

AFSL Registration Form

Company Name

Business Development Manager

Date of Submission

Licensee Details

Name of AFSL

Address of AFSL

Australian Business Number

AFSL Number

Number of Advisers and or authorised representatives

Confirm there is no actual or pending regulatory investigations or issues. If yes, provide full details.

Key Contact Details

Director 1/Responsible Manager

Primary Contact

Yes

Work Phone

Mobile

Email

Address (if different to licensee)

Director 2/Responsible Manager

Primary Contact

Yes

Work Phone

Mobile

Email

Address (if different to licensee)

Director 3/Responsible Manager

Primary Contact

Yes

Work Phone

Mobile

Email

Address (if different to licensee)

Director 4/Responsible Manager

Primary Contact

Yes

Work Phone

Mobile

Email

Address (if different to licensee)

Compliance Manager (internal/external)

Work Phone

Mobile

Email

Address (if different to licensee)

Morrison Securities Pty Limited

PO Box R1837, Royal Exchange NSW 1225

1300 130 545

www.morrisonsecurities.com

morrison.admin@morrisonsecurities.com



ABN 50 001 430 342
AFSL 241737

Detailed Summary of the Company's core business including

Number of clients

Type of clients?

% Retail

% Sophisticated

% Institutional

Type of advice given, General or Personal

Expected Monthly Commission

Products currently offered to clients

Shares

Options

International Trading

Warrants

Shares

Annualised turnover

Number of contracts (per month)

Options

Provide an Open Positions report

General strategy

Total Margin, Risk Margin and STEL Levels

Net Liquidated Value – NLV (if available)

Stock or cash collateral

Amounts

Documentation Requirements Compliance/Legal

- Copy of AFSL
- Copy of PI (if applicable)
- Authorised Representative forms for each representative
- FS 70/71
- Audited financials
- Open Position Report
- If applicable, copies of PPSR entries or other security/encumbrances over the assets of the applicant
- If applicable, details of any litigation or potential litigation

Documentation/White Label

- Logo (format styles) JPEG/bitmap
- Reporting Recipients
- Brokerage Schedules

Compliance and Risk Checks

Google search complete on company and individuals:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
AFSA bankruptcy search for all directors:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
AFSL or authorised representative (AR) registrations with ASIC complete:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
AFSL additions or removals (for reviews):	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Verified number and details of AR listed on ASIC (if any):	<input type="checkbox"/> Yes	<input type="checkbox"/> No
ASIC and Google search on advisers complete:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
DFAT consolidated list, company and directors:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Director checks complete with ASIC:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Enforceable undertaking register check:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
PI checked (valid):	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Ascertain if Key Person requirement imposed on license:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Any security bond required on licensee:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Any dealing/advising restrictions in license (ie no derivatives):	<input type="checkbox"/> Yes	<input type="checkbox"/> No
All relevant documentation provided:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Has the Open Positions report been reviewed:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Total Margin:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
STEL:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Risk Margin:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Any special arrangements have been clearly disclosed to the RCC:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Any business risks to Morrison have been clearly disclosed to the RCC:	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Sign off

BDM sign off

Name	Date
<input type="text"/>	<input type="text"/>
Signature	
<input type="text"/>	

Compliance sign off

Name	Date
<input type="text"/>	<input type="text"/>
Signature	
<input type="text"/>	

RCC sign off

Chairman	Date
<input type="text"/>	<input type="text"/>
Signature	
<input type="text"/>	

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