



# Application for registration of a managed investment scheme

**Related forms**

Form 5103 Directors' statement relating to application for registration of a managed investment scheme

If there is insufficient space in any section of the form, you may print additional copies of 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

## 1 Proposed details of the managed investment scheme

### Scheme details

Scheme name

Proposed scheme details

  
  
  

Tick box(es) that apply.

Scheme kind(s)

- |  |   |
|--|---|
| <input type="checkbox"/> Financial Assets                                | <input type="checkbox"/> Derivatives                            |
| <input type="checkbox"/> Mortgages                                       | <input type="checkbox"/> IDPS-Like                              |
| <input type="checkbox"/> Direct Real Property                            | <input type="checkbox"/> Stable Property Trusts or Syndicates   |
| <input type="checkbox"/> Listed Property Trusts                          | <input type="checkbox"/> Services Strata Schemes                |
| <input type="checkbox"/> Film Schemes                                    | <input type="checkbox"/> Time Share Schemes                     |
| <input type="checkbox"/> Primary Production - Forestry                   | <input type="checkbox"/> Primary Production - Horticulture      |
| <input type="checkbox"/> Primary Production - Tea trees                  | <input type="checkbox"/> Primary Production - Viticulture       |
| <input type="checkbox"/> Primary Production - Aquaculture                | <input type="checkbox"/> Primary Production - Ratites (Ost/Emu) |
| <input type="checkbox"/> Primary Production - Cattle breeding            | <input type="checkbox"/> Primary Production - Horse breeding    |
| <input type="checkbox"/> Primary Production - Livestock grown for fleece |   |
| <input type="checkbox"/> Other Primary Production                        |   |

If 'Other Primary Productions' is selected, please specify

## 1 Continued... Proposed details of the managed investment scheme

### Proposed responsible entity details

Company name

ACN

AFS licence number

### Registered office

At the office of, C/- (if applicable)

Office, unit, level

Street number and Street name

Suburb/City

State/Territory

Postcode

## 2 Details of consenting compliance plan auditor

### Individual auditor

Family name

Given names

or

### Authorised audit company

Company name

ASIC registered auditor number

### Firm of auditors

Firm name

ABN

or

Business name

Business number

State or territory of registration

### Principal business address

At the office of, C/- (if applicable)

Office, unit, level

Street number and Street name

Suburb/City

State/Territory

Postcode

### 3 Documents to be attached

1. A copy of the scheme's constitution (as defined by s601GA and signed in accordance with s127 and s351 of the *Corporations Act 2001* (the Act)) together with a table or other document that cross references the contents of a constitution required by 601GA and GB of the Act to the equivalent provisions in the scheme's constitution. Refer to Regulatory Guide 134 *Managed investments: Constitutions*

2. A signed, original copy of the scheme's compliance plan (as defined by s601HA and signed in accordance with s601HC). Refer to 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 be also be attached.

3. An original 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.

### Signature

If applicant is an individual—1 signature required.

If applicant is the proposed responsible entity or another corporation—at least 1 director or secretary to sign.

I certify that the information in this form is true and complete.

Name

Capacity

- Individual  
 Director of proposed responsible entity  
 Secretary of proposed responsible entity

Signature

Date signed

/   /    
[D] [D] [M] [M] [Y] [Y]

### Lodgement

Send completed and signed forms to:  
Australian Securities and Investments Commission,  
GPO Box 9827 in your capital city.

### For more information

Web [www.asic.gov.au](http://www.asic.gov.au)  
Need help? [www.asic.gov.au/question](http://www.asic.gov.au/question)  
Telephone 1300 300 630

# Guide: Application for registration of a managed investment scheme

This guide does not form part of the form. It is included by ASIC to assist you in completing and lodging the Form 5100.

## Related forms

Form 5103 Directors' statement relating to application for registration of a managed investment scheme

<b>Signature</b>	<p>This form must be signed by the applicant</p> <ul style="list-style-type: none"><li>• If the applicant is an individual—only one signature required.</li><li>• If the applicant is the proposed responsible entity or another corporation—at least one director or secretary must sign.</li></ul>
<b>Lodgement period</b>	<p>Nil – to be lodged when required.</p>
<b>Lodging fee</b>	<p>A lodgement fee applies to this form.</p> <p>For information on fees refer to <a href="http://www.asic.gov.au/forms">www.asic.gov.au/forms</a>.</p>
<b>Requirements for responsible entity</b>	<p>Before we can register a managed investment scheme, the proposed responsible entity must be a registered Australian PUBLIC company that holds an AFS licence authorising it to operate the scheme. If the proposed responsible entity does not hold an AFS licence authorising it to operate the scheme, it should ensure an application for an AFS licence, or variation of an existing licence, has been submitted to us before applying to register the scheme.</p>
<b>Scheme details</b>	<p>Describe how scheme funds will be applied and what investment strategies are likely to be adopted. For example, the extent to which scheme funds may be invested in financial markets' derivatives to hedge or protect the value of scheme assets.</p> <p>Scheme kinds identified for licensing purposes are:</p> <ol style="list-style-type: none"><li>a) Financial assets. This category includes cash, fixed interest securities, equities and related securities, property securities, and schemes that invest in interests in managed investment schemes.</li><li>b) Derivatives.</li><li>c) Mortgages.</li><li>d) Member discretionary master funds and similar schemes. These are schemes where accounts are required for each individual member to reflect the assets that the member's rights will depend on.</li><li>e) Direct real property.</li><li>f) Primary production. These schemes will be further categorised according to the type of scheme e.g. horticulture, aquaculture, commercial horse breeding</li><li>g) Film schemes.</li><li>h) Time-sharing schemes.</li></ol>

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**How to provide additional information****Additional Form 5100 pages**

If there is insufficient space in any section of the form, you may print additional copies of the relevant page(s) and submit as part of this lodgement.

**Annexures**

If there is insufficient space in any section of the form, you may alternately submit annexures as part of this lodgement.

To make any annexure conform to the regulations, you must

1. use A4 size paper of white or light pastel colour with a margin of at least 10mm on all sides
2. show the company name and ACN or ARBN
3. number the pages consecutively
4. print or type in BLOCK letters in dark blue or black ink so that the document is clearly legible when photocopied
5. 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

The annexure must be signed by the same person(s) who signed the form.

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**Privacy**

The information provided to ASIC in this form may include personal information. Please refer to our privacy policy ([www.asic.gov.au/privacy](http://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.

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**Lodgement**

Send completed and signed forms to:  
Australian Securities and Investments Commission,  
GPO Box 9827 in your capital city.

**For more information**

Web [www.asic.gov.au](http://www.asic.gov.au)  
Need help? [www.asic.gov.au/question](http://www.asic.gov.au/question)  
Telephone 1300 300 630