



Asset Management
and Australian Financial
Services Licensees

Capability Statement



As regulatory complexity continues to rise, our Asset Management & Australian Financial Services Licensees (AFSL) team provides practical solutions and services to ensure our clients remain compliant whilst constantly improving business practices.



A close relationship

Finding time and resources to understand regulatory changes and assess the effect on existing compliance frameworks can be a significant business challenge.

At Nexia, we understand those challenges. We have the resources, the specialist knowledge and dedicated expertise.

The 'Next' Solution

We have developed structures and processes to deliver fast, flexible and more cost effective solutions for AFSL holders.

Management need advice that is easy to understand and backed up with one-to-one contact. When you are dealing with Nexia you are talking to people who understand your needs and care about your business. We are here to help.

Knowledge and Expertise

Nexia is part of a global network of accounting and consulting firms and our offices have extensive knowledge in asset management and AFSL assurance and regulation. Our service solution extends to clients of all sizes, at local, national and global levels. Our broad range of clients include wealth managers, investment managers, registered schemes, mortgage schemes, funds administrators and service providers who focus on retail/wholesale funds, private equity funds and infrastructure.

Here to help

We have in depth knowledge of the rules and regulations within which licencees have to operate. Our experienced staff are dealing with matters all year round and through their expertise are able to use their knowledge to assist licencees.

Our team can help you navigate your financial regulation challenges. Areas we can assist:

- Ensure you remain compliant with regulatory obligations
- Improve existing practices
- Provide comprehensive fund management company accounting services
- Audit AFSL compliance and coordinate the annual lodgment of ASIC forms FS70 and FS71
- Perform and provide audit reports required for the lodgment of annual ASX returns, if applicable

How we can help

Our engagement team work closely with you to establish a service plan that meets your needs and achieves all regulatory requirements. We add value through:

- AFSL annual audits
- Financial statement audits
- ASAE 3402 / GS007 – Assurance Reports on Controls at a Service Organisation
- Preparation of financial statements
- Tax planning
- Tax advice and compliance
- Business strategy and modelling
- Strategic and process advice
- Regulatory and compliance advice
- Technical accounting advice

We have the flexibility to work with your Compliance Consultant and Outsourced Administrator to ensure that all data received is up to date and seamless.



Our experienced team can help you navigate through your financial regulation challenges. "We are here to help".



Stephen Rogers

Taxation Consulting Partner

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Stephen is experienced in all areas of tax. Drawing on over 35 years of accounting and taxation experience his clients range from high net worth individuals to publicly listed companies.

Stephen is also experienced in corporate finance and has provided public fairness opinions on mergers and acquisitions, valuations of shared and taxation and corporate transactional advice to AFSL holders.

Sean Urquhart

Taxation Consulting Partner

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Sean is a Registered Tax Agent and has over 18 years experience, 16 of which have been with Nexia. His focus on the provision of taxation and business consultancy services to various entities includes a range of AFSL, fund managers and high net worth individuals. His specialist experience also extends to cross border taxation, salary packaging, tax consolidation, small business CGT Concessions and employee share schemes.

Sean is regularly involved with tax presentations including appearances on Sky Business News and the Institute of Chartered Accountants. Sean also contributes monthly tax articles to a range of publications.

Joseph Santangelo

Audit and Assurance Partner

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Joseph has over 16 years of audit and corporate advisory experience obtained both in Australia and the United Kingdom. He is a specialist in providing both statutory and tailored assurance services to AFSL and asset management entities.

His depth of experience specific to the AFSL and asset management industry ensure that the service provided is proficient, accurate and efficient.

Joseph partners with like minded professionals from other disciplines such as lawyers, valuers, bankers and capital reissuers to ensure seamless delivery of services to meet your expected growth.

Lester Wills

Audit and Assurance Partner

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Lester has over 15 years experience in auditing investment funds with clients ranging in size from \$10 million in FUM to over \$2 billion in FUM.

Lester is an expert in AFSL compliance, GS007 audits, complex fund accounting and has a comprehensive understanding of the associated taxation requirements.

Brent Goldman

Corporate Advisory Partner

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Brent has worked as a specialist in corporate finance for over 15 years and has provided corporate transactional advice to numerous AFSL holders.

His experience includes working with start-up companies seeking initial investment to FTSE 100 companies advising them on IPO's, acquisitions, private fundraising and valuation both domestically and on cross border transactions.

James Nethersole

Taxation Consulting Partner

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As Taxation Consulting Partner within Nexia Australia's Sydney office, James is able to offer his clients over 20 years of corporate and international tax experience.

In an extensive career with both medium and Big 4 firms in Australia, the United Kingdom and New Zealand, he has developed specialities in cross-border trade, transfer pricing, mergers and acquisitions and the taxation of intellectual property including R&D incentives.

With great attention to detail, James has an impressive ability to distil multiple and complex tax issues into plain English, enabling his clients to make informed choices.

Contact us

For further information or to discuss how Nexia Australia can assist your organisation, please contact a local Nexia Advisor below.



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