



**ASIC**  
Australian Securities &  
Investments Commission

## Banned and Disqualified Persons Dataset – Help File



**ASIC**  
Australian Securities &  
Investments Commission

# Banned and Disqualified Persons Dataset

---

## HELP FILE



**ASIC**  
Australian Securities &  
Investments Commission

## Banned and Disqualified Persons Dataset – Help File

### Table of Contents

|                                                 |    |
|-------------------------------------------------|----|
| Getting Started.....                            | 3  |
| 1. Purpose.....                                 | 3  |
| 2. Banned and Disqualified Persons Dataset..... | 3  |
| 2.1. File Format.....                           | 3  |
| 2.2. File interaction.....                      | 4  |
| 2.3. File Import into Excel.....                | 5  |
| 3. Data Dictionary.....                         | 8  |
| 4. ASIC Connect Search.....                     | 10 |
| 5. Contact .....                                | 10 |



**ASIC**  
Australian Securities &  
Investments Commission

## 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 every Tuesday.

## 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.



## Banned and Disqualified Persons Dataset – Help File

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](#)).

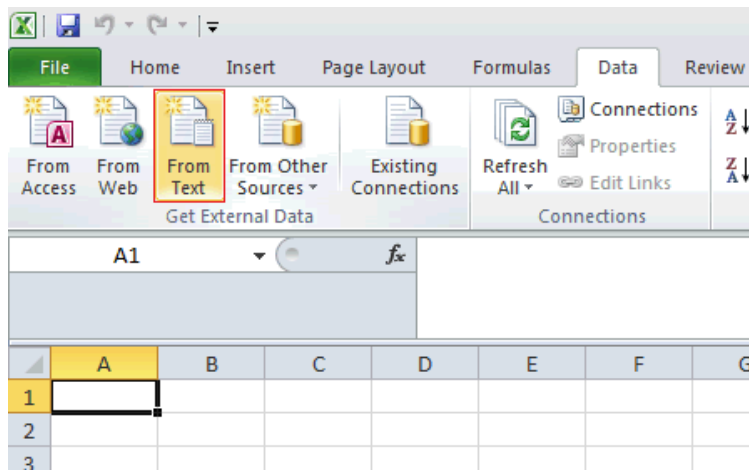


## Banned and Disqualified Persons Dataset – Help File

### 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.



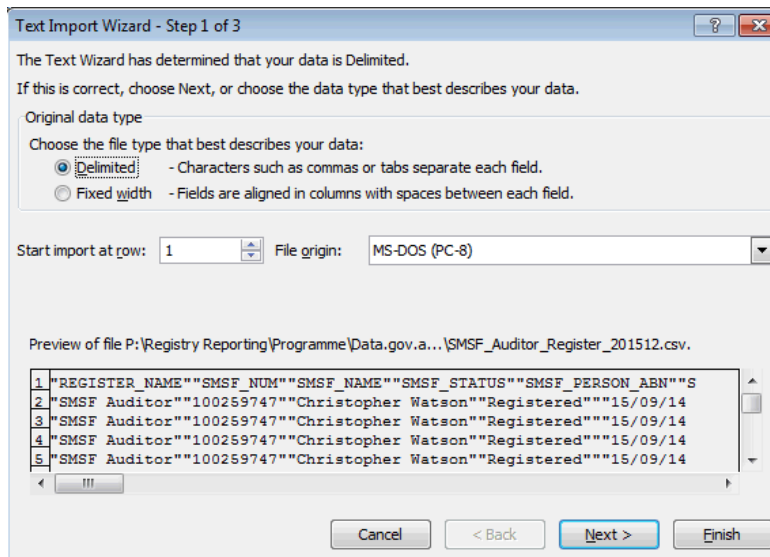
3. Choose your file as the data source and select 'Import'.



## Banned and Disqualified Persons Dataset – Help File

### 4. Import Wizard:

- a. Select 'Delimited' as the Original data type then select Next.



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.

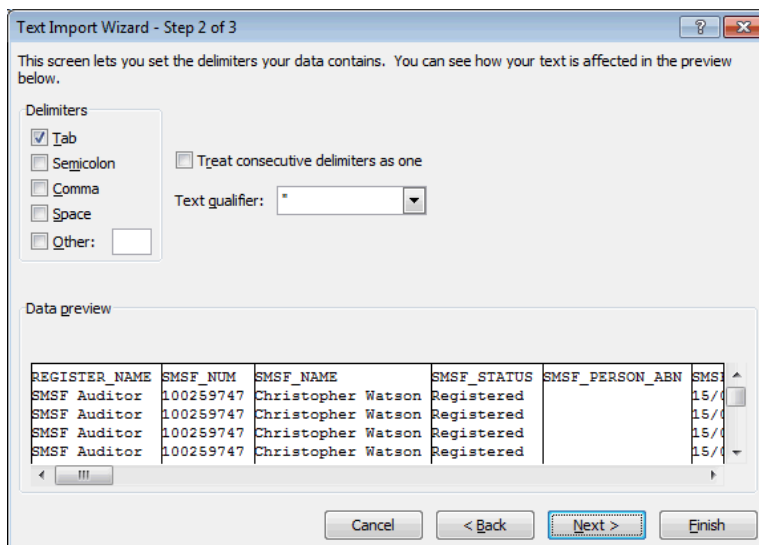
Start import at row: 1 File origin: MS-DOS (PC-8)

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 | S |
|---|---------------|-----------|--------------------|-------------|-----------------|---|
| 1 | SMSF Auditor  | 100259747 | Christopher Watson | Registered  | 15/09/14        |   |
| 2 | SMSF Auditor  | 100259747 | Christopher Watson | Registered  | 15/09/14        |   |
| 3 | SMSF Auditor  | 100259747 | Christopher Watson | Registered  | 15/09/14        |   |
| 4 | SMSF Auditor  | 100259747 | Christopher Watson | Registered  | 15/09/14        |   |
| 5 | 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.



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

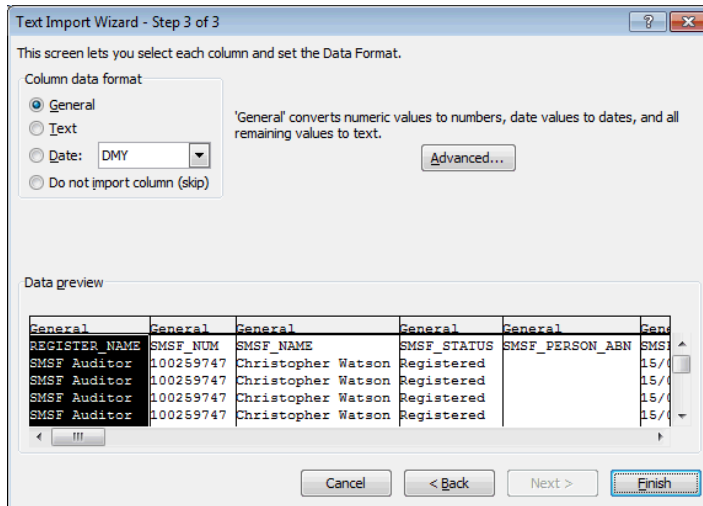
| REGISTER_NAME | SMSF_NUM  | SMSF_NAME          | SMSF_STATUS | SMSF_PERSON_ABN | SMSF |
|---------------|-----------|--------------------|-------------|-----------------|------|
| SMSF Auditor  | 100259747 | Christopher Watson | Registered  | 15/09/14        |      |
| SMSF Auditor  | 100259747 | Christopher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



## Banned and Disqualified Persons Dataset – Help File

- 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.

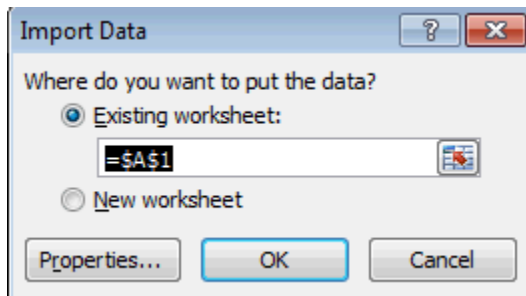
Advanced...

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>



## Banned and Disqualified Persons Dataset – Help File

### 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<br>OTHER_GIVEN_NAMES                                                                                                                                                  |
| <b>BD_PER_TYPE</b>      | The type of ban or disqualification.                                                                               | Text      | 255        | Ban and disqualification types include:<br><br>- AFS Banned & Disqualified<br>- Banned Futures<br>- Banned Securities<br>- Credit Banned & Disqualified<br>- Disq. Director<br>- 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<br>(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><br><b>IF</b> known address<br><b>THEN</b> show address locality<br><b>ELSE</b> "ADDRESS UNKNOWN"                                                                                     |



## Banned and Disqualified Persons Dataset – Help File

| 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><br><b>IF</b> known address<br><b>THEN</b> show address state<br><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><br><b>IF</b> known address<br><b>THEN</b> show address post code<br><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><br><b>IF</b> known address<br><b>THEN</b> show address post code<br><b>ELSE</b> "ADDRESS UNKNOWN"<br><b>OR IF</b> BD_PER_ADD_COUNTRY = Invalid address or foreign address<br><b>THEN</b> "INVALID AUSTRALIAN ADDRESS"<br><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> . |



**ASIC**  
Australian Securities &  
Investments Commission

## Banned and Disqualified Persons Dataset – Help File

### 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)