



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 authorised audit company.

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 less than three 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* (Corporations Act) and other laws apply to you, as it is your responsibility to determine your obligations.

Checklist

What you must include with your application	Attached
A completed and signed Form 903AB <i>Application for registration as an authorised audit company</i> . Even if you lodge Form 903AB online, you must still send us a copy of your completed form, signed and dated in the spaces provided. Our preference is for you to send us your signed application and supporting material by email in PDF format or, alternatively, by post.	<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 and proper' questions in Form 903AB, 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 professional indemnity insurance policy.	<input type="checkbox"/>
A signed statement containing details of insurer's place of domicile.	<input type="checkbox"/>

What you must include with your application	Attached
<p>A signed statement from the insurance broker or insurer certifying that any exclusions contained in the professional indemnity insurance policy:</p> <ul style="list-style-type: none">• are standard or usual exclusions for a policy of this type• that the policy is made on standard commercial terms.	<input type="checkbox"/>
<p>A signed statement from the applicant's accountant certifying the value of the company's net tangible assets as the date of the application.</p> <p>Where the company's net tangible assets are not sufficient to cover the amount of any deductible or excess, a bank guarantee may be required to cover such deficiency.</p>	<input type="checkbox"/>
<p>A balance sheet of the company prepared as close as possible to the application date.</p>	<input type="checkbox"/>
<p>A deed (as set out in Pro Forma 217 <i>Authorised audit company registration conditions</i> (PF 217)) between the directors and ASIC stating that the directors will use their best endeavours to ensure that the company holds run-off cover for a period of seven years after the company ceases to be registered as an authorised audit company.</p> <p>You must include one deed for each director of the company.</p>	<input type="checkbox"/>