



Notification of cessation of an auditor of an Australian financial services licensee

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

AFS licence details

AFS licence number

AFS licence name

Office, unit, level, or PO Box number

Street number and Street name

Suburb/City

State/Territory

Postcode

Country (if not Australia)

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 Details of cessation

Tick one box

The auditor is deceased

Date of death

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

The auditor has become prohibited for reasons specified under s990D(1) of the Corporations Act 2001

Date of prohibition

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

2 Details of ceasing auditor

Complete either Section 1 or
Section 2 and then provide address

Section 1

ASIC registered auditor

ASIC registered auditor number

Family name

Given names

OR

Company name

Section 2

Firm of auditors

Name of firm

ABN

Address

Office, unit, level, or PO Box number

Street number and Street name

Suburb/City

State/Territory

Postcode

Country (if not Australia)

Provide for individual auditor,
company or firm

Signature

Refer to Guide for details on eligible
signatories.

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

Name

Signature.

Capacity

Entity name (if entity acting as agent)

Date signed

| | | | | | | | |
|----------------------|----------------------|---|----------------------|----------------------|---|----------------------|----------------------|
| <input type="text"/> | <input type="text"/> | / | <input type="text"/> | <input type="text"/> | / | <input type="text"/> | <input type="text"/> |
| [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.

Or lodge the form online by visiting the ASIC website
www.asic.gov.au

For more information

Web www.asic.gov.au
Need help? www.asic.gov.au/question
Telephone 1300 300 630

Guide: Notification of cessation of an auditor of an Australian financial services licensee

This guide does not form part of the form. It is included by ASIC to assist you in completing and lodging the Form FS09.

| Signature | <p>This form must be signed by the person authorised by the Australian financial services (AFS) licensee.</p> <table border="1"> <thead> <tr> <th>Entity</th> <th>Signatory</th> </tr> </thead> <tbody> <tr> <td>Partnership comprised of individuals</td> <td>Any one of the individual partners</td> </tr> <tr> <td>Partnership comprised of both individuals and companies</td> <td>Any one of the individual partners or a director or secretary of one of the companies</td> </tr> <tr> <td>Multiple trustees</td> <td>Any one of the trustees, or where the trustee is a body, a director or secretary of the body</td> </tr> <tr> <td>Proprietary company</td> <td>Director or secretary</td> </tr> <tr> <td>Foreign company</td> <td>Director or secretary or local agent</td> </tr> <tr> <td>Individual</td> <td>The individual</td> </tr> </tbody> </table> | Entity | Signatory | Partnership comprised of individuals | Any one of the individual partners | Partnership comprised of both individuals and companies | Any one of the individual partners or a director or secretary of one of the companies | Multiple trustees | Any one of the trustees, or where the trustee is a body, a director or secretary of the body | Proprietary company | Director or secretary | Foreign company | Director or secretary or local agent | Individual | The individual |
|---|---|--------|-----------|--------------------------------------|------------------------------------|---|---|-------------------|--|---------------------|-----------------------|-----------------|--------------------------------------|------------|----------------|
| Entity | Signatory | | | | | | | | | | | | | | |
| Partnership comprised of individuals | Any one of the individual partners | | | | | | | | | | | | | | |
| Partnership comprised of both individuals and companies | Any one of the individual partners or a director or secretary of one of the companies | | | | | | | | | | | | | | |
| Multiple trustees | Any one of the trustees, or where the trustee is a body, a director or secretary of the body | | | | | | | | | | | | | | |
| Proprietary company | Director or secretary | | | | | | | | | | | | | | |
| Foreign company | Director or secretary or local agent | | | | | | | | | | | | | | |
| Individual | The individual | | | | | | | | | | | | | | |
| Lodgement period | As soon as practicable after being advised of the auditor's death or prohibition. | | | | | | | | | | | | | | |
| Lodgement fees | No lodgement or late fees apply. | | | | | | | | | | | | | | |
| When to use this form | <p>This form should only be used where the licensee is an individual, a partnership, a non-corporate trustee, foreign company or a proprietary company and only to notify a cessation where the auditor has died or is prohibited from acting under s990D(1).</p> <p>An auditor holds office until death, disqualification, resignation or removal from office. Therefore if an auditor retires and cancels his/her registration then they are automatically disqualified from office under s990E.</p> <p>If they retire and retain their registration they hold office until they resign or are removed in accordance with s990F or 990G - in these circumstances ASIC's consent to the resignation or removal is required.</p> <p>Within 14 days after the cessation of the auditor pursuant to either s990E(a) or (d), the licensee must appoint another auditor if this has not already occurred and lodge written notice specifying the name of the person or firm appointed and the date of their appointment. An approved form exists for this purpose. However, ASIC's eLicensing system is the preferred method of notification.</p> <p>When a Form 315 must be lodged</p> <p>If the licensee is a proprietary company and the auditor is appointed in accordance with both s325 and 990B, a Form 315 <i>Notification of resignation, removal or cessation of auditor</i> must also be lodged by the company:</p> <ul style="list-style-type: none"> • within 14 days after the company receives notice that the auditor has resigned or been removed • as soon as practicable after the company receives notice of the auditor's death or prohibition. | | | | | | | | | | | | | | |
| 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. | | | | | | | | | | | | | | |

How to provide additional information

Photocopied Form FS09 pages

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

Annexures

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.

Lodgement

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