

Australian Financial Services Licence (AFSL)

Authorised Representative & Compliance & Trustee Services



At Wholesale Securities Pty Ltd (WS), our core focus is to simplify the compliance procedures involved in raising capital and maintaining business operations with wholesale clients, aiming for a stress-free and cost-effective experience for our clients. As a former fund manager in partnership with Fidante Partners, one of Australia's leading boutique funds management platforms, your company can rely on high standards and reliability when operating under WS's authorised representative umbrella.

- Integrated Solution reducing costs and time to market entry: WS and Ariel & Assoc. provide bundled Authorised Representative and Compliance services under one fee, offering businesses a streamlined, holistic solution. All in all, allowing you to focus on fundraising activities and leverage existing infrastructure and relationships.
- WS's Quality Assurance: a pristine AFSL record since 2015.
- Stress-Free Compliance Amid Regulatory Changes.
- Community of Trust: Join a community of esteemed professionals meeting our stringent standards for integrity and competence.
- Focused Support: With a small, curated client base, we prioritise individualised support tailored to your needs and aspirations.

Tim Jones & John Mills, WS's Responsible Managers.

With over 30 years of; Private Equity, Banking, Wealth Management and Public Market investment experience. They both have complimentary skills bringing a wealth of strategic insight and leadership to WS.

Insights

If you'd like to explore AFSL & compliance support with a long established and blemish-free AFSL holder for over 9 years, contact us today for an obligation-free conversation.

Note: we only work with businesses requiring a WHOLESALE licence, i.e. offering financial products or services to 'sophisticated' investors or institutions

Our Services

WS's core focus: AFSL Authorised Representative Services WS offers AFSL services to select firms operating in the Funds Management and Asset Management industries, including VC, Private Equity and Property.

The firms that we work with are closely monitored and supervised to ensure that their activities fall within the scope of WS's specific AFSL mandate and within their own mandates and compliance and risk management programmes.

Compliance and Risk Management Services

For investment managers who require assistance with meeting increasingly stringent compliance requirements, we, along with our experienced compliance partners, provide a thorough and cost effective compliance and risk management programme.

Our compliance services include oversight and appropriate monitoring of the programme as well as maintenance of the compliance programme to ensure it is up to date and relevant to our client's activities at all times.

"WS one of the most well established and long proven AFSL holders with rigorous compliance in Australia"

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