

# Sample – Apply for registration as an approved SMSF auditor

This document sets out the questions that we will ask in the approved self-managed superannuation fund (SMSF) auditor registration form, and the supporting information we may require. You should read it in conjunction with [Regulatory Guide 243](#) *Registration of self-managed superannuation fund auditors* (RG 243).

**Important information:**

- We have provided this document to help you prepare your application. It is not an actual transaction and we will not accept it if you complete it and send it to ASIC.
- You can authorise another person to complete and submit the online application on your behalf.
- The maximum file upload size for each attachment is 25 MB.

## About the applicant

### Applicant details

**Privacy Collection Notice**

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If you are providing personal details of another person, you are responsible for obtaining and recording their [consent](#) before you provide their personal and sensitive information below.

Given name	
Other given name(s)	
Family name	
Date of birth	
Place of birth (Country)	
Place of birth (State) Complete if born in Australia	
Place of birth (Suburb or town or city) Complete if born in Australia	

## Residential address

<p>Note: In s10(1) of the <i>Superannuation Industry (Supervision) Act 1993</i> (SIS Act) an Australian resident means a person who is a resident of Australia for the purposes of the <i>Income Tax Assessment Act 1936</i>.</p>	
Are you an Australian resident?	Yes / No
<p>You must be an Australian resident to apply for registration as an approved SMSF auditor. Refer s128A(1) of the SIS Act. If you are not an Australian resident, you may wish to re-apply in future if you gain status as an Australian resident.</p>	
Type in an Australian address	

## Current employment details

In what capacity are you currently employed?	Select one: Member (Partner) of Audit firm Employee of audit firm Individual auditor
Do you or does your firm practise under a business name?	Yes / No
Enter the business name	
<p>The business name must be entered as it appears in the ASIC Business Names Register. You can check the business name at <a href="https://connectonline.asic.gov.au/RegistrySearch/faces/landing/SearchRegisters.jspx?">https://connectonline.asic.gov.au/RegistrySearch/faces/landing/SearchRegisters.jspx?</a>.</p>	
Was the business name registered after 28 May 2012?	Yes / No
If the business was registered after 28 May 2012, enter the ABN of the business name	
If the business was registered on or before 28 May 2012, select the state or territory of registration of the business name	Select one: ACT Northern Territory New South Wales Queensland South Australia Victoria Tasmania Western Australia
<p>The state or territory of registration must be entered as it appears in the ASIC Business Names Register. You can check the business name at <a href="https://connectonline.asic.gov.au/RegistrySearch/faces/landing/SearchRegisters.jspx?">https://connectonline.asic.gov.au/RegistrySearch/faces/landing/SearchRegisters.jspx?</a>.</p>	
If the business was registered after 28 May 2012, enter the state or territory registration number of your business name	
<p>The state or territory registration number must be entered as it appears in the ASIC Business Names Register. You can check the business name at <a href="https://connectonline.asic.gov.au/RegistrySearch/faces/landing/SearchRegisters.jspx?">https://connectonline.asic.gov.au/RegistrySearch/faces/landing/SearchRegisters.jspx?</a>.</p>	

Job title	
Start date	

### Capacity to practise

In what capacity do you intend to practise?	Select one: Member (Partner) of Audit firm Employee of audit firm Individual auditor
Do you or does your firm practise under a business name?	Yes / No
Enter the business name	
The business name must be entered as it appears in the ASIC Business Names Register. You can check the business name at <a href="https://connectonline.asic.gov.au/RegistrySearch/faces/landing/SearchRegisters.jspx?">https://connectonline.asic.gov.au/RegistrySearch/faces/landing/SearchRegisters.jspx?</a>	
Was the business name registered after 28 May 2012?	Yes / No
If the business was registered after 28 May 2012, enter the ABN of the business name	
If the business was registered on or before 28 May 2012, select the state or territory of registration of the business name	Select one: ACT Northern Territory New South Wales Queensland South Australia Victoria Tasmania Western Australia
The state or territory of registration must be entered as it appears in the ASIC Business Names Register. You can check the business name at <a href="https://connectonline.asic.gov.au/RegistrySearch/faces/landing/SearchRegisters.jspx?">https://connectonline.asic.gov.au/RegistrySearch/faces/landing/SearchRegisters.jspx?</a>	
If the business was registered after 28 May 2012, enter the state or territory registration number of your business name	
The state or territory registration number must be entered as it appears in the ASIC Business Names Register. You can check the business name at <a href="https://connectonline.asic.gov.au/RegistrySearch/faces/landing/SearchRegisters.jspx?">https://connectonline.asic.gov.au/RegistrySearch/faces/landing/SearchRegisters.jspx?</a>	

If you will practise as an individual auditor, are you practising or do you intend to practise as an SMSF auditor under any other name or style?	Yes / No
Practice name	

## Practice address

*SMSF3 - Tell us about your place(s) of practice*

Australian address	
Do you have other place(s) of practice?	Yes / No
If yes, type in an Australian address	

## Qualifications

### Prescribed accounting qualifications

Do you hold a degree, diploma or certificate in accounting of not less than three years from a prescribed university or institution?	Yes / No
<p>Refer to parts 1 and 2 of the table in reg 9.2.02 of the <a href="#">Corporations Regulations 2001</a> for a list of the prescribed universities and institutions.</p> <p>Refer also to reg 9A.01 of the <a href="#">Superannuation Industry (Supervision) Regulations 1994 (SIS Regulations)</a>.</p>	

*Provide a summary of these prescribed qualifications*

University or institution name	
Prescribed academic qualification name	
Date qualification attained	
Attach a certified academic record from the institution that issued the qualification, which identifies the subjects you completed for that qualification and explains your results.	
Does the statement of academic record show details of the qualification attained?	Yes / No
If the statement of academic record does not show details of the qualification attained, attach a copy of your degree, diploma or certificate.	

### Prescribed auditing course

Did you complete a course in audit as part of the accounting degree, diploma or certificate for which you have already provided details?	Yes / No
If you did not complete a course in audit as part of the accounting degree, diploma or certificate, have you completed a relevant course in audit prescribed in reg 9A.02 of the SIS Regulations?	Yes / No

Link to the [SIS Regulations](#).

*Auditing course*

If you did complete a relevant course in audit prescribed in reg 9A.02 of the SIS Regulations, complete the following about the audit course that you completed.

Auditing course provider	
Auditing course name	
Date course completed	
Attach a copy of a certificate or statement of academic record indicating that you have satisfactorily completed a relevant course in audit as prescribed by reg 9A.02 of the SIS Regulations.	

If you did not complete a course in audit as part of the accounting degree, diploma or certificate or a relevant course in audit prescribed in reg 9A.02 of the SIS Regulations, have you completed the self-managed superannuation fund specialist auditor program conducted by the SMSF Association Limited (formerly known as the SMSF Professionals' Association of Australia Limited)?	Yes / No
Attach a copy of a certificate or statement of academic record indicating that you have satisfactorily completed the program.	

**Equivalent qualifications**

If you do not hold prescribed qualifications, do you have any other qualifications that ASIC may consider equivalent to the qualifications set out in regs 9A.01(2), (3) or (4) of the SIS Regulations?	
If yes, attach a submission regarding your qualifications that sets out why ASIC should consider your application under s128B(2) of the SIS Act.	

*If you hold equivalent qualifications, provide a summary of these qualifications*

University or institution name	
Equivalent qualification name	
Date qualification attained	

Attach a copy of your degree, diploma or certificate from the institution that issued the qualification and a copy of your statement of academic record certified by the institution that issued the qualification, which identifies the subjects you completed for that qualification and explains your results.	
What are the reasons we should treat those qualifications as equivalent to the qualifications set out in regs 9A.01(2), (3) or (4) of the SIS Regulations?	

### Overseas qualifications

Are you are relying on an overseas qualification being equivalent to an Australian qualification of 3 years or more?	Yes / No
If yes, attach certification from one of the professional Australian accounting bodies about the comparability between your qualification and an Australian undergraduate degree.	
Are you relying on an overseas course in audit being equivalent to an Australian course in audit?	
If yes, attach an assessment letter from one of the professional Australian accounting bodies that conducts such courses in Australia, confirming the comparability of your course and the course conducted by the Australian body.	

### Competency exam

Have you passed an ASIC SMSF auditor competency exam in the past 12 months?	Yes / No
How many times have you failed the ASIC SMSF auditor competency exam in the past 12 months?	
If you have failed the exam more than once, attach a submission that sets out why ASIC should consider your application under s128B(2) of the SIS Act.	
Attach a copy of your examination results.	

### Experience

#### SMSF auditing experience

You must attach a statement about your practical experience and professional development, as well as your

<p>completed audit hours log book.</p> <p>See the templates for these documents, available from <a href="#">ASIC's website</a> under the 'Related information' section.</p>	
Attach your audit hours log book	
Attach your statement about practical experience and professional development	

### Practical experience

<p>Have you provided ASIC with information in the attachments to show that you have completed at least 300 hours of work auditing SMSFs under the direction of an approved SMSF auditor during the three years immediately before the date of your application?</p>	<p>Yes / No</p>
<p>We may refuse to register an applicant who has completed less than 300 hours of work auditing one or more self-managed superannuation funds under the direction of an approved SMSF auditor in the last three years, unless we are satisfied that the applicant has practical experience that we regard as equivalent.</p>	
<p>If no, attach details of your practical experience which, in your opinion, is equivalent to the prescribed practical experience in reg 9A.03(b) of the SIS Regulations</p>	
<p>Link to the <a href="#">SIS Regulations</a>.</p>	

### Supervisor details

<p><b>Privacy Collection Notice</b></p> <p>The Privacy Collection Notice, given under APP 5 of the <i>Privacy Act 1988</i> applies to the provision of personal and sensitive information below.</p> <p>If you are providing personal details of another person, you are responsible for obtaining and recording their <a href="#">consent</a> before you provide their personal and sensitive information below.</p> <p>You must attach a statement from each of the supervisors listed in your audit hours log book and provide details of those supervisors below.</p>
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#### Supervisors

Complete this information for each of your supervisors.

Supervisor's SMSF auditor number	
Given name	
Other given name(s)	

Family name	
Provide either a business or mobile phone number	
Business phone number	
Mobile phone number	
Email address	
Attach a statement about your SMSF audit work and experience from this supervisor	

## Insurance

Refer to Regulatory Guide 243 <i>Registration of self-managed superannuation fund auditors</i> ( <a href="#">RG 243</a> ) for details of adequate and appropriate professional indemnity insurance.	
Is your insurer regulated by the Australian Prudential Regulation Authority (APRA)?	Yes / No
Are you covered under a limitation of liability scheme approved under professional standards legislation?	Yes / No
Under which limitation of liability scheme are you covered?	Select one: <ul style="list-style-type: none"> <li>• CPA Australia Ltd</li> <li>• Chartered Accountants Australia and New Zealand (CAANZ)</li> <li>• Institute of Public Accountants</li> <li>• Other</li> </ul>
If other, enter details of the scheme	

If you are not covered under a limitation of liability scheme, complete the following table:

Policy number	
Insurer name	
Policy holder	
Start date	
Expiry date	
Excess	
Does the policy cover claims made in respect of SIS Act audits (may also cover claims for auditors other than audits under the SIS Act)?	Yes / No



Does the policy provide cover in aggregate or for a single claim of at least \$500,000?	Yes / No
Does the policy cover costs and expenses, including legal costs and expenses of investigating, defending and settling claims?	Yes / No
Does the policy cover fraud and dishonesty of directors/partner, employee and contractors of the insured (fraud cover is not required for sole practitioners)?	Yes / No
Is the policy cancellable by the insurer solely because of innocent non-disclosure or misrepresentation?	Yes / No
Does the policy provide for at least one automatic reinstatement?	Yes / No
Is the policy made on ordinary commercial terms offered by insurers for insurance of the type at the time the insurance contract was entered into?	Yes / No
Does the policy indemnify against civil liability that may arise from an act, error or omission in connection with audits of self managed superannuation funds?	Yes / No
Are only standard or usual exclusions for this policy type contained in the policy?	Yes / No
Is the excess on the policy set at a level at which the applicant has sufficient resources to cover the excess as an uninsured loss?	Yes / No

All applicants answer the following questions about professional indemnity insurance:

Have you ever been refused professional indemnity insurance?	Yes / No
If yes, provide details of the circumstances of the refusal	
Have you ever made any claim/s against a professional indemnity insurance policy?	Yes / No
If yes, provide details of the circumstances of the claim/s	
Attach a copy of the certificate of currency for your professional indemnity insurance policy.	

If you are covered under the CPA Australia Ltd limitation of liability scheme, Provide the following detail about the accounting practice under which you will practise, at 30 June immediately preceding the application:	
The number of principals	
Generated total income	
If you are covered under the Chartered Accountants Australia and New Zealand (CAANZ) limitation of liability scheme, Provide the following detail about the accounting practice under which you will practise, at 30 June immediately preceding the application:	
Provide an estimate of the largest audit engagement fee that you will charge.	

## Fit and proper person status

### *Criminal history and bankruptcy check*

<p>You must provide criminal history and bankruptcy checks for:</p> <ul style="list-style-type: none"> <li>- the past 10 years for all countries you have lived in for 12 months or more during that time; and</li> <li>- all names you have ever been known by.</li> </ul> <p>If you have been unable to obtain an overseas bankruptcy and/or criminal history check, attach a statutory declaration explaining the actions that you have taken to obtain the check(s) and stating your criminal history and bankruptcy history.</p> <p>You must provide translations for any documents that are not in English.</p>	
Attach your criminal history check for Australia – not more than 12 months old.	
Attach your bankruptcy check for Australia – not more than 12 months old.	
Have you lived overseas for more than 12 months in the past 10 years?	Yes / No

If you have lived overseas for more than 12 months in the past 10 years provide overseas criminal history and bankruptcy checks.

Country of overseas residence	
Attach your overseas criminal history check for this country - not more than 12 months old	
Attach your overseas bankruptcy check for this country - not more than 12 months old	

## Fit and proper questions

<p>Answer all the fit and proper questions covering your activities and background within Australia and/or overseas. Read and answer these questions carefully.</p>
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Have you ever been known by a name other than the name or names shown in this application?	Yes / No
Provide full and complete details of all your other names	
Attach evidence of your change of name	
Have you ever made a prior application for registration as an auditor, self-managed superannuation fund (SMSF) auditor or liquidator, bankruptcy trustee, or for an Australian financial services licence or Australian credit licence (or for equivalent registration or licensing under another jurisdiction) that has been refused or rejected, or is there any application pending?	Yes / No
Provide full and complete details	
Have you been the controller, director, partner, trustee, responsible manager or responsible officer of an applicant that has ever made a prior application for an Australian financial services licence or Australian credit licence (or for equivalent registration or licensing under another jurisdiction) that has been refused or rejected, or is there any application pending?	Yes/ No
Provide full and complete details including relevant legislation, reasons for decision and outcomes	
Have you been convicted of, pleaded guilty to, or do you have legal proceedings or charges pending for any criminal offences, any acts of dishonesty (such as theft or fraud), any breach of trust or fiduciary duty, any professional misconduct or other misconduct?	Yes / No
Provide full and complete details	
Are you or have you ever been a controller, director, partner, trustee, responsible manager, responsible officer or engaged in the management of a company/trust/scheme/partnership/business that, while you were in such a role or within 12 months of ceasing the role, it has been, or an investigation or proceedings is pending that may result in it being: <ul style="list-style-type: none"> <li>i. declared insolvent or the equivalent of insolvent under the law of a territory or country other than Australia</li> <li>ii. placed into external administration</li> <li>iii. subject to a scheme of arrangement it entered into with its creditors</li> <li>iv. subject to a licence or registration cancellation or suspension, including but</li> </ul>	Yes / No

<p>not limited to under the <i>Corporations Act 2001</i>, the <i>National Consumer Credit Protection Act 2009</i>, or <i>Superannuation Industry (Supervision) Act 1993</i> (SIS Act) (or any previous corresponding laws)</p> <p>v. the subject of any other disciplinary actions taken by a regulator, Tribunal or court?</p>	
Provide full and complete details	
Have you ever been subject to action or is a decision or action pending against you that resulted in or may result in you being declared bankrupt or insolvent under administration?	Yes / No
<p>You must disclose if you have ever:</p> <ul style="list-style-type: none"> <li>i. filed for bankruptcy or had a bankruptcy notice or creditor's petition served on you, or experienced any credit administration* related process in a foreign jurisdiction.</li> <li>ii. entered into a personal insolvency agreement or executed an authority under Part X of the <i>Bankruptcy Act 1966</i> or equivalent process in another jurisdiction.</li> <li>iii. been declared bankrupt or insolvent under administration, or equivalent process in another jurisdiction.</li> </ul> <p>* Any voluntary debtor action taken to declare or deem that person to be bankrupt or any action taken by creditors to declare or deem the applicant bankrupt either directly or indirectly by way of petition or court action.</p>	
Provide full and complete details	
Have you ever been the subject of, or been a controller, director, partner, trustee, responsible manager, responsible officer of an entity that has been the subject of, administrative, civil or enforcement action, which was determined adversely (including consenting to an order or direction, or giving an undertaking not to engage in unlawful or improper conduct) in any country?	Yes / No
Provide full and complete details	
Are you currently the subject of administrative, civil or enforcement action (including consenting to an order or direction, or giving an undertaking not to engage in unlawful or improper conduct) in any country?	Yes / No
Provide full and complete details	
Have you ever been, or is there a decision (of any type or description) pending about you being excluded, removed, suspended, cancelled, disqualified or disciplined?	Yes / No
<p>You must disclose if you or an entity that you are or were involved in have ever been, or if there is a decision pending about you or that entity being:</p>	

<ul style="list-style-type: none"> <li>i. excluded from professional practice</li> <li>ii. removed or suspended from membership</li> <li>iii. disqualified, suspended, cancelled or refused any application for or renewal of any licence or registration</li> <li>iv. disqualified from being a trustee, including but not limited to under the SIS Act</li> <li>v. otherwise disciplined or sanctioned in any way, including but not limited to dismissal or being asked to resign from employment or office, or from a position of trust, or from a fiduciary appointment or similar position; reprimanded, penalised, referred to another body for disciplinary action, or having further conditions being imposed on a licence or registration by an employer, a government agency, a regulatory body, a professional association or an external dispute resolution scheme, in Australia or elsewhere, including but not limited to: <ul style="list-style-type: none"> <li>- a professional accounting body, insolvency or audit body,</li> <li>- a professional SMSF, taxation, or financial advisors/planners association,</li> <li>- the Australian Securities and Investments Commission (ASIC)</li> <li>- the Australian Prudential Regulation Authority (APRA)</li> <li>- the Australian Taxation Office (ATO)</li> <li>- the Companies Auditors Disciplinary Board (CADB), or the former Companies Auditors and Liquidators Disciplinary Board (CALDB)</li> <li>- the Tax Practitioners Board (TPB)</li> <li>- the Administrative Appeals Tribunal (AAT)</li> <li>- the Financial Adviser Standards and Ethics Authority Limited (FASEA)</li> <li>- the Australian Transaction Reports and Analysis Centre (AUSTRAC)</li> <li>- the Financial Ombudsman Service (FOS)</li> <li>- the Credit Industry Ombudsman (CIO)</li> <li>- the Superannuation Complaints Tribunal (SCT)</li> <li>- the Australian Financial Complaints Authority (AFCA).</li> </ul> </li> </ul>	
<p>Provide full and complete details</p>	
<p>* Have you ever been or are you currently disqualified, suspended or banned under a provision of an Act or legislative instrument under Commonwealth, including but not limited to:</p> <ul style="list-style-type: none"> <li>i. being disqualified from managing corporations under Part 2D.6 of the <i>Corporations Act 2001</i>, or under a law of an external Territory or a law of a foreign country</li> <li>ii. being banned or disqualified from providing financial services under Division 8 Part 7.6 of the <i>Corporations Act 2001</i></li> <li>iii. being banned or disqualified from engaging in credit activities under Divisions 2 or 3 of Part 2-4 of the <i>National Consumer Credit Protection Act 2009</i></li> <li>iv. cancellation of registration as a liquidator under the <i>Corporations Act 2001</i>, other than in response to a written request by you to have the registration cancelled</li> <li>v. cancellation of registration as a trustee under the <i>Bankruptcy Act 1966</i>, other than in response to a written request by you to</li> </ul>	<p>Yes / No</p>

<p>have the registration cancelled</p> <p>vi. a disqualification order or a suspension order is in force under section 130F of the SIS Act:</p> <p>a) a person for whom a disqualification order or a suspension order is in force under section 130F; or</p> <p>b) a person who is disqualified from being or acting as an auditor of all superannuation entities under section 130D?</p>	
Provide full and complete details	
Have you ever had an authorisation as a financial adviser, or authorised representative modified, restricted or revoked by a licensee?	Yes / No
Provide full and complete details	
Have you ever had an authorisation as a credit representative modified, restricted or revoked by a licensee?	Yes / No
Provide full and complete details	
Are you aware of any investigation *(i.e. where a formal request has been made by the body about a potential breach of a law, including by way of the service of a notice to produce documents, or otherwise respond to a statutory or court process (e.g. subpoena)) about you or an entity for which you were a controller, director, partner, trustee, senior manager or responsible manager at the relevant time?	Yes / No
* An inquiry or examination to ascertain facts whether by ASIC, the Police, any government body, any non-government regulatory body (e.g. Financial Services Ombudsman, professional association).	
Provide full and complete details	
Have you had any finding made against you by a regulator or court or Administrative Tribunal that you have been obstructive, misleading or untruthful in dealing with regulatory bodies, a court, Tribunal or panel?	Yes / No
Provide full and complete details	
Are you or have you ever been the subject of, or is action pending against you that may result in you being a disqualified person within the meaning of section 120 of the SIS Act?	Yes / No
Provide full and complete details	

Is there any other conduct that you or any entity that you are or were involved in that a reasonable person would regard as relevant to ASIC's assessment of your fitness and propriety?	Yes / No
Provide full and complete details	

## Professional body membership

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### *Professional body membership*

Are you currently a member of a relevant professional body?	
Which professional body are you currently a member of?	
Membership number	
Date membership commenced	
Attach your current membership certificate	

Have you been a member of another relevant professional body in the past five years?	Yes / No
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If you been a member of another relevant professional body in the past five years, complete the following table:

Professional body details	
Membership number	
Date membership commenced	
Date membership ceased	

Do you hold a current practising certificate from any of the above professional bodies?	Yes / No
If yes, attach your current practising certificate	

## Contact details

### Ongoing contact details

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Given name	
Other given name(s)	
Family name	
Provide either a business or mobile phone number	
Business phone number	
Mobile phone number	
Email address	
<p>If ASIC approves your registration, we will use the details provided above as the ongoing contact details. We will send all correspondence and invoices to the email address specified.</p> <p>If ASIC registers you as an approved SMSF auditor, we require you to inform us about certain events within 21 days after their occurrence, including:</p> <ol style="list-style-type: none"> <li>1. you cease to practise as an approved SMSF auditor</li> <li>2. you are no longer an Australian resident</li> <li>3. there are changes to any of the details about you on the Register of Approved SMSF Auditors</li> <li>4. your contact details have changed.</li> </ol> <p><b>Note:</b> While some contact details appear on the public Register of Approved SMSF Auditors, it does not display phone numbers (business and private), email and residential address. Refer RG 243.96 Our primary method to contact you will be via email. We may serve notice of decisions we make about you to your email address.</p>	

### Contact for this transaction

<p><b>Privacy Collection Notice</b></p> <p>The Privacy Collection Notice given under APP 5 of the <i>Privacy Act 1988</i> applies to your provision of personal and sensitive information below.</p>
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Note: If you are providing personal details of another person, you are responsible for obtaining and recording their [consent](#) before you provide their personal and sensitive information below.

Who should ASIC contact if there is a query about this application?	Select one: Applicant Another person
Given name	
Other given name(s)	
Family name	
Provide either a business or mobile phone number	
Business phone number	
Mobile phone number	
Email address	
Company or business name	
Role	
Enter the contact person's address	

## Declaration

In what capacity are you submitting this document to ASIC:	In what capacity are you submitting this document to ASIC:  <i>Select one.</i> On my own behalf as the Regulated Entity myself On behalf of the Regulated Entity named in this document as a director of that entity On behalf of the Regulated Entity named in this document as a secretary of that entity On behalf of the Regulated Entity named in this document as an agent of that entity or person otherwise authorised by that entity
For the purpose of these declarations, please provide your name and address:	
Given name:	
Family name:	
Address	

**Declarant and authority**

<p>I am logged into the Portal with my personal log in details. I submit this document and make the following declarations.</p>	<p>This declaration is presented if you are submitting 'on my own behalf as the Regulated Entity myself'.</p>
<p>I am logged into the Portal with my personal log in details. I am authorised by the Regulated Entity to submit this document and any attachments and am authorised to make the following declarations</p>	<p>This declaration is presented if you are submitting 'on behalf of the Regulated Entity named in this document as a director of that entity', or 'on behalf of the Regulated Entity named in this document as a secretary of that entity', or 'on behalf of the Regulated Entity named in this document as an agent of that entity or person otherwise authorised by that entity'.</p>

You must make the following declarations:

<p><b>Confidential and personal information</b></p>	
<p>The information provided to ASIC in this document may include confidential, personal or sensitive information. The <a href="#">Privacy Collection Notice for the ASIC Regulatory Portal</a> describes how we will use and disclose the information collected through the Regulatory Portal. The <a href="#">Privacy Policy</a> contains information about how ASIC handles personal information generally and sets out how you can request access or correction to your personal information and how to make a complaint if you think your privacy has been breached.</p>	
<p>I have read and understood ASIC's Privacy Collection Notice for the Regulatory Portal and Privacy Policy.</p>	
<p>I have read and understood ASIC's Privacy Collection Notice for the Regulatory Portal and Privacy Policy and I have obtained confirmation from the Regulated Entity that it, or an officeholder or partner of the Regulated Entity (or of its trustee), has read and understood ASIC's Privacy Collection Notice for the Regulatory Portal and Privacy Policy.</p>	
<p>(a) I consent to ASIC collecting, using and disclosing my confidential, personal or sensitive information for the purposes set out in the Privacy Collection Notice for the ASIC Regulatory Portal (including information contained in this document and any attachments, on the Portal to any person authorised to view it); (b) I declare that, if this document and any attachments contain another individual's confidential, personal or sensitive information, I have obtained their written consent to submit that information to ASIC on the same terms as in (a) above. If requested by ASIC, I can provide a copy of that consent.</p>	
<p>To enable ASIC to verify that the information contained in this document and any attachments is true and correct, I consent to: (a) disclosure of</p>	

<p>information contained in and attached to this document by ASIC to Federal, State or Territory police, relevant professional and industry bodies, other Commonwealth, State or Territory government departments or agencies, foreign law enforcement agencies or regulators, foreign industry bodies, or any other person or body named in this document or its attachments; (b) disclosure of any relevant information by the bodies or persons referred to in paragraph (a) to ASIC.</p>	
<p>If this document and any attachments contains information about other individual(s), I declare I have obtained the written consent of the individual(s) to submit their confidential, personal or sensitive information contained in this document or any attachments to ASIC. The individual(s) has given their consent to the collection, use and disclosure of their information in the same terms as in (a) and (b) immediately above. If requested by ASIC, I can provide a copy of that consent.</p>	
<p><b>Note:</b> For both of these consents, you may use this template <a href="#">consent</a> if you wish.</p>	

<p><b>True and correct</b></p>	
<p>If submitting 'on my own behalf as the Regulated Entity myself' or 'on behalf of the Regulated Entity named in this document as a director of that entity' you must make the following declarations:</p>	
<p>I understand that giving false or misleading information or documents to ASIC is a serious offence.</p>	
<p>I understand that failure to give information, which renders the information or documents given to ASIC false or misleading, is also a serious offence.</p>	
<p>I understand that giving false or misleading information or documents to ASIC and could lead to a criminal prosecution of myself personally.</p>	
<p>I understand that a false declaration in an application for registration as an approved SMSF auditor could result in disqualification as an approved SMSF auditor or the suspension of the applicant's registration as an SMSF auditor.</p>	
<p>To the best of my knowledge, the information contained in this document, including any attachments, is complete, true and correct, and I have taken reasonable steps and made reasonable inquiries to confirm this.</p>	
<p>If submitting 'on behalf of the Regulated Entity named in this document as a secretary of that entity', or 'on behalf of the Regulated Entity named in this document as an agent of that entity or person otherwise</p>	

authorised by that entity', you must make the following declarations:	
I understand that, and I have obtained confirmation from the Regulated Entity that it, or an officeholder or partner of the Regulated Entity (or of its trustee) understands that:	
giving false or misleading information or documents to ASIC is a serious offence	
failure to give information, which renders the information or documents given to ASIC false or misleading, is also a serious offence	
giving false or misleading information or documents to ASIC and could lead to a criminal prosecution of myself personally and the Regulated Entity on whose behalf I am acting	
a false declaration in an application for registration as an approved SMSF auditor could result in disqualification as an approved SMSF auditor or the suspension of the applicant's registration as an SMSF auditor.	
To the best of my knowledge, the information contained in this document, including any attachments, is complete, true and correct, and I have taken reasonable steps and made reasonable inquiries to confirm this including obtaining confirmation from the Regulated Entity that to the best of their knowledge, or the knowledge of an officeholder or partner of the Regulated Entity (or of its trustee), the information contained in this document, including any attachments, is complete, true and correct, and they have taken reasonable steps and made reasonable inquiries to confirm this.	