

AS3QW - Details of all ASIC fines and infringement notices incurred over the past five years

Answer:

There have been no infringements incurred over the past 5 years

Total fees for late notices over the past 5 years = \$13,372

pds in use notices	827.00	6 over 5 years - small amounts
pds out of use notices	4,592.00	17 over 5 years - 14 of these comprised a review in 2016 of old STA out of use notices and old db plans
change of officeholders details	7,953.00	25 over 5 years - late coa advised in annual declarations - late fit & proper responses exceeding 28 days

TOTAL FINES:

\$13,372

FY 2020 to date	nil	late fees	0.00	
	TOTAL			0.00
FY 2019	pds in use notices	late fees	598.00	
	change of officeholders details	late fees	3,603.00	
	TOTAL			4,201.00
FY 2018	pds in use notices	late fees	78.00	
	TOTAL			78.00
FY 2017	pds out of use notices	late fees	76.00	
	change of officeholders details	late fees	1,656.00	
	TOTAL			1,732.00
FY 2016	pds in use notices	late fees	113.00	
	pds out of use notices	late fees	4,368.00	
	change of officeholders details	late fees	1,676.00	
	TOTAL			6,157.00
FY 2015	pds in use notices	late fees	38.00	
	pds out of use notices	late fees	148.00	
	change of officeholders details	late fees	1,018.00	
	TOTAL			1,204.00
	TOTAL FINES:			13,372.00