



# **Corporations Amendment (Register of Relevant Providers) Regulation 2015**

## **Select Legislative Instrument No. 3, 2015**

I, General the Honourable Sir Peter Cosgrove AK MC (Ret'd), Governor-General of the Commonwealth of Australia, acting with the advice of the Federal Executive Council, make the following regulation.

Dated 12 February 2015

Peter Cosgrove  
Governor-General

By His Excellency's Command

Josh Frydenberg  
Assistant Treasurer



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## **1 Name**

This is the *Corporations Amendment (Register of Relevant Providers) Regulation 2015*.

## **2 Commencement**

This instrument commences on the day after it is registered.

## **3 Authority**

This instrument is made under the *Corporations Act 2001*.

## **4 Schedules**

Each instrument that is specified in a Schedule to this instrument is amended or repealed as set out in the applicable items in the Schedule concerned, and any other item in a Schedule to this instrument has effect according to its terms.

## **Schedule 1—Amendments relating to modifications of the Act**

### ***Corporations Regulations 2001***

#### **1 After regulation 7.6.02AH**

Insert:

#### **7.6.02AI Obligations to provide information about relevant providers and controllers of body corporate licensees**

For paragraph 926B(1)(c) of the Act, Part 7.6 of the Act applies as if Division 9 of that Part were modified as set out in Schedule 8D.

#### **2 After Schedule 8C**

Insert:

## **Schedule 8D—Modifications of Division 9 of Part 7.6 of the Act**

Note: See regulation 7.6.02AI.

### ***Corporations Act 2001***

#### **1 At the end of Division 9 of Part 7.6**

Add:

#### **922C Definitions**

In this Division:

***basic banking product*** has the meaning given by section 961F.

***body corporate licensee*** means a body corporate that:

- (a) is a financial services licensee; and
- (b) is authorised to provide personal advice in relation to relevant financial products to retail clients.

***class of product advice*** means financial product advice about a class of products, but does not include a recommendation about a specific product in the class.

***consumer credit insurance*** has the meaning given by section 11 of the *Insurance Contracts Act 1984*.

***control***, in relation to a body corporate licensee, has the meaning given by paragraphs 7.6.04(2)(b) and (c) of the *Corporations Regulations 2001*.

***recent advising history*** has the meaning given by section 922G.

***relevant financial products*** means financial products other than:

- (a) basic banking products; or
- (b) general insurance products; or
- (c) consumer credit insurance; or
- (d) a combination of any of those products.

***relevant provider***: a person is a ***relevant provider*** if the person:

- (a) is a natural person; and
- (b) is:
  - (i) a financial services licensee; or
  - (ii) an authorised representative of a financial services licensee; or
  - (iii) an employee or director of a financial services licensee; or
  - (iv) an employee or director of a related body corporate of a financial services licensee; and
- (c) is authorised, as the licensee or on behalf of the licensee, to provide personal advice in relation to relevant financial products to retail clients.

## **922D Obligation to notify ASIC about a person who becomes a relevant provider**

*Notice to include details about relevant provider*

- (1) A notice must be lodged under this section, in accordance with section 922L, if a person becomes a relevant provider.

*Content of notice*

- (2) The notice must include:
  - (a) for a relevant provider who is a financial services licensee—the information in section 922E; or
  - (b) for a relevant provider who is not a financial services licensee—the information in section 922F.

**922E Information about a relevant provider who is a financial services licensee**

- (1) For the purposes of paragraph 922D(2)(a), the notice must include the following:
  - (a) the relevant provider's name;
  - (b) the licence number given to the relevant provider under subsection 913C(1);
  - (c) the year in which the relevant provider first provided personal advice in relation to relevant financial products to retail clients in accordance with the law (including the law of a State or Territory);
  - (d) if applicable, the ABN of the relevant provider;
  - (e) information about both of the following:
    - (i) the relevant financial products in relation to which the relevant provider is authorised to provide personal advice to retail clients;
    - (ii) whether the relevant provider is authorised to provide class of product advice in relation to some or all of those products;
  - (f) the recent advising history of the relevant provider for the 5 years ending immediately before the time the notice is lodged;
  - (g) information about both of the following:
    - (i) the educational qualifications of, and any training courses completed by, the relevant provider;
    - (ii) the relevant provider's membership (if any) of professional bodies;to the extent that the qualifications, training courses or memberships are relevant to the provision of financial services.

Note: For the meaning of *recent advising history*, see section 922G.

*Educational qualifications and memberships*

- (2) For the purposes of subparagraph (1)(g)(i), if a relevant provider has more than 5 educational qualifications or has completed more than 5 training courses, the notice must include the 5 qualifications or training courses that the person lodging the notice believes, on reasonable grounds, are most relevant to the provision of financial services.
- (3) For the purposes of subparagraph (1)(g)(ii), if a relevant provider has more than 5 memberships, the notice must include the 5 memberships that the person lodging the notice believes, on reasonable grounds, are most relevant to the provision of financial services.

**922F Information about a relevant provider who is not a financial services licensee**

- (1) For the purposes of paragraph 922D(2)(b), the notice must include the following:
  - (a) the relevant provider's name;
  - (b) the relevant provider's date and place of birth;
  - (c) the name of the licensee on whose behalf the relevant provider is authorised to provide personal advice in relation to relevant financial products to retail clients;
  - (d) the licence number given to that licensee under subsection 913C(1);
  - (e) the year in which the relevant provider first provided personal advice in relation to relevant financial products to retail clients in accordance with the law (including the law of a State or Territory);
  - (f) if the relevant provider is a relevant provider as a result of section 916B—each of the following:
    - (i) the name of the authorised representative who authorised the relevant provider under that section;
    - (ii) the number allocated to the authorised representative by ASIC;
  - (g) if applicable, the ABN of any of the following:
    - (i) the relevant provider;
    - (ii) the licensee referred to in paragraph (c);

- (iii) the authorised representative referred to in paragraph (f);
- (h) details of both of the following:
  - (i) the relevant financial products in relation to which the relevant provider is authorised to provide personal advice to retail clients;
  - (ii) whether the relevant provider is authorised to provide class of product advice in relation to some or all of those products;
- (i) the recent advising history of the relevant provider for the 5 years ending immediately before the time the notice is lodged;
- (j) information about both of the following:
  - (i) the educational qualifications of, and any training courses completed by, the relevant provider;
  - (ii) the relevant provider's membership (if any) of professional bodies;to the extent that the qualifications, training courses or memberships are relevant to the provision of financial services.

Note: For the meaning of *recent advising history*, see section 922G.

*Educational qualifications and memberships*

- (2) For the purposes of subparagraph (1)(j)(i), if a relevant provider has more than 5 educational qualifications or has completed more than 5 training courses, the notice must include the 5 qualifications or training courses that the person lodging the notice believes, on reasonable grounds, are most relevant to the provision of financial services.
- (3) For the purposes of subparagraph (1)(j)(ii), if a relevant provider has more than 5 memberships, the notice must include the 5 memberships that the person lodging the notice believes, on reasonable grounds, are most relevant to the provision of financial services.

*Information already registered*

- (4) The notice does not need to include the information referred to in paragraph (1)(e), (i) or (j) if:

- (a) the person required under subsection 922L(4) to cause the notice to be lodged believes on reasonable grounds that the information has previously been lodged; or
- (b) the information is already entered on a register of relevant providers under regulation 7.6.06B of the *Corporations Regulations 2001*.

#### **922G Meaning of *recent advising history***

The *recent advising history* of a relevant provider is the following information:

- (a) for a relevant provider who is or was a financial services licensee authorised to provide personal advice in relation to relevant financial products to retail clients—each period during which the relevant provider was such a licensee;
- (b) for a relevant provider who is or was authorised to provide personal advice in relation to relevant financial products to retail clients on behalf of one or more financial services licensees—the following information:
  - (i) the name of each licensee;
  - (ii) if the relevant provider is or was a relevant provider as a result of section 916B—the name of each authorised representative who authorised the relevant provider under that section;
  - (iii) each period during which the relevant provider was authorised by each licensee or each authorised representative to provide such advice.

Note: If a relevant provider is covered by paragraphs (a) and (b), the relevant provider's recent advising history includes all the information required under those paragraphs.

#### **922H Ongoing obligation to notify ASIC when there is a change in a matter for a relevant provider**

- (1) A notice must be lodged under this section, in accordance with section 922L, if there is a change in a matter, particulars of which are entered for a relevant provider in a register of relevant providers (other than a change that is a direct consequence of an act by ASIC).

Note: An example of a change in a matter would be a person ceasing to be a relevant provider.

- (2) The notice must include the following information:
  - (a) the new particulars to be entered in the register;
  - (b) the relevant provider's name;
  - (c) if applicable, the relevant provider number given to the relevant provider under regulation 7.6.06A of the *Corporations Regulations 2001*.

**922J Obligation to notify ASIC about a person who starts to control a body corporate licensee**

- (1) A notice must be lodged under this section, in accordance with section 922L, if a person starts to control a body corporate licensee.
- (2) The notice must include the following information:
  - (a) the name of the licensee;
  - (b) the licence number given to the licensee under subsection 913C(1);
  - (c) the name of the person who starts to control the licensee;
  - (d) the day the person starts to control the licensee.

**922K Obligation to notify ASIC about a person who ceases to control a body corporate licensee**

- (1) A notice must be lodged under this section, in accordance with section 922L, if a person ceases to control a body corporate licensee.

Note: Subsection 922P(2) provides that a notice is not required to be lodged when a person starts and then ceases to control a body corporate licensee within 30 business days.

- (2) The notice must include the following information:
  - (a) the name of the licensee;
  - (b) the licence number given to the licensee under subsection 913C(1);
  - (c) the name of the person who ceases to control the licensee;
  - (d) the day the person ceases to control the licensee.

## **922L Requirement for notice to be lodged**

### *Notice in prescribed form*

(1) A notice under section 922D, 922H, 922J or 922K must be in the prescribed form.

Note 1: Under section 350, a document that this Act requires to be lodged with ASIC in a prescribed form must:

- (a) if a form for the document is prescribed in the regulations—be in that prescribed form; and
- (b) if a form for the document is not prescribed in the regulations but ASIC has approved a form for the document—be in that approved form.

Note 2: The prescribed form may deal with information that is required under more than one section of this Act or the *Corporations Regulations 2001*.

### *When notice must be lodged*

(2) A notice under section 922D, 922H, 922J or 922K must be lodged within 30 business days of the day the event mentioned in subsection 922D(1), 922H(1), 922J(1) or 922K(1) occurs.

(3) The information contained in the notice must be accurate as at the day of the event mentioned in subsection 922D(1), 922H(1), 922J(1) or 922K(1).

### *Who must cause notice to be lodged*

(4) The following person must cause a notice under section 922D or 922H to be lodged in relation to a relevant provider:

- (a) if the relevant provider is a financial services licensee—the licensee;
- (b) otherwise—the financial services licensee on whose behalf the relevant provider is authorised to provide personal advice in relation to relevant financial products to retail clients.

### *Notice about control of a body corporate licensee*

(5) A notice under section 922J or 922K relating to a person who starts or ceases to control a body corporate licensee must be lodged by the licensee.

## **922M Offence for failing to comply with obligation to notify ASIC**

(1) A person commits an offence if:

- (a) the person is required to cause a notice to be lodged under section 922D, 922H, 922J or 922K; and
- (b) the person fails to cause the notice to be lodged in accordance with that section.

Note: A notice must be lodged in accordance with section 922L in order to be lodged in accordance with section 922D, 922H, 922J or 922K (see subsection 922D(1), 922H(1), 922J(1) or 922K(1)).

Penalty: 50 penalty units.

(2) However, subsection (1) does not apply if:

- (a) the person fails to cause the notice to be lodged in accordance with section 922D; and
- (b) the only reason the person fails to cause the notice to be lodged in accordance with that section is because the information referred to in paragraph 922F(1)(e), (i) or (j) is not included in the notice; and
- (c) subsection 922F(4) provides that the notice does not need to include that information.

Note: A defendant bears an evidential burden in relation to the matter in subsection (2) (see subsection 13.3(3) of the *Criminal Code*).

(3) Subsection 4K(2) of the *Crimes Act 1914* does not apply to subsection (1) of this section.

Note: A person may commit an offence if the person knowingly gives false or misleading information (see section 1308 of this Act and section 137.1 of the *Criminal Code*).

## **922N Obligation for relevant providers to provide information to financial services licensees**

### *Information about relevant provider*

(1) A person must provide information to a financial services licensee in accordance with this section if:

- (a) the person has become a relevant provider; and
- (b) the person has been authorised by the licensee to provide personal advice in relation to relevant financial products to retail clients; and

(c) the licensee has asked the person to provide the information so that the licensee can comply with its obligation to lodge a notice in accordance with section 922D relating to the person.

Note: A person may commit an offence if the person knowingly gives false or misleading information (see section 1308 of this Act and section 137.1 of the *Criminal Code*).

*When information must be given*

(2) The information must be given to the licensee within a period that allows the licensee to comply with its obligation to lodge the notice in accordance with section 922D.

#### **922P Change in matter within 30 business days**

(1) Notices must be given under both sections 922D and 922H in relation to a person who was a relevant provider even if the person ceases to be a relevant provider before a notice has been lodged under section 922D.

(2) A notice is not required to be given under sections 922J and 922K in relation to a person who starts or ceases to control a body corporate licensee if the person ceases to control the licensee within 30 business days of starting to control the licensee.

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## **Schedule 2—Other amendments**

### ***Corporations Regulations 2001***

#### **1 After regulation 7.6.06**

Insert:

##### **7.6.06A Relevant provider number**

For the purposes of paragraph 7.6.06B(2)(f), ASIC may give a unique number (or any unique combination of numbers, characters, symbols and letters) to a person who is a relevant provider.

##### **7.6.06B Register of relevant providers**

*Register to include details of relevant providers*

- (1) For paragraph 922A(2)(e) of the Act, ASIC must enter details on a register of relevant providers in respect of each person who is or was a relevant provider.

*Contents of register*

- (2) The details that must be entered on the register include the following:
  - (a) the relevant provider's name;
  - (b) the name of each financial services licensee on whose behalf the relevant provider is or was authorised to provide personal advice in relation to relevant financial products to retail clients;
  - (c) if applicable, each person who controls the licensee;
  - (d) the relevant provider's date and place of birth;
  - (e) the licence number given under subsection 913C(1) of the Act to the relevant provider and each licensee referred to in paragraph (b) of this subregulation;
  - (f) if applicable, the number given under regulation 7.6.06A;
  - (g) if the relevant provider is a relevant provider as a result of section 916B of the Act;

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- (i) the name of the authorised representative who authorised the relevant provider under that section; and
- (ii) the number allocated to the authorised representative by ASIC;
- (h) the recent advising history of the relevant provider;
- (i) the year in which the relevant provider first provided personal advice in relation to relevant financial products to retail clients in accordance with the law (including the law of a State or Territory);
- (j) whether the person is currently, or has ceased to be, a relevant provider;
- (k) if the relevant provider has been disqualified from managing corporations—information contained on the register established under section 1274AA of the Act;
- (l) if the relevant provider has been banned or disqualified under section 80 or 86 of the *National Consumer Credit Protection Act 2009*—information about that banning or disqualification;
- (m) if the relevant provider has been banned, disqualified or suspended under Division 8 of Part 7.6 of the Act, or under section 130F of the *Superannuation Industry (Supervision) Act 1993*—information about that banning, disqualification or suspension;
- (n) if the relevant provider has given an undertaking under either or both section 93AA of the ASIC Act and section 322 of the *National Consumer Credit Protection Act 2009*—information about that undertaking;
- (o) information about both of the following:
  - (i) the relevant financial products in relation to which the relevant provider is authorised to provide personal advice to retail clients;
  - (ii) whether the relevant provider is authorised to provide class of product advice in relation to some or all of those products;
- (p) if applicable, the ABN of any of the following:
  - (i) the relevant provider;
  - (ii) each licensee referred to in paragraph (b);
  - (iii) if applicable, the authorised representative referred to in paragraph (g);

- (q) information about both of the following:
  - (i) the educational qualifications of, and any training courses completed by, the relevant provider;
  - (ii) the relevant provider's membership (if any) of professional bodies;to the extent that the qualifications, training courses or memberships are relevant to the provision of financial services;
- (r) any other information that ASIC believes should be included in the register.

*Definitions*

(3) In this regulation:

***control*** has the meaning given by section 922C of the Act (as notionally inserted by Schedule 8D to these Regulations).

***recent advising history*** has the meaning given by section 922G of the Act (as notionally inserted by Schedule 8D to these Regulations).

***relevant financial products*** has the meaning given by section 922C of the Act (as notionally inserted by Schedule 8D to these Regulations).

***relevant provider*** has the meaning given by section 922C of the Act (as notionally inserted by Schedule 8D to these Regulations).

### **7.6.06C Correcting registers**

ASIC may correct any error in or omission from a register maintained under regulation 7.6.05, 7.6.06 or 7.6.06B.

Note: Australian Privacy Principle 13 applies to ASIC and requires it to take reasonable steps to correct personal information that is wrong or misleading so that the information is accurate, up to date, complete, relevant and not misleading (see Schedule 1 to the *Privacy Act 1988*).

### **2 At the end of regulation 9.1.01**

Add:

; (q) the register of relevant providers mentioned in regulation 7.6.06B.

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### **3 At the end of regulation 9.1.02**

Add:

- ; (q) in relation to the register of relevant providers (within the meaning of section 922C of the Act as notionally inserted by Schedule 8D to these Regulations):
  - (i) all of the information in the register (other than a relevant provider's date and place of birth) which ASIC considers appropriate for a person to search in accordance with subsection 1274A(3) of the Act; or
  - (ii) all of the information in the register (other than a relevant provider's date and place of birth) which ASIC considers appropriate to make available in accordance with subsection 1274A(4) of the Act.

## **Schedule 3—Transitional and application provisions**

### ***Corporations Regulations 2001***

#### **1 At the end of Chapter 10**

Add:

#### **Part 10.20—Transitional matters relating to relevant providers and persons who control body corporate licensees**

##### **Division 1—Introduction**

###### **10.20.01 Simplified outline of this Part**

Regulation 7.6.06B establishes a register of relevant providers that contains information that is provided under Schedule 8D to these Regulations.

The provisions in Schedule 8D begin to apply on 9 March 2015. However, between 9 March 2015 and 30 September 2015, this Part changes how those provisions apply.

Initially, information is gathered on those who are relevant providers between 1 January and 30 March 2015 (except if they cease to be relevant providers before 9 March 2015).

A person who is required to lodge a notice under section 922D of the Act in relation to relevant providers must choose a day in the period between 1 January and 30 March 2015 (called the start day). The first notice that the person lodges under section 922D must cover all of the person's relevant providers on the start day. The notice must include all information, except information about educational qualifications and professional memberships. That information is provided in a later notice.

A person may also be required to lodge a notice under section 922J in relation to those who control a body corporate licensee on the start day.

Some of the information initially provided may change. Significant changes (such as changes about the kinds of relevant financial products the relevant provider may provide advice on and changes to financial services licensees) can be notified to ASIC after 1 May 2015. Other changes can be notified to ASIC after 1 October 2015.

Persons may become relevant providers or begin to control body corporate licensees after 30 March 2015 but before 30 September 2015. The provisions apply in a similar way to those persons.

From 1 October 2015, the provisions in Schedule 8D to these Regulations apply as they appear in that Schedule.

## 10.20.02 Object of this Part

This Part provides transitional and application provisions in relation to:

- (a) Schedule 8D to these Regulations which notionally inserts sections 922C to 922P into the Act; and
- (b) the register of relevant providers established under regulation 7.6.06B.

## 10.20.03 Definitions

### *References to sections 922C to 922P of the Act*

- (1) A reference in this Part to any of sections 922C to 922P (or a provision of that section) is a reference to that section (or provision) of the Act as notionally inserted into the Act by Schedule 8D to these Regulations.

### *Meaning of **start day***

- (2) In this Part, **start day** has the meaning given by subsection 10.20.05(1).

## **Division 2—General application provision for Schedule 8D**

### **10.20.04 General application provision for Schedule 8D**

The modifications of the Act in Schedule 8D apply, subject to this Part, on and after 9 March 2015 in relation to:

- (a) a person who is a relevant provider immediately before that day; and
- (b) a person who becomes a relevant provider on or after that day; and
- (c) a body corporate that is a body corporate licensee immediately before that day; and
- (d) a body corporate that becomes a body corporate licensee on or after that day.

## **Division 3—Pre-existing and new relevant providers and controllers during the transitional period**

### **10.20.05 Application of this Division**

- (1) A person must choose a day (the *start day*) between 1 January 2015 and 30 March 2015 if, immediately before 9 March 2015, the person is:
  - (a) a financial services licensee; and
  - (b) authorised to provide personal advice in relation to relevant financial products to retail clients.

#### *Pre-existing relevant providers and controllers*

- (2) This Division applies in relation to:
  - (a) a person who is a relevant provider immediately before the start day chosen by the person who, as a result of regulation 10.20.06, is required to lodge a notice under section 922D in relation to the relevant provider; and
  - (b) a person who controls a body corporate licensee immediately before the start day chosen by the person who, as a result of regulation 10.20.10, is required to lodge a notice under section 922J in relation to the body corporate licensee.

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*Persons who become relevant providers after initial information gathering period but before 30 September 2015*

(3) This Division also applies in relation to:

- (a) a person who becomes a relevant provider:
  - (i) if the person (the **notice lodger**) who is required to lodge a notice under section 922D in relation to the relevant provider has chosen a start day—after the start day for the notice lodger and before 30 September 2015; or
  - (ii) otherwise—after 30 March 2015 and before 30 September 2015; and
- (b) a person (the **controller**) who begins to control a body corporate licensee:
  - (i) if the person (the **notice lodger**) who is required to lodge a notice under section 922J in relation to the controller has chosen a start day—after the start day for the notice lodger and before 30 September 2015; or
  - (ii) otherwise—after 30 March 2015 and before 30 September 2015.

#### **10.20.06 Notices under section 922D—initial lodgement of information**

(1) Section 922D applies in relation to a relevant provider referred to in paragraph 10.20.05(2)(a) as if:

- (a) subsection 922D(1) required a notice to be lodged in relation to the relevant provider as if the relevant provider had become a relevant provider on the start day chosen by the person who, as a result of this subregulation, is required to lodge the notice; and
- (b) subsection 922D(1) did not require the information in paragraph 922E(1)(g) or 922F(1)(j) (information about educational qualifications and professional memberships) to be included in the notice; and
- (c) subsection 922L(2) required the notice to be lodged within the period:
  - (i) starting on 9 March 2015; and
  - (ii) ending on 30 March 2015.

Note 1: This notice does not include information about the relevant provider's educational qualifications or professional memberships. That information is required to be lodged in a separate notice (see regulation 10.20.07).

Note 2: After 30 March 2015, notices can be lodged normally under section 922D (excluding information about educational qualifications and professional memberships).

(2) Section 922D applies in relation to a relevant provider referred to in paragraph 10.20.05(3)(a) who becomes a relevant provider before 23 May 2015 as if subsection 922D(1) did not require the information in paragraph 922E(1)(g) or 922F(1)(j) (information about educational qualifications and professional memberships) to be included in the notice.

### **10.20.07 Notices under section 922D—later notice about educational qualifications and professional memberships**

(1) This section applies in relation to:

- (a) a relevant provider referred to in paragraph 10.20.05(2)(a); and
- (b) a relevant provider referred to in paragraph 10.20.05(3)(a) who becomes a relevant provider before 23 May 2015.

(2) Section 922D also applies in relation to the relevant provider as if:

- (a) subsection 922D(1) required an additional notice to be lodged in relation to the relevant provider; and
- (b) the only information required to be included in the additional notice under subsection 922D(1) was the information in paragraph 922E(1)(g) or 922F(1)(j) (information about educational qualifications and professional memberships); and
- (c) subsection 922L(2) required the additional notice to be lodged within the period:
  - (i) starting on 23 May 2015; and
  - (ii) ending on 30 May 2015.

Note: After 30 May 2015, notices can be lodged normally under section 922D.

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**10.20.08 Notices under section 922H—important changes before 30 April 2015**

- (1) This regulation applies if:
  - (a) a notice is lodged under section 922D in relation to a relevant provider before 30 April 2015; and
  - (b) there is a change in a matter for the relevant provider at any time during the period ending on that day; and
  - (c) the change relates to a matter that is:
    - (i) referred to in paragraph 922E(1)(b) or (d) or 922F(1)(c) or (d) or subparagraph 922F(1)(g)(ii) (information about financial services licensees); or
    - (ii) referred to in paragraph 922E(1)(e) or 922F(1)(h) (information about relevant financial products); or
    - (iii) the relevant provider ceasing to be a relevant provider.
- (2) Section 922H applies as if subsection 922L(2) required a notice to be lodged within the period:
  - (a) starting on 1 May 2015; and
  - (b) ending 30 business days after that day.

Note: After 30 April 2015, notices about changes referred to in paragraph (1)(c) of this regulation can be lodged normally under section 922H.

**10.20.09 Notices under section 922H—other changes before 30 September 2015**

- (1) This regulation applies if:
  - (a) a notice is lodged under section 922D in relation to a relevant provider before 30 September 2015; and
  - (b) there is a change in a matter for the relevant provider at any time during the period ending on 30 September 2015; and
  - (c) the change is of a kind that is not referred to in paragraph 10.20.08(1)(c).
- (2) Section 922H applies as if subsection 922L(2) required a notice to be lodged within the period:
  - (a) starting on 1 October 2015; and
  - (b) ending 30 business days after that day.

Note: After 30 September 2015, notices can be lodged normally under section 922H.

**10.20.10 Notices under section 922J—pre-existing body corporate licensees**

Section 922J applies in relation to a body corporate licensee referred to in paragraph 10.20.05(2)(b) as if:

- (a) subsection 922J(1) required a notice to be lodged in relation to the person who controls the licensee; and
- (b) subsection 922L(2) required the notice to be lodged within the period:
  - (i) starting on 9 March 2015; and
  - (ii) ending on 30 March 2015; and
- (c) subsection 922J(1) did not require the information in paragraph 922J(2)(d) (start day for control) to be included in the notice.

**10.20.11 Notices under section 922J—controllers during transition period**

- (1) This section applies in relation to a controller referred to in paragraph 10.20.05(3)(b).
- (2) Section 922J applies as if subsection 922L(2) required a notice to be lodged within the period:
  - (a) starting on 1 October 2015; and
  - (b) ending 30 business days after that day.

Note: After 30 September 2015, notices can be lodged normally under section 922J.

**10.20.12 Notices under section 922K—ceasing to control a pre-existing body corporate licensees**

- (1) This regulation applies if a person ceases to control a body corporate licensee at any time during the period ending on 30 September 2015.
- (2) Section 922K applies as if subsection 922L(2) required a notice to be lodged within the period:
  - (a) starting on 1 October 2015; and
  - (b) ending 30 business days after that day.

Note: After 30 September 2015, notices about persons who cease to control body corporate licensees can be lodged normally under section 922K.

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#### **10.20.13 Change in matter within 30 business days**

Subsection 922P(2) does not apply during the period starting on 9 March 2015 and ending on 30 September 2015.

#### **10.20.14 Application of regulations 10.20.06 to 10.20.13**

To avoid doubt, regulations 10.20.06 to 10.20.13 apply for the purposes of:

- (a) section 922M; and
- (b) the *Corporations (Fees) Regulations 2001*.

### **Division 4—Other application provisions**

#### **10.20.15 Application—relevant provider numbers**

Regulation 7.6.06A applies in relation to a person who is a relevant provider on or after 31 March 2015 (whether he or she became a relevant provider before, on or after that day).

#### **10.20.16 Application—register of relevant providers**

- (1) Regulations 7.6.06B (except paragraph 7.6.06B(2)(q)) and 7.6.06C apply on and after 31 March 2015.
- (2) Paragraph 7.6.06B(2)(q) applies on and after 31 May 2015.

#### **10.20.17 Application—prescribed registers**

The amendments of regulations 9.1.01 and 9.1.02 made by the *Corporations Amendment (Register of Relevant Providers) Regulation 2015* apply on and after 31 March 2015.