

Compliance plan audit report of a corporate collective investment vehicle

Form 5211
Corporations Act 2001
1226G(4)

Use this form to submit the compliance plan audit report of a retail corporate collective investment vehicle (CCIV). If there is insufficient space in any section of the form, you may photocopy the relevant page(s) and submit as part of this lodgement

Lodgement details

Who should ASIC contact if there is a query about this form?

Firm/organisation

Contact name/position description

ASIC registered agent number (if applicable)

Telephone number

Postal address or DX address

CCIV details

CCIV name

ACN

Corporate director name

ACN/ABN

AFS licence number

Audit report for financial year ending

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>
[D	D]		[M	M]		[Y	Y]

1 Details of current compliance plan auditor

Auditor registration number (for individual auditor or authorised audit company)

Family name

Given name

or

Company name

ACN/ABN

or

Firm name (if applicable)

1 Continued... Details of current compliance plan auditor

Office, unit, level

Street number and Street name

Suburb/City

State/Territory

Postcode

2 Auditor report

Does the attached copy of the auditor's report (s1226G(1)) for the financial year contain a qualified opinion:

(a) that the corporate director has not complied with the CCIV's compliance plan during the financial year?

Yes

No

(b) that the compliance plan does not meet the requirements of s1226A of the Corporations Act 2001?

Yes

No

Signature

This form must be signed by a director or secretary of the corporate director of the CCIV

I certify that the attached documents marked () are a true copy of the audit report required under s1226G .

Name of the person signing

Capacity:

Director of the corporate director

Secretary of the corporate director

Signature

Date signed

[D

D]

[M

M]

[Y

Y]

Lodgement

Send completed and signed forms to:
Australian Securities and Investments Commission,
PO Box 4000, Gippsland Mail Centre VIC 3841.

For more information

Web www.asic.gov.au

Need help? www.asic.gov.au/question

Telephone 1300 300 630

Guide: Compliance plan audit report of a corporate collective investment vehicle

This guide does not form part of the form. It is included by ASIC to assist you in completing and lodging the Form 5211.

Signature	This form must be signed by a director or secretary of the corporate director of the CCIV.
Lodgement period	3 months after the end of financial year for a retail CCIV.
Late fees	Late fees will apply if you notify a change outside of the lodgement period. For information on fees refer to www.asic.gov.au/forms .
Documents to be attached	A copy of the audit report prepared under s1226G(1)(c) must be submitted with this form.
How to provide additional information	<p>Photocopied Form 5211 pages If there is insufficient space in any section of the form, you may photocopy the relevant page(s) and submit as part of this lodgement.</p> <p>Annexures To make any annexure conform to the regulations, you must</p> <ol style="list-style-type: none">1. use A4 size paper of white or light pastel colour with a margin of at least 10mm on all sides2. show the CCIV name and ACN3. number the pages consecutively4. print or type in BLOCK letters in dark blue or black ink so that the document is clearly legible when photocopied5. mark the annexure with an identifying letter or symbol eg a,b,c or 1,2,3 etc.6. endorse the annexure with the words: This annexure (mark) of (number) pages referred to in form (form number and title)7. sign and date the annexure <p>The annexure must be signed by the same person(s) who signed the form.</p>
Privacy	The information provided to ASIC in this form may include personal information. Please refer to our privacy policy (www.asic.gov.au/privacy) for information about how we handle your personal information, your rights to seek access to and correct personal information, and to complain about breaches of your privacy.
Lodgement	<p>Send completed and signed forms to: Australian Securities and Investments Commission, PO Box 4000, Gippsland Mail Centre VIC 3841.</p> <p>For more information Web www.asic.gov.au Need help? www.asic.gov.au/question Telephone 1300 300 630</p>