



# Notification of request by responsible entity to change compliance plan auditor

Refer to Australian Securities and Investments Commission (ASIC) Regulatory Guide 26 and the attached Guide before completing this form. 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.

<b>Scheme details</b>	Registered scheme name <input type="text"/>
	ARSN <input type="text"/>
	Responsible entity name <input type="text"/>
	ACN/ABN <input type="text"/>

<b>Lodgement details</b>	<b>Who should ASIC contact if there is a query about this form?</b>
	Name <input type="text"/>
	ASIC registered agent number (if applicable) <input type="text"/>
	Telephone number <input type="text"/>
	Postal address <input type="text"/> <input type="text"/>

## 1 Details of resignation, removal or cessation

<input type="checkbox"/> Notice was received of the resignation of the auditor and disclosure as required by paragraphs RG 26.74 to RG 26.76 in Regulatory Guide 26 <i>Resignation, removal and replacement of auditors</i> (RG 26) has been made.	<b>Date of receipt of notice of resignation</b> <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]
<input type="checkbox"/> The auditor was removed from office and disclosure as required by paragraphs RG 26.74 to RG 26.76 in Regulatory Guide 26 <i>Resignation, removal and replacement of auditors</i> (RG 26) has been made.	<b>Date resignation was disclosed</b> <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]
<input type="checkbox"/> The auditor is deceased.	<b>Date removal was disclosed</b> <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]
	<b>Date of death</b> <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... Continued **Details of resignation, removal or cessation**

The auditor has become ineligible to act for reasons specified under s601HG(2) of the Corporations Act 2001.

**Date of ineligibility**

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

## 2 **Details of ceasing auditor(s)**

ASIC registered company auditor number (for individual auditor or authorised audit company)

Family name

Given name/s

OR

Authorised audit company name

ACN/ABN

OR

Firm name (if applicable)

Office, unit, level

Street number and Street name

Suburb/City

State/Territory

Postcode

Country (if not Australia)

## 3 **Details of new auditor**

**Date of appointment**

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

ASIC registered company auditor number (for individual auditor or authorised audit company)

Family name

Given name/s

OR

Authorised audit company name

ACN/ABN

OR

Firm name (if applicable)

ABN

Address

Office, unit, level

Street number and Street name

Suburb/City

State/Territory

Postcode

Country (if not Australia)

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**Signature**

This form must be signed by a director or secretary of the responsible entity.

To the best of my knowledge, the information in this form and annexures is true and complete (it is an offence to provide false or misleading information to ASIC).

Name

Capacity

Director

Secretary

Signature

Date signed

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

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**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](http://www.asic.gov.au)

Need help? [www.asic.gov.au/question](http://www.asic.gov.au/question)

Telephone 1300 300 630

# Guide:

## Notification of request by responsible entity to change compliance plan auditor

This guide does not form part of the form. It is included by ASIC to assist you in completing and lodging the Form 5114.

<b>Use of this form</b>	This is not a prescribed form and its use is optional. It has been prepared by ASIC to assist business with the lodgement process by highlighting information required by ASIC.
<b>Signature</b>	This form must be signed by a director or secretary of the responsible entity.
<b>Lodgement period</b>	As soon as practicable after the change.
<b>Lodgement fees</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> <p>A form is not considered lodged until it is received and accepted by ASIC as being in compliance with s1274(8) of the Corporations Act 2001. A receipt will not be issued unless requested.</p>
<b>Late fees</b>	Nil.
<b>Additional information</b>	<p>For the resignation of compliance plan auditor – the auditor must first obtain consent from ASIC to their resignation using Form 5113 <i>Application for consent from ASIC to resign as compliance plan auditor</i>.</p> <p>For removal of compliance plan auditor - the responsible entity of a registered scheme must first obtain consent from ASIC to remove the auditor of the compliance plan from office using Form 5112 <i>Application for consent from ASIC to remove compliance plan auditor</i>.</p> <p>The resignation or removal will only take effect on the day, following ASIC's consent, when the following disclosure requirements are made by the responsible entity, for a registered scheme:</p> <ul style="list-style-type: none"> <li>• if the registered scheme is a disclosing entity, the responsible entity must give a continuous disclosure notice, that would not deal with other matters, to ASIC and any relevant market operator for the scheme (RG 26.74 and RG 26.75); and</li> <li>• if the registered scheme is <u>not</u> a disclosing entity, the responsible entity must give notice to the scheme's members (RG 26.76): <ul style="list-style-type: none"> <li>• by a public notice displayed prominently on the responsible entity's website where the notice can reasonably be readily located and accessed by members of the scheme;</li> <li>• by email; or</li> <li>• in writing.</li> </ul> </li> </ul> <p>In both instances, the notice must contain:</p> <ul style="list-style-type: none"> <li>• details of the outgoing auditor;</li> <li>• details of the proposed incoming auditor; and</li> <li>• the reason for the change in auditor.</li> </ul> <p>ASIC consent is not required for removal of a compliance plan auditor where the auditor has become ineligible to act under s601HG(2) of the <i>Corporations Act 2001</i>.</p>
<b>Further guidance</b>	ASIC Regulatory Guide 26 <i>Resignation, removal and replacement of auditors</i> (RG 26) sets out full details of when ASIC will grant an application for consent to resign or be removed as auditor (see <a href="http://www.asic.gov.au/rg">www.asic.gov.au/rg</a> ).

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## How to provide additional information

### 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 scheme name and ARSN
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,  
PO Box 4000, Gippsland Mail Centre VIC 3841.

### 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