Australian Financial Services Licensee Dataset

HELP FILE

Australian Financial Services Licensee Dataset – Help File

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Getting Started

1. Purpose

This document is to provide guidance for the Australian Financial Services Licensee Dataset files uploaded to data.gov.au by ASIC every Thursday.

2. Australian Financial Services Licensee Register

The Australian Financial Services Licensee Dataset file on data.gov.au is extracted from ASIC's Australian Financial Services Licensee Register. This dataset is a point in time snapshot of Australian Financial Services Licensee data.

The Australian Financial Services Licensee dataset contains publically available information for approved and suspended Australian Financial Services licensees. See the data dictionary for fields available in the dataset.

2.1.   File Format

The Australian Financial Services Licensee Dataset is provided in a file with the extension of csv (comma separated values), csv-geo-au, xlsx and tsv.

Note: The Australian Financial Services Licensee Dataset csv is **not** separated by commas.

The Australian Financial Services Licensee Dataset csv uses the 'TAB' character as the delimiter (value separator) between values in the dataset; the 'TAB' character is used in place of a comma separator because names can contain commas and therefore are not a suitable delimiter for this dataset. The csv file uses double quote encapsulation around all String datatype variables that contain either a comma (,) or double quote (").

An example of the data in the Australian Financial Services Licensee Dataset csv is as follows

REGISTER_NAME	AFS_LIC_NUM	AFS_LIC_NAME	AFS_LIC_ABN_ACN	AFS_LIC_START_DT
AFS_LIC_PRE_FSR	AFS_LIC_ADD_LOCAL	AFS_LIC_ADD_STATE	AFS_LIC_ADD_PCODE	
AFS_LIC_COUNTRY	AFS_LIC_LAT	AFS_LIC_LNG	AFS_LIC_CONDITION	

AFS Licence	123456 COMPANY ONE PTY LTD	12345678901	01/01/2012	InsGen 53860
GOULBURN NSW 2580 Australia	-27.1000	150.100	"This licence	

authorises the licensee to carry on a financial services business to:"~"deal in a financial product by:"~"issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:"~"interests in managed investment schemes limited to:"~"own managed investment scheme only; and"~"applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:"~"interests in managed investment schemes excluding investor directed portfolio services; and"~"securities; and"~"to wholesale clients."

AFS Licence	234567 CAPITAL TRADES PTY LTD	27123456789	20/06/2002	FutAdv 192021~SecDlr
217542 WEST PERTH WA 6005 Australia	-25.1000	145.1000	"This licence	

authorises the licensee to carry on a financial services business to:"~"provide general financial product advice for the following classes of financial products:"~"securities;"~"to retail and wholesale clients."

2.2.   File interaction

The Australian Financial Services Licensee dataset contains approximately 6,000 records.

It is recommended users interact with the dataset on data.gov.au using one of the following methods:

Important note: XLSX file extensions is no longer supported by CKAN as of December 2021 and any information extracted using an API method may not return up to date data. For more information, see the CKAN website.

- Dataset Preview on data.gov.au
- Download the dataset from data.gov.au
- Access resource data via a web API with powerful query support (Web API information can be found in the main CKAN Data API and DataStore documentation).

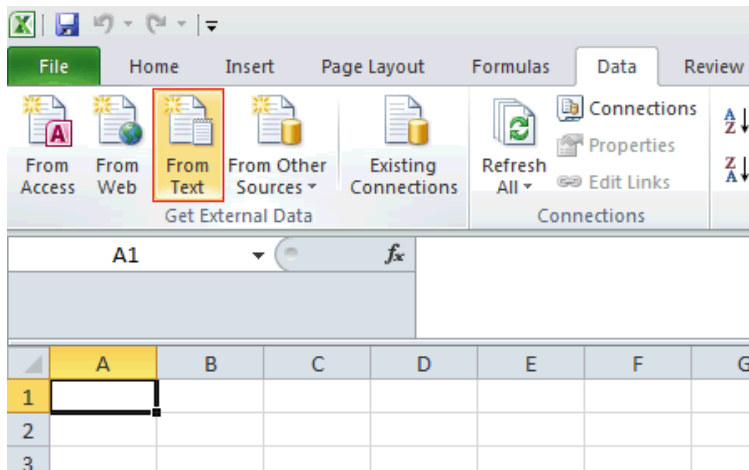**Australian Financial Services Licensee Dataset – Help File**

2.3. File Import into Excel

To import the file to Excel use the following steps:

1. Open Excel with a new blank workbook.
2. Import data by selecting the 'Data' menu and 'From Text' as the external data source.

3. Choose your file as the data source and select 'Import'.

4. Import Wizard:
   a. Select 'Delimited' as the Original data type then select Next.

   b. Select 'Tab' as the Delimiter by checking the box and clear the other check boxes. Then select double quotes " as the Text qualifier, and select Next.

c. Select 'General' for Column data format, then select Finish.
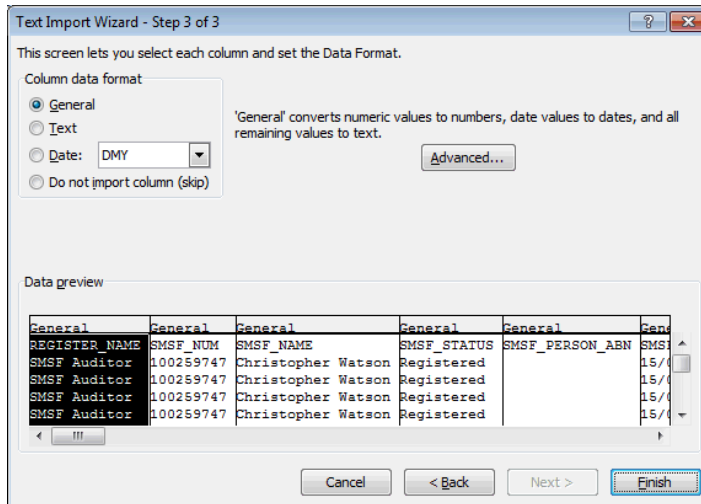
5. Put the data into the Existing blank worksheet by entering '=A1' in the text box. Select OK.
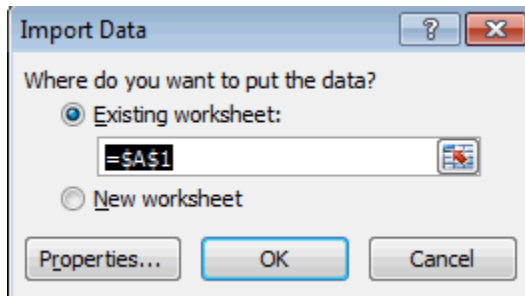
Note:

Support for importing data into Excel workbooks can be found on the Microsoft website
https://support.office.com/en-za/article/Text-Import-Wizard-c5b02af6-fda1-4440-899f-f78bafe41857

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3. Data Dictionary

The Australian Financial Services Licensee Dataset contains the following fields:

Field	Description	Data Type	Max Length	Data Parameters
REGISTER_NAME	The name of the register the record belongs to.	Text	255	String identifying the register name
AFS_LIC_NUM	A unique identifying number allocated to the Australian Financial Services licensee.	Numeric	9	Format: 9 digit numerical including leading zeros (e.g. 012345678)
AFS_LIC_NAME	The register entry name of the Australian Financial Services licensee.	Text	255	As appears on ASIC's register Logic: IF record relates to a person THEN Show as 'Last name, Given names' ELSE Full organisation name
AFS_LIC_ABN_ACN	The Australian Financial Services licensee's Australian Business Number (ABN) or Australian Company Number (ACN).	Numeric	11	The ABN or ACN for the Australian Financial Services licensee. Logic: IF Australian Financial Services licensee has provided an ABN THEN show ABN ELSE IF Australian Financial Services licensee has provided an ACN THEN show ACN ELSE show null
AFS_LIC_START_DT	The start date of the Australian Financial Services licensee.	Date/Time	10	**Date format**: DD/MM/YYYY

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Field	Description	Data Type	Max Length	Data Parameters
AFS_LIC_PRE_FSR	The register identifier and licence number for registers that were superseded by Financial Services Reform (FSR).	Text	255	**Register Identifier:** FutAdv = Futures adviser FutBro = Futures broker InsFor = Foreign insurance broker InsGen = General insurance broker InsLif = Life insurance broker InvAdv = Investment adviser SecDlr = Securities dealer **Logic:** **IF** Australian Financial Services licensee has held a licence for a register that was superseded by Financial Services Reform (FSR). **THEN** show register code and licence number. **ELSE** show null **Note:** Delimited by tilde '~' for each register.
AFS_LIC_ADD_LOCAL	The town of the current principal business address of the Australian Financial Services licensee.	Text	255	Locality from current principal business address of the Australian Financial Services licensee. **Note:** Blank fields represent records where the provided address could not be validated.

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Field	Description	Data Type	Max Length	Data Parameters
AFS_LIC_ADD_STATE	The state of the current principal business address of the Australian Financial Services licensee.	Text	3	State from current principal business address of the Australian Financial Services licensee. **Note:** Blank fields represent records where the provided address could not be validated.
AFS_LIC_ADD_PCODE	The postcode of the current principal business address of the Australian Financial Services licensee.	Numeric	4	Postcode from current principal business address of the Australian Financial Services licensee. **Logic:** **IF** country is not 'Australia' **THEN** postcode = 0 **ELSE** show postcode **Note:** Blank fields represent records where the provided address could not be validated.

Field	Description	Data Type	Max Length	Data Parameters
AFS_LIC_ADD_COUNTRY	The country of the principal business address of the Australian Financial Services licensee.	Text	255	Country from current principal business address of the Australian Financial Services licensee. **Logic:** **IF** country is not 'Australia' **THEN** then field value is 'International' **ELSE** 'Australia **Note:** Blank fields represent records where the provided address could not be validated.
AFS_LIC_LAT	The latitude of the principal business address of the Australian Financial Services licensee.	Numeric	20	Data represents the first result for latitude from a lookup of the locality, state and postcode. **Note:** Blank fields represent records where the provided address could not be validated.
AFS_LIC_LNG	The longitude of the principal business address of the Australian Financial Services licensee.	Numeric	20	Data represents the first result for longitude from a lookup of the locality, state and postcode. **Note:** Blank fields represent records where the provided address could not be validated.
AFS_LIC_CONDITION	Financial services and products the licensee is authorised to provide under their licence.	Text	255	**Note:** Each condition is encapsulated by " and delimited by tilde '~'

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4. ASIC Connect Search

An alternative to accessing the data contained in the Australian Financial Services Licensee Dataset is to use ASIC Connect Search. You can view publically available information and purchase extracts on the entities contained on our registers.

5. Dataset Change Log

Change	Date	Description
1.0	10/03/2016	Updated help file information
Updated help file	29/04/2022	Updated help file information
Updated help file	12/02/2025	Changed frequency from monthly to weekly (Thu) Added notes to the data dictionary parameters for AFS_LIC_ADD_LOCAL, AFS_LIC_ADD_STATE, AFS_LIC_ADD_PCODE, AFS_LIC_ADD_COUNTRY, AFS_LIC_LAT, AFS_LIC_LNG

6. Contact

Enquiries can be directed to Access.Request@asic.gov.au