



仁港永胜

协助申请金融牌照及银行开户一站式服务



正直诚信
恪守信用

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澳大利亚金融牌照100%权益出让

24小时专业顾问：15920002080（深圳/微信同号） 852-92984213（Hongkong/WhatsApp）唐生

1. This licence authorises the licensee to carry on a financial services business to:

(a) provide financial product advice for the following classes of financial products:

(i) deposit and payment products limited to:

(A) basic deposit products;

(B) deposit products other than basic deposit products;

(ii) debentures, stocks or bonds issued or proposed to be issued by a government;

(iii) life products including:

(A) investment life insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds; and

(B) life risk insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds;

(iv) interests in managed investment schemes including:

(A) investor directed portfolio services;

(v) securities;

(vi) standard margin lending facility; and

(vii) superannuation; and

(b) deal in a financial product by:

(i) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:

(A) deposit and payment products limited to:

(1) basic deposit products;

(2) deposit products other than basic deposit products;

(B) debentures, stocks or bonds issued or proposed to be issued by a government;

(C) life products including:

(1) investment life insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds; and

(2) life risk insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds;

(D) interests in managed investment schemes including:

(1) investor directed portfolio services;

(E) securities;

(F) standard margin lending facility; and

(G) superannuation;

to retail and wholesale clients.

Number of RM, KP, director?

Sole RM, listed on the AFSL's Key Person condition, and the Sole Director.

Are they willing to stay? If yes, how long and how much?

willing to stay or be moved on from the licence. If I stay then we'd need to come to terms on what my involvement is and what the new operation looks like. I'm not available for a full time role, and we'd most likely come to some contract arrangements, with Director and RM contracts at a fixed monthly amount, and a consulting agreement at an hourly rate. And must have another RM for the current one to stay

Audit and PI up to date?

Yes Audits are up to date.

Yes PI is up to date, with renewal in September. We used premium funding at the last renewal, there's only one monthly instalment left to pay.

What's the current ongoing cost?

A rough budget of current costs is below, all costs Ex-GST:

- Director & RM currently \$5,000pm
- Compliance consultant \$26,000pa (fixed contract expires in August with about \$6,500 left to pay)
- PI \$10,000 - \$11,000pa (one more instalment of \$1,124 to pay in June, then renewal in September)
- Auditor \$5,000pa
- Accounting fees are standard costs for Tax Returns and BAS etc
- The usual AFCA membership, ASIC fees and Industry Funding levy is approx. \$5,500pa

1. 本牌照授权持牌人经营金融服务业务，以：

(a) 为以下类别的金融产品提供金融产品咨询：

(i) 存款及支付产品，仅限于：

(A) 基本存款产品；

(B) 基本存款产品以外的存款产品；

(ii) 政府发行或拟发行的债券、股票或债券；

(iii) 人寿产品，包括：

(A) 投资型人寿保险产品以及注册人寿保险公司发行的任何由其一个或多个法定基金支持的产品；以及

(B) 人寿风险保险产品以及注册人寿保险公司发行的任何由其一个或多个法定基金支持的产品；

(iv) 管理投资计划的权益，包括：

(A) 投资者导向的投资组合服务；

(v) 证券；

(vi) 标准保证金贷款工具；以及

(vii) 退休金；以及

(b) 通过以下方式进行金融产品交易：

(i) 代表他人申请、获取、变更或处置以下类别的金融产品：

(A) 存款和支付产品，仅限于：

(1) 基本存款产品；

(2) 基本存款产品以外的存款产品；

(B) 政府发行或拟发行的债券、股票或债券；

(C) 人寿产品，包括：

(1) 投资型人寿保险产品以及注册人寿保险公司发行的任何由其一个或多个法定基金支持的产品；以及

(2) 人寿风险保险产品以及注册人寿保险公司发行的任何由其一个或多个法定基金支持的产品；

(D) 管理投资计划中的权益，包括：

(1) 投资者导向的投资组合服务；

(E) 证券；

(F) 标准保证金贷款工具；以及

(G) 退休金；

面向零售和批发客户。

管理经理、关键人物 (KP) 和董事的数量？

唯一管理经理 (列于澳大利亚金融服务牌照 (AFSL) 的关键人物条件) 以及唯一董事。

他们愿意留下吗？如果愿意，留任多久？留任金额是多少？

愿意留下还是放弃执照。如果我留下，我们需要就我的参与度和新的运营方式达成一致。我无法担任全职职位，我们很可能会达成一些合同协议，董事和管理经理的合同是固定月薪，咨询协议是按小时计费。并且必须有另一位管理经理才能留下。

审计和项目绩效 (PI) 是否已更新？

是 审计已更新。

是 PI 已更新，9 月份将续约。我们上次续约时使用了保费融资，只剩下每月的分期付款。

目前的持续成本是多少？

当前成本的粗略预算如下，所有成本（不含消费税）：

- 董事及客户经理，目前每月 5,000 澳元
- 合规顾问，每年 26,000 澳元（固定合同将于 8 月到期，剩余约 6,500 澳元）
- PI，每年 10,000 至 11,000 澳元（6 月需支付 1,124 澳元的分期付款，9 月需续签）
- 审计师，每年 5,000 澳元
- 会计费用为纳税申报表和 BAS 等的标准费用
- 通常的 AFCA 会员费、ASIC 费用和行业资助税约为每年 5,500 澳元

如需进一步协助，包括申请/收购、合规指导及后续维护服务，请随时联系仁港永胜 www.jrp-hk.com 手机:15920002080 ([深圳/微信同号](#)) 852-92984213 ([Hongkong/WhatsApp](#)) 获取帮助，以确保业务合法合规！