



ASIC

Australian Securities & Investments Commission

Application for registration as an authorised audit company – Document checklist

This checklist will help you ensure that you have provided all relevant documentation when you apply for registration as an auditor.

Before you apply for registration, make sure you have fully read Regulatory Guide 180 *Auditor registration* (RG 180) and the relevant legislation. This checklist is intended to complement the legislation and RG 180. It is not a substitute for following them. All proofs should be dated not more than 3 months before the date of application. We will not accept incomplete applications for assessment.

This checklist does not constitute legal advice. We encourage you to seek your own professional advice to find out how the Corporations Act 2001 and other laws apply to you, as it is your responsibility to determine your obligations.

What you must include with your application	Attached
Form 903AB A completed and signed Form 903AB <i>Application for registration as an authorised audit company</i> .	<input type="checkbox"/>
A signed statement providing details of the current shareholdings	<input type="checkbox"/>
A signed statement about whether the company's constitution allows shares to be held by entities other than individuals or legal representatives of individuals.	<input type="checkbox"/>
A signed statement providing details of the voting rights attaching to the shareholdings in the company.	<input type="checkbox"/>
If any 'yes' answers were provided to 'fit & proper' questions in the application form, a signed statement setting out details for any 'yes' answers	<input type="checkbox"/>
A copy of a certificate of currency	<input type="checkbox"/>
A copy of the policy	<input type="checkbox"/>
A signed statement containing details of insurer's place of domicile	<input type="checkbox"/>
A signed statement from the insurance broker or insurer certifying that any exclusions contained in the policy are standard or usual exclusions for a policy of this type and that the policy is made on standard commercial terms	<input type="checkbox"/>
A signed statement from the applicant's accountant certifying the value of the company's net tangible assets as the date of the application	<input type="checkbox"/>
A signed balance sheet	<input type="checkbox"/>
A deed in Pro Forma [PF217] for each director of the company between the director and ASIC stating that they will use their best endeavors to ensure that the company holds run-off cover for a period of 7 years after the company ceases to be registered as an AAC	<input type="checkbox"/>