Application for a permit to engage in credit activities to a small business

This guide does not form part of the form. It is included by ASIC to assist you in completing and lodging the Form CS01P.

<b>Signature</b>	<p>If the applicant is a company or other body corporate — a director or secretary of the applicant must sign this form.</p> <p>If the applicant is a partnership — a partner must sign this form.</p> <p>If the applicant is a multiple trustee — a trustee of that trust must sign this form.</p> <p>If the applicant is a natural person — that person must sign this form.</p>
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<b>Lodgement fee</b>	<p>Paper form    \$25 Online         Nil</p> <p>A receipt will not be issued unless requested.</p>
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<b>Additional guidance</b>	<p>The information sheet . . . . is available on the ASIC website at <a href="http://www.asic.gov.au">www.asic.gov.au</a> or call us on 1300 300 630..</p>
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<b>How to provide additional information</b>	<p><b>Photocopied Form CS01P pages</b></p> <p>If there is insufficient space in any section of the form, you may submit additional copies of the relevant page(s) and submit as part of this lodgement.</p> <p><b>Annexures</b></p> <p>To make any annexure conform to the regulations, you must</p> <ol style="list-style-type: none"><li>1. use A4 size paper of white or light pastel colour with a margin of at least 10mm on all sides</li><li>2. show the company name and ACN or ARBN</li><li>3. number the pages consecutively</li><li>4. print or type in BLOCK letters in dark blue or black ink so that the document is clearly legible when photocopied</li><li>5. mark the annexure with an identifying letter or symbol eg a,b,c or 1,2,3 etc.</li><li>6. endorse the annexure with the words: This annexure (mark) of (number) pages referred to in form (form number and title)</li><li>7. sign and date the annexure. The annexure must be signed by the same person(s) who signed the form.</li></ol>
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<b>Lodgement</b>	<p>Send completed and signed forms to: Australian Securities and Investments Commission, PO Box 4000, Gippsland Mail Centre VIC 3841.</p> <p>Or lodge the form online by visiting the ASIC website <a href="http://www.asic.gov.au">www.asic.gov.au</a></p>
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<b>For more information</b>
Web <a href="http://www.asic.gov.au">www.asic.gov.au</a>
Need help? <a href="http://www.asic.gov.au/question">www.asic.gov.au/question</a>
Telephone    1300 300 630