



**ASIC**  
Australian Securities &  
Investments Commission

## Banned and Disqualified Persons Dataset – Help File



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# Banned and Disqualified Persons Dataset

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## HELP FILE



## Banned and Disqualified Persons Dataset – Help File

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## Banned and Disqualified Persons Dataset – Help File

# Getting Started

## 1. Purpose

This document is to provide guidance for the Banned and Disqualified Persons Dataset files uploaded to data.gov.au by ASIC each month.

## 2. Banned and Disqualified Persons Dataset

The Banned and Disqualified Persons Dataset file on data.gov.au is extracted from ASIC's Banned and Disqualified Registers. This dataset is a point in time snapshot of the Banned and Disqualified Persons Register data.

The Banned and Disqualified Person dataset file contains the following banning types:

AFS Banned & Disqualified	A financial service provider banned or disqualified under section 922A(2) of Corporations Act 2001.
Banned Futures	Banned futures representatives register (pre-AFS licences).
Banned Securities	Banned securities representatives register (pre-AFS licences).
Credit Banned & Disqualified	Persons against whom a banning order or disqualification order is made under Part 2-4 of the NCCP Act.
Disq. Director	The company directors and other office holders disqualified under 1274AA of Corporations Act 2001.
Disqualified SMSF	Disqualified SMSF auditors for whom an order disqualifying the person from being an approved SMSF auditor is in force under 130F of the SIS Act.

The Banned and Disqualified Persons Dataset contains publicly available information. See the data dictionary for fields available in the dataset.

There may be multiple instances of identical or similar names in the dataset, with slight differences in address, place of birth, and other details. The data is recorded as it was reported to ASIC and we cannot confirm if these similar records are/are not the same person.

### 2.1. File Format

The Banned and Disqualified Persons Dataset is provided in a file with the extension of csv (comma separated values), xlsx and tsv.

**Note:** The Banned and Disqualified Persons Dataset csv is **not** separated by commas.



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The Banned and Disqualified Persons 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 Banned and Disqualified Persons Dataset csv is as follows

REGISTER_NAME	BD_PER_NAME	BD_PER_TYPE	BD_PER_DOC_NUM	BD_PER_START_DT	BD_PER_END_DT	BD_PER_ADD_LOCAL	BD_PER_ADD_STATE	BD_PER_ADD_PCODE	BD_PER_ADD_COUNTRY	BD_PER_COMMENTS
Banned and Disqualified Persons	"AUSTIN, POWERS"	Banned Securities	#000000000	3/12/1967	MELBOURNE	VIC	3077	AUSTRALIA	No comment made	

### 2.2. File interaction

The Banned and Disqualified Persons dataset contains over 5,000 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](#)).

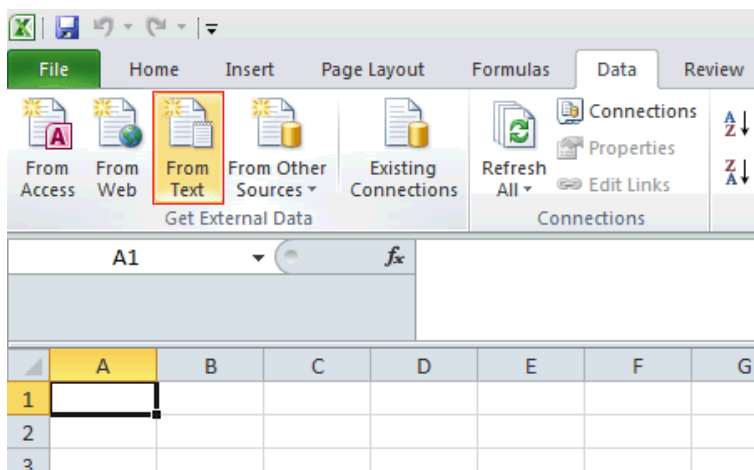


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### 2.3. File Import into Excel

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.



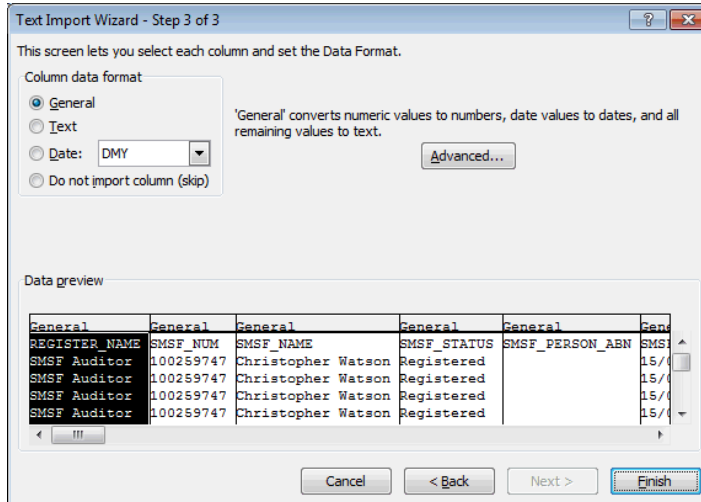
3. Choose your file as the data source and select 'Import'.





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- c. Select 'General' for Column data format, then select Finish.



This screen lets you select each column and set the Data Format.

Column data format

☒ General  
☐ Text  
☐ Date: DMY  
☐ Do not import column (skip)

'General' converts numeric values to numbers, date values to dates, and all remaining values to text.

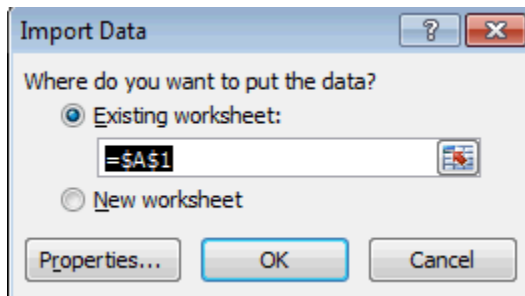
Advanced...

Data preview

General	General	General	General	General	General
REGISTER_NAME	SMSF_NUM	SMSF_NAME	SMSF_STATUS	SMSF_PERSON_ABN	SMSF_PERSON_ABN
SMSF Auditor	100259747	Christopher Watson	Registered		15/0
SMSF Auditor	100259747	Christopher Watson	Registered		15/0
SMSF Auditor	100259747	Christopher Watson	Registered		15/0
SMSF Auditor	100259747	Christopher Watson	Registered		15/0

Cancel < Back Next > Finish

5. Put the data into the Existing blank worksheet by entering '=\$A\$1' in the text box. Select OK.



Where do you want to put the data?

☒ Existing worksheet:  
=\$A\$1

☐ New worksheet

Properties... OK Cancel

### 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-f78bafef41857>



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### 3. Data Dictionary

The Banned and Disqualified Persons Dataset contains the following fields:

Field	Description	Data Type	Max Length	Data Parameters
<b>REGISTER_NAME</b>	The name of the register the record belongs to.	Text	255	String identifying the register name
<b>BD_PER_NAME</b>	The person's name that is banned or disqualified.	Text	255	Format: LASTNAME, GIVEN_NAME OTHER_GIVEN_NAMES
<b>BD_PER_TYPE</b>	The type of ban or disqualification.	Text	255	Ban and disqualification types include:  - AFS Banned & Disqualified - Banned Futures - Banned Securities - Credit Banned & Disqualified - Disq. Director - Disqualified SMSF
<b>BD_PER_DOC_NUM</b>	ASIC's internal document number used to identify the document containing the ban or disqualification notice/order.	Text	255	As appears on ASIC's register (The leading # does not form part of the document number)
<b>BD_PER_START_DT</b>	The start date of the ban or disqualification.	Date/Time	10	<b>Date format:</b> DD/MM/YYYY
<b>BD_PER_END_DT</b>	The end date of the ban or disqualification.	Date/Time	10	<b>Date format:</b> DD/MM/YYYY
<b>BD_PER_ADD_LOCAL</b>	The locality of the address associated with the banned or disqualified person.	Text	255	<b>Logic:</b> <b>IF</b> known address <b>THEN</b> show address locality <b>ELSE</b> "ADDRESS UNKNOWN"





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Field	Description	Data Type	Max Length	Data Parameters
<b>BD_PER_ADD_STATE</b>	The state of the address associated with the banned or disqualified person.	Text	255	<b>Logic:</b> <b>IF</b> known address <b>THEN</b> show address state <b>ELSE</b> "ADDRESS UNKNOWN"
<b>BD_PER_ADD_PCODE</b>	The post code of the address associated with the banned or disqualified person.	Text	255	<b>Logic:</b> <b>IF</b> known address <b>THEN</b> show address post code <b>ELSE</b> "ADDRESS UNKNOWN"
<b>BD_PER_ADD_COUNTRY</b>	The country of the address associated with the banned or disqualified person.	Text	255	<b>Logic:</b> <b>IF</b> known address <b>THEN</b> show address post code <b>ELSE</b> "ADDRESS UNKNOWN" <b>OR IF</b> BD_PER_ADD_COUNTRY = Invalid address or foreign address <b>THEN</b> "INVALID AUSTRALIAN ADDRESS" <b>ELSE</b> "AUSTRALIA"
<b>BD_PER_COMMENTS</b>	Additional information associated with the banned or disqualified person.	Text	500	This field contains the last comment recorded against the banning order. The comment may be limited by the amount of allowable characters in this field. Further information on comments recorded against a banning order is available via <a href="#">ASIC Connect Search</a> .



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### 4. ASIC Connect Search

An alternative to accessing the data contained in the Banned and Disqualified Persons Dataset is to use [ASIC Connect Search](#). You can view publicly available information and purchase extracts on the entities contained on our registers.

### 5. Contact

Enquiries can be directed to [Access.Request@asic.gov.au](mailto:Access.Request@asic.gov.au)