



# Notification of change of responsible entity of a registered scheme

If there is insufficient space in any section of the form, you may attach an annexure and submit as part of this lodgement

## Lodgement details

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

Name

ASIC registered agent number (if applicable)

Company/entity name

ACN/ABN/ARBN/ARSN

Telephone number

Postal address

Email address (optional)

## Scheme details

Name of registered scheme

ARSN

## Cessation of responsible entity

Tick relevant boxes

Notification by

Current responsible entity

New responsible entity

of

Resignation / retirement

Removal

Date of extraordinary resolution

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

The date of effect of change of responsible entity is the date the new responsible entity takes over the scheme.

Date of effect of change of responsible entity

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

## Continued... Cessation of responsible entity

Current responsible entity

Company name

ACN

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

Office, unit, level.

Street number and Street name

Suburb/City

State/Territory

Postcode

## Details of new responsible entity

Company name

ACN

AFS licence number

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

Office, unit, level.

Street number and Street name

Suburb/City

State/Territory

Postcode

## Signature

Name of person signing

Capacity

Signature

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  
Licensing  
GPO Box 9827  
Melbourne VIC 3001

### 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 change of responsible entity of a registered scheme

This guide does not form part of the form. It is included by ASIC to assist you in completing and lodging the Form 5107.

<b>Signature</b>	This form must be signed by a director or secretary of the responsible entity lodging the notification.
<b>Lodgement period</b>	2 business days from passing the resolution if lodged by the current responsible entity.
<b>Lodgement fee</b>	<p>A lodgement fee applies to this form.</p> <p>Late fees will apply if you notify a change outside of the lodgement period.</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 <i>Corporations Act 2001</i>. A receipt will not be issued unless requested.</p>
<b>Other forms to be completed</b>	If appointment of a temporary responsible entity has been made by the Court under section 601FP, then notification of that appointment is required to be lodged also (ASIC Form 5108).
<b>Documents to be lodged with this form</b>	<p>With the Form 5107 you will need to lodge copies of the following documents:</p> <ul style="list-style-type: none"><li>• Notice of meeting of the members of the scheme; and</li><li>• Minutes of the meeting, signed by the Chairperson, verifying that the resolution(s) to replace the incumbent responsible entity was/were passed.</li></ul>
<b>Additional information</b>	<p>601FL(1) If the responsible entity of a registered scheme wants to retire, it must call a members' meeting to explain its reason for wanting to retire and to enable the members to vote on an extraordinary resolution to choose a company to be the new responsible entity.</p> <p>601FL(3) If the members do not choose a company to be the new responsible entity, or the company they choose does not consent to becoming the scheme's responsible entity, the current responsible entity may apply to the Court for appointment of a temporary responsible entity under Section 601FP.</p> <p>This notice of resignation/retirement must not be lodged unless a consent in writing has been obtained, beforehand, from the company chosen to become the new responsible entity.</p> <p>601FM(1) If members of a registered scheme want to remove the responsible entity, they may take action under Division 1 of Part 2G.4 for the calling of a members' meeting to consider and vote on</p> <p>(a) an extraordinary resolution that the current responsible entity should be removed; and</p> <p>(b) an extraordinary resolution choosing a company to be the new responsible entity.</p> <p>This notice of removal must not be lodged unless a consent in writing has been obtained, beforehand, from the company chosen to become the new responsible entity.</p>

---

**How to provide additional information****Annexures**

If there is insufficient space in any section of the form, you may 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
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.

---

**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.

---

**Lodgement**

Send completed and signed forms to:  
Australian Securities and Investments Commission  
Licensing  
GPO Box 9827  
Melbourne VIC 3001

**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