



ASIC

User guide

Registered Agent Portal

How to submit an application for registration of a managed investment scheme

The screens and data pictured in this guide are examples only. Actual screens can have minor differences in text and layout.

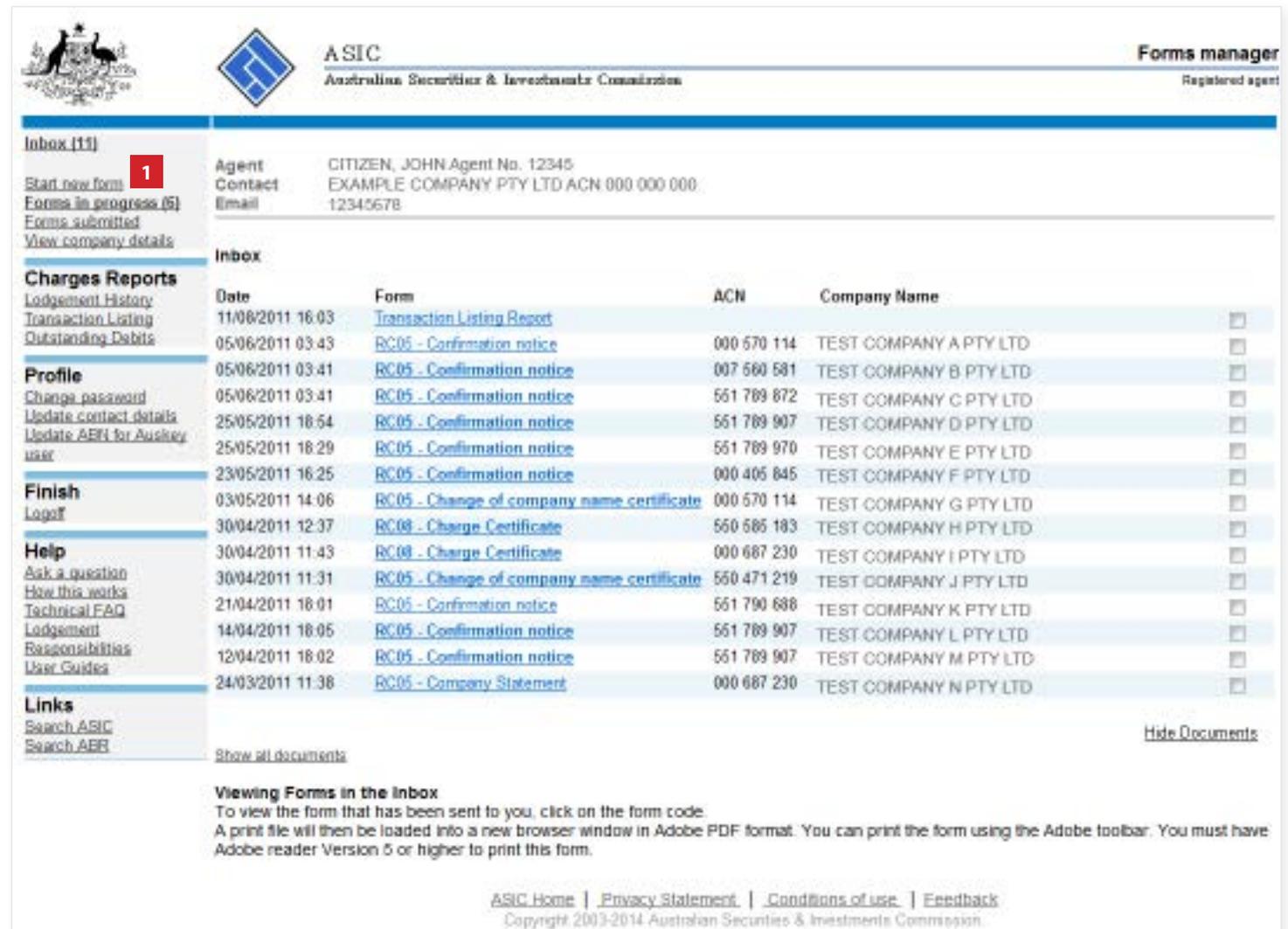
How to submit an application for registration of a managed investment scheme

- Complete this task when an applicant (an individual or the proposed responsible entity, or another corporation) wants to register a managed investment scheme.
- You will need to log in to your [online account](#) before you begin.

The screens and data pictured in this guide are examples only. Actual screens can have minor differences in text and layout.

Start transaction

- Once logged in, select **Start new form** in the left hand menu.



The screenshot shows the ASIC Forms manager interface. The left-hand menu is expanded, and the 'Start new form' option is highlighted with a red box containing the number '1'. The main content area displays the user's profile information and a list of forms in the inbox.

Forms manager
Registered agent

ASIC
Australian Securities & Investments Commission

Inbox (11)

Start new form 1

Forms in progress (5)

Forms submitted

View company details

Agent: CITIZEN, JOHN Agent No. 12345
Contact: EXAMPLE COMPANY PTY LTD ACN 000 000 000
Email: 12345678

Inbox

Date	Form	ACN	Company Name	
11/08/2011 16:03	Transaction Listing Report			<input type="checkbox"/>
05/06/2011 03:43	RC05 - Confirmation notice	000 570 114	TEST COMPANY A PTY LTD	<input type="checkbox"/>
05/06/2011 03:41	RC05 - Confirmation notice	007 560 581	TEST COMPANY B PTY LTD	<input type="checkbox"/>
05/06/2011 03:41	RC05 - Confirmation notice	551 789 872	TEST COMPANY C PTY LTD	<input type="checkbox"/>
25/05/2011 18:54	RC05 - Confirmation notice	551 789 907	TEST COMPANY D PTY LTD	<input type="checkbox"/>
25/05/2011 18:29	RC05 - Confirmation notice	551 789 970	TEST COMPANY E PTY LTD	<input type="checkbox"/>
23/05/2011 16:25	RC05 - Confirmation notice	000 405 845	TEST COMPANY F PTY LTD	<input type="checkbox"/>
03/05/2011 14:06	RC05 - Change of company name certificate	000 570 114	TEST COMPANY G PTY LTD	<input type="checkbox"/>
30/04/2011 12:37	RC08 - Charge Certificate	550 585 183	TEST COMPANY H PTY LTD	<input type="checkbox"/>
30/04/2011 11:43	RC08 - Charge Certificate	000 687 230	TEST COMPANY I PTY LTD	<input type="checkbox"/>
30/04/2011 11:31	RC05 - Change of company name certificate	550 471 219	TEST COMPANY J PTY LTD	<input type="checkbox"/>
21/04/2011 18:01	RC05 - Confirmation notice	551 790 688	TEST COMPANY K PTY LTD	<input type="checkbox"/>
14/04/2011 18:05	RC05 - Confirmation notice	551 789 907	TEST COMPANY L PTY LTD	<input type="checkbox"/>
12/04/2011 18:02	RC05 - Confirmation notice	551 789 907	TEST COMPANY M PTY LTD	<input type="checkbox"/>
24/03/2011 11:38	RC05 - Company Statement	000 687 230	TEST COMPANY N PTY LTD	<input type="checkbox"/>

[Hide Documents](#)

Viewing Forms in the inbox
To view the form that has been sent to you, click on the form code.
A print file will then be loaded into a new browser window in Adobe PDF format. You can print the form using the Adobe toolbar. You must have Adobe reader Version 5 or higher to print this form.

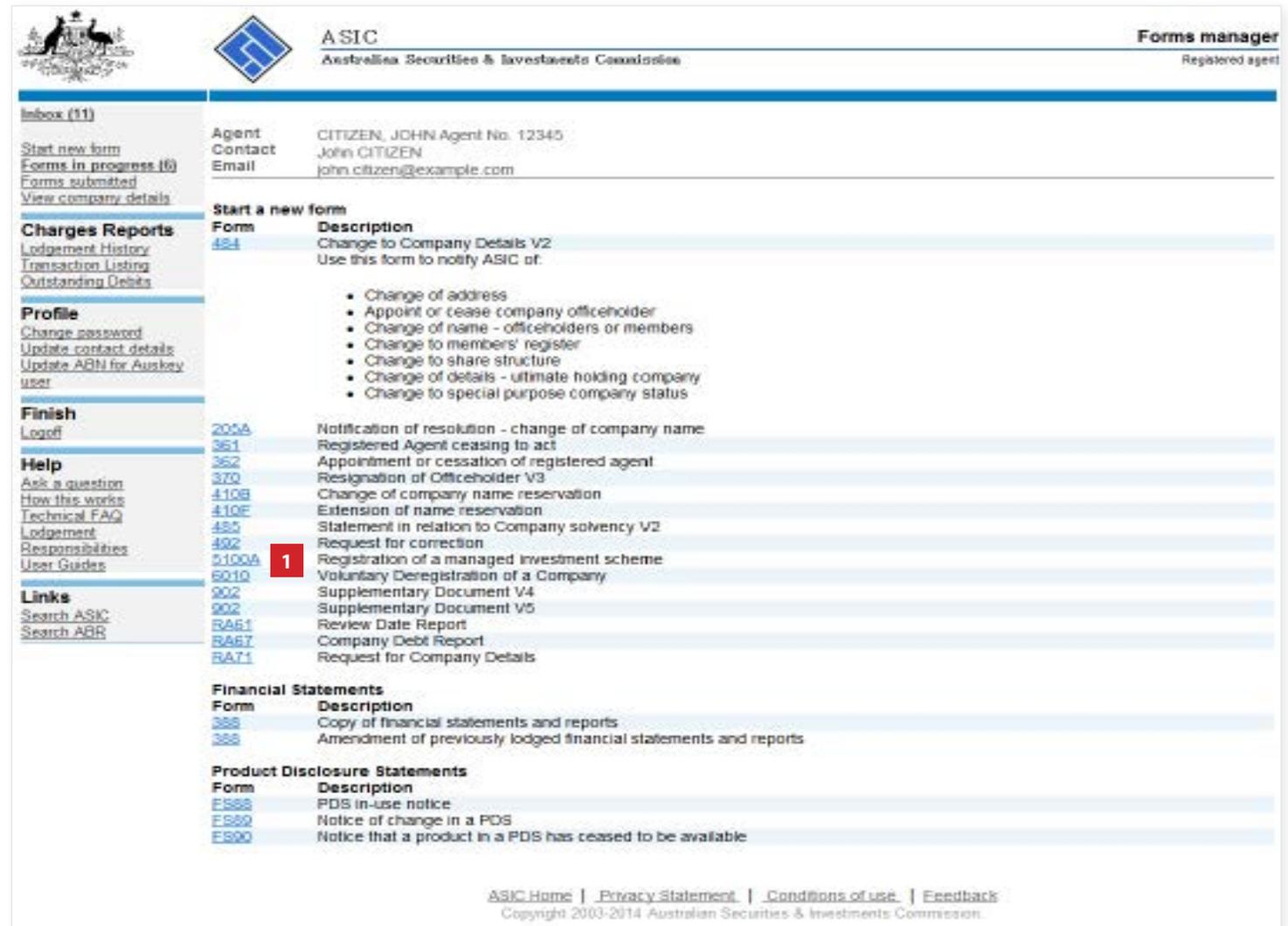
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[How to submit an application for registration of a managed investment scheme](#)

Select form type

- From the list of available forms, select **5100A**.



The screenshot shows the ASIC Forms Manager interface. At the top, there are logos for the Australian Government and ASIC (Australia Securities & Investments Commission). The page title is "Forms manager" and it indicates the user is a "Registered agent".

On the left side, there is a navigation menu with sections: "Inbox (11)", "Start new form", "Forms in progress (6)", "Forms submitted", "View company details", "Charges Reports", "Profile", "Finish", "Help", and "Links".

The main content area is titled "Start a new form" and contains a table of forms:

Form	Description
494	Change to Company Details V2 Use this form to notify ASIC of: <ul style="list-style-type: none"> Change of address Appoint or cease company officeholder Change of name - officeholders or members Change to members' register Change to share structure Change of details - ultimate holding company Change to special purpose company status
205A	Notification of resolution - change of company name
361	Registered Agent ceasing to act
362	Appointment or cessation of registered agent
370	Resignation of Officeholder V3
410B	Change of company name reservation
410E	Extension of name reservation
485	Statement in relation to Company solvency V2
492	Request for correction
5100A	Registration of a managed investment scheme
6010	Voluntary Deregistration of a Company
902	Supplementary Document V4
902	Supplementary Document V5
BA61	Review Date Report
BA67	Company Debt Report
BA71	Request for Company Details

Below the table, there are sections for "Financial Statements" and "Product Disclosure Statements", each with their own list of forms and descriptions.

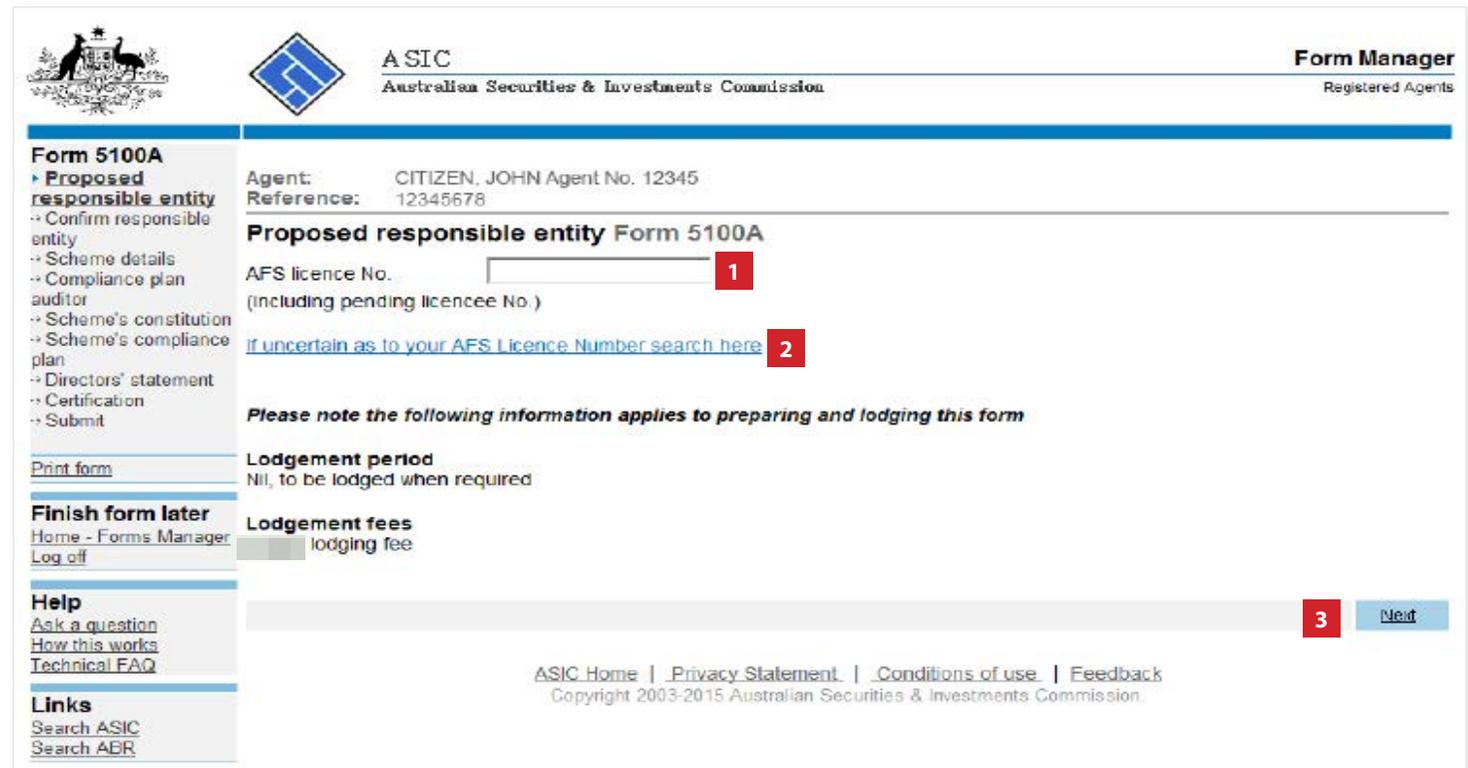
At the bottom of the page, there are links for "ASIC Home", "Privacy Statement", "Conditions of use", and "Feedback", along with the copyright notice: "Copyright 2003-2014 Australian Securities & Investments Commission."

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[How to submit an application for registration of a managed investment scheme](#)

Provide proposed responsible entity details

1. Enter the **AFS licence number**.
2. If you are unsure of your AFS licence number you can select the link to search for it.
3. Select **Next** to continue.



Form 5100A
▶ **Proposed responsible entity**
→ Confirm responsible entity
→ Scheme details
→ Compliance plan auditor
→ Scheme's constitution
→ Scheme's compliance plan
→ Directors' statement
→ Certification
→ Submit

Agent: CITIZEN, JOHN Agent No. 12345
Reference: 12345678

Proposed responsible entity Form 5100A

AFS licence No. 1
(including pending licence No.)

[If uncertain as to your AFS Licence Number search here](#) 2

Please note the following information applies to preparing and lodging this form

Lodgement period
Nil, to be lodged when required

Lodgement fees
lodging fee

Next 3

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Responsible entity confirmation

1. Review the responsible entity details.
2. Select **Yes** to confirm the information is correct.
3. Select **Next** to continue.



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Form Manager
Registered Agents

Form 5100A
✓ Proposed responsible entity
▶ **Confirm responsible entity**
↳ Scheme details
↳ Compliance plan auditor
↳ Scheme's constitution
↳ Scheme's compliance plan
↳ Directors' statement
↳ Certification
↳ Submit

Agent: CITIZEN, JOHN Agent No. 12345
Reference: 12345678

Confirm responsible entity Form 5100A

AFS licence No. 123456
AFS Name EXAMPLE LIMITED
ACN 123 456 789
Address 1 EXAMPLE STREET
CITY STATE 1234

Is this the correct responsible entity?
 Yes No

Print form

Finish form later
[Home - Forms Manager](#)
[Log off](#)

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[Ask a question](#)
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Links
[Search ASIC](#)
[Search ABR](#)

[Next](#)

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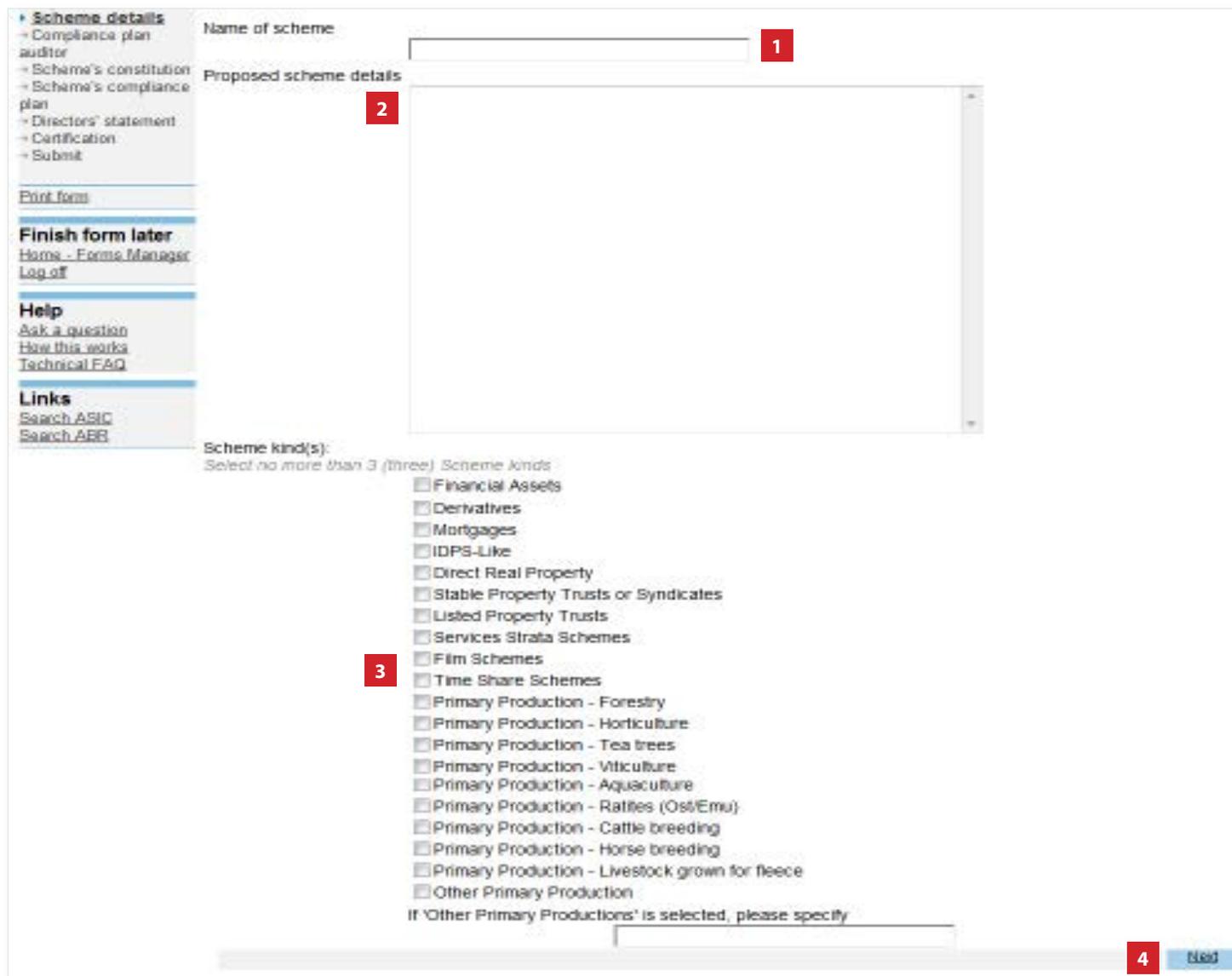
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[How to submit an application for registration of a managed investment scheme](#)

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Provide scheme details

1. Enter the **name of the scheme**.
2. Enter the **proposed scheme details** in the text box provided.
3. Select the relevant boxes to provide the **scheme kind(s)**. Up to three kinds can be selected.
4. Select **Next** to continue.



Scheme details

- Compliance plan auditor
- Scheme's constitution
- Scheme's compliance plan
- Directors' statement
- Certification
- Submit

[Print form](#)

Finish form later

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Name of scheme **1**

Proposed scheme details **2**

Scheme kind(s):
Select no more than 3 (three) Scheme kinds

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

If 'Other Primary Productions' is selected, please specify

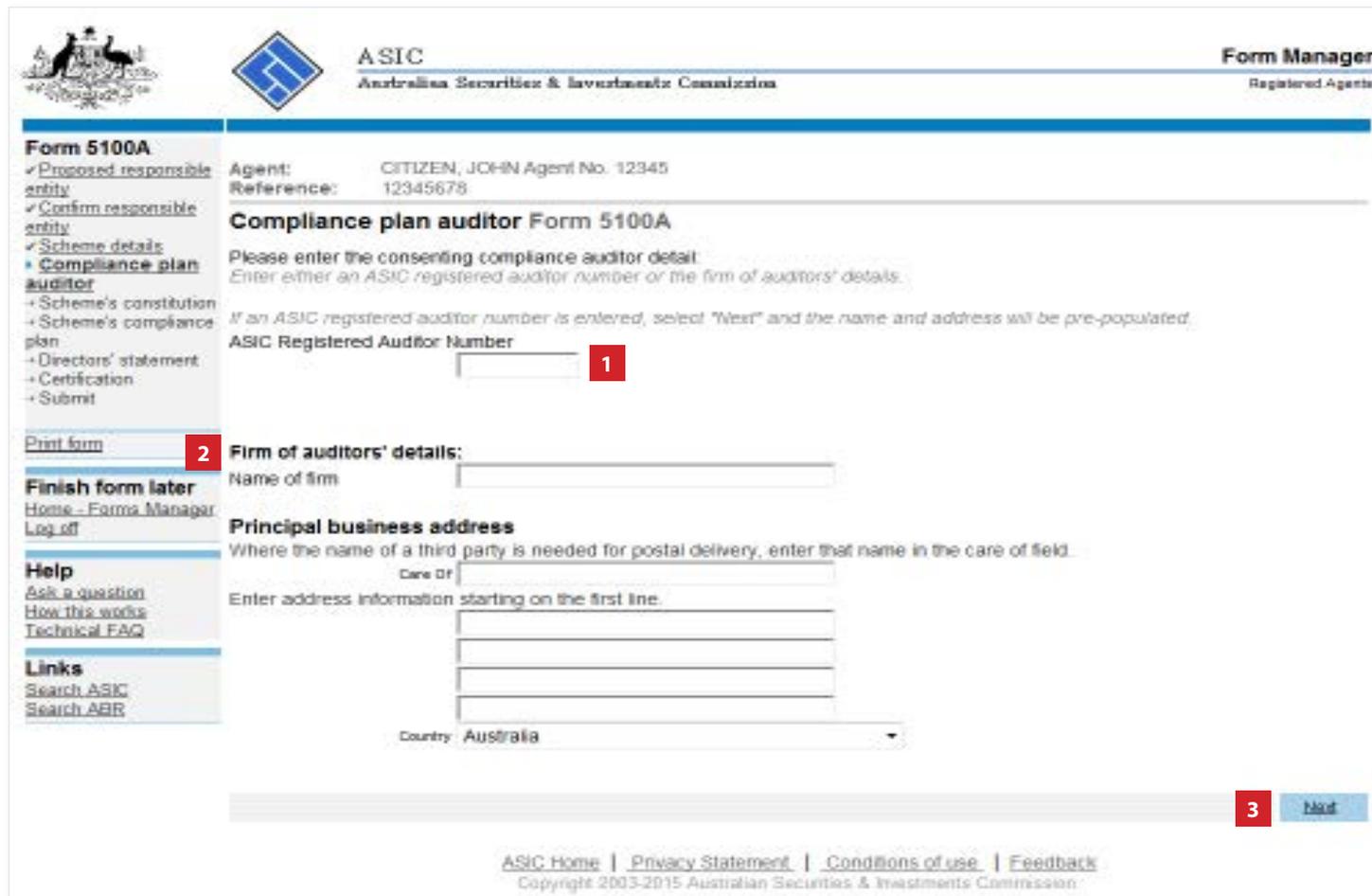
Next **4**

The screens and data pictured in this guide are examples only. Actual screens can have minor differences in text and layout.

Provide compliance plan auditor details

You need to enter the details of the consenting compliance plan auditor.

1. Enter the **ASIC registered auditor number**, or
2. Enter the **firm of auditors' details** (name of firm and principal business address).
3. Select **Next** to continue.





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Form Manager
Registered Agents

Form 5100A

Proposed responsible entity
 Confirm responsible entity
 Scheme details
 Compliance plan auditor
 Scheme's constitution
 Scheme's compliance plan
 Directors' statement
 Certification
 Submit

[Print form](#) 2

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Agent: CITIZEN, JOHN Agent No. 12345
 Reference: 12345678

Compliance plan auditor Form 5100A

Please enter the consenting compliance auditor detail.
Enter either an ASIC registered auditor number or the firm of auditors' details.

If an ASIC registered auditor number is entered, select "Next" and the name and address will be pre-populated.

ASIC Registered Auditor Number
 1

Firm of auditors' details:
 Name of firm

Principal business address
 Where the name of a third party is needed for postal delivery, enter that name in the care of field.
 Care Of
 Enter address information starting on the first line.

 Country: AUS/BIB

3 [Next](#)

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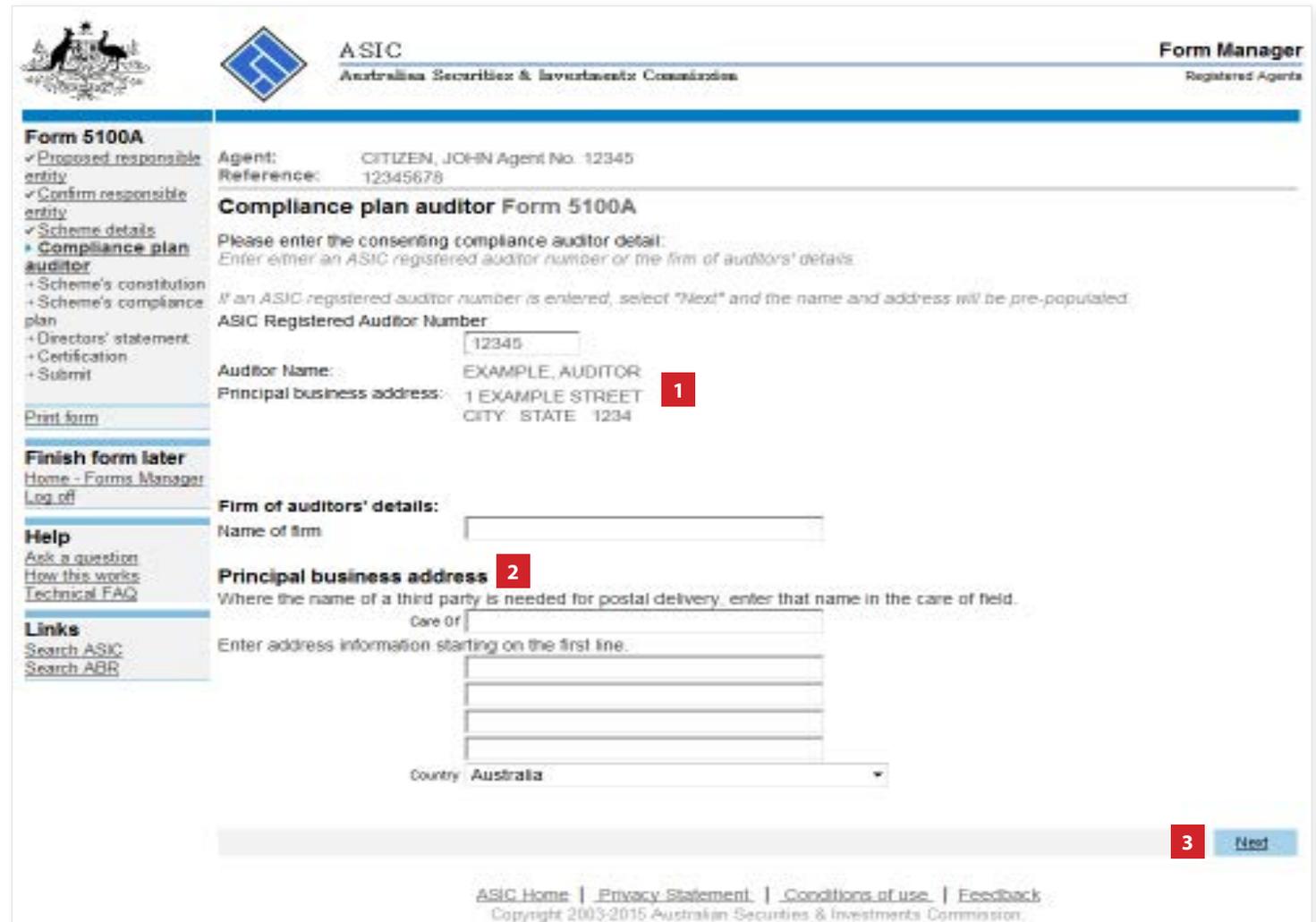
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Provide compliance plan auditor details

1. If you entered an ASIC registered auditor number at the previous screen, the name and address details will be pre-populated on this screen.
or
2. If you entered the firm of auditors details at the previous screen, then the principal business address must be entered.
3. Select **Next** to continue.



Form 5100A

Proposed responsible entity
 Confirm responsible entity
 Scheme details
 Compliance plan auditor
 Scheme's constitution
 Scheme's compliance plan
 Directors' statement
 Certification
 Submit

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Agent: CITIZEN, JOHN Agent No: 12345
 Reference: 12345678

Compliance plan auditor Form 5100A

Please enter the consenting compliance auditor detail:
Enter either an ASIC registered auditor number or the firm of auditors' details.

If an ASIC registered auditor number is entered, select "Next" and the name and address will be pre-populated.

ASIC Registered Auditor Number:

Auditor Name: EXAMPLE, AUDITOR

Principal business address: 1 EXAMPLE STREET
CITY STATE 1234

Firm of auditors' details:
Name of firm:

Principal business address
Where the name of a third party is needed for postal delivery, enter that name in the care of field.
Care Of:
Enter address information starting on the first line.

Country: Australia

Next

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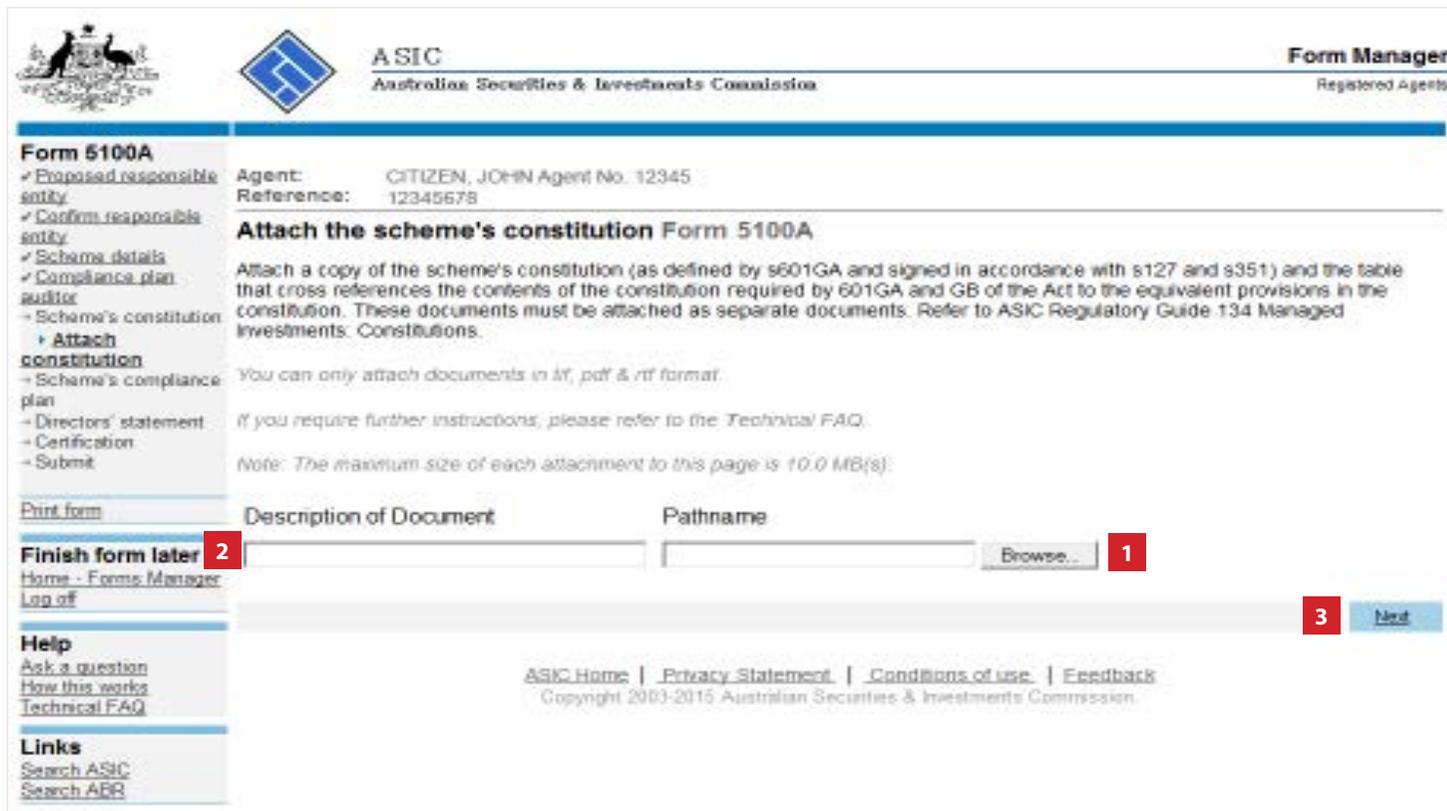
The screens and data pictured in this guide are examples only. Actual screens can have minor differences in text and layout.

Attach the scheme's constitution

1. You must attach a copy of the **scheme's constitution** and the table that cross-references its contents to the requirements of s601GA and GB. Select **Browse** to locate your document.

Notes:

- Each document must be in .tif, .pdf or .rtf format and no bigger than 10.0MB.
 - A maximum resolution of 200dpi is recommended.
 - You must attach a minimum of 2 documents.
2. Enter a **description of the document**.
 3. Select **Next** to continue.





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Form Manager
Registered Agents

Form 5100A

Proposed responsible entity
 Confirm responsible entity
 Schema details
 Compliance plan auditor
 Schema's constitution
 Attach constitution
 Schema's compliance plan
 Directors' statement
 Certification
 Submit

Agent: CITIZEN, JOHN Agent No. 12345
Reference: 12345678

Attach the scheme's constitution Form 5100A

Attach a copy of the scheme's constitution (as defined by s601GA and signed in accordance with s127 and s351) and the table that cross references the contents of the constitution required by 601GA and GB of the Act to the equivalent provisions in the constitution. These documents must be attached as separate documents. Refer to ASIC Regulatory Guide 134 Managed Investments: Constitutions.

You can only attach documents in .tif, .pdf & .rtf format.

If you require further instructions, please refer to the Technical FAQ.

Note: The maximum size of each attachment to this page is 10.0 MB(s).

Description of Document	Pathname
	<input type="text"/> <input type="button" value="Browse..."/>

3 [Next](#)

[Finish form later](#) **2**
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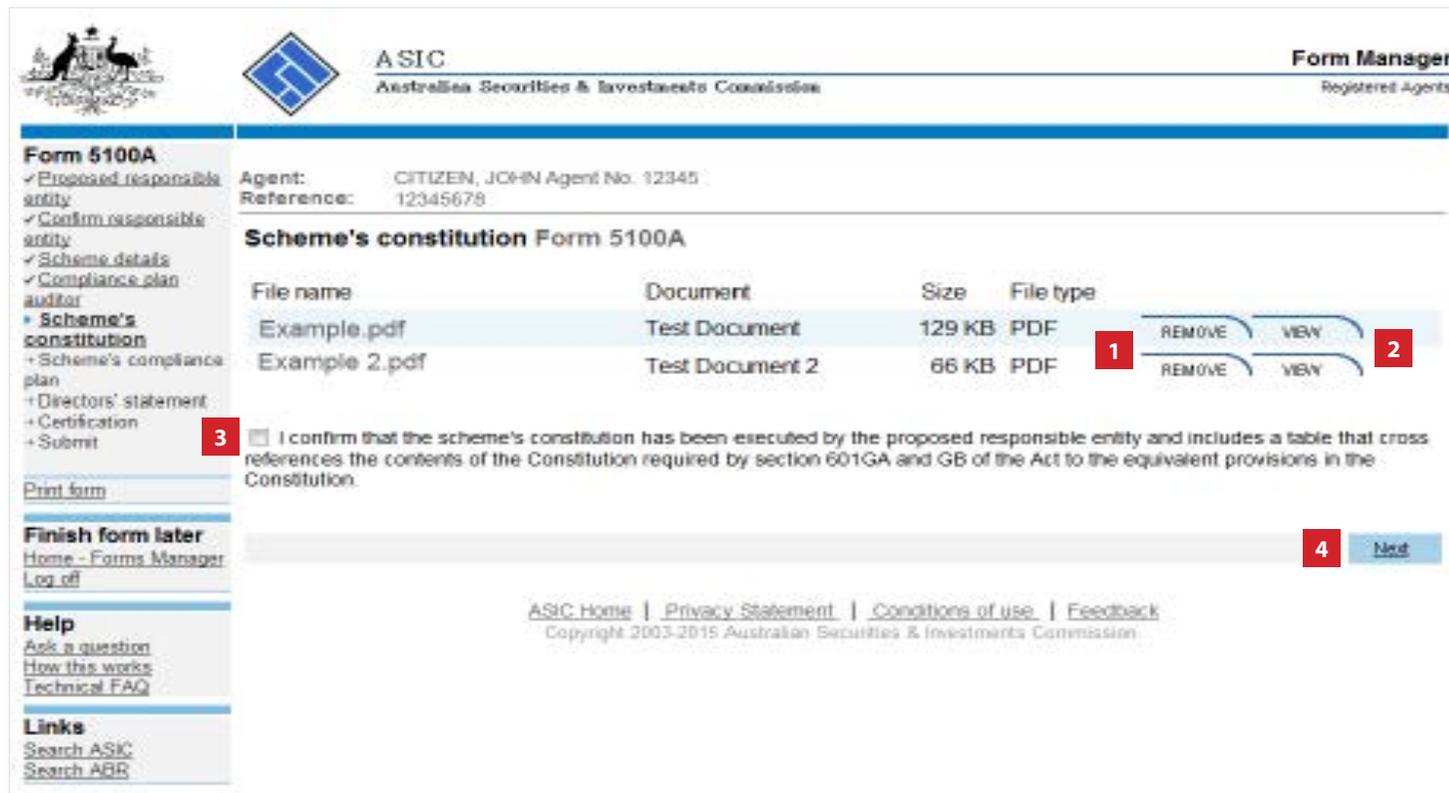
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The screens and data pictured in this guide are examples only. Actual screens can have minor differences in text and layout.

Review the attachments

Review the list of documents. From here you can:

1. **Remove** an attachment, or
2. **View** an attachment.
3. Select the box to confirm the scheme's constitution has been executed by the proposed entity and includes a table that cross references the contents of the Constitution required by section 601GA and GB of the Act to the equivalent provisions in the Constitution.
4. When you are satisfied the attachments list is correct and complete, select **Next** to continue.



Form 5100A

Agent: CITIZEN, JOHN Agent No. 12345
Reference: 12345678

Scheme's constitution Form 5100A

File name	Document	Size	File type		
Example.pdf	Test Document	129 KB	PDF	1 REMOVE	2 VIEW
Example 2.pdf	Test Document 2	66 KB	PDF	1 REMOVE	2 VIEW

I confirm that the scheme's constitution has been executed by the proposed responsible entity and includes a table that cross references the contents of the Constitution required by section 601GA and GB of the Act to the equivalent provisions in the Constitution.

Next

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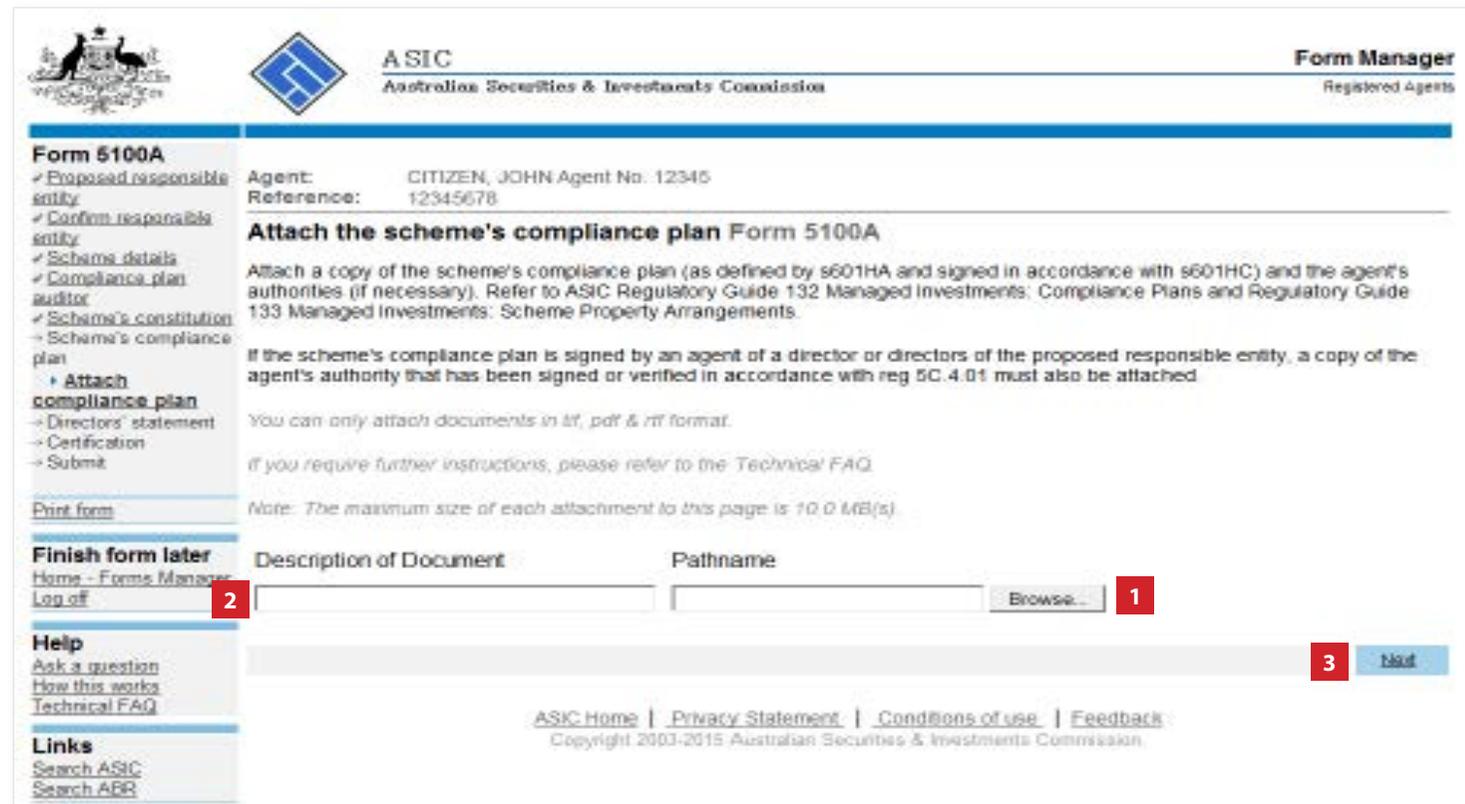
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Attach the scheme's compliance plan

1. You must attach a copy of the **scheme's compliance plan**. If necessary, also attach a copy of the agent's authorities. Select **Browse** to locate your documents.

Note: each document must be in .rtf, .tif, or .pdf format and no bigger than 10.0MB.

2. Enter a **description of the document**.
3. Select **Next** to continue.



Form 5100A
 ✓ Proposed responsible entity
 ✓ Confirm responsible entity
 ✓ Scheme details
 ✓ Compliance plan auditor
 ✓ Scheme's constitution
 - Scheme's compliance plan
 + **Attach compliance plan**
 -> Directors' statement
 -> Certification
 -> Submit

Agent: CITIZEN, JOHN Agent No: 12345
 Reference: 12345678

Attach the scheme's compliance plan Form 5100A

Attach a copy of the scheme's compliance plan (as defined by s601HA and signed in accordance with s601HC) and the agent's authorities (if necessary). Refer to ASIC 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 also be attached.

You can only attach documents in .rtf, .pdf & .tif format.

If you require further instructions, please refer to the Technical FAQ.

Note: The maximum size of each attachment to this page is 10.0 MB(s).

Description of Document	Pathname
<input type="text"/>	<input type="text"/> <input type="button" value="Browse..."/>

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The screens and data pictured in this guide are examples only. Actual screens can have minor differences in text and layout.

Review the attachments

Review the list of documents. From here you can:

1. **Remove** an attachment, or
2. **View** an attachment.
3. Select the box to confirm that the Compliance Plan has been signed by all of the directors of the proposed responsible entity or their agent/s, and that where agents have signed the Compliance Plan the agent's authorities to sign the Compliance Plan are also attached.
4. When you are satisfied the attachments list is correct and complete, select **Next** to continue.



Form 5100A

Proposed responsible entity
 Confirm responsible entity
 Scheme details
 Compliance plan auditor
 Scheme's constitution
 Scheme's compliance plan
 Directors' statement
 Certification
 Submit

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Form Manager
Registered Agents

Agent: CITIZEN, JOHN Agent No. 12345
 Reference: 12345678

Scheme's compliance plan Form 5100A

File name	Document	Size	File type	
Example Document.pdf	Test Document 3	129 KB	PDF	1 REMOVE VIEW 2

[Add more attachments](#)

3 I confirm that the Compliance Plan has been signed by all of the directors of the proposed responsible entity or their agent/s, and that where agents have signed the Compliance Plan the agents' authorities to sign the Compliance Plan are also attached.

4 **Next**

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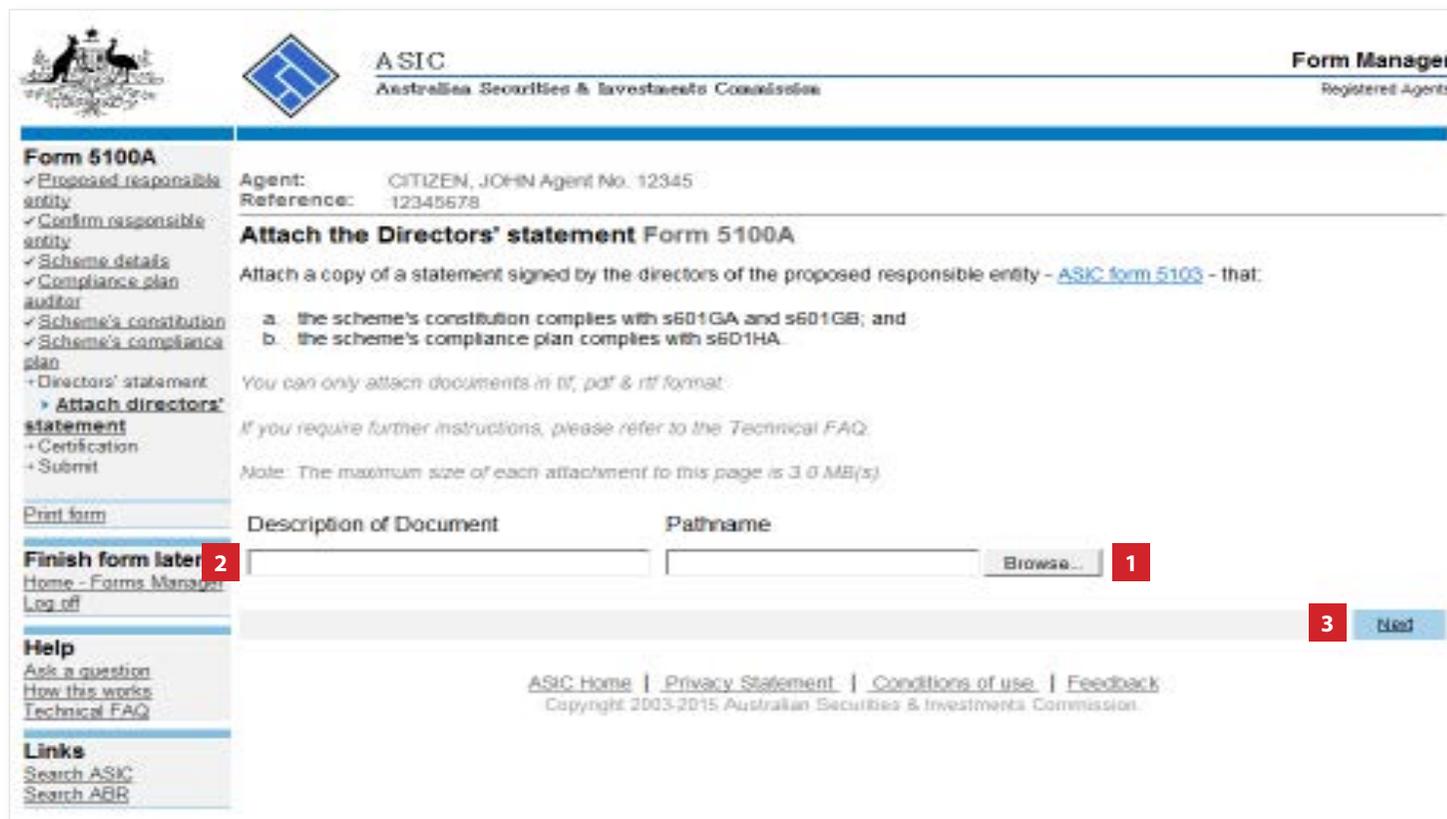
Attach the Director's statement

You must attach the Form 5103 Director's Statement. You can download this form from our website at www.asic.gov.au/forms.

- Once you have completed, scanned and saved the document, select **Browse** to locate your document.

Note: the file must be in .rtf, .tif, or .pdf format and no bigger than 10.0MB.

- Enter a **description of the document**.
- Select **Next** to continue.



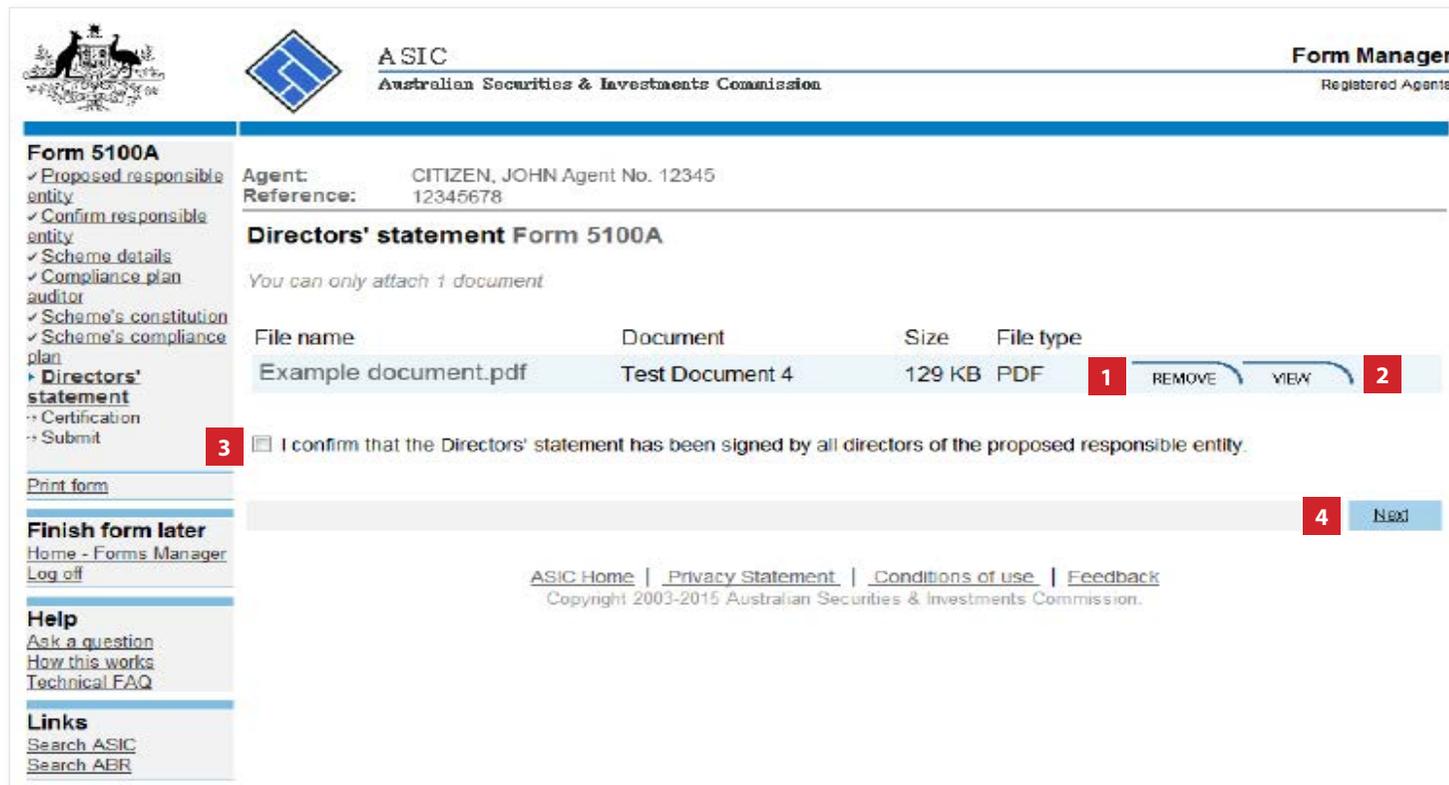
The screenshot shows the ASIC Form Manager interface for Form 5100A. The page title is "Form 5100A" and the agent information is "Agent: CITIZEN, JOHN Agent No. 12345" and "Reference: 12345678". The main heading is "Attach the Directors' statement Form 5100A". The instructions state: "Attach a copy of 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." Below the instructions, there is a note: "You can only attach documents in tif, pdf & rtf format." and "If you require further instructions, please refer to the Technical FAQ." and "Note: The maximum size of each attachment to this page is 3.0 MB(s)". The form has two input fields: "Description of Document" and "Pathname". A "Browse..." button is located next to the "Pathname" field. A "Finish form later" link is located below the "Description of Document" field. A "Next" button is located at the bottom right of the form area. Red boxes with numbers 1, 2, and 3 highlight the "Browse..." button, the "Finish form later" link, and the "Next" button respectively.

The screens and data pictured in this guide are examples only. Actual screens can have minor differences in text and layout.

Review the attachment

Review the Director's statement attachment. From here you can:

1. **Remove** an attachment, or
2. **View** an attachment.
3. Select the box to confirm the Director's statement has been signed by all directors of the proposed responsible entity.
4. When you are satisfied the attachments list is correct and complete, select **Next** to continue.






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Form Manager
 Registered Agents

Form 5100A

- ✓ Proposed responsible entity
- ✓ Confirm responsible entity
- ✓ Scheme details
- ✓ Compliance plan auditor
- ✓ Scheme's constitution
- ✓ Scheme's compliance plan
- ▶ **Directors' statement**
- Certification
- Submit

[Print form](#)

Finish form later

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Agent: CITIZEN, JOHN Agent No. 12345
 Reference: 12345678

Directors' statement Form 5100A

You can only attach 1 document.

File name	Document	Size	File type	
Example document.pdf	Test Document 4	129 KB	PDF	1 REMOVE 2 VIEW

I confirm that the Directors' statement has been signed by all directors of the proposed responsible entity.

4 Next

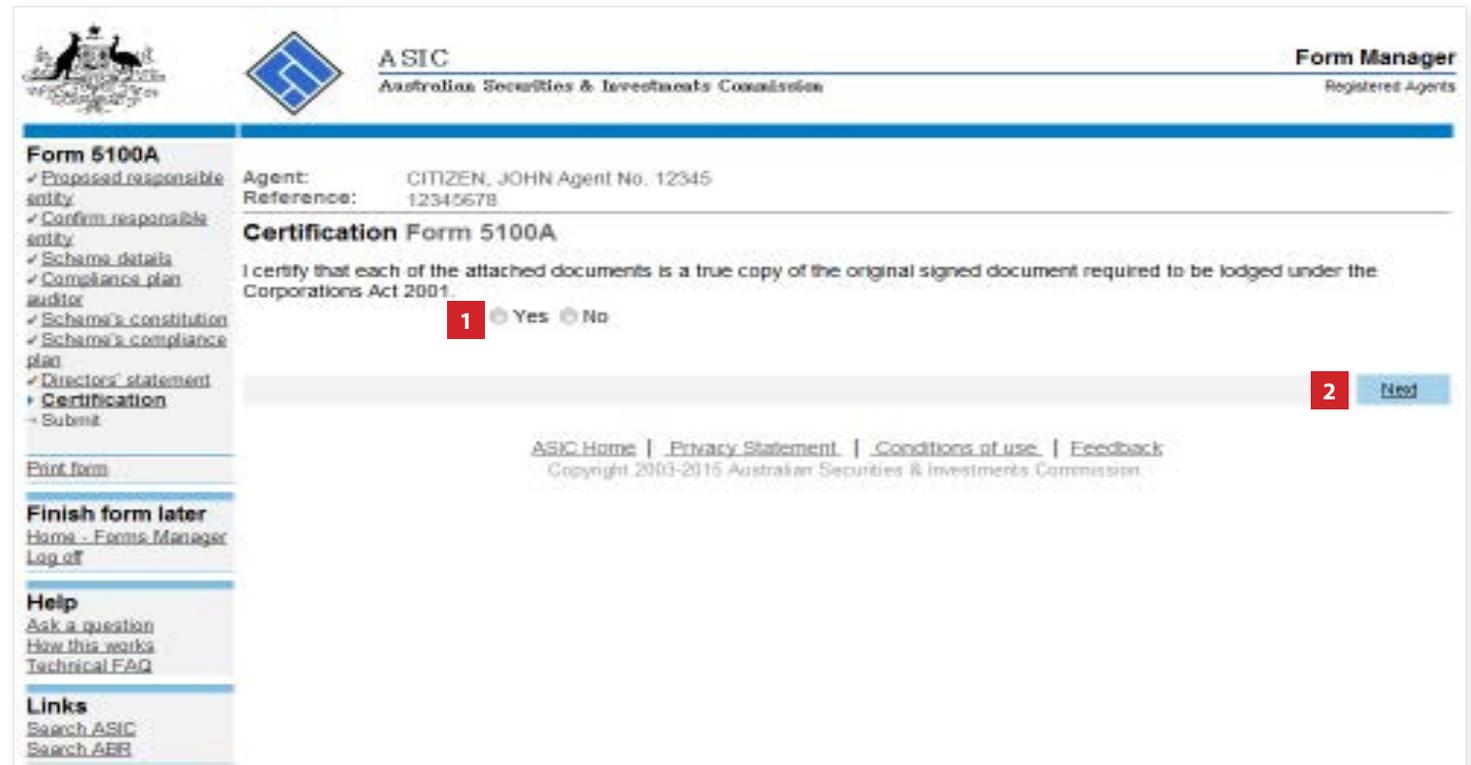
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Certify attachments

1. Select **Yes** to certify that each of the attached documents is a true copy of the original document.
2. Select **Next** to continue.



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Form Manager
Registered Agents

Form 5100A
✓ Proposed responsible entity
✓ Confirm responsible entity
✓ Scheme details
✓ Compliance plan auditor
✓ Scheme's constitution
✓ Scheme's compliance plan
✓ Directors' statement
+ **Certification**
- Submit

Agent: CITIZEN, JOHN Agent No. 12345
Reference: 12345678

Certification Form 5100A

I certify that each of the attached documents is a true copy of the original signed document required to be lodged under the Corporations Act 2001.

1 Yes No

2 [Next](#)

[Print form](#)

Finish form later
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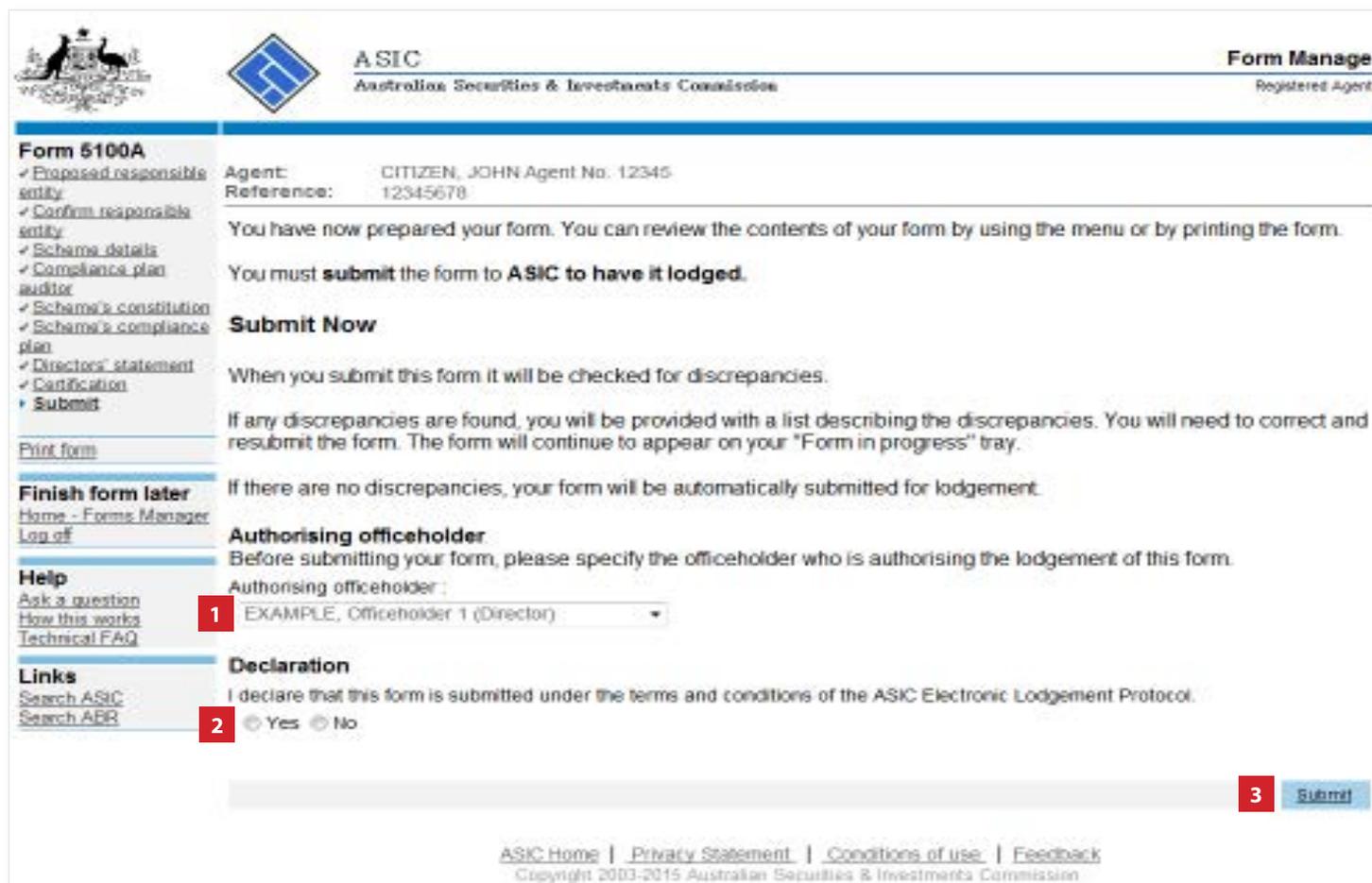
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Make the declaration

1. Select the company's **authorising officeholder** from the drop-down list.
2. Select **Yes** to complete the declaration when you are satisfied the document is being lodged within the terms and conditions of ASIC's Electronic Lodgement Protocol.
3. Select **Submit** to lodge the form with ASIC.



Form 5100A

- ✓ Proposed responsible entity
- ✓ Confirm responsible entity
- ✓ Schema details
- ✓ Compliance plan auditor
- ✓ Scheme's constitution
- ✓ Scheme's compliance plan
- ✓ Director's statement
- ✓ Certification
- **Submit**

Agent: CITIZEN, JOHN Agent No. 12345
Reference: 12345678

You have now prepared your form. You can review the contents of your form by using the menu or by printing the form.

You must **submit** the form to **ASIC** to have it lodged.

Submit Now

When you submit this form it will be checked for discrepancies.

If any discrepancies are found, you will be provided with a list describing the discrepancies. You will need to correct and resubmit the form. The form will continue to appear on your "Form in progress" tray.

If there are no discrepancies, your form will be automatically submitted for lodgement.

Authorising officeholder

Before submitting your form, please specify the officeholder who is authorising the lodgement of this form.

Authorising officeholder:

1 EXAMPLE, Officeholder 1 (Director)

Declaration

I declare that this form is submitted under the terms and conditions of the ASIC Electronic Lodgement Protocol.

2 Yes No

3 [Submit](#)

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The screens and data pictured in this guide are examples only. Actual screens can have minor differences in text and layout.

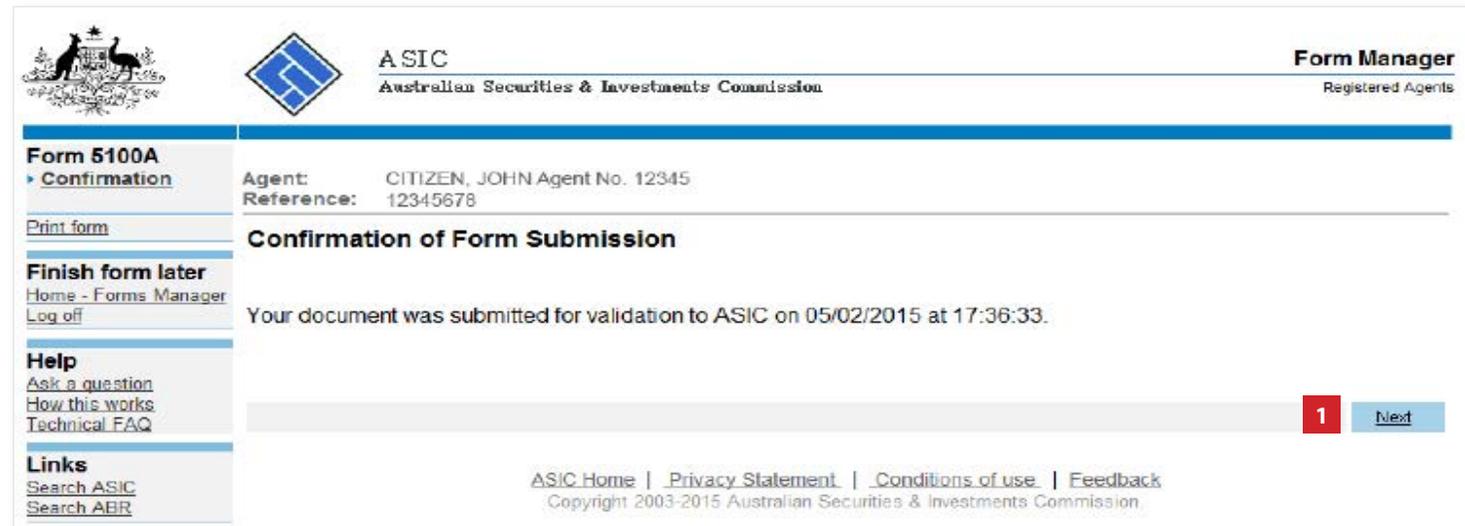
Confirmation of form submission

This screen confirms your document was submitted to ASIC.

1. Select **Next** to continue.

Note:

Occasionally, the system may present an additional form submission screen at this point. If this is the case, continue to select **Next** to finalise this transaction.



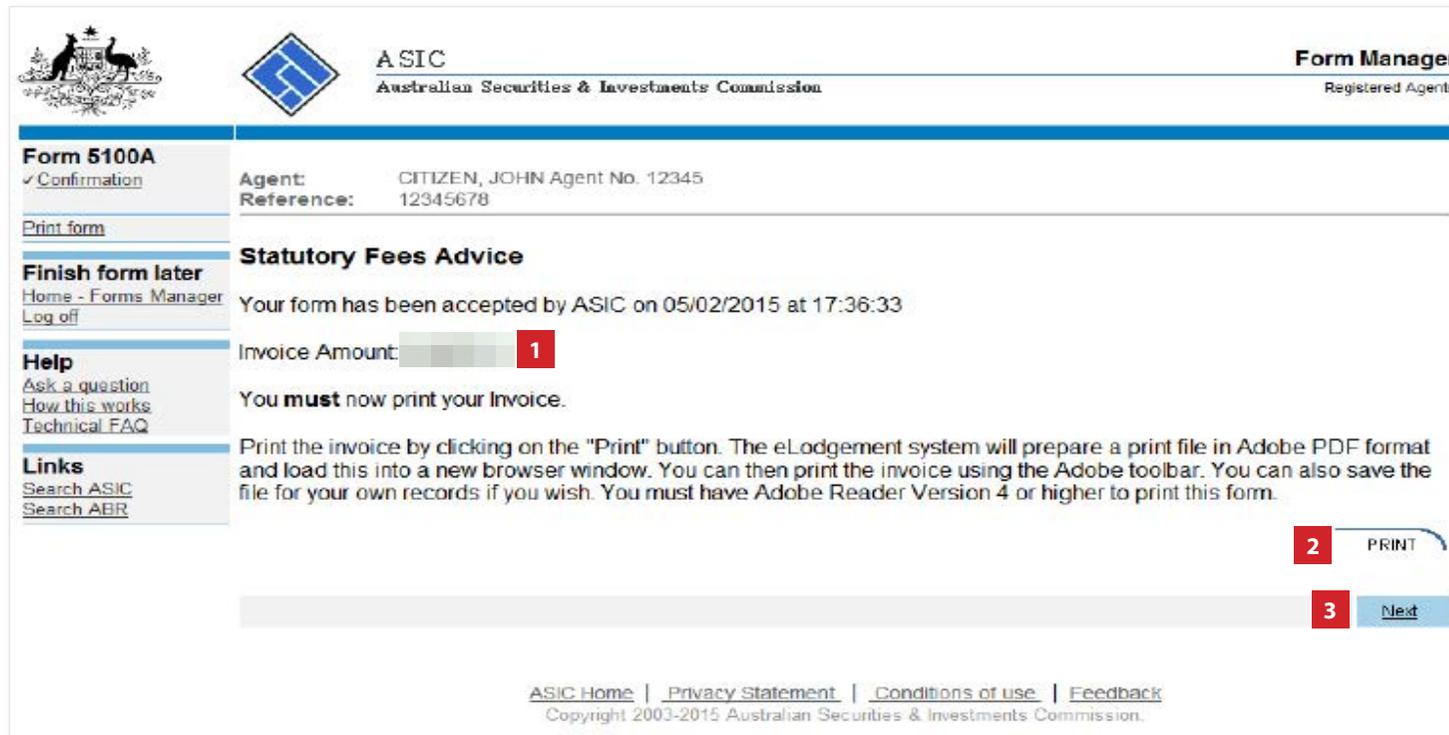
The screenshot shows the ASIC Form Manager interface. At the top left is the Australian Coat of Arms, followed by the ASIC logo and the text 'ASIC Australian Securities & Investments Commission'. On the top right, it says 'Form Manager Registered Agents'. A left-hand navigation menu contains sections for 'Form 5100A' (with a sub-link for 'Confirmation'), 'Print form', 'Finish form later' (with sub-links for 'Home - Forms Manager' and 'Log off'), 'Help' (with sub-links for 'Ask a question', 'How this works', and 'Technical FAQ'), and 'Links' (with sub-links for 'Search ASIC' and 'Search ABR'). The main content area displays 'Agent: CITIZEN, JOHN Agent No. 12345' and 'Reference: 12345678'. Below this is the heading 'Confirmation of Form Submission' and the message 'Your document was submitted for validation to ASIC on 05/02/2015 at 17:36:33.'. At the bottom right of the main area, there is a red square with the number '1' and a 'Next' button. The footer contains links for 'ASIC Home', 'Privacy Statement', 'Conditions of use', and 'Feedback', along with the copyright notice 'Copyright 2003-2015 Australian Securities & Investments Commission'.

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[How to submit an application for registration of a managed investment scheme](#)

Fees advice

1. The **invoice amount** is displayed.
2. Select **Print** to print your invoice. Details on how payments to ASIC can be made are on the invoice.
3. Select **Next** to continue and finalise the transaction.



  **ASIC**
Australian Securities & Investments Commission

Form Manager
Registered Agents

Form 5100A
 [Confirmation](#)

[Print form](#)

Finish form later
[Home - Forms Manager](#)
[Log off](#)

Help
[Ask a question](#)
[How this works](#)
[Technical FAQ](#)

Links
[Search ASIC](#)
[Search ABR](#)

Agent: CITIZEN, JOHN Agent No. 12345
Reference: 12345678

Statutory Fees Advice

Your form has been accepted by ASIC on 05/02/2015 at 17:36:33

Invoice Amount: **1**

You **must** now print your Invoice.

Print the invoice by clicking on the "Print" button. The eLodgement system will prepare a print file in Adobe PDF format and load this into a new browser window. You can then print the invoice using the Adobe toolbar. You can also save the file for your own records if you wish. You must have Adobe Reader Version 4 or higher to print this form.

2 [PRINT](#)

3 [Next](#)

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