



Australian Credit Licence - Notification of appointment of a trust account auditor

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

Lodgement details

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

ASIC registered agent number (if applicable)

Firm/organisation

Contact name/position description

Telephone number

Email Address

Postal address

Suburb/City

State/Territory

Postcode

Australian Credit Licence details

Credit licence number

Name of credit licensee

Basis of appointment

Have you previously advised ASIC of the appointment of an auditor to audit the trust account?

 Yes No

If no, go to Section 2, Details of appointment of a new auditor

For information on completing this form and complying with trust account obligations, see the information sheet
INFO 136 *Complying with your trust account obligations as a credit licensee*

1 Details of cessation of previous trust account auditor

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

Family name

Given name

or

Authorised audit company name

ACN/ABN

Address

Street number and Street name

Suburb/City

State/Territory

Postcode

Country (if not Australia)

Date of cessation

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

Tick one box

Please advise the reason for the previous trust account auditor ceasing their role:

Licensee was no longer required to keep a trust account

Auditor is deceased

Ceased to engage in the business of being an auditor

Provide reasons:

Auditor was unable to perform his or her duties as the licensee's trust account auditor

Provide reasons:

ASIC has approved the trust account auditor's resignation

Note: your auditor must have obtained approval prior to resigning. Your auditor may apply for approval by lodging a Form CL 18 *Australian Credit Licence - Application for approval from ASIC to resign as a trust account auditor*.

ASIC has approved the replacement of the trust account auditor

Note: you must have obtained approval prior to replacing an auditor. You may apply for approval by lodging a Form CL 17 *Australian Credit Licence - Application for approval from ASIC to replace a trust account auditor*.

2 Details of appointment of new trust account auditor

Provide the following details for the trust account auditor whose appointment you are notifying

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

Family name

Given name

or

Authorised audit company name

ACN/ABN

Address

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

Office, unit, level

Street number and Street name or PO Box

Suburb/City

State/Territory

Postcode

Country (if not Australia)

Date of appointment

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

Signature

Refer to Guide for details on eligible signatories.

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
 partner
 trustee
 natural person licensee
 local agent
 other, please specify

Signature

Date signed

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

Lodgement

How to send completed and signed forms to ASIC:

- Scan form and email to creditlicensing@asic.gov.au
- Mail 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: Australian Credit Licence - Notification of appointment of a trust account auditor

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.

Signature	<p>This form must be signed by the person authorised by the Australian credit 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>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	Company	Director or secretary	Foreign company	Director or secretary or local agent	Individual	The individual
Entity	Signatory														
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Foreign company	Director or secretary or local agent														
Individual	The individual														
Lodgement period	Within 14 days after appointing a trust account auditor.														
Lodgement fees	A lodgement fee applies to this form, if lodged by paper. For information on fees refer to www.asic.gov.au/forms .														
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 .														
Basis of appointment	<p>You must appoint an auditor within three months after the obligation to maintain a trust account applies to you and within 14 days after appointing the auditor, you must lodge this form.</p> <p>If a person ceases to be your trust account auditor and you are still required to maintain a trust account, you must appoint another auditor within 28 days. Use this form to notify us of the appointment, within 14 days after appointing the new auditor.</p> <p>Where a trust account auditor has resigned – the auditor must first obtain approval from ASIC to their resignation using Form CL18 <i>Australian Credit Licence - Application for approval from ASIC to resign as a trust account auditor</i>.</p> <p>Where the trust account auditor is being replaced - the credit licensee must first obtain approval from ASIC to replace the trust account auditor using Form CL17 <i>Australian Credit Licence - Application for approval from ASIC to replace trust account auditor</i>.</p> <p>ASIC approval is not required to replace a trust account auditor, where the incumbent auditor:</p> <ul style="list-style-type: none"> dies or otherwise ceases to be registered as an auditor; or is unable to perform their duties as the licensee's auditor. <p>A trust account auditor ceases, without the need for ASIC approval, if the licensee is no longer required to keep a trust account.</p>														
Who can be a trust account auditor	There is no provision to appoint a firm of auditors. Your auditor can either be an individual registered company auditor, (includes a partner of a firm), or an authorised audit company.														
Further guidance	<p>Refer to Regulatory Guide 26 <i>Resignation, removal and replacement of auditors</i> (RG 26) for further details on the requirements for ASIC approval to the replacement or resignation of a trust account auditor. RG 26 is available at www.asic.gov.au/rg.</p> <p>Refer to Information Sheet 136 <i>Complying with your trust account obligations as a credit licensee</i> (INFO 136) for further information on trust account obligations. INFO 136 is available at www.asic.gov.au/infosheets.</p>														

How to provide additional information	<p>Annexures</p> <p>You may submit annexures as part of this lodgement. 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 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: <i>This annexure (mark) of (number) pages referred to in form (form number and title)</i> 7. sign and date the annexure <p>The annexure must be signed by the same person(s) who signed the form.</p>
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Privacy	<p>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.</p>
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Lodgement	<p>How to send completed and signed forms to ASIC:</p> <ul style="list-style-type: none"> • scan form and email to creditticensing@asic.gov.au • Mail to: Australian Securities and Investments Commission, PO Box 4000, Gippsland Mail Centre VIC 3841. 	<p>For more information</p> <p>Web www.asic.gov.au Need help? www.asic.gov.au/question Telephone 1300 300 630</p>
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