



INFORMATION SHEET 30

Fees for commonly lodged documents

This information sheet summarises the statutory fees payable for the most commonly lodged documents. It also advises the lodgement periods, if applicable. Fees are also shown on the guide that accompanies printed forms.

Fees are determined by:

- the Corporations (Fees) Regulations 2001;
- the Corporations (Review Fees) Regulations 2003;
- the National Consumer Credit Protection (Fees) Regulations 2010;
- the Business Names Registration (Fees) Regulations 2011; and
- the Superannuation Auditor Registration Imposition Regulation 2012.

These fees are not subject to GST.

Some forms can be lodged electronically—see www.asic.gov.au/forms for details.

Important notice

Please note that this is a summary giving you the basic information you need. It does not cover the whole of the relevant law and is not a substitute for professional advice.

Please note also that because this information sheet avoids legal language wherever possible there may be some generalisations about the application of the law. Some provisions of the law referred to have exceptions or important qualifications. In most cases your particular circumstances need to be taken into account when determining how the law applies to you.

For further information contact **ASIC** on **1300 300 630**.

Information sheets provide concise guidance on a specific process or compliance issue or an overview of detailed guidance.

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Starting a company

Applications relating to foreign companies appear in a separate section.

Choosing a company name

Note: No late fees apply to these applications. Item numbers refer to Sch 2 of the Corporations (Fees) Regulations 2001.

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 2 Item Number |
|---|----------|------------------|-------|------------------------|
| Reserve a company name | 410 | \$49 | | Item 8 |
| Extend a reservation of a company name | 410 | \$49 | | Item 8 |
| Apply to Minister for consent to use a company name | - | \$1,217 | | Item 7 |
| Apply to change a company name to omit the word 'limited' | 432 | \$403 | | Item 9(a) |

Registering your company, registrable Australian body or scheme

Note: No late fees apply to these applications. Item numbers refer to Sch 1 and 2 of the Corporations (Fees) Regulations 2001.

| What do you want to register as? | Use form | From 4 July 2018 | Notes | Schedule 1 & 2 Item Number |
|---|----------|------------------|-------|----------------------------|
| An Australian (Pt 2A.1) company having share capital | 201 | \$488 | | Item 1(a)(i) |
| An Australian (Pt 2A.1) company not having share capital | 201 | \$403 | | Item 1(a)(ii) |
| An Australian company under Pt 5B.1 by a body corporate that is already registered as a foreign company under Pt 5B.2 Div 2 | 202 | \$403 | | Item 1(c)(i) |

| What do you want to register as? | Use form | From 4 July 2018 | Notes | Schedule 1 & 2 Item Number |
|--|----------|------------------|-------|----------------------------|
| An Australian company under Pt 5B.1 by a body corporate that is not registered under the Corporations Act 2001 | 202 | \$488 | | Item 1(c)(ii) |
| A registered Australian body by a body incorporated or registered under a law dealing with the incorporation of associations | 401 | \$403 | | Item 2(a)(i) |
| A registered Australian body by a body registered under another law of Australia | 401 | \$488 | | Item 2(a)(ii) |
| A managed investment scheme | 5100 | \$3,029 | | Item 18 |

Keeping the register up to date

Late lodgement fee

Documents notifying changes must be lodged within the time prescribed for notifying that change.

Note: Late lodgement fees are payable **in addition to** any prescribed fee. Item numbers refer to Sch 2 of the Corporations (Fees) Regulations 2001.

| How late is the document? | From 4 July 2018 | Notes | Schedule 2 Item Number |
|---|------------------|-------|------------------------|
| If document is received within 1 month after the prescribed time | \$79 | | Item 14(a) |
| If document is received more than 1 month after the prescribed time | \$329 | | Item 14(b) |

See '**Late fees for annual review**' (page 10) for information about late payment and late review fees.

Updating the register generally

Note: The form number appearing in *italics* refers to an internal ASIC reference number and not a prescribed form.

| What do you want to do? | Use form | From 4 July 2018 | |
|--|----------|---|--|
| Request correction of previously advised changes | 492 | No fee, except in circumstances where the correction highlights a fee that would have been charged if the original document had been lodged and processed correctly | |
| Notify supplementary information | 902 | No fee | |
| Verify or certify a document being lodged | 911 | No fee | |

Shares

Note: No fees apply for lodging these forms, however late fees will be charged if lodged outside the relevant time limit for notifying the change. See also 'Fundraising'.

| What do you want to note on the register? | Use form | From 4 July 2018 | Notes | |
|--|----------|------------------|---|--|
| Cancellation of shares | 484 | No fee | Late fee applies if <i>not</i> notified within 28 days after cancellation | |
| Issue of shares | 484 | No fee | However late fee applies if not notified within 28 days after issue | |
| If shares issued for non cash consideration and under written contract Form 207Z <i>Certification of compliance with stamp duty</i> must also be lodged | 207Z | No fee | | |
| A public company must also lodge a Form 208 <i>Notification of details of share issued other than for cash</i> . If shares are issued under written contract either the Form 208 or a copy of the written contract should be lodged. | 208 | No fee | | |
| Change to share structure | 484 | No fee | Late fee applies if not notified within 28 days after change | |
| Notify of members' resolution to alter rights of shares | 2205 | No fee | Late fee applies if not notified within 14 days after passing resolution | |
| Notify of members' resolution to convert shares into smaller or larger number | 2205 | No fee | Late fee applies if not notified within 1 month after passing resolution | |
| Notify of members' resolution to reduce share capital | 2205 | No fee | Late fee applies if not notified within 14 days after passing resolution | |

| What do you want to note on the register? | Use form | From 4 July 2018 | Notes | |
|---|----------|------------------|--|--|
| Notify of special resolution that unpaid share capital not be called on unless company goes under external administration | 2205 | No fee | Late fee applies if not notified within 14 days after passing resolution | |
| Notify a division or conversion of a share class or classes | 211 | No fee | Late fee applies if not notified within 14 days after division or conversion | |

Registered office

Note: No fees apply for lodging these forms, however late fees will be charged if lodged outside the relevant time limit for notifying the change. The form number appearing in italics refers to an internal ASIC reference number and not a prescribed form.

| What do you want to note on the register? | Use form | From 4 July 2018 | Notes | |
|--|----------|------------------|--|--|
| Change of address of registered office or principal place of business of an Australian company | 484 | No fee | A late fee applies if not notified within 28 days of change | |
| Change to company office hours | 487 | No fee | A late fee applies if notified on or after date of change of hours | |
| Contact address of an Australian company | 486 | No fee | | |
| Change of address of registered office of a registered body in Australia | 489 | No fee | A late fee applies if not notified within 7 days after change | |
| Change of office hours for registered office of a registered body in Australia | 489 | No fee | A late fee applies if not notified within 7 days after change | |
| Change of address of a registered body in its place of origin | 489 | No fee | A late fee applies if not notified within 1 month after change | |
| Change directors or directors' details of a registered body in Australia | 490 | No fee | A late fee applies if not notified within 1 month after change | |

Financial reports and accounts

Note: The form number appearing in italics refers to an internal ASIC reference number and not a prescribed form. Item numbers refer to Sch 1 and 2 of the Corporations (Fees) Regulations 2001.

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 1 & 2 Item Number |
|---|----------------|------------------|---|----------------------------|
| Lodge a copy of annual financial reports of a company | 388 | No fee | Late fee applies for company that is not a disclosing entity after 4 months after end of financial year | |
| Lodge a copy of annual financial reports for a registered scheme or company that is a disclosing entity | 388 | No fee | Late fee applies after 3 months after end of financial year | |
| Lodge a copy of annual financial report by disclosing entity that is not a company or registered scheme | 388 | \$1,217 | Late fee applies after 3 months after the end of financial year | Item 5 |
| Lodge amended annual financial report by company registered scheme or disclosing entity | 388 | No fee | Late fee applies after 14 days after date of amendment | |
| Apply for relief from requirements relating to accounts and reports (Use Form CF02 <i>Applications for relief – financial reporting</i>) | 336 | \$3,487 | | Item 80 |
| Lodge the half yearly accounts of a disclosing entity | 7051 (1001) | No fee | Late fee applies if lodged after 75 days after end of accounting period | Item 19 |

Annual review

Note: Item number refers to Sch 2 of the Corporations (Fees) Regulations 2001.

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 2 Item Number |
|---|----------|---|--|------------------------|
| Apply to change annual review date of company or registered scheme or of more than one company or registered scheme | 488 | For 1 to 9 companies or schemes - \$40 per company or scheme For 10 or more companies or schemes - \$397 per application | | Items 3 and 4 |
| Change company details in response to a company statement | 484 | No fee | Late review fee applies if received more than 28 days after date of issue of company statement. Note – if change is also outside 28 day lodging period for notifying a change a late lodgement fee will also apply. | |
| Change scheme details in response to a scheme statement | 491 | No fee | Late review fee applies if received more than 28 days after date of issue of scheme statement | |

Annual review fees

For most companies and schemes, their annual review date is the anniversary of their date of registration or incorporation.

Note: Item numbers refer to Sch 1 Pt 1 of the Corporations (Review Fees) Regulations 2003. There are no forms prescribed.

| What are you registered as? | From 4 July 2018 | Notes | Schedule 1 Item Number |
|---|------------------|--|------------------------|
| A public company (except a special purpose company or a small transferring financial institution) | \$1,224 | Late payment fee applies if not paid within 2 months after review date | Item 101 |
| A proprietary company (except a special purpose company) | \$263 | Late payment fee applies if not paid within 2 months after review date | Item 102 |
| A special purpose company (proprietary)* | \$53 | Late payment fee applies if not paid within 2 months after review date | Item 103 |
| A special purpose company (public)* | \$49 | Late payment fee applies if not paid within 2 months after review date | Item 103 |
| A registered scheme | \$1,224 | Late payment fee applies if not paid within 2 months after review date | Item 104 |
| A small transferring financial institution (except a special purpose company) | \$245 | Late payment fee applies if not paid within 2 months after review date | Item 106 |
| A registered scheme that is being wound up | No fee | | Item 105 |
| A company in liquidation | No fee | | Item 107 |
| A registered entity under the Australian Charities and Not-for-profits Commission Act 2012 | No fee | | Item 108 |

Upfront annual review fees

A company or registered scheme may elect to pay the fee specified above as an upfront or advance payment for fees in relation to review dates for a period of 10 years.

Note: Item numbers refer to Sch 1 Pt 1A of the Corporations (Review Fees) Regulations 2003. There are no forms prescribed. No late fees apply.

| What are you registered as? | From 4 July 2018 | Notes | Schedule 1 Item Number |
|---|------------------|-------|------------------------|
| A public company (except a special purpose company or a small transferring financial institution) | \$9,374 | | Item 101 |

| | | | |
|--|---------|----------------|----------|
| A proprietary company (except a special purpose company) | \$1,947 | | Item 102 |
| A special purpose company (proprietary) * | \$370 | See note below | Item 103 |
| A special purpose company (public)* | \$366 | See note below | Item 103 |
| A registered scheme | \$9,374 | | Item 104 |

* A special purpose company is defined in Regulation 3 of the Corporations (Review Fees) Regulations 2003 as:

- a) a company holding a licence that is continued in force by section 151 of the Act and allows the company to omit 'Limited' from its name; or
- b) in the case of a company limited by guarantee, or by both shares and guarantee, that was registered immediately before the commencement of this paragraph — if the constitution of the company states that the company:
 - (i) is formed for the purpose of providing recreation or amusement or promoting commerce, industry, art, science, religion, charity, patriotism, pension or superannuation schemes or any other object useful to the community; and
 - (ii) applies its profits (if any) or other income in promoting its purpose; and
 - (iii) prohibits the distribution of its income or property to its members; or
- c) a company that, under subsection 150(1) of the Act, is registered without 'Limited' in its name; or
- d) a company the constitution of which:
 - (i) requires the company to pursue charitable purposes only and to apply its income in promoting those purposes; and
 - (ii) prohibits the company making distributions to its members and paying fees to its directors; and

- (iii) requires its directors to approve all other payments the company makes to them; or
- e) a proprietary company, if:
 - (i) the company is the proprietor of land on which a building divided into separate residential areas and areas for common use is erected; and
 - (ii) the members of the company are entitled, because of the shares they hold in the company, to the exclusive occupation of 1 or more of the residential areas and to the use of the common areas; and
 - (iii) the company only operates to facilitate and enforce the rights of company members in relation to the exclusive occupation of the residential areas and to maintain the common areas; or
- f) a company, other than a company mentioned in paragraph (a), (b), (c), (d) or (e), if:
 - (i) the constitution of the company prohibits distribution of the company's income or property to its members; and
 - (ii) the sole purpose of the company is to act as the trustee of a regulated superannuation fund within the meaning of section 19 of the Superannuation Industry (Supervision) Act 1993.

Late fees for annual review

Note: These fees are payable **in addition to** any prescribed fee.

| | From 4 July 2018 | Notes | Schedule 2 Item Number |
|--|-------------------------|--|-------------------------------|
| Late payment fee Annual review fees must be paid within 2 months after review date (except upfront fees) | | Item numbers refer to Sch 1 Pt 2 of the Corporations (Review Fees) Regulations 2003. | |
| If payment is received within 1 month after due date | \$79 | | Item 201 |
| If payment is received more than 1 month after due date | \$329 | | Item 202 |

| | | | |
|---|-------|---|------------|
| Late lodgement fee Documents notifying changes must be lodged within the time prescribed for notifying that change . | | Item numbers refer to Sch 2 of the Corporations (Fees) Regulations 2001 | |
| If document is received within 1 month after the prescribed time | \$79 | | Item 14(a) |
| If document is received more than 1 month after the prescribed time | \$329 | | Item 14(b) |

| | From 4 July 2018 | | Schedule 2 Item Number |
|--|-------------------------|--|-------------------------------|
| Late review fee Changes to information in annual statement must be notified within 28 days after issue date of statement | | Item numbers refer to Sch 2 of the Corporations (Fees) Regulations 2001. | |
| If document is received within 1 month after the prescribed time | \$79 | | Item 14(a) |
| If document is received more than 1 month after the prescribed time | \$329 | | Item 14(b) |

Note: A document can be charged **both** a late lodgement fee **and** a late review fee.

Changing the set up of your company

Note: Item numbers refer to Sch 2 of the Corporations (Fees) Regulations 2001.

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 2 Item Number |
|--|----------|------------------|---|------------------------|
| Change the company name Notify a members' resolution to change the company name (see also 'Choosing a company name') | 205 | \$403 | Late fee applies to Form 205 if lodged more than 14 days after passing resolution | Item 9(b) |
| Change the company type Notify of members' resolution to change the company type (e.g. from Public to Pty) and apply for change company type Form 206 <i>Application for change of company type</i> must also be lodged | 205 | \$79 | Late fee applies to Form 205 if lodged more than 14 days after passing resolution | Item 10 |
| Transfer place of registration Apply to change the State or Territory of registration of company | 2213 | \$488 | | Item 1(b) |
| Alter company constitution Notify of members' resolution to change the company constitution | 205 | No fee | Late fee applies if lodged more than 14 days after passing resolution | |
| Section 150 company Notify non-compliance with s150 requirements or request licence revocation | 433 | No fee | | |

Fundraising/disclosure

Note: The form number appearing in italics refers to an internal ASIC reference number and not a prescribed form. Item numbers refer to Sch 1 of the Corporations (Fees) Regulations 2001.

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 1 Item Number |
|--|---------------------|------------------|--|------------------------|
| Lodge a prospectus | <i>764B or 764C</i> | \$3,206 | | Item 22(a) |
| Lodge an offer information statement | <i>764E</i> | \$1,924 | | Item 22(c) |
| Lodge a profile statement | <i>764F</i> | \$1,924 | | Item 22(b) |
| Lodge a product disclosure statement | <i>764K</i> | \$1,993 | | Item 145 |
| Lodge a 'PDS in use' notice | FS88 | No fee | Late fee applies 5 business days after PDS first given | Item 146 |
| Lodge a supplementary or replacement prospectus | <i>766B or 766C</i> | \$802 | | Item 23(a) |
| Lodge a supplementary profile statement | <i>754F</i> | \$321 | | Item 23(b) |
| Lodge a supplementary offer information statement | <i>754E</i> | \$321 | | Item 23(c) |
| Lodge a supplementary or replacement product disclosure statement | | \$1,993 | | Item 145 |
| Apply for exemption from all or part of Ch 2L (provisions regulating debentures) Use Form CF04 <i>Applications for relief – debentures</i> | <i>2000 or 2002</i> | \$3,487 | | Item 80 |
| Apply for exemption from all or part of Ch 5C (provisions regulating managed investment schemes) | <i>5119 or 5121</i> | \$3,487 | | Item 80 |

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 1 Item Number |
|---|--------------|------------------|-------|------------------------|
| Apply for exemption from all or part of Ch 6D (provisions regulating fundraising) Use Form CF01 <i>Applications for relief – fundraising/equities</i> for Form 7110 | 7110 or 7112 | \$3,487 | | Item 80 |

Acquisition of shares

Financial assistance for acquiring shares

| What do you want to do? | Use form | From 4 July 2018 | Notes | |
|--|----------|------------------|--|--|
| Notify of resolution by shareholders in company, listed public company or holding company to approve financial assistance for acquiring shares | 2205 | No fee | Late fee applies if not notified within 14 days after passing resolution | |

In a takeover bid

Note: The form numbers appearing in italics refer to an internal ASIC reference number and not a prescribed form. Item numbers refer to Sch 1 of the Corporations (Fees) Regulations 2001.

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 1 Item Number |
|--|----------|------------------|-------|------------------------|
| Lodge a supplementary bidder's statement | 675A | \$802 | | Item 30 |
| Lodge a supplementary target's statement | 675B | \$802 | | Item 30 |

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 1 Item Number |
|--|--------------|------------------|--|------------------------|
| Apply for an exemption from all or parts of the requirements under Ch 6, 6A, 6B or 6C (Use Form CF03 <i>Applications for relief – mergers & acquisitions</i>) | 647 &/or 648 | \$3,487 | | Item 80 |
| Make any other application under Ch 6, 6A, 6B or 6C which does not have a fee prescribed elsewhere (Use Form CF03) | 667 or 6062 | \$3,487 | | Item 80 |
| Lodge a bidder's statement and any other documents for an off market bid | 6181 | \$5,264 | | Item 25 |
| Lodge a bidder's statement and other documents sent to the Securities Exchange for a market bid | 6291 | \$5,130 | Late fee applies 1 day after documents sent to exchange | Item 28 |
| Lodge a notice of variation of offer under an on or off market bid | 6321B | \$802 | | Item 32 |
| Lodge a target statement and report for an off-market bid | 6211 | \$2,565 | Late fee applies 1 day after statement is sent to bidder | Item 26 |
| Lodge a target statement and report for on-market bid | 6331 | \$2,565 | Late fee applies 1 day after statement sent to relevant exchange | Item 27 |

Closing a company or scheme

Note: Item numbers refer to Sch 1 and 2 of the Corporations (Fees) Regulations 2001.

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 1 & 2 Item Number |
|--|----------|------------------|--|----------------------------|
| Notify of members' resolution to enter members' voluntary winding up | 205 | No fee | Late fee applies 7 days after passing resolution | |
| Notify of members' resolution as to the powers and duties of a liquidator in voluntary winding up | 205 | No fee | Late fee applies 14 days after passing resolution | |
| Notify of members' resolution about company arrangements with liquidator in voluntary winding up | 205 | No fee | Late fee applies 14 days after passing resolution | |
| Notify of members' resolution binding company to arrangements with creditors in voluntary winding up | 205 | No fee | Late fee applies 14 days after passing resolution | |
| Notify of members' resolution to have the company wound up by a court | 205 | No fee | Late fee applies 14 days after passing resolution | |
| Apply for voluntary deregistration of a company | 6010 | \$40 | | Item 11 |
| Apply for ASIC to exercise its powers to deal with property of a defunct company | | \$934 | | Item 92 |
| Apply for ASIC to exercise its powers to fulfil the obligations of a deregistered company | | \$934 | | Item 92 |
| Apply for voluntary deregistration of a scheme | 6010A | No fee | | Item 12 |
| Notify commencement or completion of winding up of a scheme | 5138 | No fee | Late fee applies 14 days after commencement or completion date | Item 161 |

Registered Australian bodies

| What do you want to do? | Use form | From 4 July 2018 | Notes | |
|---|-----------------|-------------------------|--|--|
| Notify of ceasing business as registered Australian body | 407 | No fee | Late fee applies if not notified within 7 days after cessation | |
| Notify change of name of registered Australian body | 409 | No fee | Late fee applies 14 days after the change of name | |
| Notify change in constitution of registered Australian body | 409 | No fee | Late fee applies 1 month after the change in constitution | |

Foreign companies

Note: Item numbers refer to Sch 2 of the Corporations (Fees) Regulations 2001.

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 2 Item Number |
|---|----------|------------------|--|------------------------|
| Apply for registration as a foreign company | 402 | \$488 | | Item 2(b) |
| Notify change of local agent of foreign company | 404 | No fee | Late fee applies 1 month after change | |
| Lodge statement to verify financial statements | 405 | \$1,217 | <p>A Form 405 may attract a late fee in either of these situations:</p> <ul style="list-style-type: none"> It is not lodged within a calendar year and is lodged more than 15 months after the last Form 405 a notifiable change is advised outside of the lodgement period (for multiple changes, only one late fee will apply). <p>Therefore it is possible for a Form 405 to receive two late fees.</p> | Item 6 |
| Lodge annual return | 406 | \$1,217 | <p>A Form 406 may attract late fees in either of these situations:</p> <ul style="list-style-type: none"> it is not lodged within a calendar year and within 1 month after the AGM. a notifiable change is advised outside the lodgement period (multiple changes, only one late fee will apply). <p>Therefore it is possible for a Form 406 to receive two late fees.</p> | Item 6 |
| Notify that foreign company is ceasing business | 407 | No fee | Late fee applies if not notified within 7 days after cessation | |

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 2 Item Number |
|---|-----------------|-------------------------|--|-------------------------------|
| Notify dissolution, deregistration or winding up of foreign company | 407 | No fee | Late fee applies 1 month after dissolution, deregistration or winding up | |
| Notify change of name of foreign company | 409 | No fee | Late fee applies 14 days after change of name | |
| Notify change constitution of foreign company | 409 | No fee | Late fee applies 1 month after change | |
| Notify change in powers of directors resident in Australia | 409 | No fee | Late fee applies 1 month after change | |
| Change of registered office address in Australia | 489 | No fee | Late fee applies if not notified within 7 days after change | |
| Change of office hours for registered office | 489 | No fee | Late fee applies if not notified within 7 days after change | |
| Change of address in place of origin | 489 | No fee | Late fee applies if not notified within 1 month after change | |
| Change directors or directors' details | 490 | No fee | Late fee applies if not notified within 1 month after change | |

Business names

Note: These fees are levied under the Business Names Registration (Fees) Regulations 2011.

| What do you want to do? | From 4 July 2018 | Notes | |
|--|------------------|-------|--------|
| A new application for registration of a business name to an entity for 1 year | \$36 | | Item 1 |
| A new application for registration of a business name to an entity for 3 years | \$84 | | Item 3 |

Auditors

Individual auditors

Note: These fees are levied under items in Sch 1 of the Corporations (Fees) Regulations 2001.

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 1 Item Number |
|--|----------|------------------|--|------------------------|
| Apply for registration as an individual auditor | 903 | \$338 | | Item 9 |
| Notify that you are ceasing to practise | 905 | No fee | Late fee applies 21 days after date of cessation | Item 158 |
| Change your details on the register | 905 | No fee | Late fee applies 21 days after date of change | Item 158 |
| Apply for consent to resign as auditor of a specific company | 342 | No fee | | Item 80 |
| Apply for consent to resign as auditor of AFS licensee | FS08 | No fee | | Item 144 |
| Apply for consent to resign as auditor of registered scheme | 5132 | No fee | | Item 84 |
| Apply for consent to resign as auditor of compliance plan | 5113 | No fee | | |
| Lodge your annual statement | 912A | No fee | Late fee applies 1 month after anniversary of registration | Item 10 |

Authorised audit company (AAC)

Note: Item numbers refer to Sch 1 of the Corporations (Fees) Regulations 2001.

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 1 Item Number |
|--|-----------------|-------------------------|--|-------------------------------|
| Apply for registration as an AAC | 903 | \$3,429 | | Item 163 |
| Notify that your AAC is ceasing to practise | 905 | No fee | Late fee applies 28 days after date of cessation | Item 159 |
| Change details of your AAC on the register | 905 | No fee | Late fee applies 28 days after date of change | Item 159 |
| Apply for consent to resign as auditor of a specific company | 342 | \$3,487 | | Item 80 |
| Apply for consent to resign as auditor of AFS licensee | FS08 | No fee | | Item 144 |
| Apply for consent to resign as auditor of registered scheme | 5132 | No fee | | Item 84 |
| Apply for consent to resign as auditor of compliance plan | 5113 | No fee | | |
| Lodge your AAC annual statement | 912B | No fee | Late fee applies 1 month after anniversary of registration | Item 164 |

Self managed superannuation fund auditors

Note: Item numbers refer to the Superannuation Auditor Registration Imposition Regulation 2012.

| What do you want to do? | From 4 July 2018 | Notes | Section 4 Item Number |
|---|------------------|-------|-----------------------|
| Applying for registration as an approved SMSF auditor | \$1,927 | | Item 1 |
| Undertaking a competency examination in accordance with section 128C of the SIS Act | \$107 | | Item 2 |
| Giving the Regulator a statement under section 128G of the SIS Act | No fee | | Item 3 |
| Applying for cancellation of registration under s128E of the SIS Act | \$899 | | Item 1B |

Liquidators

Note: Item numbers refer to Sch 1 of the Corporations (Fees) Regulations 2001.

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 1 Item Number |
|---|----------|------------------|---|------------------------|
| Apply for registration as a liquidator | 903B | \$2,200 | | Item 12 |
| If the liquidator application is approved, a registration fee is also required | RL50 | \$1,300 | | Item 13 |
| Request ASIC to cancel or suspend your registration as a liquidator | RL08 | \$234 | Late fee applies 21 days after date of cessation | Item 16 |
| Notify ASIC of a prescribed event (e.g. change of address) | 905A | No fee | Late fee applies 10 business days after date of change | |
| Apply for registered liquidator renewal | RL05 | \$1,720 | If application is lodged more than one month before the renewal date | Item 15(a) |
| Apply for registered liquidator renewal | RL05 | \$1,920 | If application is lodged within one month of the renewal date | Item 15(b) |
| Lodge your annual statement for return years beginning before 1 March 2017 | 908 | No fee | Late fee applies if not lodged within one month after the anniversary of the date of registration | |
| Lodge your annual liquidator return for return years beginning on or after 1 March 2017 | 908 | No fee | Late fee applies if not lodged within one month after the anniversary of the date of registration | |
| Notify ASIC of a significant event | RL30 | No fee | Late fee applies after 5 business days after the date of becoming aware of the event | |
| Apply to remove or vary conditions or lift or shorten suspension | RL06 | \$1,018 | | Item 14 |
| Notify ASIC of other event – inaccuracy in a return | RL31 | No fee | Late fee applies if lodged outside of prescribed time | |

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 1 Item Number |
|---|----------|------------------|-------|------------------------|
| Notify ASIC of a court application for leave not to use former name on public documents | 526 | No fee | | |

Financial services

AFS licence

Note: The form numbers appearing in italics refers to an internal ASIC reference number and not a prescribed form. Item numbers refer to Sch 1 of the Corporations (Fees) Regulations 2001.

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 1 Item Number |
|--|--------------|------------------|-------|------------------------|
| Apply online for an individual AFS licence | | | | |
| For retail clients and low complexity products | <i>FSL1A</i> | \$2,233 | | Item 1 (a) (i) |
| For retail clients and high complexity products | <i>FSL1C</i> | \$5,025 | | Item 1 (a) (ii) |
| For wholesale clients and low complexity products | <i>FSL1J</i> | \$1,488 | | Item 1 (c) (i) |
| For wholesale clients and high complexity products | <i>FSL1L</i> | \$3,350 | | Item 1 (c) (ii) |
| Apply online for a body corporate AFS licence | | | | |
| For retail clients and low complexity products | <i>FSL1E</i> | \$3,721 | | Item 1 (b) (i) |
| For retail clients and high complexity products | <i>FSL1G</i> | \$7,537 | | Item 1 (b) (ii) |

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 1 Item Number |
|---|----------|------------------|-------|------------------------|
| For wholesale clients and low complexity products | FSL1N | \$2,233 | | Item 1 (d) (i) |
| For wholesale clients and high complexity products | FSL1P | \$5,025 | | Item 1 (d) (ii) |
| Apply via paper lodgement for an individual AFS licence | | | | |
| For retail clients and low complexity products | FSL1B | \$3,349 | | Item 2(a) (i) |
| For retail clients and high complexity products | FSL1D | \$7,537 | | Item 2(a) (ii) |
| For wholesale clients and low complexity products | FSL1K | \$2,233 | | Item 2(c) (i) |
| For wholesale clients and high complexity products | FSL1M | \$5,025 | | Item 2(c) (ii) |
| Apply via paper lodgement for a body corporate AFS licence | | | | |
| For retail clients and low complexity products | FSL1F | \$5,582 | | Item 2(b) (i) |
| For retail clients and high complexity products | FSL1H | \$11,305 | | Item 2(b) (ii) |
| For wholesale clients and low complexity products | FSL1O | \$3,349 | | Item 2(d) (i) |
| For wholesale clients and high complexity products | FSL1Q | \$7,537 | | Item 2(d) (ii) |
| Vary AFS licence conditions for an individual online | FS03 | \$2,214 | | Item 3(a) |

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 1 Item Number |
|--|---------------|------------------|--|------------------------|
| Vary AFS licence conditions for an individual by paper | FS03 | \$3,328 | | Item 4(a) |
| Vary AFS licence conditions for a body corporate online | FS03 | \$2,470 | | Item 3(b) |
| Vary AFS licence conditions for a body corporate by paper | FS03 | \$3,704 | | Item 4(b) |
| Request for voluntary suspension of an AFS licence | FS64 | \$899 | | Item 7 |
| Request to revoke AFS licence | FS65 | \$899 | | Item 7 |
| Application to vary or revoke AFS licence suspension | FS68 | \$899 | | Item 8 |
| Notify change of details of AFS licensee | FS20 | No fee | Late fee applies after 10 business days after change | |
| Apply to ASIC to declare person regulated by approved foreign regulatory body exempt from the requirement to hold an AFS licence | FS10 FS10B | \$3,487 | | Item 80 |
| Apply to ASIC to declare body corporate, partnership or non-corporate trustee exempt from the requirement to hold an AFS licence | FS10 FS10C | \$3,487 | | Item 80 |
| Apply to ASIC to declare an individual exempt from the requirement to hold an AFS licence | FS10 FS10D | \$3,487 | | Item 80 |

Financial reporting and audit of AFS licensee

Note: Item numbers refer to Sch 1 of the Corporations (Fees) Regulations 2001.

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 1 Item Number |
|--|----------|------------------|--|------------------------|
| Lodge a profit and loss statement and balance sheet for an AFS licensee that is a body corporate, partnership or non-corporate trustee | FS70 | No fee | Late fee applies more than 3 months after end of financial year for disclosing entities and 4 months for non-disclosing entities | Item 20 |
| Lodge a profit and loss statement and balance sheet for an AFS licensee that is an individual | FS70 | No fee | Late fee applies more than 2 months after end of financial year | Item 20 |
| Lodge an AFS licensee audit report (lodged with Form FS70) | FS71 | No fee | | |
| Notify appointment of an auditor to AFS licensee | FS06 | No fee | Late fee applies more than 14 days after appointment | Item 157 |
| Notify cessation of an auditor of AFS licensee | FS09 | No fee | | |
| Apply for consent to remove an auditor of AFS licensee | FS07 | No fee | | Item 103 |

Other financial services matters

Note: The form number appearing in italics refers to an internal ASIC reference number and not a prescribed form. Item numbers refer to Sch 1 of the Corporations (Fees) Regulations 2001.

| What do you want to do? | Use form | From 4 July 2018 | Notes | Schedule 1 Item Number |
|---|----------------------|-------------------------|--------------|-------------------------------|
| Apply to ASIC that it declare a product is not a 'financial product' | FS10 <i>FS10A</i> | \$3,487 | | Item 80 |
| Apply, as responsible entity, for consent to remove auditor of a registered scheme | 5132 | No fee | | Item 84 |
| Apply, as responsible entity, for consent to remove auditor of scheme's compliance plan | 5112 | \$791 | | Item 93 |
| Request cancellation of an AFS licence | | \$899 | | |

Credit services

Credit licence

Fees are determined by Parts 1 and 2 of Schedule 1 of the National Consumer Credit Protection (Fees) Regulations 2010.

| What do you want to do? | Use form | From 4 July 2018 | Notes | Part 1 or 2 Item Number |
|--|----------|---|---|-------------------------|
| Apply for an individual Australian credit licence including a credit provider authorisation | CL01A | \$3,468 | The licence application fees are increased by \$25 if lodged in paper | Item 1(b) |
| Apply for an individual Australian credit licence not including a credit provider authorisation | CL01B | \$1,798 | The licence application fees are increased by \$25 if lodged in paper | Item 1(a) |
| Apply for a body corporate Australian credit licence including a credit provider authorisation | CL01C | \$4,624 | The licence application fees are increased by \$25 if lodged in paper | Item 1(d) |
| Apply for a body corporate Australian credit licence not including a credit provider authorisation | CL01D | \$2,055 | The licence application fees are increased by \$25 if lodged in paper | Item 1(c) |
| Vary authorisations or conditions of an Australian credit licence | CL03 | Fee on application | | Item 4 |
| Notify changes to credit licence details | CL20 | Online – No fee Paper – \$25 | Late fees apply if lodged more than 14 days after changes to alternative address, or more than 10 business days after changes to other details of a licensee. | Item 27 |
| Apply for exemption or modification (refer Application for relief below) | | | | |

| What do you want to do? | Use form | From 4 July 2018 | Notes | Part 1 or 2 Item Number |
|------------------------------|----------|------------------|-------|---|
| Request for no action letter | CL11 | \$3,487 | | |
| Application for relief | CL11 | \$3,512 | | Items 13, 14, 15, 16, 17, 18, 19, 20 and 26 |

Late lodgement fee

Documents notifying changes must be lodged within the time prescribed for notifying that change.

Note: Late lodgement fees are payable **in addition to** any prescribed fee. Item numbers refer to Part 3 of Sch 1 of the National Consumer Credit Protection (Fees) Regulations 2010.

| How late is the document? | From 4 July 2018 | Notes | Schedule 1 Item Number |
|---|------------------|-------|------------------------|
| If document is received within 1 month after the prescribed time | \$67 | | Item 2 |
| If document is received more than 1 month after the prescribed time | \$278 | | Item 3 |

Miscellaneous applications and notifications

Note: Item numbers refer to Sch 1 & 2 to the Corporations (Fees) Regulations 2001.

| What do you want to do? | Use form: | From 4 July 2018 | Notes | Schedule 1 & 2Item Number |
|--|------------------|-------------------------|--------------|--------------------------------------|
| Apply for extension of time to hold annual general meeting – unlisted entity | 2501 | \$3,487 | | Item 80 |
| Apply to ASIC that it produce a document in its custody pursuant to a subpoena | | \$40 | | Item 25 |