



APIR Guideline – How to Submit a Provisional APIR Code

What is a Provisional APIR Code?

The Provisional APIR Code allows our clients to proceed with the product registration process before all the mandatory information such as Final Offer Document, ABN/ARSN or Final Open Date is available. This code is used internally and cannot be shared with external partners until the mandatory information is provided.

Please be aware that there may be an additional surcharge of 25% for the Provisional APIR Code service.

Please follow the steps to submit a Provisional APIR Code Registration request.

- To start your Product registration request, go to <https://www.apir.com.au/>
- From the dashboard:
 - Click 'APIR Coding Services' and please select the product registration type that is most suitable for your product. Once you have made your selection, click on 'Start Request' as indicated in the screenshot provided below.

A screenshot of the APIR dashboard. On the left is a navigation menu with categories: Dashboard, Search, APIR Coding Services (highlighted with a red box), LEI Services, Data Services, and Billing. Under 'APIR Coding Services', 'Product Registration' is highlighted with a red box. On the right, a 'Participant' sidebar lists options like Participant Registration, Manage My Participants, Product Registration (highlighted with a red box), Managed Account, Managed Investment, Superannuation, Investment Bond, and Insurance. The main content area is titled 'Before you begin...' and contains a list of instructions and a 'START REQUEST' button (highlighted with a red box). A note states: 'Note: All fields denoted with an asterisk (*) are required.' The footer of the page reads 'Copyright © 2023 APIR Systems Ltd.'

Section 1 – General

1. Once in the form, please fill in the necessary information. If the ABN/ARSN, Open Date, or Final Offer Document is not available yet, you can select "Yes" on the Provisional field (see below screenshot). This will allow you to submit the form without providing one of the above mandatory information.

The screenshot displays a web form titled "General" with the following sections and fields:

- Participant Information:**
 - Participant * (dropdown menu: "Please select...")
 - Participant Role * (dropdown menu)
 - Jurisdiction * (dropdown menu: "Australia")
 - Service Type * (dropdown menu: "Standard")
 - Provisional * (dropdown menu: "Yes", highlighted with a red box)
- Product Information:**
 - Product Type * (dropdown menu: "Please select...")
 - Investor Type * (dropdown menu: "Retail")
 - Base Currency * (dropdown menu: "Australian Dollar")
 - Full Product Name * (text input field)
 - Marketing Name (text input field)
- Cost Centres:**
 - Do you want to add a cost centre to this product?
- Registration Numbers:**
 - ARSN (text input field)
 - ABN (text input field)
 - LEI (text input field)

At the bottom of the form, there are three buttons: "PREVIOUS" (disabled), "SAVE" (orange), and "NEXT" (green).

2. Once all fields have been filled, click the 'Next' button to proceed to **Section 2 - Classification of Financial Instruments and Asset Kind**

Section 2 - Classification of Financial Instruments and Asset Kind

1. Please complete all the necessary information in the form. If you have selected provisional service in Section 1, you can leave the Open Date field blank or provide an estimated date.

Classification of Financial Instruments and Asset Kind

Product Classification *
Funds of funds

Open or Closed-end fund *
Open-end

Open Date
12/4/2023

Product Status *
Open

Investment Objective *
Growth ONLY

Type of Fund *
Standard (vanilla)

Classification of Asset Kind

Asset Kind *
Alternatives

Sub Asset Kind *
Aquaculture

Geographical Focus *
Domestic

Pricing Frequency *
Annually

Distribution Frequency *
Annually

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PREVIOUS SAVE NEXT

2. Once all fields have been filled, click the 'Next' button to proceed to **Section 3 - Attachments**

Section 3 - Attachments

1. If you selected 'Yes' to provisional code in Section 1 because the final offer document is not yet ready, you can choose the option 'No offer document available' as shown below. This will enable you to proceed with your request.

1 General 2 Classification of Financial Instruments and Asset Kind 3 Attachments 4 Payment

Attachments

Supporting Documents

Document Available *
No offer document available

Supporting Documentation
Drop files here or click to upload.

PREVIOUS SAVE NEXT

2. Once all fields have been filled, click the 'Next' button to proceed to **Section 4 - Payment**

Section 4 – Payment

1. Please select the Payer Details and click '**View Summary and Submit**'.
2. Once submitted, the request will be forwarded to APIR for processing.

1 General 2 Classification of Financial Instruments and Asset Kind 3 Attachments 4 Payment

Payment

Payer Details

Payer *

Please select...

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PREVIOUS SAVE VIEW SUMMARY AND SUBMIT


Following submission, you will receive a confirmation email and the tax invoice for payment.

If you have any queries or require any assistance, please contact the APIR Client Services team via email clientservices@apir.com.au or call 02 6176 3440.

Email reminder

Below is the email reminder sample that you will receive on the 1st and 15th of the month as a reminder to provide the missing information.

Trusted partner to the wealth management industry


APIR[®]

Dear sir/madam,

The below provisional request(s) are awaiting missing mandatory information we require to complete our validation checks and remove the on hold/provisional status and to make the APIR Codes available for public use and in searches.

Please log into your dashboard to complete the missing and/or update any information that may have changed on the final offer document so we can finalise this for you.

To do this, review the content of the request in your provisional list and make any necessary updates or additions.

Request No	APIR Code	Product Name	Reason for Provisional
RQN-XX-XX	PERXXXXAU	Test 1	Final Offer Document & Open Date Missing
RQN-XX-XX	PERXXXXAU	Test 2	Registration Number & Final Offer Document Missing

If you have any questions or require further assistance, please contact us on 02 6176 3440 or by emailing clientservices@apir.com.au.

Regards,

APIR Client Services

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*To remove the provisional status, please refer to our guide: **APIR Guideline - How to Finalise Provisional APIR Code***