

A guide to the annual assessment for membership levies

This guide is designed to be viewed on screen. Use the blue links or your cursor keys to navigate.

How does the assessment work?

The assessment form is completed online

[Take a quick look at what is in the form](#)

How long will it take?

This will depend on the nature of your business

[Understand the features that will help make completing the form easier](#)

What information do I need to complete the form?

This will also depend on the nature of your business

[Use this guide to find out in advance the information we require for your business](#)

Important – please note

1. Retail market only

The information you supply should relate only to products and services your business provides to individuals and small businesses (defined as a primary producer or other business that had less than 100 employees at the time of the act or omission by the financial firm that gave rise to the complaint).

2. Single entries only

Please do not count any values twice in the assessment. In the unlikely event you feel a value could go in more than one place, please ensure you enter it in only one location.

3. Relevant period

The figures to be provided are for the year ending 30 June 2018, or as at 30 June 2018.

How does the assessment work?

The assessment is completed online. There are two key elements to the assessment form.

1. Primary business activity

You will be asked to select the primary activity that best describes your business.

Please select the activity that best describes your business

<input type="radio"/> Accountant	<input type="radio"/> Make a market
<input type="radio"/> Administration services provider	<input type="radio"/> Managed discretionary account operator
<input type="radio"/> Bank	<input type="radio"/> MIS operator / fund manager
<input type="radio"/> Building society	<input type="radio"/> Mortgage aggregator
<input type="radio"/> Charity / community fund	<input type="radio"/> Mortgage broker
<input type="radio"/> Clearing / settlement house	<input type="radio"/> Mortgage manager
<input type="radio"/> Corporate advisor	<input type="radio"/> Mortgage originator
<input type="radio"/> Cover holder	<input type="radio"/> Non-cash payment system provider
<input type="radio"/> Credit provider	<input type="radio"/> Pooled superannuation trust
<input type="radio"/> Credit repair and debt negotiation provider	<input type="radio"/> Privacy Act participant
<input type="radio"/> Credit reporting agency	<input type="radio"/> Private health insurer
<input type="radio"/> Credit union	<input type="radio"/> Product distributor
<input type="radio"/> Credit-sourced funding intermediary	<input type="radio"/> Product issuer
<input type="radio"/> Custodial and depository services	<input type="radio"/> Professional indemnity insurer
<input type="radio"/> Debt collector or buyer	<input type="radio"/> Provider of lender of record services
<input type="radio"/> Derivatives dealer	<input type="radio"/> Reinsurer / reinsurance agent
<input type="radio"/> Finance broker	<input type="radio"/> Research house
<input type="radio"/> Financial advisor / planner	<input type="radio"/> Securities dealer
<input type="radio"/> FinTech	<input type="radio"/> Stockbroker
<input type="radio"/> Foreign exchange dealer	<input type="radio"/> Superannuation fund trustee / adviser
<input type="radio"/> Friendly society	<input type="radio"/> Timeshare scheme operators
<input type="radio"/> General insurance broker	<input type="radio"/> Travellers cheques / foreign currency transfer provider
<input type="radio"/> General insurer	<input type="radio"/> Trustee
<input type="radio"/> Life insurance broker	<input type="radio"/> Underwriting agency
<input type="radio"/> Life insurer	<input type="radio"/> Warranty provider

Other

2. Business size data

Next you will see the criteria we use to calculate a member's base levy. You will need to select and enter a value against each one that is relevant to your business.

- ☐ Number of representatives ?
- ☐ Gross written premium on insurance ?
- ☐ Total income earned on client insurance premiums ?
- ☐ Annual (in-force) life insurance premiums ?
- ☐ Client loan book size ?
- ☐ Client loans under management ?
- ☐ Client funds held in deposits ?
- ☐ Client funds under advice ?
- ☐ Client funds under management ?

Save your assessment for later

Click the Save & Exit button to pause and complete your assessment at a later date.

Note: Saving is not the same as Submitting.

Submit your completed assessment


Click the Submit button to send us your completed assessment. No changes can be made after this point. You will receive an email confirming your submission has been successful. You can view a summary of the information you submitted by logging in at any time to Secure Services and clicking *Annual Assessment*.

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Features to help make completing the form easier

1. The primary business type your business identified with last year will carry forward automatically – no action is required unless you wish to change it
2. The business size information provided by your business last year will also show automatically – select either Yes to enter an updated value or No to leave it unchanged

The screenshot shows a form with two sections, each starting with a blue 'Suggested' arrow icon. The first section is titled 'Number of representatives' with a help icon. It shows 'Our records show: 1' followed by a 'Change?' link and radio buttons for 'Yes' and 'No', with 'No' being selected. Below this is an unchecked checkbox for 'Gross written premium on insurance' with a help icon. The second section is titled 'Total income earned on client insurance premiums' with a help icon. It shows 'Our records show: \$88,501' followed by a 'Change?' link and radio buttons for 'Yes' and 'No', with 'No' being selected. Below this is an unchecked checkbox for 'Annual (in-force) life insurance premiums' with a help icon.

3. Any other financial information that may be relevant (based on your selected primary business activity) will be highlighted – look for the  icons

Note: If suggested options do not apply to your business simply disregard them. But be sure to complete all options that do apply to your business, even if they are not highlighted

4. Blue help buttons – click on these for a full description of the information required at each step

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Information you will need to complete the assessment

- From the business activity list below click an activity that is relevant to your business
- You will be taken to a page which sets out the information we require for that business type
- Make a note of the information requirements relevant to your business
- If more than one activity applies follow the links provided to repeat this process

[Accountant](#)

[Administration services provider](#)

[Bank](#)

[Building society](#)

[Charity / community fund](#)

[Clearing / settlement house](#)

[Corporate advisor](#)

[Cover holder](#)

[Credit provider](#)

[Credit repair or debt negotiation provider](#)

[Credit reporting agency](#)

[Credit union](#)

[Custodial and depository service](#)

[Debt collector or buyer](#)

[Derivatives dealer](#)

[Finance broker](#)

[Financial advisor / planner](#)

[Foreign exchange dealer](#)

[Friendly society](#)

[General insurance broker](#)

[General insurer](#)

[Life insurance broker](#)

[Life insurer](#)

[Make a market](#)

[Managed discretionary account operator](#)

[Managed investments scheme operator / fund manager](#)

[Mortgage aggregator](#)

[Mortgage broker](#)

[Mortgage manager](#)

[Mortgage originator](#)

[Non-cash payment system provider](#)

[Pooled superannuation trust](#)

[Private health insurer](#)

[Product distributor](#)

[Product issuer](#)

[Professional indemnity insurer](#)

[Provider of lender of record services](#)

[Reinsurer / reinsurance agent](#)

[Research house](#)

[Securities dealer](#)

[Stockbroker](#)

[Superannuation fund trustee / advisor](#)

[Travellers cheques / foreign currency transfer provider](#)

[Timeshare scheme operator](#)

[Trustee](#)

[Underwriting agency](#)

[Warranty provider](#)

[Other](#)

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Information you will need to complete the assessment if your business activities include:

- Administration services provider
- Credit repair and debt negotiation provider
- Credit reporting agency
- Research house
- Trustee

1. For the calculation of your base levy

We need the values listed below that apply to your business (a minimum of one value is required)

☐ **Number of representatives**

The total number of employees and/or representatives (individual and corporate) engaged in the selling, advising and distribution of your products and/or services.

[◀ Return to list of all business activities](#)

Information you will need to complete the assessment if your business activities include:

- Bank
- Building society
- Charity / community fund
- Clearing / settlement house
- Corporate advisor
- Credit union
- Custodial and depository service
- Managed investments scheme operator / fund manager

1. For the calculation of your base levy

We need the values listed below that apply to your business (a minimum of one value is required)

☐ **Number of representatives**

The total number of employees and/or representatives (individual and corporate) engaged in the selling, advising and distribution of your products and/or services.

☐ **Client loan book size**

Include the size of the loan book size as a result of **direct lending** to customers by credit providers such as banks, finance companies, micro lenders, and leasing/hire/rental firms.

☐ **Client loans under management**

If your business activities include being a:

- > **mortgage broker, finance broker or mortgage originator** you will need to provide the total value of the loans you have written in the last 12 months
- > **mortgage manager or mortgage aggregator**, you will need to provide the total value of the loans you are managing
- > **debt collection agency**, you will need to provide the total value of the loan book you are trying to collect (whether on behalf of others or where assigned to you)

☐ **Client funds held in deposits**

You will need to identify any client funds held in deposits by your business.

☐ **Client funds under advice**

You will need to identify the total amount of client funds that were handled by your business.

☐ **Client funds under management**

If your business activities include being a **fund manager** you will need to identify client investment funds under management

[◀ Return to list of all business activities](#)

Information you will need to complete the assessment if your business activities include:

- Cover holder
- Professional indemnity insurer
- Reinsurer / reinsurance agent
- Underwriting agency

1. For the calculation of your base levy

We need the values listed below that apply to your business (a minimum of one value is required)

☐ **Number of representatives**

The total number of employees and/or representatives (individual and corporate) engaged in the selling, advising and distribution of your products and/or services.

☐ **Gross written premium on insurance**

If your business activities include being a **general insurer / underwriter**, you will need to include the gross written premium on insurance written by your business. This includes premiums for:

- a) Retail general insurance policy;
- b) Residential strata title insurance product;
- c) Small business insurance product;
- d) Medical indemnity insurance product.

Further details on the definition of these terms can be found in the [AFCA Rules](#) (Section E.1 Defined Terms).

[◀ Return to list of all business activities](#)

Information you will need to complete the assessment if your business activities include:

- Credit provider

1. For the calculation of your base levy

We need the values listed below that apply to your business (a minimum of one value is required)

☐ **Number of representatives**

The total number of employees and/or representatives (individual and corporate) engaged in the selling, advising and distribution of your products and/or services.

☐ **Client loan book size**

Include the size of the loan book size as a result of direct lending to customers by credit providers such as banks, finance companies, micro lenders, and leasing / hire / rental firms.

☐ **Client funds held in deposits**

You will need to identify any client funds held in deposits by your business.

[◀ Return to list of all business activities](#)

Information you will need to complete the assessment if your business activities include:

- Debt collector or buyer
- Finance broker
- Mortgage aggregator
- Mortgage broker
- Mortgage manager
- Mortgage originator
- Provider of lender of record services

1. For the calculation of your base levy

We need the values listed below that apply to your business (a minimum of one value is required)

☐ **Number of representatives**

The total number of employees and/or representatives (individual and corporate) engaged in the selling, advising and distribution of your products and/or services.

☐ **Client loans under management**

If your business activities include being a:

- > **mortgage broker, finance broker or mortgage originator** you will need to provide the total value of the loans you have written in the last 12 months
- > **mortgage manager or mortgage aggregator**, you will need to provide the total value of the loans you are managing
- > **debt collection agency**, you will need to provide the total value of the loan book you are trying to collect (whether on behalf of others or where assigned to you)

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Information you will need to complete the assessment if your business activities include:

- Derivatives dealer
- Make a market
- Securities dealer
- Stockbroker
- Superannuation fund trustee / advisor

1. For the calculation of your base levy

We need the values listed below that apply to your business (a minimum of one value is required)

☐ **Number of representatives**

The total number of employees and/or representatives (individual and corporate) engaged in the selling, advising and distribution of your products and/or services.

☐ **Client funds under advice**

If your business activities include being an adviser or dealer such as:

- > **accountants**
- > **financial planners**
- > **stockbrokers** and
- > **securities dealers**

you will need to identify the total amount of client funds that were handled by your business.

[◀ Return to list of all business activities](#)

Information you will need to complete the assessment if your business activities include:

- General insurance broker
- Life insurance broker
- Warranty provider

1. For the calculation of your base levy

We need the values listed below that apply to your business (a minimum of one value is required)

☐ **Number of representatives**

The total number of employees and/or representatives (individual and corporate) engaged in the selling, advising and distribution of your products and/or services.

☐ **Total income earned on client insurance premiums**

You will need to include the income that your business receives from the premiums such as fees, commissions and brokerage. Do not include the total premiums themselves.

[◀ Return to list of all business activities](#)

Information you will need to complete the assessment if your business activities include:

- Accountant
- Financial advisor / planner

1. For the calculation of your base levy

We need the values listed below that apply to your business (a minimum of one value is required)

☐ **Number of representatives**

The total number of employees and/or representatives (individual and corporate) engaged in the selling, advising and distribution of your products and/or services.

☐ **Total income earned on client insurance premiums**

You will need to include the income that your business receives from the premiums such as fees, commissions and brokerage. Do not include the total premiums themselves.

☐ **Client funds under advice**

If your business activities include being an adviser or dealer such as:

- > **accountants**
- > **financial planners**
- > **stockbrokers** and
- > **securities dealers**

you will need to identify the total amount of client funds that were handled by your business.

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Information you will need to complete the assessment if your business activities include:

- Foreign exchange dealer

1. For the calculation of your base levy

We need the values listed below that apply to your business (a minimum of one value is required)

☐ **Number of representatives**

The total number of employees and/or representatives (individual and corporate) engaged in the selling, advising and distribution of your products and/or services.

☐ **Client funds held in deposits**

If your business activities include being a deposit taking institution, you will need to identify any client funds held in deposits by your business.

☐ **Client funds under advice**

You will need to identify the total amount of client funds that were handled by your business.

[◀ Return to list of all business activities](#)

Information you will need to complete the assessment if your business activities include:

- Friendly society

1. For the calculation of your base levy

We need the values listed below that apply to your business (a minimum of one value is required)

☐ **Number of representatives**

The total number of employees and/or representatives (individual and corporate) engaged in the selling, advising and distribution of your products and/or services.

☐ **Gross written premium on insurance**

You will need to include the gross written premium on insurance written by your business. This includes premiums for:

- a) Retail general insurance policy;
- b) Residential strata title insurance product;
- c) Small business insurance product;
- d) Medical indemnity insurance product.

Further details on the definition of these terms can be found in the [AFCA Rules](#) (Section E.1 Defined Terms).

☐ **Annual (in-force) life insurance premiums**

You will need to identify the annual (in-force) life insurance premiums written by your business.

☐ **Client loan book size**

Include the size of the loan book size as a result of **direct lending** to customers by credit providers such as banks, finance companies, micro-lenders, and leasing/hire/rental firms.

☐ **Client loans under management**

If your business activities include being a:

- > **mortgage broker, finance broker or mortgage originator** you will need to provide the total value of the loans you have written in the last 12 months

cont. on next page

- > **mortgage manager** or **mortgage aggregator**, you will need to provide the total value of the loans you are managing
- > **debt collection agency**, you will need to provide the total value of the loan book you are trying to collect (whether on behalf of others or where assigned to you)

☐ **Client funds held in deposits**

If your business activities include being a deposit taking institution, you will need to identify any client funds held in deposits by your business.

☐ **Client funds under advice**

If your business activities include being an adviser or dealer such as **accountants**, **financial planners**, **stockbrokers** and **securities dealers** you will need to identify the total amount of client funds that were handled by your business.

☐ **Client funds under management**

If your business activities include being a **fund manager** you will need to identify client investment funds under management

Information you will need to complete the assessment if your business activities include:

- Timeshare scheme operator

1. For the calculation of your base levy

We need the values listed below that apply to your business (a minimum of one value is required)

☐ **Number of representatives**

The total number of representatives, employees, agents and/or independent contractors. The total number of employees and/or representatives (individual and corporate) engaged in the selling, advising and distribution of your products and/or services.

☐ **Client funds under management**

You will need to identify client investment funds under management.

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Information you will need to complete the assessment if your business activities include:

- General insurer
- Private health insurer

1. For the calculation of your base levy

We need the values listed below that apply to your business (a minimum of one value is required)

☐ **Number of representatives**

The total number of employees and/or representatives (individual and corporate) engaged in the selling, advising and distribution of your products and/or services.

☐ **Gross written premium on insurance**

You will need to include the gross written premium on insurance written by your business. This includes premiums for:

- a) Retail general insurance policy;
- b) Residential strata title insurance product;
- c) Small business insurance product;
- d) Medical indemnity insurance product.

Further details on the definition of these terms can be found in the [AFCA Rules](#) (Section E.1 Defined Terms).

☐ **Annual (in-force) life insurance premiums**

If your business activities include being a life insurer, you will need to identify the annual (in-force) life insurance premiums written by your business.

[◀ Return to list of all business activities](#)

Information you will need to complete the assessment if your business activities include:

- Life insurer

1. For the calculation of your base levy

We need the values listed below that apply to your business (a minimum of one value is required)

☐ **Number of representatives**

The total number of employees and/or representatives (individual and corporate) engaged in the selling, advising and distribution of your products and/or services.

☐ **Annual (in-force) life insurance premiums**

You will need to identify the annual (in-force) life insurance premiums written by your business.

☐ **Client funds under advice**

If your business activities include being an adviser or dealer such as **accountants, financial planners, stockbrokers** and **securities dealers** you will need to identify the total amount of client funds that were handled by your business.

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Information you will need to complete the assessment if your business activities include:

- Managed discretionary account operator
- Pooled superannuation trust

1. For the calculation of your base levy

We need the values listed below that apply to your business (a minimum of one value is required)

☐ **Number of representatives**

The total number of employees and/or representatives (individual and corporate) engaged in the selling, advising and distribution of your products and/or services.

☐ **Client funds under advice**

If your business activities include being an adviser or dealer such as **accountants, financial planners, stockbrokers** and **securities dealers** you will need to identify the total amount of client funds that were handled by your business.

☐ **Client funds under management**

If your business activities include being a **fund manager** you will need to identify client investment funds under management

[◀ Return to list of all business activities](#)

Information you will need to complete the assessment if your business activities include:

- Non-cash payment system provider
- Travellers' cheques / foreign currency transfer provider

1. For the calculation of your base levy

We need the values listed below that apply to your business (a minimum of one value is required)

☐ **Number of representatives**

The total number of employees and/or representatives (individual and corporate) engaged in the selling, advising and distribution of your products and/or services.

☐ **Client funds held in deposits**

You will need to identify any client funds held in deposits by your business.

Information you will need to complete the assessment if your business activities include:

- Product distributor
- Product issuer
- Other

1. For the calculation of your base levy

We need the values listed below that apply to your business (a minimum of one value is required)

☐ **Number of representatives**

The total number of employees and/or representatives (individual and corporate) engaged in the selling, advising and distribution of your products and/or services.

☐ **Gross written premium on insurance**

You will need to include the gross written premium on insurance written by your business. This includes premiums for:

- a) Retail general insurance policy;
- b) Residential strata title insurance product;
- c) Small business insurance product;
- d) Medical indemnity insurance product.

Further details on the definition of these terms can be found in the [AFCA Rules](#) (Section E.1 Defined Terms).

☐ **Total income earned on client insurance premiums**

You will need to include the income that your business receives from the premiums such as fees, commissions and brokerage. Do not include the total premiums themselves.

☐ **Annual (in-force) life insurance premiums**

You will need to identify the annual (in-force) life insurance premiums written by your business.

☐ **Client loan book size**

Include the size of the loan book size as a result of **direct lending** to customers by credit providers such as banks, finance companies, micro lenders, and leasing/hire/rental firms.

☐ **Client loans under management**

If your business activities include being a:

- > **mortgage broker, finance broker or mortgage originator** you will need to provide the total value of the loans you have written in the last 12 months
- > **mortgage manager or mortgage aggregator**, you will need to provide the total value of the loans you are managing
- > **debt collection agency**, you will need to provide the total value of the loan book you are trying to collect (whether on behalf of others or where assigned to you)

☐ **Client funds held in deposits**

If your business activities include being a deposit taking institution, you will need to identify any client funds held in deposits by your business.

☐ **Client funds under advice**

If your business activities include being an adviser or dealer such as **accountants, financial planners, stockbrokers** and **securities dealers** you will need to identify the total amount of client funds that were handled by your business.

☐ **Client funds under management**

If your business activities include being a **fund manager** you will need to identify client investment funds under management