

ASIC registered agent number _____

lodging party or agent name _____

office, level, building name or PO Box no. _____

street number and name _____

suburb / city _____

state/territory _____

postcode _____

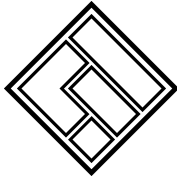
telephone () _____

facsimile () _____

DX number _____

suburb / city _____

ASS.	<input type="checkbox"/>	REQ-A	<input type="checkbox"/>
CASH.	<input type="checkbox"/>	REQ-P	<input type="checkbox"/>
PROC.	<input type="checkbox"/>		

Australian Securities & Investments Commission
**Presentation of
triennial statement by an auditor**
form **907**Corporations Act 2001
1288(3)

If insufficient space, enclose further details in an annexure.
Annexures must conform to the requirements shown at the end of this form.

Period of statement

from (d/m/y) / / to / /

Details of the auditor

name (surname & given names) _____

registration number _____

residential address _____

suburb/city _____

state _____

postcode _____

telephone () _____

facsimile () _____

details of birth (d/m/y) / /

town & state _____

country _____

business occupation _____

partnershipAre you a member of an accounting partnership? yes no

if yes, firm name _____

date joined (d/m/y) / /

name or style of practiceAre you practising as an auditor under a name or style
other than your name or your firm's name? yes no

if yes, name or style _____

business registration number _____

date of commencement (d/m/y) / /

principal place of practice as an auditor

office, floor, building name _____

street number & name _____

suburb/city _____

state _____

postcode _____

country _____

telephone () _____

facsimile () _____

date of commencement (d/m/y) / /

 Are the address and telephone number of the firm the same as those of the principal place of practice? yes no
 if no, the address and telephone number of the firm are enclosed in the annexure marked () of () pages.
other places of practice as an auditor

office, floor, building name _____

street number & name _____

suburb/city _____

state _____

postcode _____

country _____

telephone () _____

facsimile () _____

date of commencement (d/m/y) / /

if more than one other place of practice further details are enclosed in the annexure marked () of () pages.

employer (surname & given names or firm name or corporation name) If a corporation give A.C.N. or A.R.B.N. also.

name _____

office, floor, building name _____

street number & name _____

suburb/city _____ state _____ postcode _____

country _____

telephone () _____ facsimile () _____

date of commencement (d/m/y) / /

Statement

1. Are you still practising as an auditor? **yes** **no**

If no, please complete the 'Application for cancellation of registration' at the end of this form.

2. Are you resident in Australia? **yes** **no**

3. Has there been any time in the last three years immediately preceding the date of this Statement when you were not resident in Australia? **yes** **no**

If yes,

period of overseas residency (d/m/y) / / to / /

place of residency _____

reasons for overseas residency _____

4. Are you or have you ever been excluded from practice as an auditor or liquidator, or had registration as an auditor or liquidator suspended, or been subject to any other disciplinary action by any of the following bodies?

- a Companies Auditors Board of a state or territory
- a Companies Auditors and Liquidators Disciplinary Board
- the Public Accountants Registration Board of NSW or QLD
- the National Companies and Securities Commission
- the Australian Securities Commission
- the Australian Securities and Investments Commission
- The Institute of Chartered Accountants in Australia
- the Australian Society of Certified Practising Accountants
- CPA Australia
- any other professional body
- a Tax Agents Board
- any other body ever having authority in Australia or elsewhere relating to the registration or disciplining of auditors or liquidators

yes **no**

If yes, full details of the action are enclosed in the annexure marked () of () pages.

5. Are you or have you ever been disqualified from managing corporations under Part 2D.6 or under previous legislation?

yes **no**

If yes, full details of each disqualification, order or notice are enclosed in the annexure marked () of () pages.

Note 1 If by leave of the Court given under section 206G the applicant is permitted to manage corporations, an office copy of the court order must be annexed, whether or not the order is subject to conditions or limitations.

2 The details required are those that would be required to be disclosed in form 906, if section 1287 applied to the disqualification.

6. Do you or have you ever had a status equivalent to that of an insolvent under administration under the law of a country other than Australia or under the law of an external territory? **yes** **no**

If yes, full details are enclosed in the annexure marked () of () pages.

7. Have you at any time during the three years preceding the date of this Statement been convicted of an offence, other than a traffic offence? **yes** **no**

If yes, full details, including the name of the court and the penalty, are enclosed in the annexure marked () of () pages.

8. Do you have any legal or disciplinary proceedings pending against you that may result in action that would require disclosure under any of the above items? **yes** **no**

If yes, full details are enclosed in the annexure marked () of () pages.

9. In the last three years have you resigned (other than where paragraph 324(8)(c) applies) or been removed from office as an auditor or a liquidator? yes no

If yes, full details are enclosed in the annexure marked () of () pages.

These details should include

- the type of office (auditor or liquidator)
- whether the manner of ceasing was resignation or removal
- the date of ceasing
- the corporation name and Australian Company Number (if applicable)
- the reason for ceasing

10. List below audits conducted since the date of the last triennial statement or the date of your registration whichever is more recent (maximum of 10).

If a corporation give A.C.N. or A.R.B.N. also.

1	
2	
3	
4	
5	
6	
7	
8	
9	
10	

Signature

This form must be signed by the auditor.

print name

sign here

date / /

Application for cancellation of registration

I have ceased to practise as an auditor and request ASIC to cancel my registration as an auditor.

date of ceasing (d/m/y) / /

print name

sign here

date / /

Small Business (less than 20 employees), please provide an estimate of the time taken to complete this form

Include

- The time actually spent reading the instructions, working on the question and obtaining the information
- The time spent by all employees in collecting and providing this information

hrs mins

Send to

Australian
Securities & Investments
Commission
PO Box 4000
Gippsland Mail Centre VIC 3841

Annexures to forms

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 number the pages consecutively
- 3 print or type in dark blue or black ink, so that the document is clearly legible when copied.

- 4 identify the annexure with a mark such as A, B, C, etc

- 5 endorse the annexure with the words:

This is annexure (mark) of (number) pages referred to in form (form number and title) signed by (insert "me" or "us") and dated.

- 6 sign and date the annexure. The annexure must be signed by the same person(s) who signed the form.
- 7 There must be written on the form: the identifying mark and the number of pages.