



# Notification of appointment of scheme 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

## Scheme details

Registered scheme name

ARSN

Australian Passport Fund Registration Number (if applicable)

Responsible entity name

ACN/ABN

## Lodgement details

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

Name

ASIC registered agent number (if applicable)

Telephone number

Postal address

## Auditor details

Auditor registration number *(for individual auditor or authorised audit company)*

Family name

Given name

or

Company name

ACN/ABN

or

Firm name (if applicable)

**Continued... Auditor details**

Office, unit, level

Street number and Street name

Suburb/City

State/Territory

Postcode

Country (if not Australia)

Date of appointment

  /   /    
[D] [D] [M] [M] [Y] [Y]**Signature**

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

**The new auditor (whether person, firm or authorised audit company) has consented in writing to the appointment as required by subsections 328A(1)(a) & (b)**

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

Name

Signature

Capacity

 Director Company secretary

Date signed

  /   /    
[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.

**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 appointment of scheme auditor

This guide does not form part of the form. It is included by ASIC to assist you in completing and lodging the Form 5137.

<b>Signature</b>	This form must be signed by a director or secretary of the responsible entity.
<b>Lodgement period</b>	14 days
<b>Lodgement fees</b>	Nil
<b>Late fees</b>	<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 Corporations Act 2001. A receipt will not be issued unless requested.</p>
<b>Additional information</b>	<p><b>Initial Appointment</b> Under section 331AAA(1) the responsible entity of a registered scheme must appoint an auditor of the registered scheme within 1 month after the scheme is registered.</p> <p><b>Appointment to fill vacancy</b> Under section 331AAB(1), the responsible entity must, within 1 month after the vacancy occurs, appoint an auditor to fill the vacancy.</p> <p><b>Advice to ASIC</b> The responsible entity must then advise ASIC of the appointment by the entity of an auditor of the scheme within 14 days of the appointment.</p> <p>If the auditor is resigning or being removed from the scheme, ASIC consent is required to be obtained prior to the resignation/removal taking effect.</p> <p>An auditor can only be appointed if the qualifications under s324B of the Corporations Act 2001 are satisfied.</p> <p>Consent in writing must be obtained from the person, firm or authorised audit company being appointed as auditor as required by subsections 328A(1)A&amp;B of the Corporations Act 2001</p> <p>To assist your understanding of the requirements for changing the auditors of registered schemes and compliance plans, refer to Information Sheet 64 <i>Resignation and removal of auditors of registered scheme financial report or a compliance plan</i> at <a href="http://www.asic.gov.au/infosheets">www.asic.gov.au/infosheets</a>.</p>
<b>How to provide additional information</b>	<p><b>Photocopied Form 5137 pages</b> 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.</p> <p><b>Annexures</b> 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</p> <ol style="list-style-type: none"><li>1. use A4 size paper of white or light pastel colour with a margin of at least 10mm on all sides</li><li>2. show the scheme name, ARSN and APFRN (if applicable)</li><li>3. number the pages consecutively</li><li>4. print or type in BLOCK letters in dark blue or black ink so that the document is clearly legible when photocopied</li><li>5. mark the annexure with an identifying letter or symbol eg a,b,c or 1,2,3 etc.</li><li>6. endorse the annexure with the words: This annexure (mark) of (number) pages referred to in form (form number and title)</li><li>7. sign and date the annexure</li></ol> <p>The annexure must be signed by the same person(s) who signed the form.</p>
<b>Privacy</b>	The information provided to ASIC in this form may include personal information. Please refer to our privacy policy ( <a href="http://www.asic.gov.au/privacy">www.asic.gov.au/privacy</a> ) 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**

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