



ASIC
Australian Securities &
Investments Commission

Financial Advisers Dataset – Help File



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Financial Advisers Dataset

HELP FILE



Financial Advisers Dataset – Help File

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Getting Started

1. Purpose

This document is to provide detailed context and understanding of the Financial Advisers Dataset files uploaded to Data.gov.au by ASIC every Thursday.

2. Financial Advisers Dataset

The ASIC Financial Advisers Dataset file as it appears on data.gov.au is a dataset from ASIC's Financial Advisers Register. This dataset does not contain all the information captured on ASIC's register but is a point-in-time snapshot of Financial Advisers data.

The Financial Advisers Dataset contains the following:

- Select fields that are publicly available (see data dictionary for field details);
- All currently appointed Financial Advisers that are able to be uploaded to data.gov.au; and
- Ceased Financial Advisers that are able to be uploaded to data.gov.au.

2.1. File Format

The Financial Advisers Dataset is provided in a file with the extension of csv (comma separated values) and xlsx.

Important note: The data contained within the Financial Advisers dataset csv is **not** separated by commas.

The Financial Advisers 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 is not a suitable delimiter for this dataset.

An example of the data in the Financial Advisers Dataset csv is as follows:

REGISTER_NAME	ADV_NAME	ADV_NUMBER	ADV_ROLE	ADV_SUB_TYPE
ADV_ROLE_STATUS	ADV_ABN	ADV_FIRST_PROVIDED_ADVICE	LICENCE_NAME	
LICENCE_NUMBER	LICENCE_ABN	LICENCE_CONTROLLED_BY	ADV_START_DT	
ADV_END_DT	OVERALL_REGISTRATION_STATUS	REGISTRATION_STATUS_UNDER_AFSL		
REGISTRATION_START_DATE_UNDER_AFSL	REGISTRATION_END_DATE_UNDER_AFSL			
ADV_CPD_FAILURE_YEAR	ADV_ADD_LOCAL	ADV_ADD_STATE		



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Melbourne	VIC	3004	Australia	HEWISON & ASSOCIATES PTY. LTD.								
000227185	51006082257							0	0	1	0	
1	0	0	0	0	1	1	1	0	0	1	0	
0	0	0	0	1	1	1	0	0	1	0	0	
0	0	0	0	0	0	0	0	0	0	0	0	
0	0	Y	Bachelor of Commerce (Finance) - Deakin University ~ Certified Financial Planner (CFP) - Financial Advice Association of Australia ~ Ethics and Professionalism in Financial Advice - Kaplan Professional ~ Graduate Diploma of Financial Planning - FINSIA ~ SMSF Specialist Advisor (SSA) Accreditation - SMSF Association 2008 - Graduate Diploma of Financial Planning - Graduate Diploma (AQF 8) - FINSIA~2021 - Ethics and Professionalism in Financial Advice - Bridging Course - Ethics - Kaplan Professional Financial Advice Association of Australia (FAAA) ~ SMSF Association									

2.2. File interaction

It is recommended users interact with the dataset on data.gov.au via 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;
- 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](#)).

2.3. Dataset Fields

The Financial Advisers dataset contains the following fields:

- REGISTER_NAME
- ADV_NAME
- ADV_NUMBER
- ADV_ROLE
- ADV_SUB_TYPE
- ADV_ROLE_STATUS



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- ADV_ABN
- ADV_FIRST_PROVIDED_ADVICE
- LICENCE_NAME
- LICENCE_NUMBER
- LICENCE_ABN
- LICENCE_CONTROLLED_BY
- ADV_START_DT
- ADV_END_DT
- OVERALL_REGISTRATION_STATUS
- REGISTRATION_STATUS_UNDER_AFSL
- REGISTRATION_START_DATE_UNDER_AFSL
- REGISTRATION_END_DATE_UNDER_AFSL
- ADV_CPD_FAILURE_YEAR
- ADV_ADD_LOCAL
- ADV_ADD_STATE
- ADV_ADD_PCODE
- ADV_ADD_COUNTRY
- REP_APPOINTED_BY
- REP_APPOINTED_NUM
- REP_APPOINTED_ABN
- ADV_DA_START_DT
- ADV_DA_END_DT
- ADV_DA_TYPE
- ADV_DA_DESCRIPTION
- FIN
- FIN_CARBUNIT
- FIN_DEPPAY_DPNONBAS
- FIN_DEPPAY_DPNONCSH
- FIN_DERIV
- FIN_DERIV_DERWOOL
- FIN_DERIV_DERELEC
- FIN_DERIV_DERGRAIN
- FIN_FOREXCH
- FIN_GOVDEB
- FIN_LIFEPROD_LIFEINV
- FIN_LIFEPROD_LIFERISK

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- FIN_LIFEPROD_LIFERISK_LIFECONS
- FIN_MINV_MIEXCLUDEIDPS
- FIN_MINV_MIINCLUDEIDPS
- FIN_MINV_MIIDPSONLY
- FIN_MINV_MIOWN
- FIN_MINV_MIHORSE
- FIN_MINV_MITIME
- FIN_MINV_IMIS
- FIN_RSA
- FIN_SECUR
- FIN_SUPER
- FIN_SUPER_SMSUPER
- FIN_SUPER_SUPERHOLD
- FIN_STDMARGLEND
- FIN_NONSTDMARGLEND
- FIN_AUSCARBCRDUNIT
- FIN_ELIGINTREMSUNIT
- FIN_MISFIN_MISMDA
- FIN_MISFIN_MISFINRP
- FIN_MISFIN_MISFINIP
- FIN_FHSANONADIDUMMY
- CLASSES_SECUR
- CLASSES_SMIS
- CLASSES_LIFEPROD_LIFERISK
- CLASSES_SUPER
- FIN_DERIV_LAWSECURITIES
- FIN_DERIV_LAWFUTURE
- FIN_MINV
- FIN_SECURALL_SECURDEBENT
- FIN_SECURALL
- ABLE_TO_PROVIDE_TFAS
- QUALIFICATIONS_AND_TRAINING
- ADV_APPROVED_QUAL
- MEMBERSHIPS
- FURTHER_RESTRICTIONS



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A comprehensive description of each field in the dataset is provided in the attached data dictionary ([APPENDIX ITEM](#)).

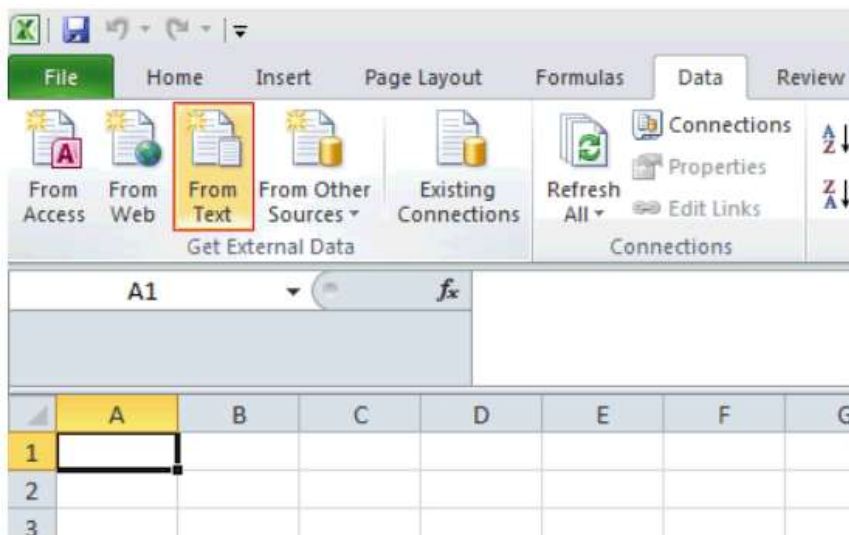


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2.4. File Import into Excel

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

Text Import Wizard - Step 1 of 3

The Text Wizard has determined that your data is Delimited.
If this is correct, choose Next, or choose the data type that best describes your data.

Original data type

Choose the file type that best describes your data:

Delimited - Characters such as commas or tabs separate each field.

Fixed width - Fields are aligned in columns with spaces between each field.

Start import at row: 1 File origin: MS-DOS (PC-8)

Preview of file P:\Registry Reporting\Programme\Data.gov.a... \SMSF_Auditor_Register_201512.csv.

REGISTER_NAME	SMSF_NUM	SMSF_NAME	SMSF_STATUS	SMSF_PERSON_ABN	SMSF_DATE
SMSF Auditor	100259747	Christopher Watson	Registered		15/09/14
SMSF Auditor	100259747	Christopher Watson	Registered		15/09/14
SMSF Auditor	100259747	Christopher Watson	Registered		15/09/14
SMSF Auditor	100259747	Christopher Watson	Registered		15/09/14

Buttons: Cancel, < Back, Next >, Finish

- 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.

Text Import Wizard - Step 2 of 3

This screen lets you set the delimiters your data contains. You can see how your text is affected in the preview below.

Delimiters

Tab

Semicolon

Comma

Space

Other:

Treat consecutive delimiters as one

Text qualifier: " " " " " "

Data preview

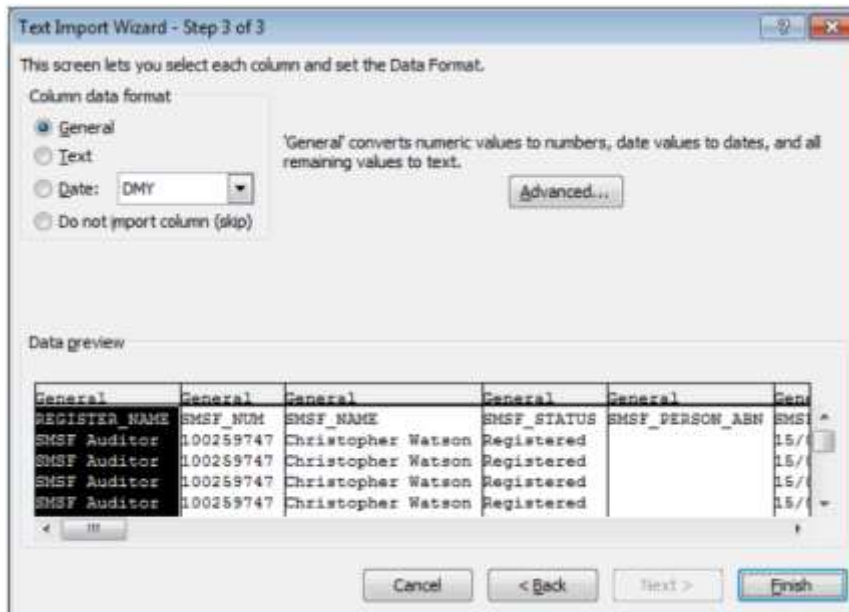
REGISTER_NAME	SMSF_NUM	SMSF_NAME	SMSF_STATUS	SMSF_PERSON_ABN	SMSF_DATE
SMSF Auditor	100259747	Christopher Watson	Registered		15/09/14
SMSF Auditor	100259747	Christopher Watson	Registered		15/09/14
SMSF Auditor	100259747	Christopher Watson	Registered		15/09/14
SMSF Auditor	100259747	Christopher Watson	Registered		15/09/14

Buttons: Cancel, < Back, Next >, Finish

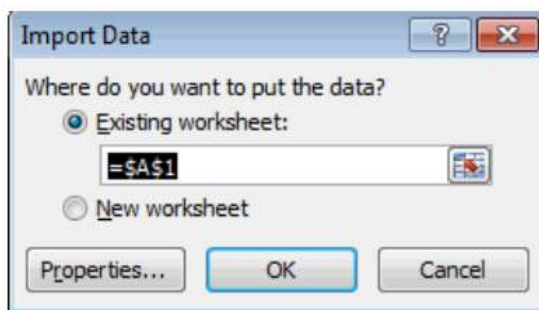


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- c. Select 'General' for Column data format, then select Finish.



5. Put the data into the Existing blank worksheet by entering '=\$A\$1' 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-f78bafef41857>



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3. MoneySmart / ASIC Connect Search

An alternative to searching the data contained in the Financial Advisers Register extract is to use MoneySmart or ASIC Connect.

The Financial Advisers Register is accessed from ASIC's MoneySmart website. Moneysmart provides a free search to assist consumers in choosing and validating a financial adviser.

The register includes:

- the adviser's name, representative number, appointment and registration status, and experience;
- the adviser's qualifications and professional association memberships;
- if applicable, the adviser's licensee and corporate authorised representative details;
- what product areas the adviser can provide advice on;
- any banning orders, disqualifications or enforceable undertakings the adviser may be subject to;
- if applicable, each person who controls the adviser's licensee; and
- if applicable, a link from any ABN of the licensee, authorised representative or adviser to see the business names associated with these ABNs on the Australian Business Register.

ASIC Connect is our online service for interacting with ASIC's registers.

We have three services currently available through ASIC Connect:

- Search Business names register;
- Search Self-managed superannuation fund (SMSF) auditors register; and
- Search companies and other registers (including professional registers).

The professional register search on ASIC Connect includes the Financial Services Licensee and Authorised Representative register. It includes additional information such as licence conditions, and the specific authorisations for each authorised representative.



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4. Dataset Change Log

Change	Date	Description
Added 5 new products	03/08/2015	Add the following products - FIN_DERIV_LAWFUTURE - FIN_DERIV_LAWSECURITIES - FIN_SECURALL - FIN_SECURALL_SECURDEBENT - FIN_MINV
Multiple Controlling Entity	22/10/2015	In the field LICENCE_CONTROLLED_BY there are now multiple controlling entities displayed with the '~' used as the delimiter
Ceased Controlling Entity	22/10/2015	In the field LICENCE_CONTROLLED_BY both current and ceased controlling entities are shown, when there is a ceased controlling entity it is identified with the following text '[Date Ceased xx/xx/xxxx]'
Help file	10/05/2016	Added how to import into Excel steps at 2.4
Added 12 new fields	07/11/2019	New fields in conjunction with the professional standards reforms for financial advisers New fields detailed in section 2.3
Fields removed from planned update	11/11/2019	The following fields are no longer to be included in the update on the 22 nd <ul style="list-style-type: none">• Foreign experience country• Professional year start date• Professional year end date• Date adviser passed exam• Accelerated professional year
Updated data dictionary for ADV_CPD_FAILURE_YEAR	03/03/2021	Updated the data dictionary from number to text against the XLSX file
Help file	29/03/2021	Updated the help file's information



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Renamed field	06/01/2022	Renamed ADV_FASEA_APPROVED_QUAL to ADV_APPROVED_QUAL
Updated help file	29/04/2022	Updated help file information
Added 1 new field	21/08/2023	Added ABLE_TO_PROVIDE_TFAS field and data dictionary updated
Updated 1 field Added 5 new fields	01/03/2024	<p>Updated ADV_DA_TYPE to provide details on the type of any disciplinary action taken against the financial adviser. The order of the fields has been updated, see section 2.3.</p> <p>Added the following fields to the dataset:</p> <ul style="list-style-type: none">• ADV_DA_DESCRIPTION• OVERALL_REGISTRATION_STATUS• REGISTRATION_STATUS_UNDER_AFSL• REGISTRATION_START_DATE_UNDER_AFSL• REGISTRATION_END_DATE_UNDER_AFSL <p>See updated data dictionary for more details.</p>

5. Contact

Any further enquiries can be directed to ASIC via email at Access.Request@asic.gov.au



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APPENDIX ITEM 1

Financial Advisers Dataset – Data Dictionary

Field	Description	Data Type	Max Length	Data Parameters
REGISTER_NAME	Name of the Register	Text	250	Register name as appears on ASICs register
ADV_NAME	Name of the Financial Adviser as it appears on ASIC's Financial Advisers Register	Text	250	As appears on ASICs register
ADV_NUMBER	An identifying number allocated to the Financial Adviser.	Text	100	Format: 9 digit numerical including leading zeros (e.g. 012345678)
ADV_ROLE	The role of the individual for this appointment	Text	100	As appears on ASIC's register
ADV_SUB_TYPE	The sub type of the financial adviser where relevant	Text	100	Values for this field are limited to the following: NULL, Financial Adviser, Provisional Financial Adviser, Time-share Adviser
ADV_ROLE_STATUS	The status of the role the Financial Adviser has been appointed	Text	100	Values for this field are limited to the following: Ceased: The Representative has ceased from this role Current: The Representative currently holds this role
ADV_ABN	The Financial Adviser's Australian Business Number (ABN). The ABN is a single identifier for all business dealings with the Australian Taxation Office (ATO) and for dealings with other government departments and	Text	30	FA_ABN field has the following logic applied IF Licence has an ABN THEN show ABN ELSE show null



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	agencies and is shown in the Australian Business Register. This number is not issued by ASIC. For further information refer to the Australian Business Register			This is the ABN for the Financial Adviser.
ADV_FIRST_PROVIDED_ADVICE	The year the Financial Adviser first provided advice	Numeric	4	Format: YYYY
LICENCE_NAME	Name of the licence holder as it appears on ASIC's Financial Services Licensee Register	Text	250	As appears on ASICs Financial Services Licensee Register
LICENCE_NUMBER	An identifying number allocated to the licence holder	Text	100	Format: 9 digit numerical including leading zeros (e.g. 012345678)
LICENCE_ABN	The licensee's Australian Business Number (ABN). The ABN is a single identifier for all business dealings with the Australian Taxation Office (ATO) and for dealings with other government departments and agencies and is shown in the Australian Business Register. This number is not issued by ASIC. For further information refer to the Australian Business Register	Text	30	Licence_ABN field has the following logic applied IF Licence has an ABN THEN show ABN ELSE show null This is the ABN for the Licence.
LICENCE_CONTROLLED_BY	The company(ies) or people who control the licensee's business. They can sometimes be a majority shareholder or able to control votes at meetings or board composition	Text	4000	As appears on ASICs register. If more than one entry exists they will be concatenated together and separated using the '~' symbol. IF Licence only current controlling entities THEN concatenate current controlling entities



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				ELSE concatenate current and ceased controlling entities, adding the following text for ceased entities '[Date Ceased xx/xx/xxxx]'
ADV_START_DT	The date the Financial Adviser commenced the appointment	Date/Time	10	Date format: DD/MM/YYYY
ADV_END_DT	The date the Financial Adviser ceased the appointment	Date/Time	10	Date format: DD/MM/YYYY
OVERALL_REGISTRATION_STATUS	Provides information on the financial adviser's registration status. Provisional financial advisers cannot be registered with ASIC.	Text	100	If value is null, this indicates that the financial adviser has not been registered before / is not registered. Provisional financial advisers cannot be registered with ASIC.
REGISTRATION_STATUS_UNDER_AFSL	Provides information on the registration status of the financial adviser under the AFS licensee who applied to register the financial adviser. Advisers with an ADV_SUB_TYPE of 'Provisional Financial Adviser' cannot be registered with ASIC.	Text	100	If value is null, but the financial adviser's registration status is 'registered', this indicates the Financial Adviser was registered by another AFS licensee. If value is null and the financial adviser's registration status is blank, this indicates that the financial adviser has not been registered before / is not registered. Advisers with an ADV_SUB_TYPE of 'Provisional Financial Adviser' will have a null value.
REGISTRATION_START_DATE_UNDER_AFSL	Provides information on the date the financial adviser's registration started. Advisers with an ADV_SUB_TYPE of	Date	10	Date format: DD/MM/YYYY If value is null, but the financial adviser's registration status is 'registered', this



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	'Provisional Financial Adviser' cannot be registered with ASIC.			indicates the Financial Adviser was registered by another AFS licensee. If value is null and the financial adviser's registration status is blank, this indicates that the financial adviser has not been registered before / is not registered. Advisers with an ADV_SUB_TYPE of 'Provisional Financial Adviser' will have a null value.
REGISTRATION_END_DATE_UNDE R_AFSL	Provides information on the date the financial adviser's registration ended. Advisers with an ADV_SUB_TYPE of 'Provisional Financial Adviser' cannot be registered with ASIC.	Date	10	Date format: DD/MM/YYYY If value is null, but the financial adviser's registration status is 'registered', this indicates the Financial Adviser was registered by another AFS licensee. If value is null and the financial adviser's registration status is blank, this indicates that the financial adviser has not been registered before / is not registered. Advisers with an ADV_SUB_TYPE of 'Provisional Financial Adviser' will have a null value.
ADV_CPD_FAILURE_YEAR	Continuing Professional Development (CPD) failure year (if applicable)	Text	255	Can be NULL, a 4 digit year e.g 2019, or a list of years delimited by a "~" e.g 2019~2020
ADV_ADD_LOCAL	The town of the current principal business address of the Adviser	Text	255	Locality from the principal business address of the adviser, where available



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					Note: If the country is not Australia the record will be blanks as the location cannot be validated.
ADV_ADD_STATE	The state of the current principal business address of the Adviser	Text	255		State from the principal business address of the adviser, where available Note: If the country is not Australia the record will be blanks as the location cannot be validated.
ADV_ADD_PCODE	The postcode of the current principal business address of the Adviser	Numeric	4		Postcode from the principal business address of the adviser, where available Note: If the country is not Australia the record will be blanks as the location cannot be validated.
ADV_ADD_COUNTRY	The country of the current principal business address of the Adviser	Text	255		Country from the principal business address of the adviser, where available
REP_APPOINTED_BY	Name of the Authorised Representative as it appears on ASIC's Financial Services Representative Register that made the appointment	Text	250		As appears on ASIC's Register
REP_APPOINTED_NUM	An identifying number allocated to the Authorised Representative that made the appointment	Text	100		Format: 9 digit numerical including leading zeros (e.g. 012345678)
REP_APPOINTED_ABN	The Australian Business Number (ABN) of the Authorised Representative that made	Text	30		FA_ABN field has the following logic applied IF Licence has an ABN



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	<p>the appointment. The ABN is a single identifier for all business dealings with the Australian Taxation Office (ATO) and for dealings with other government departments and agencies and is shown in the Australian Business Register. This number is not issued by ASIC. For further information refer to the Australian Business Register</p>			<p>THEN show ABN ELSE show null</p> <p>This is the ABN for the Financial Adviser.</p>
ADV_DA_START_DT	Disciplinary actions start date against the Financial Adviser	Date/Time	10	Date format: DD/MM/YYYY
ADV_DA_END_DT	Disciplinary actions end date against the Financial Adviser	Date/Time	10	Date format: DD/MM/YYYY
ADV_DA_TYPE	<p>This field provides details on the type of any disciplinary action taken against the financial adviser (if any). ASIC has regulatory powers in relation to financial advisers and can ban individuals from providing financial product advice. Financial advisers may also be subject to disciplinary action from a Financial Services and Credit Panel (FSCP). FSCP decisions that involve a direction to undertake specified training, counselling, supervision or report specified matters to ASIC, will only be listed if it is the second</p>	Text	100	<p>If value is null, ASIC has not taken any disciplinary action against the financial adviser and/or the financial adviser has not been the subject of a Financial Services and Credit Panel (FSCP) decision that must be publicly listed. FSCP decisions that involve a direction to undertake specified training, counselling, supervision or report specified matters to ASIC, will only be listed if it is the second time a decision has been made under s921L of the Corporations Act 2001 in relation to the financial adviser.</p>



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	time a decision has been made under s921L of the Corporations Act 2001 in relation to the financial adviser.			
ADV_DA_DESCRIPTION	Where a financial adviser has been subject to disciplinary action, this field provides additional details on the disciplinary action taken against the financial adviser.	Text	255	If value is null, ASIC has not taken any disciplinary action against the financial adviser and/or the financial adviser has not been the subject of a Financial Services and Credit Panel (FSCP) decision that must be publicly listed. FSCP decisions that involve a direction to undertake specified training, counselling, supervision or report specified matters to ASIC, will only be listed if it is the second time a decision has been made under s921L of the Corporations Act 2001 in relation to the financial adviser.
FIN	Provide financial product advice	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_CARBUNIT	Provide Financial Product Advice - Carbon Credits/Carbon Unit	Numeric	1	The following logic is applied to product authorisation codes. IF Financial Adviser is authorised to provide advice on this product AND their status equals current THEN show 1 ELSE show 0 Product Authorisations are for current Financial Advisers only, null values are used for ceased Financial Advisers.



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FIN_DEPPAY_DPNONBAS	Provide Financial Product Advice - Deposit and Payment Products/Non-basic Deposit Products	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_DEPPAY_DPNONCSH	Provide Financial Product Advice - Deposit & Payment Products – Non-Cash Deposit Products	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_DERIV	Provide Financial Product Advice - Derivatives	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_DERIV_DERWOOL	Provide Financial Product Advice - Derivatives/Derivatives - Wool only	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_DERIV_DERELEC	Provide Financial Product Advice - Derivatives/Derivatives - Electricity only	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_DERIV_DERGRAIN	Provide Financial Product Advice - Derivatives/Derivatives - Grain only	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_FOREXCH	Provide Financial Product Advice - Foreign Exchange Contracts	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_GOVDEB	Provide Financial Product Advice - Government Debentures, Stocks or Bonds	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_LIFEPROD_LIFEINV	Provide Financial Product Advice - Life Products/Investment Life Insurance Products	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_LIFEPROD_LIFERISK	Provide Financial Product Advice - Life Products/Life Risk Insurance Products	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT



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FIN_LIFEPROD_LIFERISK_LIFECONS	Provide Financial Product Advice - Life Products/Life Products - Consumer Credit Insurance Only	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_MINV_MIEXCLUDEIDPS	Provide Financial Product Advice - Managed Investment Schemes/Managed Investment Schemes, excluding IDPS	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_MINV_MIINCLUDEIDPS	Provide Financial Product Advice - Managed Investment Schemes/Managed Investment Schemes, including IDPS	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_MINV_MIIDPSONLY	Provide Financial Product Advice - Managed Investment Schemes/IDPS Only	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_MINV_MIOWN	Provide Financial Product Advice - Managed Investment Schemes/Own Managed Investment Scheme Only	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_MINV_MIHORSE	Provide Financial Product Advice - Managed Investment Schemes/Horse Racing Syndicate	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_MINV_MITIME	Provide Financial Product Advice - Managed Investment Schemes/Timesharing Scheme	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_MINV_IMIS	Provide Financial Product Advice - Managed Investment Schemes/MDA Services	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_RSA	Provide Financial Product Advice - Retirement Savings Account Products	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_SECUR	Provide Financial Product Advice - Securities	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT



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FIN_SUPER	Provide Financial Product Advice - Superannuation	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_SUPER_SMSUPER	Provide Financial Product Advice - Superannuation/Self-Managed Superannuation Fund	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_SUPER_SUPERHOLD	Provide Financial Product Advice - Superannuation/A person's existing holding in a superannuation product	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_STDMARGLEND	Provide Financial Product Advice - Margin Lending Facility/Standard Margin Lending Facility	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_NONSTDMARGLEND	Provide Financial Product Advice - Margin Lending Facility/Non-Standard Margin Lending Facility	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_AUSCARBCRDUNIT	Provide Financial Product Advice - Carbon Credits/Australian Carbon Credit Unit	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_ELIGINTREMSUNIT	Provide financial product advice/Carbon Credits/Eligible International Emissions Unit	Numeric	1	Refer to Product Authorisation code FIN_ELIGINTREMSUNIT
FIN_MISFIN_MISMDA	Provide Financial Product Advice - Miscellaneous Financial Facility/Miscellaneous Financial Investment Products - MDA Services	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_MISFIN_MISFINRP	Provide Financial Product Advice - Miscellaneous Financial	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT



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	Facility/Miscellaneous Financial Risk Products			
FIN_MISFIN_MISFINIP	Provide Financial Product Advice - Miscellaneous Financial Facility/Miscellaneous Financial Investment Products	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_FHSANONADIDUMMY	Provide Financial Product Advice - FHSA Issued non ADI	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
CLASSES_SECUR	Provide Class of Product Advice - Securities	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
CLASSES_SMIS	Provide Class of Product Advice - Simple Managed Investment schemes	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
CLASSES_LIFEPROD_LIFERISK	Provide Class of Product Advice - Life risk insurance products	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
CLASSES_SUPER	Provide Class of Product Advice – Superannuation	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_DERIV_LAWSECURITIES	Old Law Securities Options Contracts and Warrants Securities	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_DERIV_LAWFUTURE	Old Law Futures Contracts and Warrants	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_MINIV	Managed Investment Schemes (Registered or Unregistered)	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
FIN_SECURALL_SECURDEBENT	Securities – Debentures Managed Investment Schemes	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT



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FIN_SECURALL	All Securities	Numeric	1	Refer to Product Authorisation code FIN_CARBUNIT
ABLE_TO_PROVIDE_TFAS	Provides details on the Financial Adviser’s ability to provide tax (financial) advice services to retail clients	Text	1	The ‘Ability to provide TFAS’ field has the following logic applied IF Financial Adviser is approved to provide tax (financial) advice THEN show Y ELSE IF Financial Adviser is not approved to provide tax (financial) advice THEN show N ELSE null If value is null, this indicates no information was provided by the AFS Licensee
QUALIFICATIONS_AND_TRAINING	Provides details on the qualifications or training courses the adviser has completed that are relevant to providing financial services	Text	4000	As appears on ASICs register. If more than one entry exists they will be concatenated together and separated by a tilde.
ADV_APPROVED_QUAL	Provides details on the qualifications the adviser has completed that are approved	Text	4000	As appears on ASICs register. If more than one entry exists they will be concatenated together and separated by a tilde.
MEMBERSHIPS	Provides details of memberships of professional bodies or industry associations relevant to providing financial services	Text	4000	As appears on ASICs register. If more than one entry exists they will be concatenated together and separated by a tilde.



ASIC
Australian Securities &
Investments Commission

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FURTHER_RESTRICTIONS	Provides details on areas the Financial Adviser is restricted from giving advice on.	Text	2000	As appears on ASICs register
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