



ASIC

Australian Securities & Investments Commission

How to lodge an application for registration of a managed investment scheme

A user guide for Australian financial services licensees:

Submitting Form 5100A

Note: Screen shots are for illustrative purposes and may not reflect the screens currently shown online

3 August 2011

**How to submit Form 5100A – Application for registration of a
managed investment scheme3**

How to submit Form 5100A Application for registration of a managed investment scheme

Task description/overview	How to submit Form 5100A Application for registration of a managed investment scheme
When does this task need to be performed?	When an applicant (an individual or the proposed responsible entity or another corporation) wishes to register a managed investment scheme.
Before you begin	You must have logged on to your online account.

Step	Action
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1 Click **Start new form** in the left hand menu.

A list of the available forms displays.

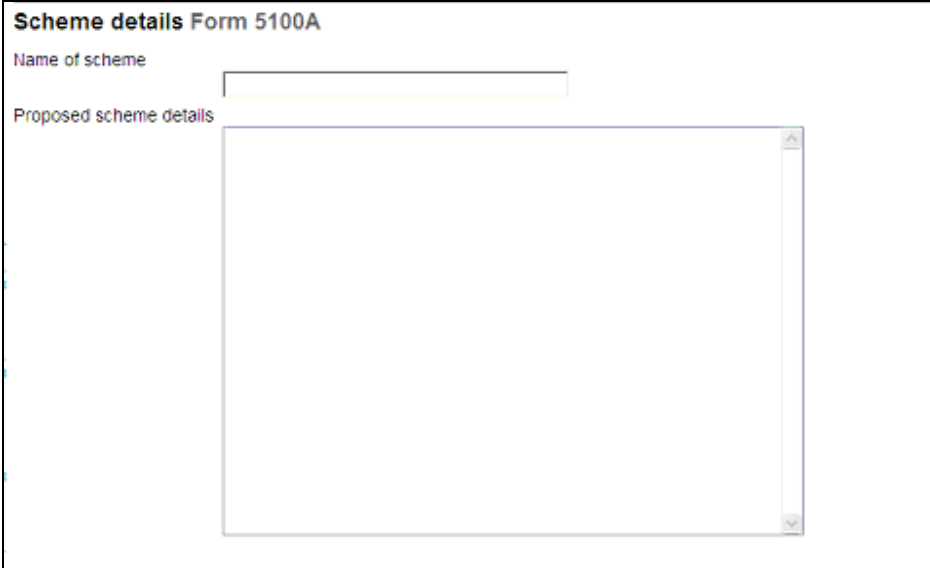
Click **5100A Registration of a managed investment scheme**

2 **Scheme details**

Your user details as an AFS licensee will be used to automatically populate the proposed responsible entity details.

Enter the name of the scheme.

Enter the proposed scheme details.



Scheme details Form 5100A

Name of scheme

Proposed scheme details

Please note the following information applies to preparing and lodging this form.

Lodgement period

Nil, to be lodged when required

Lodgement fees

Refer to [Lodgement details](#) on the ASIC website.

Step Action

Indicate the kind of scheme by ticking the relevant box; you can tick up to 3 (three) kinds.

Scheme kind(s):
Select no more than 3 (three) Scheme kinds

- Financial Assets
- Derivatives
- Mortgages
- IDPS-Like
- Direct Real Property
- Stable Property Trusts or Syndicates
- Listed Property Trusts
- Services Strata Schemes
- Film Schemes
- Time Share Schemes
- Primary Production - Forestry
- Primary Production - Horticulture
- Primary Production - Tea trees
- Primary Production - Viticulture
- Primary Production - Aquaculture
- Primary Production - Ratties (Ostr/Emu)
- Primary Production - Cattle breeding
- Primary Production - Horse breeding
- Primary Production - Livestock grown for fleece
- Other Primary Production

If 'Other Primary Productions' is selected, please specify

Next

Click on **Next** to continue

3 Now you must supply details about the **Compliance plan auditor**.

Enter the ASIC registered auditor number or the firm of auditors' details for the consenting compliance plan auditor.

Compliance plan auditor Form 5100A

Please enter the consenting compliance auditor detail:
Enter either an ASIC registered auditor number or the firm of auditors' details.

If an ASIC registered auditor number is entered, select "Next" and the name and address will be pre-populated.

ASIC Registered Auditor Number

Firm of auditors' details:

Name of firm

Principal business address

Where the name of a third party is needed for postal delivery, enter that name in the care of field.

Care Of

Enter address information starting on the first line.

Country **Australia**

Next

Click on **Next** to continue.

Step Action

- 4 If an ASIC registered auditor number is entered, when you select "Next", the name and address will be pre-populated.

Compliance plan auditor Form 5100A

Please enter the consenting compliance auditor detail.
Enter either an ASIC registered auditor number or the firm of auditors' details.

If an ASIC registered auditor number is entered, select "Next" and the name and address will be pre-populated.

ASIC Registered Auditor Number
227352

Auditor Name: A. BOLGER (FONTENOY) PTY LTD
Principal business address: 35 GORDON STREET
TRARALGON VIC 3844
AUSTRALIA

Firm of auditors' details:
Name of firm

Principal business address
Where the name of a third party is needed for postal delivery, enter that name in the care of field.
Care Of
Enter address information starting on the first line.
Country: Australia

Next

If the name of a firm of auditors is entered, then their principal business address details must be entered. Where the name of a third party is needed for postal delivery, enter that name in the 'Care of' field.

Click on **Next** to continue.

- 5 The **Attach the scheme's constitution** screen displays.

You must attach a copy of the scheme's constitution and the table that cross-references its contents to the requirements of s601GA and GB.

Each document must be in .tif, .pdf or .rtf format and no bigger than 10.0 MB. A maximum resolution of 200dpi is recommended.

Attach the scheme's constitution Form 5100A

Attach a copy of the scheme's constitution (as defined by s601GA and signed in accordance with s127 and s351) and the table that cross references the contents of the constitution required by 601GA and GB of the Act to the equivalent provisions in the constitution. These documents must be attached as separate documents. Refer to ASIC Regulatory Guide 134 Managed Investments: Constitutions.

You can only attach documents in tif, pdf & rtf format.

If you require further instructions, please refer to the Technical FAQ.

Note: The maximum size of each attachment to this page is 10.0 MB(s).

Description of Document Pathname
Browse...

Next

Click on **Next** to continue.

Step Action

- 6 You can remove or view the attached copy of the **Scheme's constitution**.

You have to attach a minimum of 2 documents.

Scheme's constitution Form 5100A

File name	Document	Size	File type		
Scheme's constitution and table.rtf	sheme's constitution and table	2 KB	RTF	REMOVE	VIEW

[Add more attachments](#)

I confirm that the scheme's constitution has been executed by the proposed responsible entity and includes a table that cross references the contents of the Constitution required by section 601GA and GB of the Act to the equivalent provisions in the Constitution.

[Next](#)

Select **Next** to continue.

- 7 You must confirm that the scheme's constitution has been executed by the proposed entity and includes a table that cross references the contents of the constitution by clicking the relevant box.

Scheme's constitution Form 5100A

File name	Document	Size	File type		
Scheme's constitution.rtf	constitution	2 KB	RTF	REMOVE	VIEW
Scheme's table.rtf	cross reference table	2 KB	RTF	REMOVE	VIEW

I confirm that the scheme's constitution has been executed by the proposed responsible entity and includes a table that cross references the contents of the Constitution required by section 601GA and GB of the Act to the equivalent provisions in the Constitution.

[Next](#)

Click on **Next** to continue.

Step Action

- 8 Now you must **Attach the scheme's compliance plan** and the agent's authorities (if necessary). The file format must be .rtf, .tif or .pdf (version 1.5 or lower) and the maximum size of each attachment to this page is 10.0 MB(s).

Attach the scheme's compliance plan Form 5100A

Attach a copy of the scheme's compliance plan (as defined by s601HA and signed in accordance with s601HC) and the agent's authorities (if necessary). Refer to ASIC Regulatory Guide 132 Managed Investments: Compliance Plans and Regulatory Guide 133 Managed Investments: Scheme Property Arrangements.

If the scheme's compliance plan is signed by an agent of a director or directors of the proposed responsible entity, a copy of the agent's authority that has been signed or verified in accordance with reg 5C.4.01 must also be attached.

You can only attach documents in tif, pdf & rtf format.

If you require further instructions, please refer to the Technical FAQ.

Note: The maximum size of each attachment to this page is 10.0 MB(s).

Description of Document	Pathname	
<input type="text"/>	<input type="text"/>	<input type="button" value="Browse..."/>

Click on **Next** to continue.

- 9 You can remove or view the attached document. You have the option of attaching another document.

You must confirm that:

- the Compliance Plan has been signed by all of the directors of the proposed responsible entity or their agent/s, and
- where agents have signed the Compliance Plan, that the agents' authorities to sign the Compliance Plan are also attached.

Scheme's compliance plan Form 5100A

File name	Document	Size	File type	
compliance plan.rtf	compliance plan	2 KB	RTF	<input type="button" value="REMOVE"/> <input type="button" value="VIEW"/>

[Add more attachments](#)

I confirm that the Compliance Plan has been signed by all of the directors of the proposed responsible entity or their agent/s, and that where agents have signed the Compliance Plan the agents' authorities to sign the Compliance Plan are also attached.

Click on **Next** to continue.

Step Action

- 10 You must **Attach the Directors' statement**. Download a Form 5103 and scan and attach the completed form.

The file format must be .rtf, .tif or .pdf (version 1.5 or lower). The maximum size of each attachment to this page is 10.0 MB(s).

Attach the Directors' statement Form 5100A

Attach a copy of a statement signed by the directors of the proposed responsible entity - [ASIC form 5103](#) - that:

- a. the scheme's constitution complies with s601GA and s601GB; and
- b. the scheme's compliance plan complies with s601HA.

You can only attach documents in tif, pdf & rtf format.

If you require further instructions, please refer to the Technical FAQ.

Note: The maximum size of each attachment to this page is 3.0 MB(s).

Description of Document	Pathname	
<input type="text"/>	<input type="text"/>	<input type="button" value="Browse..."/>

[Next](#)

Click on **Next** to continue.

- 11 The **Directors' statement** can be removed or viewed.

You must now confirm that all directors of the proposed responsible entity have signed the Directors' statement.

Directors' statement Form 5100A

You can only attach 1 document

File name	Document	Size	File type	
5103.pdf	copy of statement signed by the directors	23 KB	PDF	<input type="button" value="REMOVE"/> <input type="button" value="VIEW"/>

I confirm that the Directors' statement has been signed by all directors of the proposed responsible entity.

[Next](#)

Click on **Next** to continue.

Step Action

- 12 You must now certify that each of the attached documents is a true copy of the original signed document.

Certification Form 5100A

certify that each of the attached documents is a true copy of the original signed document required to be lodged under the Corporations Act 2001.

Yes No

[Next](#)

Click on **Next** to continue.

- 13 You can review the contents of your form and **Submit Now**.

You have now prepared your form. You can review the contents of your form by using the menu or by printing the form.

You must **submit** the form to **ASIC to have it lodged**.

Submit Now

When you submit this form it will be checked for discrepancies.

If any discrepancies are found, you will be provided with a list describing the discrepancies. You will need to correct and resubmit the form. The form will continue to appear on your "Form in progress" tray.

If there are no discrepancies, your form will be automatically submitted for lodgement.

Authorising officeholder
Before submitting your form, please specify the officeholder who is authorising the lodgement of this form.

Authorising officeholder :

Declaration
I declare that this form is submitted under the terms and conditions of the ASIC Electronic Lodgement Protocol.

Yes No

[Submit](#)

Click on **Submit**.

- 14 The **Confirmation of Form Submission** screen displays.

Confirmation of Form Submission

Your document was submitted for validation to ASIC on 06/03/2009 at 11:51:18.

[Next](#)

Click on **Next** to continue.

Step Action

15 The **Statutory Fees Advice** displays.

The screens and data pictured are examples only.

See [Lodgement details](#) on the ASIC website

Statutory Fees Advice

Your form has been accepted by ASIC on 06/03/2009 at 11:51:18

Invoice Amount: \$2010.00

You **must** now print your Invoice.

Print the invoice by clicking on the "Print" button. The eLodgement system will prepare a print file in Adobe PDF format and load this into a new browser window. You can then print the invoice using the Adobe toolbar. You can also save the file for your own records if you wish. You must have Adobe Reader Version 4 or higher to print this form.

[PRINT](#)
[Next](#)

You can now print the invoice, and/or save the invoice in .pdf format to print later.

 Australian Securities and Investments Commission
ABN 98 768 595 610
PO Box 4999
Spinalonga Mail Centre VIC 3041

ARUNA BAY INVESTMENTS LTD
PO BOX 400
TRARALGON VIC 3044

Page: 1 of 1
Enquiry#: 1500-300-630
Account Number: 22 662201600
Invoice Date: 10/03/2009
Payment is due and payable now

Tax Invoice

ACN: 86221600
Company: ARUNA BAY INVESTMENTS LTD

Ref No	Description	Amount(\$)
7842001300000A	- New Release	2010.00
Total due and payable		\$2010.00

Receiver: Fees are due and payable on lodgement of documents.
Not subject to GST - Treasurer's Determination (Goods Taxes, Fees and Charges).

Payment Slip

ACN: 86221600
Company: ARUNA BAY INVESTMENTS LTD

Account Number: 22 662201600
Total Due: \$2010.00

Payment Options

Bank Code: 1981 Telephone and Internet Banking - Easy
Ref: 224552816000 Call your bank, credit union or building society to make
the payment from your cheque or savings account
Amount Paid:

Mail - Complete this payment slip and mail with payment to
Australian Securities and Investments Commission Locked Bag
5985 Spinalonga Mail Centre VIC 3041

In Person - Complete this payment slip and present with payment to your local ASIC Service Centre

Make cheques payable to AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

22455281600