ASIC

Australian Securities & Investments Commission

EDGE

ELECTRONIC LODGEMENT

REFERENCE GUIDE

10th EDITION, 2009

Chapter 1 – About the EDGE Reference Guide

Who should use it?
This Guide is designed for the staff of registered ASIC lodgement agents who use EDGE to electronically lodge documents required by the *Corporations Act 2001*.

For what?
Staff operating ASIC-registered EDGE-compliant software should use this Guide to:

- understand how to use EDGE for corporate lodgement
- interpret the significance of messages received on the EDGE validation report
- understand the structure and content of an EDGE invoice
- diagnose why the EDGE Mailbox rejected a transmitted document
- identify any errors or omissions in their EDGE-compliant software that should be reported to Digital Service Providers (DSP).

Where to find information on EDGE-compliant software
This Guide contains no information on any particular brand of EDGE-compliant software, or on how you would use that software to prepare documents for electronic lodgement. For this information, you should refer to the documentation supplied with your software.

ASIC staff cannot comment on the relative merits of different brands of EDGE-compliant software. ASIC has registered as EDGE-compliant those software products that meet ASIC's specification for the transmission of ASIC's electronic forms and the receipt of invoices and reports. ASIC has no other responsibility for the quality of EDGE-compliant software, and provides no support to such software.

You can obtain a list of all registered EDGE-compliant software products and their suppliers from any ASIC Service Centre, or from www.asic.gov.au.

How to use this Guide
If you are new to EDGE or to corporate lodgement procedures, you should read **Chapter 2** to understand the procedures for using EDGE.

Use **Chapter 3** to understand the messages that appear on the EDGE validation report and other EDGE reports that you request.

Use **Chapter 4** if EDGE rejects a document. It lists the messages you receive, gives an explanation of each message, and often refers to further notes in Chapter 6.

Use **Chapter 5** if your software finds an error in a document. It lists the messages you receive and often refers to further notes in Chapter 6.

Chapter 6 contains detailed explanatory notes referred to from other chapters.

Use **Chapter 7** to understand the significance of each data item on each form and the validation tests that EDGE performs before accepting a document.

Chapter 8 describes the forms and messages used in the Electronic Company Registration (ECR) process.

Chapter 9 is a list of Frequently Asked Questions about EDGE and ECR.

Chapter 2 – How to use EDGE

How to set up company register details for EDGE

Your corporate registry software will allow you to load company details into your corporate registry files or database. EDGE provides facilities that might allow you to automate this process, provided your software can support this facility. Consult your software documentation for the process your Digital Service Provider (DSP) recommends.

The illustration below shows a typical procedure for setting up company register details. It allows you to collect company data from ASIC's ASCOT database. You can then check this data against the company information you already hold and resolve any inconsistencies before you lodge formal corporate registry documents.

This facility does not alter your obligation under the *Corporations Act 2001* to always maintain complete and accurate company registers.

```
                    Agent                         ASIC

          ┌─────────────────┐        ┌─────────────────┐
    ❶     │ Lodge appointment│───────▶│ Update company  │
          │ of Agent - 362   │        │ record          │
          └─────────────────┘        └─────────────────┘
                                              │
                                              ▼
                                     ┌─────────────────┐
    ❷                                │ Confirmation notices│
                            ┌────────│ issued to company │
                            │        │ and agent         │
                            │        └─────────────────┘
                            ▼
          ┌─────────────────┐        ┌─────────────────┐
    ❸     │ Lodge request for│───────▶│ Extract company │
          │ Company Details │        │ data from ASCOT │
          │ RA71            │        │ database        │
          └─────────────────┘        └─────────────────┘
                                              │
                                              ▼
          ┌─────────────────┐        ┌─────────────────┐
    ❹     │ Collect and review│◀──────│ Place company data│
          │ data            │        │ in EDGE mailbox │
          └─────────────────┘        └─────────────────┘
                   │
                   ▼
          ┌─────────────────┐
    ❺     │ Prepare and lodge│
          │ response if      │
          │ necessary        │
          └─────────────────┘
```
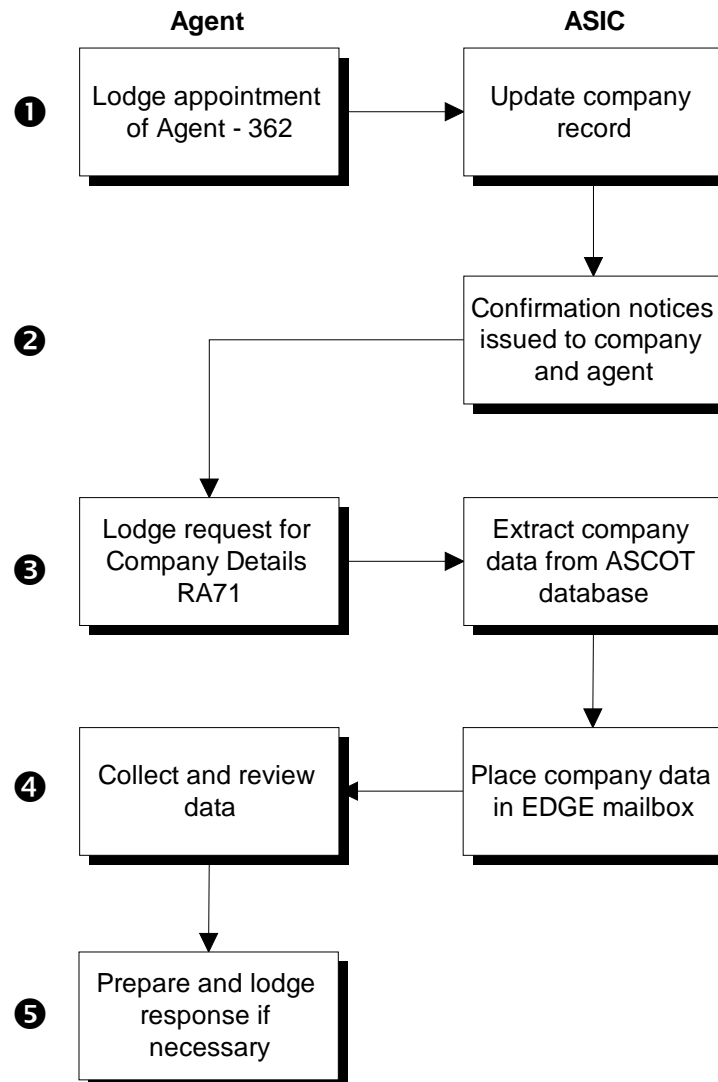
Step 1 – Lodge appointment or cessation of a registered agent by a company – Form 362

Form 362 is used by a company to notify ASIC that a particular agent has been appointed to act for or ceased from that company. An officer of the company must sign this form, it cannot be signed by the agent. The Form 362 may be lodged electronically by the agent, however the agent must keep the original Form 362 signed by the company for a period not less than seven years and must make it available to ASIC if requested by ASIC.

Step 2 – Confirmation notices

Lodgement of a Form 362 to appoint an agent will produce two notices – one to the company confirming the appointment of the agent, and one to the agent confirming the nomination by the company.

Lodgement of a 362 to cease an agent will also produce a notice, addressed to the company, that the agent no longer represents the company.

Step 3 – Request company details – RA71

Use an RA71 to request a company details. If you request details of a company for which you are not the registered agent, your request will be rejected.
The RA71 can be used to request company details as either a data download or as a company statement. The difference is that a company statement is returned as a PDF document while a data download is returned as data that can be used to update the registered agent's database.

Step 4 – Collect and review data

Your software will collect the data download or company statement when it next connects to the EDGE mailbox. You can use your corporate registry software to load the details into your database.

The company should review this information to ensure that it is accurate.

Step 5 – Prepare and lodge response if necessary

If the information in the data download or company statement is not accurate, the appropriate document should be prepared and lodged with ASIC. Use Form 484 to notify changes to the company information. Amendments to data, where an error has been made by either the lodging party when preparing a document or ASIC when processing it, should be notified on Form 492.

Receiving and responding to an Annual Statement

An Annual Statement will be provided electronically to registered agents after the review date of the company. The company or agent does not have to request the Annual Statement as it is issued automatically.

Agent   **ASIC**

❶ Prepare Annual Statement

❷ Collect and review Annual Statement ← Place Annual Statement in EDGE mailbox - 480

❸ Pay review fee

❹ Prepare and lodge response if necessary
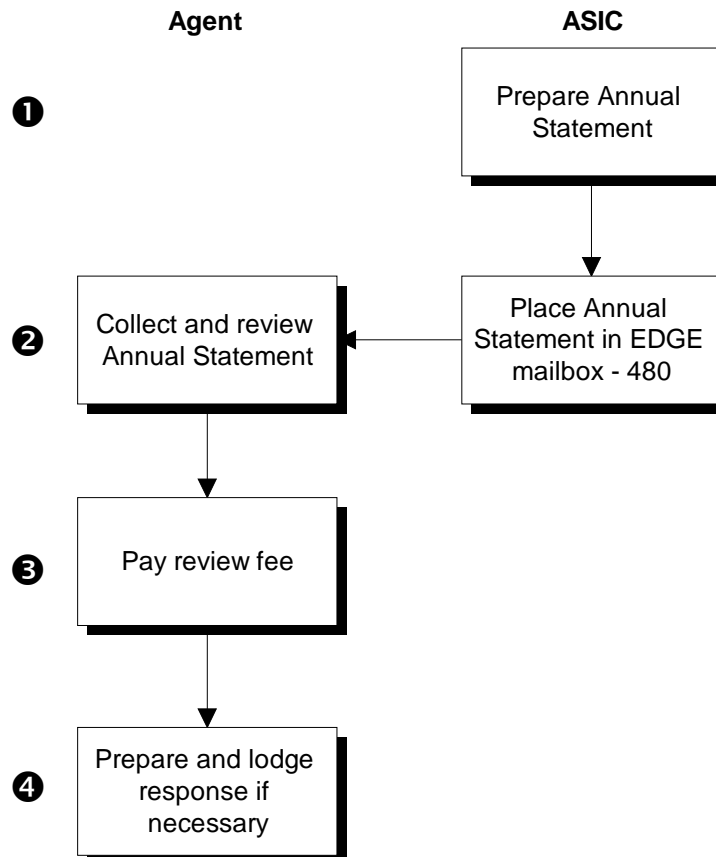
Step 1 – Preparation of Annual Statement

ASIC will prepare an Annual Statement on the review date of a company. The Annual Statement consists of:

- A statement of the details of the company, similar to the data download referred to above.
- A statement of the details of the company in PDF format, similar to the company statement referred to above.
- A Review Fee Invoice in PDF format.

Step 2 – Collect and review Annual Statement

Your software will collect the Annual Statement when it next connects to the EDGE mailbox. You can use your corporate registry software to load the details into your database.

The company must review this information to ensure that it is accurate.

Step 3 – Pay review fee

The annual review fee must be paid within 2 months after the review date. Late fees will be applied to annual review fees received more than 2 months after the review date.

The Review Fee Invoice describes the available payment methods.

Step 4 – Prepare and lodge response if necessary

If the information in the annual statement is not accurate, the appropriate document should be prepared and lodged with ASIC. Use Form 484 to notify changes to the company information. Amendments to data should be notified on Form 492. An officer of the company must sign the Form 492.

In some situations the company must respond to questions raised by ASIC in the Annual Statement. For example, the occupier of the registered office address of a company may have withdrawn consent for the company to use that address. The company is required to have a new registered office address. If the company has not advised ASIC of the new registered office address at the time the Annual Statement is issued, a note will appear on the Annual Statement requiring the company to provide this information.

A response to an Annual Statement must be lodged within 28 days after the date of issue of the Statement. Late fees will be applied to responses received more than 28 days after the date of issue of the Statement.

Transmission of Documents

You can electronically lodge up to 99 documents in one transmission; however only certain document types and certain combinations of those documents can be transmitted together.

If your transmission contains an invalid combination of document types, EDGE will reject ALL the documents within the transmission. (Some software packages automatically allocate the different types of documents to separate transmissions to ensure this does not happen).

The types of documents which can be lodged electronically and the valid combinations of those documents are:

Combination 1: Company Registration Documents - Forms 201, 410
Refer to Chapter 8 for more information relating to Electronic Company Registrations.

Combination 2: Register changes – Forms 205A, 370, 410B, 410F, 484, 485, 489, 490, 492 902 and 6010
Register changes documents should be lodged as the need arises:

- **Form 205A – Change of company name**
  A company may apply to change its name by lodging Form 205A. On paper, the Form 205 is used to notify a variety of resolution types. In EDGE it may only be used to change a company name. When the name change has been successfully processed a certificate will be delivered to the agent by EDGE.

  The registered agent has two payment options when lodging an EDGE 205A. All agents can elect to pay the lodgement fee by ASIC invoice. When this option is chosen a paper invoice will be issued to the agent.

If the agent has already arranged with ASIC for a Direct Debit payment facility to be in place, the agent can choose to pay the form 205A lodgement fee by Direct Debit. When this option is chosen, an acknowledgement notice will be delivered to the agent as a PDF attachment to an RC05. See Chapter 3 for details of the RC05.

- **Form 370 – Resignation of office holders**
  A resigning or retiring company office holder can use a Form 370 to notify ASIC of their cessation. The Form 370 is signed by the ceasing officer holder and must be accompanied by a copy of the letter of resignation, which should be attached as an annexure.

- **Form 410B – Change of name reservation**
  A company may reserve a name by lodging Form 410B. The ECR Form 410 may also be used to reserve a name.

  The registered agent has two payment options when lodging an EDGE 410B. All agents can elect to pay the lodgement fee by ASIC invoice. When this option is chosen a paper invoice will be issued to the agent. This option is not available for the ECR Form 410.

  If the agent has already arranged with ASIC for a Direct Debit payment facility to be in place, the agent can choose to pay the Form 410B lodgement fee by Direct Debit. When this option is chosen, an acknowledgement notice will be delivered to the agent as a PDF attachment to an RC05. See Chapter 3 for details of the RC05.

- **Form 410F – Extension of reservation**
  A company may extend an existing name reservation by lodging Form 410F. The ECR Form 410 may also be used to extend a reservation.

  The registered agent has two payment options when lodging an EDGE 410F. All agents can elect to pay the lodgement fee by ASIC invoice. When this option is chosen a paper invoice will be issued to the agent. This option is not available for the ECR Form 410.

  If the agent has already arranged with ASIC for a Direct Debit payment facility to be in place, the agent can choose to pay the Form 410F lodgement fee by Direct Debit. When this option is chosen, an acknowledgement notice will be delivered to the agent as a PDF attachment to an RC05. See Chapter 3 for details of the RC05.

- **Form 484 – Change to company details**
  Form 484 has three sections; A, B and C. These sections can be lodged individually or together depending on the types of changes you need to notify.

  The Form 484 will replace the following forms:
  - 203 Notification of change of office hours or address of one or more corporations;
  - 304 Notification of change to officeholders;
  - 207 Notification of share issue;

- 284 Notification of share cancellation; and
- 316 Annual return of a company.

You will also use this Form to tell us of changes to ultimate holding company and members.

Use Section A to notify:
⇒ Address changes
⇒ Change of name of officeholders or members
⇒ Change of Ultimate Holding Company

Use Section B to notify:
⇒ Appointments or cessations of officeholders
⇒ Changes to special purpose company status

Use Section C to notify:
⇒ Changes to share structure
⇒ Issuing and cancelling shares
⇒ Changes to the members' register

- **Form 485 – Statement in relation to company solvency**
  Under section 347 a company must pass a solvency resolution within two months of its review date.

  This Form must be lodged where the directors of the company have either:
  i) Passed a negative solvency resolution; or
  ii) Not passed a solvency resolution within the statutory two-month period after the review date.

  If the directors of the company pass a positive solvency resolution there is no need to lodge the Form.

- **Form 489 – Notification of change of registered office or office hours of a registered body**
  Use this Form to notify ASIC of changes to registered office address or office hours of a registered foreign company or registered Australian body. Collectively these organisations are known as registered bodies.

- **Form 490 – Notification of change to officeholders of a registered body**
  Use this Form to notify ASIC of new or ceasing officeholder(s), and for changes to the name or address of current officeholder(s) of a registered foreign company or registered Australian body. Collectively these organisations are known as registered bodies.

- **Form 492 – Notification of corrections**
  A Form 492 may be lodged electronically only to amend a document which was originally lodged electronically and is **not** under requisition. The Form 492 should contain details of the correct information and an explanation of how the error occurred.

A Form 492 should not be used to add missing office holders to a Form 484. In this case another Form 484 should be lodged to notify the appointment, cessation or change in details to the office holders name or address.

- **Form 902 – Notification of supplementary information**
  A Form 902 can be lodged only to amend a requisitioned document. This form can only be lodged electronically if the document it is amending was lodged electronically. The Form 902 should contain details of the correct information and an explanation of how the error occurred.

- **Form 6010 – Application for voluntary deregistration of a company**
  The registered agent has two payment options when lodging an EDGE 6010. All agents can elect to pay the lodgement fee by ASIC invoice. When this option is chosen a paper invoice will be issued to the agent.

  If the agent has already arranged with ASIC for a Direct Debit payment facility to be in place, the agent can choose to pay the Form 6010 lodgement fee by Direct Debit. When this option is chosen, an acknowledgement notice will be delivered to the agent as a PDF attachment to an RC05. See Chapter 3 for details of the RC05.

Combination 3: Agent Services
Electronic Company Registration Agent Services are described in Chapter 8.

- **Form 361 – Notification of a registered agent ceasing to act for a company**
  Registered agents can use this form to notify ASIC that they have ceased to act for a company or companies. The form must be signed by the agent.

- **Form 362 – Notification of appointment or cessation of a registered agent by a company**
  Companies may use this form to appoint a registered agent to act for them, or cease such an appointment. A current officer of the company must sign Form 362.

- **RA17 – Request for Data Amendment Report**
  This report can be used to keep track of any minor changes made by ASIC staff to the details of companies for which you are the registered agent.

  The Data Amendment Report will be prepared as an RA18 and will be collected by your software the next time it connects to the EDGE mailbox, after the RA17 is transmitted.

- **RA61 – Request Review Date Report**
  This report allows a registered agent to determine the review dates of the companies that are linked to that agent.

  The Review Date Report will be prepared as an RA62 and will be collected by your software the next time it connects to the EDGE mailbox, after the RA61 is transmitted.

- **RA63 – Request Company Debt Report for a specified company**
  This report allows a registered agent to review the debt details for a particular company that is linked to that agent.

  The Company Debt Report for a specified company will be prepared as an RA64 and will be collected by your software the next time it connects to the EDGE mailbox, after the RA63 is transmitted. If the company has a zero balance a message to this effect will appear on the report.

- **RA65 – Request Documents Lodged Report**
  This report allows a registered agent to review the documents lodged by the companies that are linked to that agent. Details of documents lodged are provided for the company specified in the request.

  The Documents Lodged Report will be prepared as an RA66 and will be collected by your software the next time it connects to the EDGE mailbox, after the RA65 is transmitted.

- **RA67 – Request Company Debt Report**
  This report allows a registered agent to review the debt details for all companies that are linked to that agent.

  The Company Debt Report will be prepared as an RA68 and will be collected by your software the next time it connects to the EDGE mailbox, after the RA67 is transmitted. Linked companies with zero debt balances will not appear on the report.

- **RA71 – Request for Company Details**
  An RA71 can be used to request details of a company that is linked to your registered agent number.

  The details that can be requested are:

  - Data Download.
    As described above in "How to set up company register details in EDGE".
  - Company Statement.
    As described above in "How to set up company register details in EDGE".
  - Reprint of Annual Statement.
    A lodging party may request the redelivery of an Annual Statement after the review date of the company. The Annual Statement is delivered as a Form 480.

How to Lodge a Document

The flow chart illustrates the procedure you should use to lodge an EDGE document.

```
        ❶   ┌─────────────┐
            │ Update your │
            │   details   │
            └─────────────┘
                   │
                   ▼
        ❷   ┌─────────────┐
            │   Copy of   │
            │ document may│
            │  be printed │
            └─────────────┘
                   │
                   ▼
        ❸   ┌─────────────┐
            │  Transmit   │◄──────────────┐
            │ document to │               │
            │    ASIC     │               │
            └─────────────┘               │
                   │                      │
                   ▼                      │
        ❹   ┌─────────────┐       ┌─────────────┐   ❻
            │    Check    │       │   Reprint   │
            │ validation  │       │ document if │
            │   report    │       │  necessary  │
            └─────────────┘       └─────────────┘
                   │                      ▲
                   ▼              No       │
              ◇─────────◇   ───────► ┌─────────────┐   ❺
              │ Accepted │           │   Correct   │
              │ by EDGE? │           │  document   │
              ◇─────────◇           └─────────────┘
                   │
              Yes  │
                   ▼
        ❼   ┌─────────────┐
            │ Pay invoice │
            └─────────────┘
```
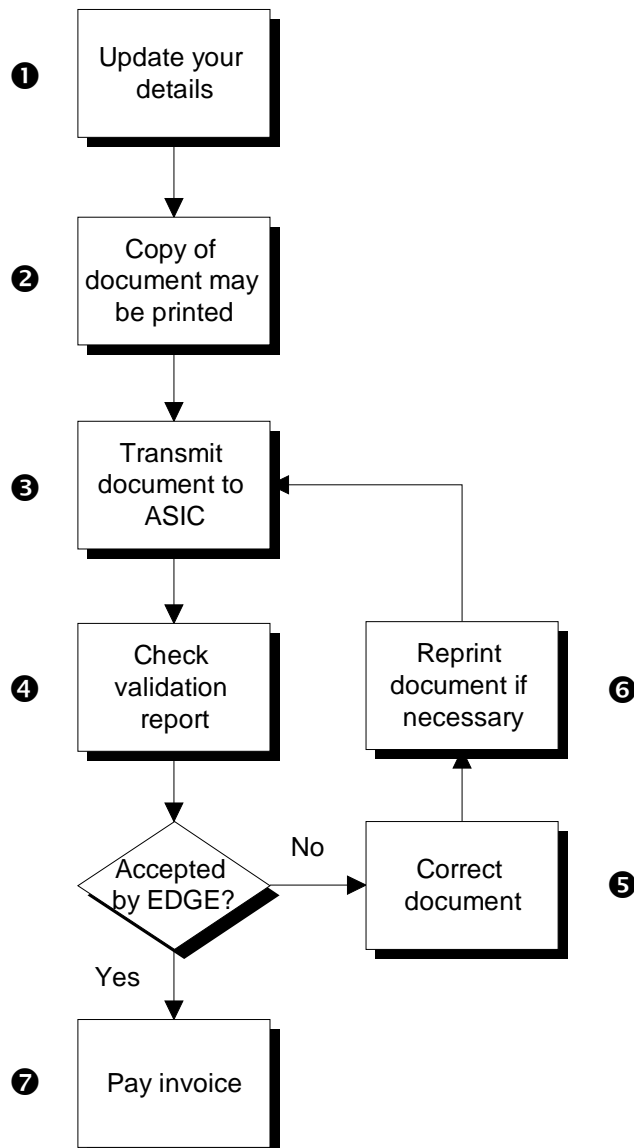
Step 1 – Update your details

Use your software to enter new or changed company details and validate them. Chapter 5 lists the validation tests your software should apply.

Step 2 – Copy of document may be printed

Some EDGE software packages enable the lodging party to print a copy of the form to be lodged. ASIC does not insist that a company keep printed copies of forms with the exception of Form 362 Appointment or cessation of a registered agent. A signed paper copy of this form must be kept and made available to ASIC if required.

Step 3 – Transmit document to EDGE

Use the documentation provided with your software for transmission procedures.

Step 4 – Check Validation Report

See Chapter 3 for how to interpret the Validation Report.

Step 5 – Correct document

See Chapter 4 for those errors that your software could not have detected in Step 1 and that cause EDGE to reject a document. Once EDGE has rejected a document, you need to correct the data before retransmitting the document.

Step 6 – Reprint document if necessary

If you keep paper copies of electronically lodged documents, a new copy of the document should be printed. You cannot correct and file the original paper document because the message trace number will now not match the one on the document accepted by EDGE. See page 9 for more on message trace numbers.

NB: For signing of Electronic Company Registration documents please refer to Chapter 8.

Step 7 – Pay invoice

When EDGE accepts your document, and if a fee applies, it sends you an invoice. Pay this immediately, using a copy of the invoice as the remittance advice.

NB: For payment of Electronic Company Registration documents please refer to Chapter 8.

Test Transmissions

Your EDGE-compliant software allows you to make test transmissions. You can use this facility to test your own administrative procedures for handling corporate registry documents. You can also use it if you have doubts about whether or not EDGE will accept a particular document.

EDGE applies all the same rules to a test transmission that it does to a real transmission, although no fees are assessed and **none** of the information contained in document(s) is retained by ASIC.

The *Validation Report* for a test transmission is clearly marked as such. If a document is shown as accepted, this means that it would have been accepted if the transmission had not been a test transmission.

Lodgement of Documents

The validation of a document through EDGE does not itself constitute lodgement. A document is lodged with ASIC only when it meets all requirements of the *Corporations Act 2001*.

If the data in a document is accepted by EDGE and is consistent with information already held on the ASCOT database, the document is legally lodged and is placed on the public record. If, however, data on the document is inconsistent with existing information, the document is transferred to your client contact team for manual inspection.

The client contact team investigates the reason(s) for any inconsistencies. If the inconsistency is minor, a team member may correct it. You will know of the correction when you use an RA17 to request a Data Amendment Report.

If the problem needs clarification, a team member will contact you. If the advice you give means that the inconsistency can legally be resolved, the team member will correct the data. Some inconsistencies may require a Form 492 or 902 to be lodged that will be attached to the original document and will form part of the public register.

The Message Trace Number

Each time you print a corporate registry document for signing, your software prints a message trace number in the margin. When you transmit the document to EDGE, your software also transmits that number. Whenever you change or correct a document, your software changes the message trace number.

To ensure that the *EDGE Electronic Lodgement Protocol* requirements are fully complied with, the message trace number on the document you transmit to ASIC should be the same as the message trace number printed on the paper document that is signed by the client. This confirms that the transmitted document is a true copy of the original.

From time to time, ASIC staff may inspect your filed copies of the original signed paper documents. They check that the message trace number you transmitted to EDGE is the same as the message trace number printed on the paper document. This confirms that the transmitted document is a true copy of the original.

Which mailbox should I use?

You can choose to transmit to either of the EDGE mailbox computers:

primary mailbox   Symbolic address **.EDGEPRIM**
secondary mailbox Symbolic address **.EDGESECD**

However, you can collect Validation Reports and responses to service requests only from the mailbox to which you transmitted the original form. See your software documentation for how to select a mailbox.

Service Times

ASIC advises lodging as early as possible, before the expiration of the prescribed lodgement period. The ASCOT mainframe computer is unavailable on Sundays for short periods of time for scheduled maintenance. At these times, you can transmit documents but Validation Reports and service requests might be delayed.

Fees Assessment

EDGE assesses fees according to the *Corporations (Fees) Regulations 2001*.

Form	Lodgement Period is:
205A Change of company name	Within 14 days after the date of meeting. A lodgement fee also applies.
370 Resignation of office holder	No prescribed lodgement period.
410B Change of name reservation	No prescribed lodgement period, but lodgement fee applies.

410F	Extension of reservation	No prescribed lodgement period, but lodgement fee applies.
484	Changes to the Registered Office Address	Within 28 days after the date of change.
484	Changes to the Principal Place of Business Address	Within 28 days after the date of change.
484	Changes to special purpose company status	Within 28 days after the date of change.
484	Changes to the Ultimate Holding Company	Within 28 days after the date of change.
484	Changes to company officers and particulars (appointments/cessations, change to officer's address or name.)	Within 28 days after the date of change.
484	Changes to share particulars (proprietary companies) Special cases are: Court orders a correction of the register Company divides shares into classes, or converts shares of a class into shares of another class Company reduces share capital	Proprietary companies must notify ASIC of changes to the register of members in most cases within 28 days of the change. As soon as possible. Within 14 days of the division or conversion. Within 14 days after the resolution to reduce share capital is passed.
484	Changes to share particulars (public companies)	Public companies must notify ASIC of changes to share structure between the date of their last company statement and the date of the current company statement. This notification must be made within 28 days of the date of issue of the annual company statement.
485	Statement in relation to company solvency	
489	Change of registered office address in Australia of registered body	Within 7 days of the date of change.
489	Change of address in place of origin of registered body	Within 1 month of the date of change.
489	Change of office hours of registered body	Within 7 days of the date of change.
490	Change of officeholders of registered body	Within 1 month of the date of change.
492	Notification of corrections	No prescribed lodgement period.
902	Notification of supplementary information	No prescribed lodgement period.
6010	Application for voluntary deregistration of a company	No prescribed lodgement period, but lodgement fee applies.

A first late fee applies if lodgement is made within one month after the prescribed lodgement period.
A second late fee applies for lodgements made after one month late.

Addresses

ASIC uses the Australia Post Postal Address File (PAF) to validate addresses. An alternative name for this file is AMAS - Address MAnagement System. This file contains the official address details

of any particular delivery point in Australia; it does not include the name, or any other personal details, of any person or company that lives at or uses that address.

Inconsistencies between the address provided and those on the PAF may be due to a simple error such as misspelt street names, street types or locations or incorrect street types (eg Smith Court instead of Smith Crescent). These discrepancies will be automatically updated.

Incorrect or nonexistent locations can be supplied as a result of changes to council boundaries or when people move into a new housing development and continue to use the real estate developer's name for the development rather than the official place name for the town or suburb. Incorrect postcodes or street names that do not exist in the location provided or in any neighbouring location are also an issue. If the PAF can determine the correct location this information will also be automatically updated, otherwise the address will require clarification.

Please note that corner addresses (eg. corner of A & B Streets) are no longer acceptable. The street number and name must be provided.

EDGE lodging parties can check the data recorded by ASIC by lodging a Form RA71 *Request For Company Details*.

For more details about PAF/AMAS, see the Australia Post website at www.auspost.com.au/futurepost

Chapter 3 – EDGE reports

The Validation Report

The *Validation Report* lists the documents that were received by the EDGE mailbox. It shows which documents were accepted and which were rejected.
The basic report layout transmitted by ASIC is shown below. Your software might re-format this layout.

❶
```
ASIC//21.02.2003
VALIDATION REPORT NUMBER //VALID_ss.nnn
```

❷
```
Pierce Deare//12999
XYZ ST, CANBERRA, ACT 2600
```

❸
```
TRANS NO.  50001554
DATE/TIME: 21.02.2003  10:37:32
```

❹
```
SENT       3
RECEIVED   3
ACCEPTED   2
```

❺
```
**E01 Warning - number sent not the same as number received  **
-AND/OR
**E02 Warning - more than 99 documents received. nn not processed**
-OR
**E03 Warning - no documents received              **
```

❻
```
DOCUMENTS REJECTED
002//484//000 403 361//LOMBIRD HOLDINGS PTY LTD//1234568
Item 0a//ZDC//BROWN ROBERT , JOHN ,
V165 Signing officer name must match office holder name
Item 06b//ZSD//20030228
V002 Date must not be later than date declaration signed
    Item 00c : 20030210
    CITIZEN JOHN , RALPH ,
Item 06k//ZOF//PEO
V299 Must be DIR, SEC or ALT
    Item 06c : SHAW RHODA ,
```

❼
```
DOCUMENTS ACCEPTED
001//484//0E0009574//00 403 350//LOMBONE LOVE PTY LTD//1234567
003//484//0E0009576//00 403 372//LOMBARD LINE PTY LTD//1234569
```

❽
```
**E10 End of validation report**
-OR-
**E20 Warning - This report is not complete - call ASIC**
```

The report has 9 sections:

❶ **Header information** identifying the Validation Report. If the report is validating a test transmission, then [TEST TRANSMISSION] also appears.

❷ **Agent identification details**. If any details are incorrect, inform your EDGE client contact team.

❸ **Transmission identification** including the date and time (in Sydney) the original transmission was received by the EDGE Mailbox.

❹ **Document totals** showing the number of documents sent, received, and accepted.

SENT means the number of documents transmitted. This number is taken from the TXID file generated by your software.
RECEIVED means the number of documents received by ASIC. This should be the same as the number SENT.
ACCEPTED means the number of documents accepted for lodgement. Documents accepted are described in section 7 below. The difference between the number RECEIVED and the number ACCEPTED is the number of documents that have been rejected - see section 6 below.

❺ **Warning messages**. If you receive any of the three warning messages illustrated, you should investigate the cause.

❻ **Documents rejected** shows the reasons why EDGE rejected a document.

| **Header** | ```
DOCUMENTS REJECTED
002//484//000 403 361//LOMBIRD HOLDINGS PTY LTD//1234568
Item 0a//ZDC//BROWN ROBERT , JOHN ,
V165 Signing officer name must match office holder name
Item 06b//ZSD//20030228
V002 Date must not be later than date declaration signed
     Item 00c : 20030210
     CITIZEN JOHN , RALPH ,
Item 06k//ZOF//PEO
V299 Must be DIR, SEC or ALT
     Item 06c : SHAW RHODA ,
``` |

Line 1
Line 2
Line 3

The rejection header shows the sequence of the document in your transmission, the form type, the ACN, the company name and the message trace number.

For each rejection reason there are at least two lines. A message that explains the rejection is on the second line. If you do not understand the message:

- Use the message number (V002) to check if the message is listed in Chapter 4 in which you will find additional explanation and references to notes in Chapter 6.
- Check Line 1 to see the item number (06b) on the form and the data you transmitted (20030228). Note that all dates are shown in the format yyyymmdd. If necessary, use Chapter 7 to check that you have properly understood the data that was required.
- Check line 3. If it exists, it contains the item number (00c) and a value (20030210) of another data item involved in a comparison that had an invalid result.

In the example above, a change was made to the company record by appointment of

office holder John Ralph Citizen. However the date of this change, 28 February 2003, is later than the date the form was signed, 10 February 2003.

If the message number is not in Chapter 4, then it will be in Chapter 5. Validation tests listed in Chapter 5 should all be performed by your software before you transmit a document.

❼ **Documents accepted** shows the sequence number, form type, document number company identification and message trace number of all accepted documents.

❽ If the report does not terminate with **E10 – End of Validation Report** contact your EDGE client contact team as you have not received your complete validation report.

Note: If you have difficulty retrieving your outbound files, which include Validations, Invoices and Reports, please try logging out and then back in to the transmission application and refer to your Software Manual. If you are still unable to retrieve your files please contact your software help desk.

Form 480 – Annual Statement

Within 14 days of a company's Review Date, ASIC will provide to the company an Annual Statement. This is comprised of a Statement of Details and an Invoice/Statement. The company's Review Fee Invoice will be included in the Invoice/Statement. The issuing of an annual Statement may, in exceptional circumstances, occur more than once each financial year. For example, if a company Review Date is changed with ASIC approval.

The Annual Statement is delivered as a single PDF file. On receipt, the Invoice/Statement may be viewed and printed. Payments must be made using the payment methods described in the Invoice/Statement.

RA18 – Data amendment report

EDGE provides an RA18 – *Data amendment report* – in response to your lodgement of an RA17 – *Request for data amendment report*.

For each company for which you have lodged a Form 361 – *Address for service of Annual Return* – EDGE provides details of all amendments made by ASIC staff to the data contained in all forms lodged for the company.

The report covers the period from the date you specified in your RA17 to the working day immediately preceding the date you lodge your RA17.

Use this information to correct minor errors in your own corporate records.

RA55 – Company registration advice

The RA55 is provided in response to the lodgement of Form 201 Application for registration as an Australian company. Details of the company you have registered plus details of the invoice raised

is shown on an RA55. If you requested electronic delivery of the Certificate Of Registration, then the RA55 will also contain the Postscript or .PDF print stream containing the Certificate.

RA56 – Advice of ASIC processing status

You will receive advice on an RA56 of the processing status of a company registration document.

For a Form 201, if the Form 201 is fully processed automatically, then no RA56 will be produced. Instead an RA55 will advise you of the registration. If the Form 201 cannot be fully processed automatically then an RA56 will be prepared to advise that the document will be manually processed.

For an ECR Form 410, one or more RA56 will be produced, advising you of the acceptance or rejection of your name reservation application, and any manual processing which may be required.

RA57 – Agent account transaction listing

An RA57 is prepared in response to an RA52 requesting a list of transactions for a specified period within the last three months. The RA57 enables ECR lodgers to reconcile the lodgement of particular documents with the payments for those documents. Matching the reference number that appears on the RA55 and RA56 with the reference number on the RA57 can do this. Where applicable, the ACN of the company for which the transaction was made also appears on the report.

RA59 – X.509 certificate authorities list

An RA59 is prepared in response to an RA58 requesting a list of the certificates authorised for use by your registered agent number.

RA62 – Review date report

The RA62 is prepared in response to lodgement of an RA61. It provides a list of companies linked to an agent and shows the review date for each. When requesting the report, the agent may request the information for all companies or they may request the report for companies whose review date falls within a specified date range.

RA64 – Review date report

The RA64 is prepared in response to lodgement of an RA63. Form 362 must already link the company to the registered agent. The following details appear on the report:

- Total debt;
- Debt now due;
- Future debt due;
- Debt broken down by blocks of overdue by 0-30 days, 31-60 days, 61-90 days and 90+ days;
- Recent payments made but not yet allocated to aged debt will appear as credits in the 0-30 block
- If the company has no total debt, debt now due or future debt a message saying the company "has no debt recorded at the time this report was generated" will appear; and

- A disclaimer saying:
  "Please note: Payments received during the current business day may not have been allocated to the relevant aged debt item(s) at the time of extraction of data for this report. In these cases the payment will be shown as a credit in the 0-30 column until allocated."

RA66 – Documents lodged report

The RA66 is prepared in response to lodgement of an RA65. It shows details of documents lodged for a specified company. Form 362 must already link the company to the registered agent.

RA68 – Review date report

The RA68 is prepared in response to lodgement of an RA67. Form 362 must already link the companies to the registered agent. The following details appear on the report:

- Total debt;
- Debt now due;
- Future debt due;
- Debt broken down by blocks of overdue by 0-30 days, 31-60 days, 61-90 days and 90+ days;
- Recent payments made but not yet allocated to aged debt will appear as credits in the 0-30 block
- If no companies linked to the agent have total debt, debt now due or future debt a message saying "no debt recorded at the time this report was generated" will appear; and
- A disclaimer saying:
  "Please note: Payments received during the current business day may not have been allocated to the relevant aged debt item(s) at the time of extraction of data for this report. In these cases the payment will be shown as a credit in the 0-30 column until allocated.

  An agent may be subject to a maximum of two RA67 requests per day"

RA72 – Company data download

ASIC provides the company data download facility to assist you to load company records into your corporate registry database. EDGE extracts this company data from ASIC's ASCOT database, which reflects the data captured from documents lodged with ASIC. ASIC does not warrant the completeness or accuracy of this data.

The data download facility in no way alters your obligations under the *Corporations Act 2001* to maintain complete and accurate company registers.

EDGE makes an RA72 available for each company you nominated on an RA71 – Request for company details – provided that a Form 362 – Appointment or cessation of registered agent by a company – has been lodged for the company.

Consult the documentation provided with your software for details of how to load the data from an RA72 into your corporate registry database.

RC05 – ASIC-generated correspondence and Direct Debit payment advice

Whenever ASIC needs to communicate with lodging parties for the purpose of delivering requisition notices, letters, confirmations and bulletins, an RC05 message is created. The correspondence will be contained in a PDF file that your EDGE-compliant software will present to you.

The RC05 is also used to respond to lodgement of a Form 410B or 410F (whether these forms are lodged through EDGE or ECR) and Form 205A. For these forms the PDF attached to the RC05 provides data on the status of the application to change or reserve name.

When a lodging party chooses to pay the fee on Form 205A, 410B, 410F or 6010 by direct debit, an acknowledgement that this amount will be debited from the agent's account is provided on a PDF that is attached to an INV message.

Lodgement of other form types that may create a debt, or lodgement of Form 205A, 410B, 410F or 6010 where payment is not by direct debit, will cause a paper invoice to be issued to the agent according to ASIC's invoice cycle.

Chapter 4 – Mailbox validation tests

This chapter lists those validation tests that the EDGE mailbox computer applies to each document you transmit. Your EDGE-compliant software did not previously apply these tests because they need to compare data with ASIC records.

If EDGE rejects a document because it has failed one of these tests, it shows the test reference number and the appropriate message on your *Validation Report*.

The notes column refers to further detailed information in Chapter 6. This explains the reasons for the tests and often refers to the relevant section of the *Corporations Act 2001* or associated Regulations.

If your document is rejected by a test in the range X001 to X030, consult your Digital Service Provider (DSP) or your EDGE client contact team. Your document is in an incorrect electronic format for transmission.

Test	Message	Explanation	Notes
V002	See Chapter 5		
V004	See Chapter 5		
V005	Date must not be before company registration date	The date cannot be before company registration.	
V006	See Chapter 5		
V007	See Chapter 5		
V011	See Chapter 5		
V015	See Chapter 5		
V017	Not in correct status to lodge this form	If the company is currently registered, call your EDGE client contact team	N095
V019	Not a version of EDGE software currently supported by ASIC	Your software has transmitted an invalid EDGE version. Contact your DSP	
V024	Software not authorised for this document type	You have transmitted a form of a type not authorised by ASIC for your software. Contact your DSP	
V025	Company type must be APUB or APTY	The company must be either an Australian public or an Australian proprietary company	N072
V026	Company type must match ASIC records	The company type is not the same as that on ASIC records	
V027	See Chapter 5		
V030	This Type/Class/Sub class/ combination is not valid	Only a valid combination of company type, class and subclass is allowed	N073
V032	See Chapter 5		
V033	See Chapter 5		

V036	See Chapter 5		
V037	See Chapter 5		
V038	See Chapter 5		
V040	See Chapter 5		
V041	See Chapter 5		
V042	Invalid EDGE software registration number	Your software is not currently registered as EDGE-compliant. Contact your Digital Service Provider.	
V043	See Chapter 5		
V044	Registered agent not valid for this EDGE user ID	You are using the wrong EDGE user ID for the agent number	
V045	See Chapter 5		
V050	ACN/ARBN does not exist	ASIC has not allocated this ACN to any company	N004 N076
V051	See Chapter 5		
V057	Duplicate transmission of earlier document	EDGE has already accepted an exact match of this document	
V058	See Chapter 5		
V059	See Chapter 5		
V066	See Chapter 5		
V075	See Chapter 5		
V076	See Chapter 5		
V079	See Chapter 5		
V080	See Chapter 5		
V085	See Chapter 5		
V086	See Chapter 5		
V087	See Chapter 5		
V090	See Chapter 5		
V091	See Chapter 5		
V094	See Chapter 5		
V097	ACN/ARBN does not match company name	You must use the exact name on ASIC records	
V099	See Chapter 5		
V100	See Chapter 5		
V101	See Chapter 5		
V103	See Chapter 5		
V104	See Chapter 5		
V109	See Chapter 5		
V110	See Chapter 5		
V117	See Chapter 5		
V118	See Chapter 5		
V122	See Chapter 5		
V129	See Chapter 5		
V131	See Chapter 5		
V137	See Chapter 5		
V145	Must be at least 3 directors for a public company	Public companies must have at least 3 directors, at least 2 of whom must be Australian residents	

V146	Must be at least one Australian resident director for a proprietary company	Proprietary companies must have at least one Australian resident director	N050
V147	Must be at least one current secretary resident in Australia for a public company	Public companies must have at least one Australian resident secretary	N050
V153	See Chapter 5		
V157	See Chapter 5		
V162	See Chapter 5		
V163	Must be within 6 months of signing for electronic lodgement	You cannot use EDGE if six months have elapsed since signature. Lodge on paper	
V164	See Chapter 5		
V165	Signing officer name must match office holder name	The person signing the form is not recorded by ASIC as a current officer of the company	
V166	See Chapter 5		
V168	See Chapter 5		
V169	See Chapter 5		
V172	See Chapter 5		
V174	Document, date lodged, form code and company do not match ASIC records	You have incorrectly defined the previously lodged document you are trying to amend	
V175	See Chapter 5		
V176	See Chapter 5		
V189	See Chapter 5		
V193	Liquidator appointed to this company, please lodge the paper document	You cannot use EDGE to lodge this document if a liquidator is appointed	N107
V197	See Chapter 5		
V198	Roles held by organisations must already be recorded on the ASIC database	You cannot appoint an organisation to a new role	N079
V199	See Chapter 5		
V200	See Chapter 5		
V201	See Chapter 5		
V203	Not in correct status or type to be an agent	ASIC records show that this company is either de-registered or is not an Australian Public (APUB) or Proprietary (APTY) company	N095
V205	See Chapter 5		
V219	See Chapter 5		
V228	See Chapter 5		
V229	See Chapter 5		
V230	See Chapter 5		
V231	See Chapter 5		
V232	See Chapter 5		

V234	See Chapter 5		
V235	See Chapter 5		
V236	See Chapter 5		
V237	See Chapter 5		
V239	See Chapter 5		
V246	See Chapter 5		
V247	See Chapter 5		
V253	See Chapter 5		
V258	Must not be completed if limited by guarantee	Issued shares and options must not be entered for companies limited by guarantee	
V261	See Chapter 5		
V262	See Chapter 5		
V263	See Chapter 5		
V265	See Chapter 5		
V266	See Chapter 5		
V268	See Chapter 5		
V269	See Chapter 5		
V270	Must match reservation details on ASCOT	Details of the proposed company must already be recorded by ASIC	
V271	Company name and type/class/subclass must match reservation details	Details of the proposed company must already be recorded by ASIC	
V272	See Chapter 5		
V273	See Chapter 5		
V274	See Chapter 5		
V275	No current reservation exists for this reservation number, name and expiry date	Check that you are using the correct reservation number, name and expiry date	
V276	See Chapter 5		
V277	See Chapter 5		
V279	See Chapter 5		
V280	See Chapter 5		
V282	See Chapter 5		
V283	See Chapter 5		
V284	See Chapter 5		
V285	See Chapter 5		
V286	See Chapter 5		
V288	See Chapter 5		
V291	See Chapter 5		
V292	See Chapter 5		
V293	See Chapter 5		
V294	See Chapter 5		
V295	See Chapter 5		
V296	See Chapter 5		
V297	See Chapter 5		

V298	See Chapter 5		
V299	See Chapter 5		
V300	See Chapter 5		
V301	See Chapter 5		
V302	See Chapter 5		
V303	See Chapter 5		
V304	See Chapter 5		
V307	See Chapter 5		
V308	See Chapter 5		
V310	See Chapter 5		
V315	See Chapter 5		
V316	Must match an unprocessed Form 201 lodged by this agent	The Form 201 to be withdrawn has already been fully processed	
V317	See Chapter 5		
V320	See Chapter 5		
V321	See Chapter 5		
V322	See Chapter 5		
V323	See Chapter 5		
V324	See Chapter 5		
V325	Use of this PIN not valid for this agent	Check that the PIN you are using is correct	N131 N137
V326	Must match ASCOT values	Details of the company name to be changed do not match details held by ASIC	
V327	See Chapter 5		
V328	See Chapter 5		
V329	Must match registered business name on ASCOT	The business name you are using does not match the name on ASIC's records	
V332	See Chapter 5		
V333	See Chapter 5		
V334	See Chapter 5		
V335	See Chapter 5		
V336	Only listed companies may leave this blank	You must complete whether the shares are beneficially held or not	N116
V337	Agent not authorised for company registration documents	Agent not authorised to lodge company registration (ECR) documents	
V338	Funds not in place to pay for lodgement	Funds not in place to pay for lodgement. Check the status of your direct debit or direct credit account	
V339	See Chapter 5		
V340	See Chapter 5		
V341	See Chapter 5		
V342	See Chapter 5		
V343	See Chapter 5		
V345	See Chapter 5		
V346	See Chapter 5		

V348	See Chapter 5		
V349	At least one current secretary must reside in Australia	If one or more secretaries are appointed, at least one of those secretaries must reside in Australia	N050
V350	See Chapter 5		
V354	See Chapter 5		
V355	See Chapter 5		
V360	See Chapter 5		
V361	See Chapter 5		
V362	See Chapter 5		
V363	See Chapter 5		
V364	See Chapter 5		
V365	See Chapter 5		
V366	See Chapter 5		
V369	See Chapter 5		
V370	See Chapter 5		
V375	See Chapter 5		
V376	See Chapter 5		
V379	See Chapter 5		
V381	Changes to protected addresses must be notified on paper	An officer with approval to use an alternate address cannot change that address on Form 484	N145
V382	A protected address must not be used	An officer with approval to use an alternate address must not provide their suppressed address	N145
V387	Review date must match ASIC record	The company's review date does not match the review date recorded by ASIC	
V388	See Chapter 5		
V389	See Chapter 5		
V390	See Chapter 5		
V393	See Chapter 5		
V394	See Chapter 5		
V395	The address override may only be used for certain addresses	Only addresses that cannot be validated may be overridden	
V396	Must be a current ABN on the Australian Business Register	The Australian Business Number entered does not match an entry on the Australian Business Register	
V398	Form 902 can only amend documents under requisition	Form 902 can only be used to amend documents under requisition	N168
V399	Form 492 can only amend documents that are fully processed	Form 492 can only be used to amend documents that are fully processed	N168
V400	Must match existing share class	Shares to be cancelled must already exist on ASIC's record	

V401	Number of shares cancelled must not exceed number of shares on issue	Number of shares cancelled must not exceed number of shares on issue	
V402	See Chapter 5		
V404	See Chapter 5		
V405	See Chapter 5		
V407	New address must not be the same as the existing address	The new registered office or principal place of business address must not be the same as the existing address on ASIC's record	
V409	See Chapter 5		
V410	New Ultimate Holding company must not be the same as the existing UHC	The new Ultimate Holding company must not be the same as the existing UHC on ASIC's record	
V413	New role must not be the same as an existing role	A newly-appointed director, secretary or alternate director must not be the same as an existing role	
V414	Name and birth details of officer do not match	When changing name or address or ceasing an officeholder, the name and birth details of the officer do not match ASIC's record	
V415	Name of director for whom alternate is acting must be a newly-appointed or existing director	Name of director for whom alternate is acting must be a newly-appointed or existing director	
V416	See Chapter 5		
V417	See Chapter 5		
V418	See Chapter 5		
V419	See Chapter 5		
V420	See Chapter 5		
V421	ACN/ARBN does not match company name or type	Name or ACN/ARBN of Ultimate Holding Company is invalid	
V424	See Chapter 5		
V425	See Chapter 5		
V426	See Chapter 5		
V429	See Chapter 5		
V431	See Chapter 5		
V432	See Chapter 5		
V433	See Chapter 5		
V434	See Chapter 5		
V435	See Chapter 5		
V436	See Chapter 5		
V443	See Chapter 5		
V444	Australian address failed to pass matching rules for the Postal Address File	Australian address failed to pass matching rules for the Postal Address File	

V445	Ultimate Holding Company name must match existing Ultimate Holding Company	When ceasing the Ultimate Holding Company, the name of the company must ASIC's record	
V446	Cease date must be after start date of current Ultimate Holding Company	When ceasing the Ultimate Holding Company, the date of cessation cannot be prior to the start date on ASIC's record	
V447	See Chapter 5		
V448	See Chapter 5		
V449	See Chapter 5		
V450	See Chapter 5		
V451	See Chapter 5		
V452	See Chapter 5		
V453	See Chapter 5		
V454	See Chapter 5		
V455	See Chapter 5		
V456	Agent not authorised by Form 362 to access this company	Agent not authorised by Form 362 to access this company	
V457	See Chapter 5		
V458	A company licensed to omit limited from its name may be a superannuation trustee company	A company licensed to omit limited from its name may not have a special purpose type of "home unit" or "non-profit"	
V459	See Chapter 5		
V460	Company not already entitled to concessional fee	A company not already entitled a to concessional fee cannot cease to be entitled a to concessional fee	
V461	ACN/ARBN does not match organisation name or type	Ultimate Holding company name and ACN/ARBN do not match	
V462	See Chapter 5		
V467	See Chapter 5		
V468	See Chapter 5		
V471	Form 2560 must be received before this capital reduction can be processed	Form 2560 must be received before this capital reduction can be processed	N161
V474	Form 280 or 281 must be received before this share buy-back can be processed	Form 280 or 281 must be received before this share buy-back can be processed	N162
V476	Name and birth details of officer do not match	The name and birth details of a ceasing officer must match an existing officer on ASIC's record	
V477	See Chapter 5		
V478	See Chapter 5		
V479	See Chapter 5		
V480	See Chapter 5		
V481	See Chapter 5		
V482	See Chapter 5		

V483	See Chapter 5		
V484	See Chapter 5		
V485	Change in share details does not match number of shares issued	The change in share details must match the difference between the new share structure and the existing share structure	
V486	Class code must already be defined	The class of cancelled shares must match an existing share class on ASIC's record	
V487	Class code must already be defined	Details of shares issued or cancelled must already be defined.	
V490	New member details must not be the same as the existing details	A new member name and holding details must not be the same as the details of an existing member on ASIC's record	
V491	Name of member does not match	When changing the details of a member, no match can be found with an existing member on ASIC's record	
V492	See Chapter 5		
V493	Public companies must state whether the 484 is a response to the annual statement	Public companies must state whether the 484 is a response to the annual statement when share details are amended	
V494	See Chapter 5		
V495	See Chapter 5		
V496	See Chapter 5		
V497	See Chapter 5		
V498	See Chapter 5		
V499	See Chapter 5		
V500	See Chapter 5		
V501	See Chapter 5		
V502	See Chapter 5		
V503	Two RA67 reports have already been submitted today	Agents may only request two RA67 reports on any calendar day	N171
V504	See Chapter 5		
V505	No annual statement package despatched electronically to this agent for this company in the last 60 days	Redespatch of an annual statement can only be requested from an RA71 when the original annual statement was issued electronically in the last 60 days	
V506	Total amount paid and unpaid must be completed	The total amount paid and unpaid must be entered for all members unless the member is ceasing	
V507	Share structure and member details must be completed when notifying the issue or cancellation of shares	When proprietary companies are notifying the issue or cancellation of shares, the updated share structure and member details must be completed	

V508	Amendments to member details must be completed when the share structure has changed	When proprietary companies are notifying the issue or cancellation of shares, details of the updated share structure and member details must be completed	
V509	Share structure details must be completed when notifying the issue or cancellation of shares	When public companies are notifying the issue or cancellation of shares, details of the updated share structure must be completed	
V511	See Chapter 5		
V512	See Chapter 5		
V513	Most recent former name must be the first listed	When changing the name of a company officer, all former names of the officer must be provided. The most recent former name must be listed first on the form 484	
V514	See Chapter 5		
V515	See Chapter 5		
V516	See Chapter 5		
V517	See Chapter 5		
V518	See Chapter 5		
V519	Do not provide changes to member details for public companies	From 1 July 2007 public companies no longer need to notify ASIC of their members in each share class as part of their annual review. This change is a result of the implementation of the Simpler Regulatory System (SRS) Bill Package that includes Corporations Amendment Regulations 2007 (No. 5)	
V520	See Chapter 5		
V521	See Chapter 5		
V522	Not in correct status to lodge this form	The form cannot be lodged because the company is not in a status of "registered"	
V523	Lodge on paper as there is a record of legal proceedings against company	The Form 6010 must be lodged on paper as ther eare legal proceedings against this company	N177
V524	Company has outstanding fees and penalties	The Form 6010 cannot be lodged as it has outstanding fees and penalties	N178
V525	See Chapter 5		
V526	Agent not authorised for Direct Debit	The form cannot be paid by Direct Debit as the agent is not authorised to pay by Direct Debit. See the ASIC website www.asic.gov.au for details of how to pay by Direct Debit	N179
V527	See Chapter 5		
V528	The applicant must be a current director or alternate director of the company	The applicant for deregistration must be either a current director or alternate director of the company	
V529	See Chapter 5		
V530	See Chapter 5		
V531	See Chapter 5		

V532	The signatory must be a current officer of the applicant company	The signatory must be a current officer of the company applying for deregistration	N180
V533	See Chapter 5		
V534	See Chapter 5		
V536	See Chapter 5		
V537	See Chapter 5		
V538	See Chapter 5		
V539	See Chapter 5		
V540	See Chapter 5		
V541	See Chapter 5		
V542	See Chapter 5		
V543	See Chapter 5		
V544	See Chapter 5		
V545	See Chapter 5		
V546	See Chapter 5		
V547	See Chapter 5		
V548	See Chapter 5		
V549	See Chapter 5		
V550	Must be a current officer of the company changing name	The signatory must be a current officer of the company applying to extend a reservation for change of name	
V551	See Chapter 5		
V999	Other rejection reason	ASIC may need to introduce new edits without the advance notice of a new version of the specification. V999 will enable this. Where a V999 edit is invoked, we expect to provide sufficient additional lines of information to make the cause of the error obvious to the lodging party	N160
X001 to X030	Various messages that refer to an invalid file format.	Make a note of the test number and refer to your Digital Service Provider (DSP) if you receive any rejections from the EDGE mailbox that refer to these validation tests	

Chapter 5 – Software validation tests

This chapter lists those validation tests that your EDGE-compliant software should apply before you transmit a document to EDGE. You should resolve all errors revealed by these tests before you attempt to transmit the document. Consult the documentation provided with your software.

The notes column refers to further detailed information in Chapter 6. Notes explain the reasons for the tests and often refer to the relevant section of *Corporation Law* or associated Regulations.

The EDGE mailbox computer re-applies these validation tests when it receives your document. If EDGE rejects a document due to a validation test in this chapter, you should consult the documentation provided with your software or contact your Digital Service Provider (DSP).

Test	Message	Explanation	Notes
V002	Date must not be later than date declaration signed	The date of change on the form cannot be later than the date the form was signed	
V004	Must be 18 years or older at date of appointment	A company officer must be at least 18 years old at the date of appointment	N071
V005	See Chapter 4		
V006	Must be (Y)es	"Yes" is the only valid answer to this question	
V007	Must not be the same as company lodging document.	A company cannot be the Ultimate Holding Company of itself, nor can it be a director of itself	
V011	Must be DIR or SEC	Officer role must be either Director or Secretary	N041
V015	2nd given name must be entered before 3rd given name	When entering a person's name, the second given name cannot be blank if a third given name is present	
V017	See Chapter 4		
V019	See Chapter 4		
V024	See Chapter 4		
V025	See Chapter 4		
V026	See Chapter 4		
V027	Company class must be a valid code	The class of the proposed company is not valid	N005
V030	See Chapter 4		
V032	Invalid date	The format of the date is not valid	
V033	Not a valid State code	Not a valid code for an Australian state	N014
V036	Country must be entered	A country name must be entered	
V037	Name of occupier required if company is not the occupier	If the company does not occupy the registered office address, the name of the occupier must be provided	N024

V038	Occupier's consent required if company is not the occupier	The consent of the occupier of the registered office address must be given if the company does not occupy the address	N024
V040	An Australian address is required for this field	A valid Australian address is required	N014
V041	Hours open are less than 3 hours between 9 am and 5 pm	The registered office must be open for at least three hours between 9am and 5pm each business day	N052
V042	See Chapter 4		
V043	Time closes must be after time opens	The closing time must be after the opening time	
V044	See Chapter 4		
V045	Date cannot be before appointment date	Cessation date of officer must not be before the appointment date	
V050	See Chapter 4		
V051	ACN/ARBN is not valid	The check digit of the ACN or ARBN has been calculated incorrectly	
V057	See Chapter 4		
V058	Invalid time	An invalid time has been entered	
V059	Office holders must be in alphabetic sequence of name	Officeholders must be listed alphabetically by family name then given names	N086
V066	Birth details should be entered for persons	The date and place of birth must be provided for all officers who are persons	
V075	Either person or organisation details must be entered	If the officer is not an organisation, personal name details must be entered	
V076	Either person or organisation details must be entered	If the officer is not a person, organisation details must be entered	
V079	This status is not valid	The status of the officer is not valid	N078
V080	Must be completed if name has changed	The former name must be entered if the officer's name has changed	
V085	Member details must be completed unless the company is limited by guarantee	Details of issued shares or shareholding members of the company must not be provided when the company is limited by guarantee	
V086	Birth details must not be entered for an organisation	Birth details must not be entered when the officer is an organisation	
V087	Class codes cannot be duplicated	Share class codes must only be used once	
V090	Cease date only allowed if office holder has ceased	Only provide a cease date if an officer has ceased	N169
V091	If entered, must be Y or N	Only a Yes or No answer is acceptable	

V094	Must be (Y)es or (N)o if company type is APUB	Public companies must answer whether they are to be governed by a constitution and whether any shares have been issued for a non-cash consideration	
V097	See Chapter 4		
V099	Only enter this field if officeholder is an organisation	The ACN/ARBN of the officer can only be entered when the officer is an organisation	
V100	Either person or organisation details must be entered	If the member is not an organisation, personal name details must be entered	
V101	Either person or organisation details must be entered	If the member is not a person, organisation details must be entered	
V103	Effective date needed for change of name and/or address	The date an officeholder's name or address changed must be entered	
V104	Effective date must not be before date of appointment	The date an officeholder's name or address changed must not be before the date of appointment	
V109	Either person or organisation details must be entered	If the member is not an organisation, personal name details must be entered	
V110	Either person or organisation details must be entered	If the member is not a person, organisation details must be entered	
V117	Date must not be a future date	The date of signing must not be later than today	
V118	Ceased date must be entered	If an officer is ceasing the date of cessation must be entered	
V122	Do not complete if premises occupied by company	Do not complete the occupier's details if the company occupies the registered office address	
V129	Organisations can only be directors	Organisations can only be directors of Australian companies	
V131	If born in Australia, then state code must be entered	A valid state code must be entered when an officer was born in Australia	N069
V137	Do not complete unless a person's name has changed	Former name must not be completed unless the officer's name has changed	
V145	See Chapter 4		
V146	See Chapter 4		
V147	See Chapter 4		
V153	Former name must not equal current name	When changing an officer's name the former name must not be the same as the current name	
V157	Enter both location and state if born in Australia	When an officer was born in Australia both the town and state of birth must be entered	
V162	Action must be A (add) or C (cease)	Companies can only add or cease an agent on form 362	
V163	See Chapter 4		

V164	Must be signed by DIR, SEC, ALT or agent	The form must be signed by a director, secretary, alternate director or agent	N096
V165	See Chapter 4		
V166	902s amending paper documents must be lodged on paper	902s amending paper documents must be lodged on paper	N111
V168	Enter both state and postcode for Australian address	Australian addresses must include both a state and a postcode	
V169	Do not enter country for Australian addresses	Do not enter the country name when entering Australian addresses	
V172	Invalid combination of forms in combined transmission	Only certain form types can be combined in a transmission. For example, 201s and 484s cannot be lodged in the same transmission	
V174	See Chapter 4		
V175	Must be signed by agent	The form must be signed by an agent	
V176	Must enter full name (no initials)	Initials are not allowed in a personal name	
V189	Officeholders must be in alphabetic sequence within groupings of cessations, appointments and changes	Officeholders must be listed alphabetically (family name then given names) sequence within groupings of cessations, appointments and changes	
V193	See Chapter 4		
V197	Must be a natural person if new office holder	New officers must be natural persons, they cannot be organisations	
V198	See Chapter 4		
V199	Must show officer's address for new or continuing officeholders	The officer's address must be included unless the officer is ceasing	
V200	Only notify changes to director on this form	The role of the officer being appointed, ceased or amended on form 490 must be Director	
V201	Show classes in alphabetic order within type of issue	Share classes must be listed in alphabetic order	
V203	See Chapter 4		
V205	Must not be more than six months in the future for electronic lodgement	The date of change of the registered office must not be more than 6 months after today's date	
V219	Must be greater than zero	When issuing or cancelling shares, the number issued or cancelled must be greater than zero	
V228	ACNs must be in ascending numerical sequence	List the companies that are ceasing to be represented by the agent in ascending numerical order	
V229	A company must appear only once on the document	A company must appear only once on the form 361	
V230	Do not advise unchanged continuing officers	Do not advise unchanged continuing officers on form 484	

V231	Document number for electronically lodged documents require character 1 and characters 3 to 9 to be numeric	Document numbers for electronically lodged documents must include a letter as the second character	N111
V232	Must show appointment date for new officeholders	When appointing new officers the appointment date must be provided	
V234	Effective date only applicable for change of name and/or address	Only provide the effective date when changing the name or address of an officer	
V235	Officeholder status must = NO	Officers can only cease on a form 370	
V236	Annexure type must be 370L	The annexure on form 370 must be type 370L	
V237	Signatory details must equal resigning officer details	The signatory on the form 370 must be the officer resigning	
V239	Amending form cannot be lodged against this document	A form 492 or 902 cannot be lodged against this document	
V246	More than 99 documents in transmission	There is a limit of 99 documents in any one transmission	
V247	Please complete this field	Data must be included in this field	
V253	The Form 902 cannot be signed before the amended document was lodged	The Form 902 cannot be signed before the amended document was lodged	
V258	See Chapter 4		
V261	Birthdate must be at least 18 years before the date of signing	Officers must be at least 18 years old when appointed	
V262	Do not enter former names	Former names of an officer must only be entered when being appointed or when changing name	
V263	Do not enter appointment date	Appointment date must only be entered when appointing an officer	N169
V265	Do not enter opening hours if using standard hours	If the registered office is open during standard office hours, do not enter the opening hours	
V266	Total opening time must amount to at least 3 hours between the times of 0900 and 1700	The registered office must be open for at least 3 hours between 0900 and 1700	
V268	Must be entered for companies limited by guarantee	Non-shareholding members must be entered on form 201 for a company limited by guarantee	
V269	Must not be entered for companies not limited by guarantee	Non-shareholding members must not be entered on form 201 for a company not limited by guarantee	
V270	See Chapter 4		
V271	See Chapter 4		

V272	Date cannot be earlier than today	The name reservation expiry date cannot be prior to the date of lodgement	
V273	Only enter the business name details if the name is identical to a business name	Only enter the business name details if the name to be reserved is identical to a business name	
V274	Purpose of reservation must be either registration, or change of name, or extension	The purpose of the name reservation must be registration, change of name or extension	
V275	See Chapter 4		
V276	Invalid legal elements for this type of company	The legal elements entered are not valid for the type of company	
V277	This company must have a constitution	This type of company must be governed by a constitution	N122
V279	Applicant capacity is invalid	Applicant capacity is invalid	
V280	Company name contains invalid symbols	The proposed company name contains invalid symbols	N133
V282	Specify these legal elements only when using ACN as name	Legal elements must only be specified separately when using the ACN as name	
V283	Only public companies enter office hours	Only public companies specify the hours the registered office is open	
V284	Must be completed if name has been reserved	Details of the name reservation must be completed if the name has been previously reserved	
V285	Must be completed incorporating existing business name	Details of the business names owned must be completed if the proposed name matches an existing business name	
V286	Only enter name reservation details if the name has been previously reserved	Only enter name reservation details if the name has been previously reserved	
V288	Invalid Part and Division code	Part and Division code under which the name is being reserved is invalid	
V291	Must provide either new registration, change of name, or extension of reservation details	The purpose of the name reservation must be completed	
V292	Invalid message digest hashing algorithm	Thr message digest hashing algorithm specified in the certificate identifier is invalid	
V293	Invalid signature encryption algorithm	The signature encryption algorithm specified in the certificate identifier is invalid	
V294	Encryption algorithm does not match X.509 certificate	The signature encryption algorithm specified in the certificate identifier does not match that in the X.509 certificate	
V295	Digital signature does not match message content	Digital signature does not match message content	

V296	Enter opening hours if not using standard hours	Opening hours must be entered if the standard opening hours are not to be used	
V297	Public companies must enter office hours	Public companies must provide the hours the registered office is open	
V298	Do not provide signatory role if applicant is a person	When the applicant on the 201 or 410 is a person, the role of the signatory should not be provided	
V299	Must be DIR, SEC or ALT	The only valid roles are Director, Secretary or Alternate Director	N041
V300	The name of the director for whom the alternate is acting must be completed	The name of the director for whom the alternate is acting must be completed	
V301	No alternate director has been appointed	The name of the director for whom an alternate is acting has been notified even though no alternate director has been appointed	
V302	A person may only hold one directorship in a company at a time	A person may only hold one directorship in a company at a time	
V303	A person may only hold one secretaryship in a company at a time	A person may only hold one secretaryship in a company at a time	
V304	Invalid registration certificate delivery option	The company registration certificate delivery option chosen is invalid	
V307	Either person or organisation details must be entered	The applicant must be either a person or an organisation	
V308	Either person or organisation details must be entered	The applicant must be either a person or an organisation	
V310	Date must not be later than date declaration signed	The cessation date of a director or secretary must not be later than the date the declaration is signed	N169
V315	Must be manually reviewed if residential address not supplied	If the residential address of the officers has not been supplied the form 201 must be manually reviewed	N130
V316	See Chapter 4		
V317	Invalid provision code	The share cancellation provision entered is invalid	
V320	X.509 certificate not authorised to sign this agents transmissions	The X.509 certificate is not authorised to sign this agent's transmissions	N132
V321	X.509 certificate not authorised to sign this document	The X.509 certificate is not authorised to sign this document	N132
V322	X.509 certificate not authorised for this agent	The X.509 certificate is not authorised for this agent	N132
V323	Company to have either a proposed name or to use ACN as name. Cannot be both.	Companies must elect to have either a proposed name or to use the ACN as name	

V324	If the ACN is to be the company name provide the legal elements which are to apply	If the ACN is to be the company name provide the legal elements which are to apply	
V325	See Chapter 4		
V326	See Chapter 4		
V327	LMSG not valid for new registrations	New company registrations cannot be limited by shares and guarantee	
V328	Opening hours must be entered if not using standard hours	Opening hours must be entered if the standard opening hours are not to be used	
V329	See Chapter 4		
V332	Must match company electronically registered by this agent	When requesting the reprint of a company registration certificate the agent making the request must have originally registered the company	
V333	Must be within last 90 days	The start and end dates of the account transaction listing report must be within the last 90 days	
V334	Self authorised certificate only valid when ASIC PIN provided	Certificates may only be self authorised when an ASIC PIN is provided	N135
V335	Self authorised certificate must match ZXI identifier	The self authorised certificate must match the certificate identifier	N135
V336	See Chapter 4		
V337	See Chapter 4		
V338	See Chapter 4		
V339	Self authorised certificate must only sign one RA53	The self authorised certificate must only sign one RA53	
V340	Only enter the business name details if the name is identical to a business name of which all the proprietors are the members listed	Only enter the business name details if the name is identical to a business name of which all the proprietors are the members listed	
V341	Invalid certificate delivery option for reprint	An invalid certificate delivery option for reprint has been selected	
V342	Supporting text must be provided for manual review	Supporting text must be provided when manual review has been requested	
V343	Only enter supporting text if manual review requested	Only enter supporting text if manual review has been requested	
V345	Company registration transmissions must be digitally signed	Company registration transmissions must be digitally signed	
V346	ECR documents must be signed	Company registration documents must be signed	
V348	Must change Australian address or address in place of origin or office hours	Form 489 must notify a change of Australian address or change of address in place of origin or change of office hours	
V349	See Chapter 4		

V350	Terms of appointment of alternate directors must be included as an annexure	Terms of appointment of alternate directors must be included as an annexure	N163
V354	Self sign both RA53 and TXID	The entire RA53 transmission must be authorised by the ASIC PIN	
V355	Identical business names must be entered if registering existing business name	Identical business names must be entered if registering existing business name	
V360	Terms of appointment of alternate directors must not be included	Terms of appointment of alternate directors must not be included	N163
V361	Agent name and ACN must both be completed	Agent name and ACN must both be completed	N104
V362	Agent name and ACN must both be completed	Agent name and ACN must both be completed	N104
V363	Company to have either a proposed name or to use ACN as name. Cannot be both.	When registering a company you must choose either a name for the company or to have the ACN as the name, but not both	
V364	Must not be entered if company type is APTY	Only public companies must say whether or not they are governed by a constitution	
V365	First date must not be greater than last date	The end date of the report request must not be prior to the start date	
V366	Unacceptable word used in personal name	An unacceptable word has been used in a personal name	
V369	ACN/ARBN must be entered	If the member is an organisation with an ACN or ARBN, the ACN or ARBN must be entered	
V370	Must specify if member is registered in Australia	If the member is an organisation it must be stated if the member is registered in Australia	
V375	Do not specify if member is registered in Australia when member is a person	If the member is a person it must not be stated if the member is registered in Australia	
V376	Must complete if member organization is registered in Australia	If the member is an organisation with an ACN or ARBN, the ACN or ARBN must be entered	
V379	Start date must be within 1 year of request	The start date of the report must not be greater than one year before lodgement of the request	
V381	See Chapter 4		
V382	See Chapter 4		
V387	See Chapter 4		
V388	Only foreign companies or registered bodies may lodge this form	Only foreign companies registered in Australia or registered bodies may lodge form 489 or 490	N154
V389	Must be an Australian address	The registered office, principal place of business or Australian office address must be an Australian address	

V390	Address in place of origin must be entered	The address in place of origin must be a foreign address	
V393	Provide type of concessional fee	If the company is claiming special purpose status, the type of special purpose company must be specified	
V394	Do not provide type of concessional fee	If the company has ceased to have special purpose status, the type of special purpose company must not be specified	
V395	See Chapter 4		
V396	See Chapter 4		
V398	See Chapter 4		
V399	See Chapter 4		
V400	See Chapter 4		
V401	See Chapter 4		
V402	Select either negative solvency or solvency resolution not passed	The company must declare either that it is not solvent, or that no resolution regarding solvency has been passed	
V404	Provide company review date	If the directors of the company have not passed a negative solvency declaration, the review date must be entered	
V405	Only provide company review date if solvency resolution not passed	If the directors of the company have passed a negative solvency resolution, the review date must not be entered	
V407	See Chapter 4		
V409	Invalid Ultimate Holding Company status	Ultimate Holding Companies may only be appointed, ceased, or change name	N157
V410	See Chapter 4		
V413	See Chapter 4		
V414	See Chapter 4		
V415	See Chapter 4		
V416	Invalid share status	Share classes can only be appointed, ceased or have their details changed	
V417	Invalid request type	An invalid request for company details has been made	
V418	Country name must match an entry in ISO 3166-1	The name of the country must match a name in the ISO-3166 list of country names	N166
V419	Annexure type must be ALT	The annexure type must be ALT when appointing an alternate director	
V420	ACN/ARBN or ABN must be completed	If the place of incorporation of the ultimate holding company is Australia, the ACN, ARBN or ABN must be completed	
V421	See Chapter 4		
V424	Provide date of resolution	If the directors of the company have passed a negative solvency resolution, the date the resolution was made must be entered	N156

V425	Only provide date of resolution if negative solvency selected	If the directors of the company have not passed a negative solvency resolution, the date the resolution was made must not be entered	N156
V426	Share classes must be listed alphabetically	Share classes must be listed alphabetically on the form 201 or 484	
V429	Shares issued other than for cash. Please lodge the paper document with necessary attachments	Where a public company has issued shares for other than cash the form 484 must be lodged on paper with the necessary attachments	
V431	Description of the consideration is not to be entered if shares issued for cash only	Where a company has not issued shares for other than cash the description of the consideration must not be entered	
V432	Description of the consideration must be entered if shares not issued for cash only	Where a proprietary company has issued shares for other than cash the description of the consideration must be entered	
V433	Provide section & description for provision OTHER	If the share cancellation provision is OTHER the section reference and description must be provided	
V434	Only provide section & description for provision OTHER	The section reference and description must only be provided when the cancellation provision is OTHER	
V435	Must be completed if shares issued other than for cash	If shares have been issued for other than cash it must be stated if they are issued under a written contract	
V436	Shares issued other than for cash. Please lodge the paper document with necessary attachments	If a proprietary company has issued shares under a written contract, the form 484 must be lodged on paper with the necessary attachments	
V443	Start date must not be greater than 3 years prior to the date of the request	The start date of the documents Lodged Report must not be greater than 3 years prio to the date of the request	
V444	See Chapter 4		
V445	See Chapter 4		
V446	See Chapter 4		
V447	Number issued, amount paid and amount unpaid must be zero	If a member is ceasing the number of shares held, amount paid and amount unpaid must be zero	
V448	Number issued must not be zero	If a member is not ceasing, the number of shares held must not be zero	
V449	Invalid member status	The status of the member must New Member, Ceased Member, Address Change, Name Change, Name and Address Change or No Change	

V450	Invalid holding status	The status of the shareholding must be New Shareholding, Ceased Shareholding, Change of Details, Add Unchanged Holding to Top 20, Remove Unchanged Holding from Top 20 or No Change	
V451	If new member, date member added to register must be provided	For new members the date member added to register must be provided	
V452	Provide previously notified personal name when changing members name	Provide previously notified personal name when changing members name	
V453	Provide previously notified organisation name when changing members name	Provide previously notified organisation name when changing members name	
V454	Provide previously notified name only when changing members name	Provide previously notified name only when changing members name	
V455	Share details do not tally for this class	For each class the number issued, total amount paid and total amount unpaid must equal the sum of all member holdings in the class	
V456	See Chapter 4		
V457	Invalid date format	Must be valid month/day combination in the format mmdd	
V458	See Chapter 4		
V459	Provide type of change to concessional fee	If there is a change to the type of concessional fee the company is entitled to, the type of change must be provided	
V460	See Chapter 4		
V461	See Chapter 4		
V462	New member details can only have a new share holding	If a new member is being appointed, the member must also have a new shareholding	
V467	Cease date only allowed if office holder has ceased	Only enter the cease date if the officer has ceased	
V468	Only foreign companies may change address in place of origin	Only foreign companies may change address in the place of origin of the company	
V471	See Chapter 4		
V474	See Chapter 4		
V476	See Chapter 4		
V477	Must not be an Australian address	The address in place of origin must not be an Australian address	
V478	Change must be zero when adding or removing unchanged from top 20	The details of the shares held by a member cannot be changed when adding or removing an unchanged member from the top 20	

V479	For new holdings, number held must not be less than the increase	For new shareholdings, the number of shares held must not be less than the increase in the number of shares held	
V480	For changes to holdings, resultant number held must not be less than the increase/decrease	When a shareholding is changing, the number of shares held after the change must not be less than the increase or decrease in the number of shares	
V481	Only advise members register details when they have changed	Only advise members register details when they have changed	
V482	When adding joint members, all owners of the joint holding must have a status of AP	When adding joint members, all owners of the joint holding must be new members	
V483	There must not be an amount unpaid when shares are fully paid	When shares are fully paid the amount unpaid must be zero	
V484	There must be an amount unpaid when shares are not fully paid	When shares are not fully paid the amount unpaid must be greater than zero	
V485	See Chapter 4		
V486	See Chapter 4		
V487	See Chapter 4		
V490	See Chapter 4		
V491	See Chapter 4		
V492	An Australian address is required	An Australian address is required	
V493	See Chapter 4		
V494	Shares issued other than for cash. Please lodge the paper document with necessary attachments	When a public company issues shares for other than cash the form 484 must be lodged on paper with necessary the attachments	
V495	This status is not valid	The status of the officer is not valid	
V496	No change has been notified	No change has been notified on the form 484	
V497	Either person or organisation details must be entered	The non-shareholding member must be either a person or an organisation	
V498	Either person or organisation details must be entered	The non-shareholding member must be either a person or an organisation	
V499	ACN/ARBN must be entered	If the non-shareholding member has an ACN, the ACN must be entered	
V500	Must complete if member is registered in Australia	If the non-shareholding member has an ACN, the ACN must be entered	
V501	Must specify if member is registered in Australia	If the non-shareholding member is an organisation it must be specified if the member is registered in Australia	

V502	Do not specify if member is registered in Australia if member is a person	If the non-shareholding member is a person it must not be specified if the member is registered in Australia	
V503	See Chapter 4		
V504	Ceasing officer cannot sign form	A ceasing officer cannot sign the form 484 or 490	
V505	See Chapter 4		
V506	See Chapter 4		
V507	See Chapter 4		
V508	See Chapter 4		
V509	See Chapter 4		
V511	Proposed name must consist of more than legal elements	The proposed company name must consist of more than legal elements	
V512	PO Box address not allowed	PO Box address not allowed	
V513	See Chapter 4		
V514	Lodgement date must be more than 2 months after review date	The form 485 must be lodged more than 2 months after the review date if the directors have not passed a solvency resolution	
V515	PKI certificate identifier must be provided	Either the certificate identifier or the serial identifier must be provided when digitally signing forms	
V516	Proposed name must consist of more than symbols or punctuation marks and legal elements	An attempt to register a name consisting only of punctuation characters plus the legal elements will be rejected.	N133
V517	Amount paid or unpaid may not be greater than $999,999,999,999.00	The amount paid or unpaid for shares issued or held cannot be greater than $999,999,999,999.00	
V518	Number of shares issued may not be greater than 999,999,999,999	The number of shares issued, cancelled or held cannot be greater than 999,999,999,999	
V519	See Chapter 4		
V520	This subclass cannot be specified on Form 201	For proprietary companies, the subclass on Form 201 can only be HUNT (home unit), PNPC (proprietary non-profit), PROP (proprietary) or PSTC (proprietary superannuation trustee)	
V521	This subclass cannot be specified on Form 201	For public companies, the subclass on Form 201 can only be ULSN (non-profit), ULSS (superannuation trustee) or ULST (unlisted public company)	
V522	See Chapter 4		
V523	See Chapter 4		
V524	See Chapter 4		
V525	Invalid payment method	The payment method chosen must be either DDEB (Direct Debit) or INV (invoice)	
V526	See Chapter 4		
V527	The applicant must be either a person or an organisation	The deregistration applicant must be either a person or an organisation	

V528	See Chapter 4		
V529	The applicant must be either a person or an organisation	If the deregistration applicant is a person the name and ACN of the applicant as an organisation must not be entered	
V530	The applicant organisation must be the same as the subject organisation	If the deregistration applicant is a company, it must be the same name and ACN as the company to be deregistered	
V531	A nominee must be provided when the applicant is a company	If the deregistration applicant is a company, the name and address of a person who is the nominee must be provided	
V532	See Chapter 4		
V533	Invalid resolution type	For change of company name, the resolution type must be NAME	
V534	Change of name must be a special resolution	When changing a company name a special resolution must be made	
V536	Company to have either a proposed name or to use ACN as name, cannot be both	A company changing name must specify either a new name or the ACN as the name	
V537	Company to have either a proposed name or to use ACN as name, cannot be both	A company changing name must specify either a new name or the ACN as the name	
V538	Legal elements must be entered if the ACN is to be the new name	If the new name is to be the ACN, the legal elements must be specified	
V539	Specify legal elements only when ACN is new name	If a new name is specified, it is not necessary to separately notify the legal elements	
V540	Name reservation details must be entered	If the new company name has been reserved, details of the reservation must be provided	
V541	Only enter the name reservation details if the proposed name has been reserved	Do not provide name reservation details if the new company name has not been previously reserved	
V542	Business name details must be entered	If the new name is identical to a business name, details of the business name must be provided	
V543	Only enter the business name details if the proposed name is identical to a business name	Do not provide business name details if the new company name is not identical to a business name	
V544	Applicant role must be provided when the applicant is a person	When the deregistration applicant is a person the role of that person must be provided	
V545	Applicant role must not be provided when the applicant is an organisation	When the deregistration applicant is an organisation the role of the applicant must not be provided	

V546	Applicant role must be a director	The deregistration applicant must be a director or alternate director	
V547	Applicant's address must be provided when the applicant is a person	The deregistration applicant's address must be provided when the applicant is a person	N181
V548	Applicant's address must not be provided when the applicant is an organisation	The deregistration applicant's address must not be provided when the applicant is an organisation	N181
V549	This company must have a constitution	Public companies that are ULSN (non-profit) or ULSS (superannuation trustee) must have a constitution	N122
V550	See Chapter 4		
V551	Manual review is not allowed when the new name is the ACN or is an existing reservation	Manual review of a change of company name application is not allowed if the new name is to be the same as the ACN or if the new name matches an existing reservation	
V999	See Chapter 4		
X001 to X030	See Chapter 4		

Chapter 6 – Note references

This chapter contains the notes referred to in Chapters 4, 5, and 7.

Unless they specify a particular Act of Parliament, all section and regulation numbers in these notes refer to the *Corporations Act 2001* and its associated Regulations.

Note	Explanation

N001   **A Home Unit company**:
- Is the proprietor of land upon which a building is erected and divided into individual residential areas
- Is one whose shareholders are entitled to the exclusive occupation of one or more of those residential areas
- Operates solely to facilitate the rights of shareholders in relation to their exclusive occupation of those residential areas and maintenance of the land and building.

Home unit companies are entitled to a reduced annual review fee.

N002   **A non-profit company** is a company formed for the purpose of:
- Providing recreation or amusement
- Promoting commerce, industry, art, science, religion, charity, patriotism, pension or superannuation schemes
- Any other object useful to the community.

The company must apply its profits to promoting its objects and prohibit the payment of dividends to its members. Section 150(1)(a) refers. Non-profit companies are entitled to a reduced annual review fee.

N003   **Company name**. This is the full name and title of the company as shown on the company's current *Certificate of Incorporation*.

Changes to the name of a company require the approval of ASIC. Do not enter a changed name unless you have lodged the relevant documents and ASIC has issued a *Certificate of Incorporation* for a change of name of the company.

N004   **ACN**. Every Australian company has received a nine digit identifying number known as the Australian Company Number (ACN). Quote the ACN in all dealings with ASIC. The ninth digit is a check digit used to validate the number.

N005   **Company class codes**

Code	Description
LMGT	Limited by guarantee
LMSG	Limited by shares and guarantee
LMSH	Limited by shares
NLIA	No liability
UNLM	Unlimited

N006 Company sub-class codes

Code	Description
HUNT	Proprietary – home unit company
PNPC	Proprietary – non-profit company
PSTC	Proprietary – superannuation trustee company
PROP	Proprietary – other
LISN	Company licensed under Section 383 to omit 'Limited' from its name
LISS	Company licensed under Section 383 to omit 'Limited' from its name – superannuation trustee company
LIST	Listed public company
NLTD	Non-profit public company registered without 'Limited' in its name under Section 150
ULSN	Unlisted public – non-profit company
ULSS	Unlisted public – superannuation trustee company
ULST	Unlisted public company

Note that Section 383 of the *Corporations Law* was replaced on 1 July 1998 by Section 150. Companies registered with the subclasses LISN or LISS before this date will retain their subclass codes. Eligible companies registered after this date will have a subclass of NLTD.

Explanation of terms

Listed (or unlisted) means listed (or unlisted) on an Australian securities exchange.

Home unit and **non-profit** are defined in notes N001 and N002.

A superannuation trustee company is a company that acts solely as the trustee of a regulated superannuation fund within the meaning of Section 19 of the *Superannuation Industry (Supervision) Act 1993* and the company's memorandum prohibits the distribution of its income or property among its members.

N007 Changes previously notified. If a change is a notifiable change which you have previously notified to ASIC, you should also show the date notified.

N010 Care of details. This field identifies a person, firm or corporation that is the actual occupier of the address. Do not use this field when a person's residential address is required (such as for company office holders).

N011 Room, floor or building, and PO Box details. Post Office Box addresses by themselves are not normally sufficient to fully identify an address required on a form.

N012 Street number, name and type. The address should identify the house number and full street name of the address. Unit or flat numbers should be entered in the room, floor, or building field.

N013 Locality. This identifies the suburb or town of the address. For an Australian address the locality must match the postcode.

N014 State or Territory. An Australian State or Territory code must be included in an Australian address. For a non-Australian address, the field must be blank.

Code	State or Territory

ACT	Australian Capital Territory
NSW	New South Wales
NT	Northern Territory
QLD	Queensland
SA	South Australia
TAS	Tasmania
VIC	Victoria
WA	Western Australia

N016   **Country**. Use this field only for countries other than Australia. Some addresses must be Australian addresses, therefore this field might not always be available.

N023   **Registered office**. A company must have a registered office within Australia to which all communications and notices may be addressed.

        Section 142 refers.

N024   **Occupancy of registered office**. If the company does not occupy the premises which are its registered office, the occupier of the premises must give written consent for the use of that address as the address of the registered office of the company.

        Section 143 refers.

N025   **Principal place of business**. The principal place of business of the company is the address in Australia where the principal activities of the company are conducted. It may or may not be the address of the registered office.

N026   **Ultimate Holding Company** means a corporation that is a holding company of the company lodging the form and is itself a subsidiary of no other corporation.

N028   The place of incorporation for the Ultimate Holding Company must be entered, even if the UHC is registered in Australia. The country is checked against ISO 3166, an international standard list of country names. Any UHC incorporated in Australia must also provide a valid ACN, ARBN or ABN. A UHC that is not registered in Australia must provide an ARBN if the UHC is recorded by ASIC as a registered foreign company.

N040   **Office holders**. Details are required for each director, alternate director and secretary of the company.

N041   The only permitted office holder codes are shown in the table.

Code	Office holder and definition
DIR	**Director** includes any person who occupies, or acts in, the position of director irrespective of the title they are given. It also includes any person in accordance with whose directions or instructions the directors of a company are accustomed to act.
SEC	**Secretary** is a person appointed by the directors who is present at the registered office in person, or is represented by an agent.
ALT	**Alternate Director** is a person designated to act as a substitute for a person who acts in the position of director.
AGT	**Agent** is a natural person or a company, resident in Australia and authorised to accept on the foreign company's behalf service of process and notices.

N042 **Share Class**. Use a code or abbreviation for the class of issued shares or options. No more than 4 characters are permitted. In the share description, give the full title of the class. Some recommended codes are described in the table below.

Code	Description of share class
ORD	Ordinary
A, B, C, and so on	Class A, Class B, Class C, and so on
MAN	Management
LG	Life governors
EMP	Employees
FOU	Founders
PRF	Preference
CUMP	Cumulative preference
NCP	Non cumulative preference
REDP	Redeemable preference
NRP	Non redeemable preference
CRP	Cumulative redeemable preference
NCRP	Non cumulative redeemable preference
PARP	Participative preference
RED	Redeemable
SPE	Special

N046 **Beneficial owner of shares**. A member who holds shares on behalf of another person or corporation is not the beneficial owner of the shares.

N047 **Mandatory declaration**. This declaration must be made pursuant to section 348 of the *Corporations Act 2001*.

N049 **Software registration number**. ASIC allocates a number to a Digital Service Provider (DSP) for either testing a software package or for registering an approved package for production returns.

N050 **Locality, state, postcode, country**. For an Australian address, the locality, state and postcode must be present and the country must be blank or null.

For overseas addresses, the locality and country must be present and state and postcode must be blank or null.

N051 **Yes/No responses.** Y implies an answer of Yes. N implies an answer of No. A blank or null entry implies that no answer is given.

N052 **Registered office hours**. The registered office must be open for at least three hours between 9am and 5pm of each business day. Section 145 refers.

N057 **Signatory**. The signatory to the declaration must be a director or secretary of the company. Section 351 refers.

When an alternate director exercises the director's powers, an alternate director may sign the document. Section 201K refers.

N063 **Organisation identification**. You should include at least the organisation's full name without abbreviations. If you know the organisation's Australian Company Number (ACN) or Australian Registered Body Number (ARBN), then enter it in the separate field provided. If a number is entered, it will be checked against the name and ASIC's database to ensure that it matches.

N069 **Office holder's birth place and date**. The date and place of birth of each office holder must be entered. Section 205(3) refers. If the officeholder was born in Australia, enter the locality and state of the person's place of birth. If born overseas, at least the country of birth must be entered. The country is validated against the ISO3166 table of countries.

N070 **Share attributes**. Details of all issued shares and/or options per class must be entered.

N071 **Age on appointment**. Office holders must be 18 years of age or older before appointment. Section 201B(1) refers.

N072 **Forms lodged by Australian companies.** The following form types can only be lodged by or on behalf of companies that are currently registered in Australia as a Public (APUB) or a Proprietary (APTY) company:

361 Notification of a registered agent ceasing to act for a company

362 Notification of appointment or cessation of a registered agent by a company

370 Resignation of officeholder

410 Application for reservation of a name

484 Change to company details

New Australian proprietary or public companies are registered by lodgement of a Form 201 Application for registration as an Australian company.

N073 **Company type**. The tables show the combinations of company class and sub-class that are valid for company types APTY (Proprietary) and APUB (Public). Other combinations of class and sub-class are not valid for these company types.

Valid company class and sub-class combinations for company type APTY

Class	Valid sub-classes			
LMSH	HUNT	PNPC	PROP	PSTC
LMSG	HUNT	PNPC	PROP	PSTC
UNLM	HUNT		PROP	PSTC

Valid company class and sub-class combinations for company type APUB

Code	Valid sub-classes						
LMSH	LISN		LIST	NLTD	ULSN	ULSS	ULST
LMGT	LISN	LISS		NLTD	ULSN	ULSS	ULST
LMSG	LISN		LIST		ULSN	ULSS	ULST
NLIA			LIST				ULST
UNLM			LIST			ULSS	ULST

N076 **ARBN**. Every Australian Registered Body has received a nine digit identifying number known as the Australian Registered Body Number (ARBN). Quote this number in all dealings with ASIC.

N078 **Office holder status codes.** Each office holder must have a status defined by a code.

Code	Status
AP	Newly appointed
CO	Continuing – no changes
CA	Continuing – address change
CN	Continuing – name change
CX	Continuing – name and address change
NO	Ceased

N079 **Office holders as companies**. Office holders appointed after 1 July 1982 must be natural persons. Companies are no longer permitted to be appointed as office holders of another company.

N086 **Sequence of office holders**. Show office holders in alphabetic sequence of family name, then given names. They must also appear in this sequence on the printed form.

N087 **Sequence of members**. For each class of share, the twenty members holding the greatest number of shares must be shown first. They must appear in the same sequence on the printed return.

N092 **Superannuation trustee company**. Answer **Yes** only if the company acts solely as the trustee of a regulated superannuation fund as prescribed by the *Superannuation Industry (Supervision) Act* and prohibits the distribution of income or property among its members.

N093 **Test transmissions**. Test transmissions allow an agent to test hardware, communications and data without "lodging" a document onto the public record. Transmissions sent as test transmissions will be validated and a validation report produced. The documents included in the test transmission will not be lodged onto the ASCOT or DOCIMAGE databases and no invoice file will be produced.

Validation reports produced from test transmissions are clearly identified as such and no document numbers are allocated to "accepted" documents.

N094 **Office holder's roles**. An officer can hold multiple roles in a company. The valid roles are Director, Secretary and Alternate Director. An officer can be a Director or Secretary once for a particular company, but may hold more than one Alternate Directorships.

N095 Within ASIC's ASCOT database, the following codes are used to describe the status of a company:

Code	Company status
REGD	Registered
SOFF	Registered – strike-off action in progress
EXAD	Registered – under external administration
NOAC	Registered – not active
DRGD	Deregistered

N096 **Document signatories**. Signatories for lodged documents should be as shown in the table.

Company type	Required signatory
Australian company	Director or secretary of the company. Section 351 refers. When an alternate director exercises the director's powers, an alternate director may sign the document. Section 201K refers.
Foreign company, where a natural person has been appointed as agent	Local director or the agent
Foreign company, where a company has been appointed as agent	Local director or a director or secretary of the company acting as agent
Registrable Australian Body	Director or equivalent

N098 **Effective date**. The date must be the date of change. Section 205B(4) refers.

N099 **Australian-resident directors**. A public company must have at least three directors. At least two of them shall be persons who ordinarily reside in Australia.

A proprietary company must have at least one director. At least one director must ordinarily reside in Australia.

Section 201A refers.

N101 **Australian-resident secretary**. A proprietary company is not required to have a secretary but, if it does have one or more secretaries, at least one of them must ordinarily reside in Australia.

A public company must have at least one secretary. At least one of them must ordinarily reside in Australia.

Section 204A refers.

N102 **Shares issued for other than cash**. For public companies only, if shares have been issued other than for cash, and the contract has not been reduced to writing, a Form 208 showing the details of the issue is required to accompany the Notice of change to company details (CCD). This could be either a Form 484 for changes throughout the year or a Form 483 if a response to a Return of Particulars.

For public companies only, if the contract has been reduced to writing, a Form 207Z declaring compliance with stamp duty law and accompanied by either the written contract, or a certified copy of the contract, is required to be lodged with the CCD.

Proprietary companies that issue shares other than for cash are not required to lodge accompanying documentation with the CCD, unless the shares are issued under a written contract. In this case, a Form 207Z must be lodged with the CCD.

N104 **Agent company.** A natural person or an Australian company may be appointed as the agent of a foreign company (section 601CG). If a company is appointed as agent, the name and ACN of the Australian company must appear here as the agent. The signing officer must be a current office holder of the Australian company and must state the office that is held.

N107 **Company being wound up**. While a company is being wound up, a person cannot perform or exercise a function or power as an officer of the company except with the liquidator's written approval or with the approval of the court. Sections 471A(1) and 506(1) refer.

N108 **Minimum number of office holders**. Where a company is unable to comply with *Corporations Act 2001* requirements for the minimum number of officeholders, Form 304 should be lodged on paper accompanied by documentation explaining the circumstances.

N111 **EDGE and ECR document numbers**. All documents lodged with ASIC are allocated a unique nine character document number. The first character of this number is always numeric. For EDGE and ECR documents, the second character is always **E** and characters 3 to 9 are numeric. For paper documents, characters 2 to 9 may be alphabetic or numeric but character 2 is never **E**.

N119 **Amount of guarantee.** The application must state, for a company limited by guarantee, the proposed amount of the guarantee that each member agrees to in writing. Refer to section 117(2)(m).

N120 **Legal elements.** Valid legal elements for company types and classes are:

TYPE	CLASS	LEGAL ELEMENT 1	LEGAL ELEMENT 2
APTY	LMSH	PTY	LTD
		PTY.	LTD.
		PROPRIETARY	LIMITED
APTY	UNLM	PTY	
		PTY.	
		PROPRIETARY	
APUB	LMSH*		
		LTD	
		LTD.	
		LIMITED	
APUB	LMGT*		
		LTD	
		LTD.	
		LIMITED	
APUB	NLIA	NL	
		N.L.	
		NO LIABILITY	
APUB	UNLM**		

Companies that are APTY LMSH must have one legal element from column "Legal element 1" and one legal element from column "Legal element 2", in that order.
* Companies that are APUB LMGT or LMSH may not have any legal elements in their name, if approved under Sec 150 of the *Corporations Act 2001*
** Companies that are APUB UNLM can not have any legal elements in their name.

N121 **Applicant name.** The applicant may be a natural person or an organisation not necessarily the lodging party. If the applicant is an organisation the signatory may be a representative of that organisation.

N122 **Constitution.** Public companies that choose not to adopt the Replaceable Rules must lodge a copy of the company's constitution with ASIC. The RA56 generated in response to the Form 201 will advise how to lodge these documents.

N123 **Ministerial consent.** If the applicant claims that ministerial consent has been granted for the use of the proposed name, the Form 201 will be queued for manual processing.

N124 **Amount agreed to pay for each share.** The application must state the amount, if any, each member agrees in writing to pay for each share. If that amount is not to be paid in full on registration, the amount, if any, taken to be paid or due and payable on the issue of each share. Refer to section 117(2)(k)(ii).

N125 **Types.** Organisation type codes are:

CODE	DESCRIPTION
APUB	Australian Public Company
APTY	Australian Proprietary Company
FNOS	Foreign Company
RACN	Registered Australian Body

N126 **Applicant's declaration.** The applicant must view and assent to the following declaration as part of the affixing of a digital signature to a Form 201.

I apply for the registration of a company on the basis of the information in this form and any attachments. I have the necessary written consents and agreements referred to in this application concerning the members and officeholders and I shall give the consents and agreements to the company after the company becomes registered. The information provided in this application and in any annexures is true and correct at the time of signing.

N129 **Base-64 elements.** A base-64 element must contain data encoded to base-64 according to RFC1421 using ASCII characters A through Z, a through z, 0 through 9, plus + and / In assembling base64 elements into EDGE ZXC & ZXS segments, the newline character required by RFC1421 also acts as the EDGE segment delimiter.

N130 **Alternate address.** An alternate address for an officeholder may only be used where the Commission approves an application under S205D(2) of the *Corporations Act 2001*. If approval has been given you must give the details including the 'ASIC Approval Number' on this application.

N131 **Single use PIN.** When a registered agent enters into a trading agreement with ASIC for the lodgement of company registration transmissions, ASIC will issue a single use PIN to the agent. This PIN must be used to authenticate the first RA53 message lodged by the agent to authorise use of an X.509 certificate.

The initial company registration transmission by the agent must be a self-authorised transmission containing a single RA53 document, digitally signed by the certificate being authorised. The RA53 must authorise the certificate for both "transmission" and "document" signing authorities. It must also contain the PIN.

Once the initial X.509 certificate has been authorised in this way, it can be used to authorise "descendant" X.509 certificates.

N132 **X.509 certificate.** Before an X.509 certificate can be used for EDGE lodgements by an agent, the agent must advise EDGE of the authorities assigned to the certificate. These authorities are assigned using message RA53 and updated by message RA54.

Two levels of authority may be assigned to an X.509 certificate, these being to sign a document, and to sign a transmission. Details of these authorities are defined in the EDGE Agent Agreement and Protocol which controls EDGE participation.

N133 **Acceptable characters.** In processing reservations or registrations of names, only the following characters are acceptable in the proposed company name.

The following characters are regarded as significant when determining whether a proposed name is available or not:

Alphabetic characters	A to Z
Numeric characters	0 to 9
Asterisk	*
At	@
Dollar	$
Equals	=
Hash	#
Percent	%

For example, A = B PTY LTD and A EQUALS B PTY LTD are regarded as different names.

The following characters are regarded as punctuation, and are not taken into account when determining the availability of a proposed name:

Full stop	.
Comma	,
Hyphen	-
Round brackets	( )
Curled brackets	{ }
Exclamation mark	!
Question mark	?
Colon	:
Semi-colon	;
Apostrophe	'
Quotation marks	" "
Underscore	_
Slash	/
Pipe	|
Backslash	\

For example, XYZ PTY LTD and (XYZ) PTY LTD are regarded as identical names.

An attempt to register a name consisting only of punctuation characters plus the legal elements will be rejected. For example, ? PTY LTD is not a valid company name.

& (ampersand) is regarded as identical to the word "and". Therefore, the name A B AND C PTY LTD is regarded as identical to A B & C PTY LTD. Refer to InFocus Volume 8 Issue 2 (May 1999) for more details.

N134 **Delivery of certificates**. Certificates will be delivered as Postscript of .PDF data, appended to the RA55.

N135 **Authorities.** The current implementation of EDGE is a closed trading system, where the lodging agent must advise all X.509 certificates and their authorities to EDGE. This is done using messages RA53 and RA54.

A new X.509 certificate is normally authorised by the transmission of an RA53 message signed by a previously authorised certificate.

On first signing the EDGE Agent Agreement with ASIC to lodge company registration transmissions, an agent will be provided with a single use PIN to authorise the first certificate. This PIN must be sent to ASIC in an RA53 transmission signed using certificate to be initially authorised. This is called a "self authorised" transmission. This method will also be used if a new initial certificate needs to be authorised. This might occur if, for example, the only authorised certificate is lost.

Authorities attached to a certificate may be updated using an RA54 message.

N136 **Authorised declarations.** When preparing RA53 & RA54 messages, authorised users must assent to, or decline to assent to, the following declarations

I declare that the holder of the attached X.509 certificate is a person authorised to digitally sign transmissions to ASIC on behalf of this lodging agent

or

I declare that the holder of the attached X.509 certificate is a person authorised to digitally sign company forms which this lodging agent may transmit to ASIC

N137 **Testing.** To allow Digital Service Providers (DSPs) to test the single use PIN facility developerstest environment, V325 will not be applied if the PIN element is equal to the EDGE user id.

N141 **ACN as company name.** When a company is registered using the ACN as the name, ASIC insists that legal elements be provided. A public company, limited by guarantee and without the word Limited in its name (under s150) may not be registered electronically with the ACN as name.

N142 **Business names.** Customer software must have the applicant view and assent to the following declaration when completing Form 201 and Form 410 and the name to be reserved or registered is a business name:

I declare that I make this application for the company name as, or on behalf of and with the authority of, the registered owner(s) of the above identical business name(s).

N143   **Address Validation.** ASIC validates each address received using the Address Matching Approval System (AMAS).

AMAS has been developed by Australia Post to improve the quality of addressing. It is a software approval program that provides a standard by which to test and measure the quality of address matching software to correct and match addresses against the Postal Address File (PAF).

This validation process may cause the address transmitted to ASIC to be amended to conform with that contained on PAF. Consequently, the address held by ASIC may differ from that on the company records.

To check the address stored on ASIC's records, it is recommended that lodging parties use the Data Download (RA71) facility.

More information on AMAS and PAF may be found at www.auspost.com.au/futurepost/

AMAS and PAF are registered trademarks of the Australian Postal Corporation.

N145   **Address suppression.** Persons who are entitled to have their usual residential address suppressed under section 205D(2) can only change their usual residential address or alternative address by lodging a paper Form 379 "Notice of change of residential address for persons entitled to use an alternative address". Please advise ASIC in writing if the suppression is no longer required.

N146   **Correspondence.** Information that is returned by ASIC to the EDGE lodging party is called "correspondence". The correspondence is a PDF document that is attached to an RC05 message. The RC05 describes the type of message:

BULLETIN – an information bulletin for registered agents. This bulletin replaces the validation report message.

CONFIRM – a confirmation message.

CS – a Company Statement.

INVSTMNT – an Invoice Statement.

LETTER – a letter

NOTICE – a notice

REQ – a requisition notice.

N147   **Questions on Company Statement or Return of Particulars.** The Company Statement or Return of Particulars may also include specific questions that ASIC requires the company to answer, for example, if the company has fewer than the minimum number of directors a question will be included on the Company Statement to remind the company that this is a matter that needs attending to.

N148 **Amendment to previously notified information.** An amendment to data occurs when the data shown on the Company Statement or Return of Particulars is incorrect, and the company wishes to correct ASIC's data. No date of change is entered for an amendment, so there is no late fee.

Whenever an amendment is notified, a freetext segment must be included on the Form explaining the circumstances of the correction.

All documents lodged notifying of an amendment will be queued for manual processing.

N149 **Notifying changes.** Changes to certain items included in the Annual Statement should normally be notified to ASIC on prescribed forms within specified times after they occur. These items are:

Changes to the Registered Office Address – Form 484 – 28 days

Changes to the Principal Place of Business Address – Form 484 – 28 days

Changes to concessional fee details – Form 484 – 28 days

Changes to the Ultimate Holding Company – Form 484 – 28 days

Changes to company officers and particulars (appointments/cessations, change to officer's address or name.) – Form 484 – 28 days

Changes to share particulars – Form 484 – 28 days

N150 **Ultimate Holding Company registered in Australia.** Do not print on the form whether or not the member or ultimate holding company is registered in Australia.

N151 **Terms of appointment of alternate directors.** Whenever a new alternate director is appointed, the terms of appointment of that alternate director must be set out in an annexure to the form. The terms of appointment must not be included if an alternate director is being ceased, changing name or address, or continuing.

N152 **Declaration.** Information given in the Notice must be correct at the date the Notice is signed.

N153 **Registered bodies.** Only a registered foreign company (FNOS) or registered Australian body (RACN) may lodge Form 489 or 490. Collectively these organisations are known as registered bodies. Registered foreign companies and registered Australian bodies are defined in section 9 of the *Corporations Act 2001*.

N154 **Address of registered body.** A registered body must have a registered office to which all communications and notices may be addresses. Section 601CT refers.

N155 **Office hours.** The registered office of a registered body must be open each business day from at least 10 am to 12 noon and from at least 2 pm to 4 pm. If a notice has been lodged specifying the opening hours, the office must be open for at least 3 hours between 9 am and 5 pm on each business day. Section 601CT refers.

N156 **Solvency declaration.** If applicable, the company must make a declaration regarding solvency. There are three possible answers to the question of solvency:

1. Directors have met and resolved the company is not solvent.

2. Directors have not met and made any resolution as to the solvency of the company.

3. Directors have met and resolved the company is solvent.

Responses 1 and 2 can be made in response to an annual review process.

Responses 1, 2 and 3 can be made in response to a Return of Particulars.

Section 348C refers.

N157 **Ultimate Holding Company.** Ultimate Holding Company (UHC) status codes:

AP – When a new UHC is appointed. The appointment date must be entered.

CN – When the current UHC changes name. The former name of the UHC must be entered. Note that no late fee is assessed for a change of UHC name.

NO – When ceasing the current UHC without appointing a new UHC. The cease date must be entered.

N158 **Change in number of shares held.** Show the change in the number of shares held in a members holding. Where the number of shares held has increased since the previous notification to ASIC, provide a positive number. Where the number held has decreased, provide a negative number. For new holdings, the change should equal the number held. Where the number held has not changed, the change should be zero.

N159 **Request for company details.** Valid request types are:

AS – Request to re-issue Annual Statement of Details (returned as Form 480)

CS – Request for current Company Statement (returned as RC05)

DATA – Request for Data Download (returned as RA72)

ROP – Request to re-issue Return of Particulars (returned as Form 482)

N160 **New edits.** ASIC may need to introduce new edits without the advance notice of a new version of the specification. V999 will enable this. Where a V999 edit is invoked, we expect to provide sufficient additional lines of information to make the cause of the error obvious to an agent.

N161 **Share reduction.** Companies with more than one share member must have previously lodged a Form 2560 Notification of Reduction in Share Capital Details before the share cancellation can be processed.

N162 **Share buy-back.** Either a Form 280 Notice of Meeting and Documents re Buy-back or a Form 281 Notice that Company Intends to Carry Out Buy-back must have been lodged with ASIC at least 14 days and no more than one year before the share buy-back can be processed.

N163 **Extension of appointment of alternate director.** Whenever a new alternate director is appointed or if an alternate director is being appointed and ceased, the terms of appointment of that alternate director must be set out in an annexure to Form. The terms of appointment must not be included if an alternate director is being ceased, changing name or address, or continuing.

N164 **Review date report.** The review date report will provide agents with information on those companies the agent represents that have a review date in the period entered.

No year is required to be entered since a company with a review date of 13 July 2003 will also have a review date of 13 July 2004, etc. The period entered should not be greater than one year.

Agents who represent a lot of companies should be aware that when the period entered is a full year the report will take longer to prepare.

N165 **Moving members into or out of the top 20.** When printing the paper Form, in the "top twenty" column:

if status = TA (add unchanged holding to top 20), print "Y"

if status = TR (remove unchanged holding from top 20), print "N"

otherwise, leave blank

N166 **Country name.** Where the country name from ISO3166 exceeds 30 characters, it should be truncated to the first 30 characters of the name.

N167 **Annual Review Invoice.** The annual review package (as a PDF file) includes an invoice/statement which describes the company's debt position. The invoice/statement will always contain the annual fee. It may also contain brought forward balances and line items for other fees.

Details of the annual review fee invoice are provided as structured data to assist customers who wish to export this data into an accounts payable system. If a Digital Service Provider (DSP) chooses to take advantage of this, they should also check whether the total amount owing on the invoice/statement contains other charges. If it does, the customers should be directed to print the invoice/statement and pay other outstanding amounts immediately.

N168 **Requisitions.** A requisitioned document is one received by ASIC (either on paper or electronically) that cannot be fully processed on the basis of the information contained in the Form. A requisition notice is sent to the lodging party describing the deficiencies. Form 902 is lodged to correct these deficiencies. When received by ASIC, the 902 is attached to the original document, and both the 902 and the original document are processed.

Form 492 can only be lodged against documents that have already been fully processed by ASIC.

N169 **Appointment and cessation of an officer.** An officeholder may be appointed and ceased on the same Form. The officeholder status for this action is AC. Unless the officer is an alternate director, the cease date must not be later than the date the Form is signed.

N170 **Debt report for a company.** The Company Debt report for an individual company shows the debt details for a company that is linked to the agent requesting the report.

For companies to appear on these reports they must be already linked to the registered agent by either lodgement of form 362 or pre-CLERP7 form 361. ASIC updates customer records after 10 minutes so debt details will not be available if the RA63 is lodged immediately after the form 362.

Linked companies with zero debt balances will *not* appear in the report.

RA63 requests will be processed as they are received.

N171 **Debt report for all companies.** The Company Debt report for all companies shows the debt details for all companies linked to the requesting agent that have debt to ASIC.

For companies to appear on these reports they must be already linked to the registered agent by either lodgement of form 362 or pre-CLERP7 form 361. ASIC updates customer records after 10 minutes so debt details will not be available if the RA67 is lodged immediately after the form 362.

Linked companies with zero debt balances will *not* appear in the report.

RA67 requests will be queued and processed sequentially. There may be some delays in preparing reports if there is a heavy volume of requests at a particular time, especially for large agents

In order to prevent duplicate and unnecessary requests, a limit of two RA67 requests will be acceptable per calendar day.

N172 **Serial identifiers.** The X.509 specification requires each certificate to be uniquely identified with a serial identifier of type unbounded integer, which means the identifier must be numeric without length constraints. Because of the technology available in 1998, the ECR system was implemented with a limit of seventeen digits in the identifier.

ASIC has become aware that Verisign have started to produce some Gatekeeper compliant certificates with serial identifiers that are larger that 17 digits. If an ECR customer purchases such a certificate, then it will not be able to be used with ECR. Where the serial identifier of the certificate is greater than 17 characters long, the identifier must be included in the Serial Identifier 200 element of the ZXI segment.

N173 **Home unit company.** Software preparing Form 484 where the company commences as home unit company must have users assent to the following declaration:

The following declaration is made to support that this company is a special purpose company as defined in Regulation 3 of the Corporations (Review Fees) Regulations 2003.

(i) The company is the proprietor of land on which a building divided into separate residential areas and areas for common use is erected;

(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 exclusive occupation of the residential areas and to maintain the common areas.

N174 **Superannuation trustee company.** Software preparing Form 484 where the company commences as superannuation trustee company must have users assent to the following declaration:

The following declaration is made to support that this company is a special purpose company as defined in Regulation 3 of the Corporations (Review Fees) Regulations 2003.

(i) The constitution of this 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 regulation superannuation fund within the meaning of section 19 of the Superannuation Industry (Supervision) Act 1993.

N175 **Charitable purposes company.** Software preparing Form 484 where the company commences as charitable purposes company must have users assent to the following declaration:

The following declaration is made to support that this company is a special purpose company as defined in Regulation 3 of the Corporations (Review Fees) Regulations 2003.

The constitution of this company:

(i) Requires the company to pursue charitable purposes only and to apply its income in promoting those purposes; and

(ii) Prohibits the company making distribution to its members and paying fees to its directors; and

(iii) Requires its directors to approve all other payments the company makes to them.

N176 **Cessation of officer.** A company must not lodge a form 484 Change to company details if the cessation of an officeholder has already been notified by lodgement of form 370 Notification by officeholder of resignation or retirement.

N177 **Voluntary deregistration.** Form 6010 must be lodged on paper if:

- A Form 519A "Filing of application for winding up order" or 519G "Application to wind up company under s.459P, 462 or 464" has been lodged within the 6 months prior to lodgement of the Form 6010; or

- A Form CLP1 "Civil legal proceedings issued under s.1274 (11)" has been lodged within the 24 months prior to lodgement of the Form 6010 except where a related form CLPF "Civil Legal Proceedings Finalised" has been processed after the date of registration of Form CLP1.

N178 **Voluntary deregistration.** The form 6010 cannot be lodged when the company has an outstanding debt with ASIC greater than $38.00.

N179 **Payment methods.** When lodging Form 205A, 410B, 410F or 6010 the agent must choose whether payment is by Direct Debit or by invoice. If Direct Debit is chosen the agent lodging the form must have previously arranged with ASIC to pay by this method.

When Direct Debit is chosen an INV message describing the transaction will be delivered to the agent. When the invoice payment method is chosen the Invoice will be issued on paper according to ASIC's regular cycle.

For Forms 205A, 410B and 410F, the RC05 containing the certificate or notice will be delivered separately.

N180 **Voluntary deregistration.** The Form 6010 must be signed by the applicant for deregistration. For electronic lodgement the applicant must be either the company itself, in which case the signatory must be a current officer of the company, or the applicant may be a current director or alternate director of the company, in which case the director or alternate director must sign the form.

N181 **Voluntary deregistration.** If the applicant is a person an address must be supplied. If the applicant is the company, no address should be supplied. The registered office address of the company is used as the applicant's address.

N182 **Special purpose companies.** Software preparing Form 201 where the company nominates that they are a special purpose company must have users assent to the following declaration:

I DECLARE that this company is a special purpose company as defined under Regulation 3 of the Corporations (Fees) Regulations 2003.

N183 **Voluntary deregistration.** Software preparing Form 6010 must display the following text:

If your account shows a credit balance following approval of your Deregistration Application ASIC will issue a refund to your Registered Office or Postal Service address within the next 14 days, you do not need to contact ASIC.

Note that "your" refers to the company being deregistered, not to the agent lodging the form.

Chapter 7 – EDGE forms

Schedule of EDGE forms – forms lodged

The following message types and versions may be lodged onto the EDGE Mailbox.

Form code	Form description	Message version	Comments
TXID	Transmission control file	5.00	Your software transmits a copy of this file with every transmission. See page 71.
201	Application for registration as an Australian company	7.00	See page 71 and chapter 8.
205A	Notification of resolution – change of name	1.00	See page 74.
361	Registered agent ceasing to act for a company	6.00	See page 75.
362	Notification of appointment or cessation of a registered agent by a company	1.00	See page 75.
370	Resignation of officeholder	3.00	See page 76.
410	Application for reservation of a name	7.00	See page 76 and chapter 8.
410B	Application for reservation of a name – change of name	1.00	See page 77.
410F	Application for reservation of a name – extension of reservation	1.00	See page 78.
484	Change to company details	2.00	See page 79.
485	Statement in relation to company solvency	2.00	See page 83.
489	Notification of change of registered office or office hours of a registered body	2.00	See page 83.
490	Notification of change to officeholders of a registered body	2.00	See page 84.
492	Notification of corrections	1.00	See page 85.
902	Notification of supplementary information	4.00	See page 86.
6010	Application for voluntary deregistration of a company	1.00	See page 87.
RA17	Request for data amendment report	1.00	See page 87.
RA50	Request withdrawal of Form 201	1.00	See page 88 and chapter 8.
RA51	Request reprint of certificate	7.00	See page 88 and chapter 8.
RA52	Request account transaction listing	3.00	See page 88 and chapter 8.

RA53	Authorise X.509 certificate	7.00	See page 89 and chapter 8.
RA54	Update X.509 certificate authorities	7.00	See page 89 and chapter 8.
RA58	Request X.509 certificate authorities list	1.00	See page 89 and chapter 8.
RA61	Request review date report	1.00	See page 90.
RA63	Request company debt report for a specified company	1.00	See page 90.
RA65	Request documents lodged report	1.00	See page 90.
RA67	Request company debt report	1.00	See page 91.
RA71	Request for company details	3.00	See page 91.

Schedule of EDGE forms – forms for collection

The EDGE Mailbox may create the following message types and versions for collection by agents.

Form code	Form description	Message version	Comments
480	Annual statement	2.00	See page 19.
RA18	Data amendment report	1.00	See page 19.
RA55	Company registration advice	7.00	See page 20 and chapter 8.
RA56	Advice of ASIC processing status	7.00	See page 20 and chapter 8.
RA57	Agent account transaction listing	3.00	See page 20 and chapter 8.
RA59	X.509 certificate authorities list	1.00	See page 20 and chapter 8.
RA62	Review date report	1.00	See page 20.
RA64	Company debt report for a specified company	1.00	See page 21.
RA66	Documents lodged report	1.00	See page 21.
RA68	Company debt report	1.00	See page 21.
RA72	Data download	3.00	See page 21.
RC05	ASIC-generated correspondence and Direct Debit payment advice	1.00	See page 22.

Form definitions

The item number refers to the data item on the relevant EDGE form. If EDGE rejects a document, the item number and the identifying number of the validation test that failed appear on the *Validation Report.*

Test numbers shown in **bold type** (for example, **V044**) are the validation tests that are applied by the EDGE mailbox computer. Details of these tests are in Chapter 4.

Test numbers shown in plain type (for example, V091) are those that should have been applied by your corporate registry software before you transmitted a document. Details of these tests are in Chapter 5.

If EDGE rejects a document because a test shown in Chapter 5 has failed, you should consult the documentation provided with your software or contact your Digital Service Provider.

The notes column in each form refers to further detailed information in Chapter 6. This explains the reasons for the validation tests and often refers to the relevant section of the *Corporations Act 2001* or associated Regulations.

Form TXID – Transmission control file – version 5.00

The transmission control file is generated by your software and forms part of every transmission you send to EDGE.

Item	Description	Tests		Notes
01a	Registered agent number	**V044**		
01b	Test transmission (Y/N)?	V091		N093
01c	Transmission date	V032		
01d	Software registration number	**V024**	**V042**	N049
01e	Package software version identifier			
01f	EDGE document messages specification version	**V019**		
01g	Number of documents in transmission			

Form 201 – Application for registration as an Australian company– version 7.00

Details of the company you have registered plus details of the invoice raised is shown on an RA55. If you requested electronic delivery of the Certificate Of Registration, then the RA55 will also contain the Postscript or .PDF print stream containing the Certificate.

If the Form 201 cannot be fully processed automatically then an RA56 will be prepared to advise that the document will be manually processed.

Item	Description	Tests		Notes	
00a	Signatory name	V176			
00b	Signatory role when applicant is an organisation	V164	V298		
00c	Date signed	V032	**V163**	N059	
		V117			
00d	Confirms that declaration in N126 has been assented to	V006		N126	
01a	Company name	V276	V511	N003	N120
		V280	V516		
01c	Company type	**V025**	**V030**		
01d	Company class	V027	V327	N005	N073
		V030			
01e	Company subclass	**V030**	V521	N182	
		V520			
01f	Does company wish to use ACN as company name?	V091	V363		
		V323			

01g	Legal elements to be used if ACN is name	V276 V282	V324	N120	N141
01h	Will proposed company be governed by a constitution?	V091 V094 V277	V364 V549	N122	
01j	Will any shares be issued for a non-cash consideration?	V094 V364	V494		
01k	Has proposed name been reserved by Form 410?	V091			
01l	Is the proposed name identical to a registered business name(s)?	V091			
01m	Jurisdiction of registration	V033			
01o	Are all officeholder addresses the usual residential address of the officeholder?	V091	V315	N130	
02	Name reserved by Form 410	V284	V286		
02	Details of identical business names	V285	V340	N142	
02	Amount of members guarantee	V268	V269	N119	
02a	Applicant name if person	V176	**V270**		
02b	Applicant name if organisation	**V270**			
02c	Reservation document number	**V270**	**V271**		
02d	Place of registration of business name	V033	**V329**		
02e	Registration number of business name	**V329**			
02h	Amount of members guarantee				
03	Standard hours (public companies)	V283	V297		
03	Non-standard hours (public companies)	V265 V266	V283 V296		
03c	Registered office address	V040 **V444**	V492 V512	N023	
03d	Will the company occupy the address?	V091		N024	
03e	If not occupant, name of occupier	V122			
03f	If not occupant, occupant consents?	V038 V091	V122	N024	
03g	Address overridden?	V091	**V395**		
03p	Is the registered office open each business day from at least 10 am to 12 noon and 2 pm to 4 pm?	V091			
03q	Office hours time of opening	V058		N009	N052
03r	Office hours time of closing	V043	V058	N009	N052
04	Principal place of business address in Australia			N025	
04c	Address overridden?	V091	**V395**		
04d	Address of principal place of business	V040 **V444**	V492 V512		
05	Ultimate holding company			N026	
05a	Name of ultimate holding company	**V097**		N063	
05b	ACN/ARBN of ultimate holding company	**V050**	V051	N063	
05c	Place of incorporation	V418 V420	**V421**	N028	

05d	ABN of ultimate holding company	**V396**			
06	Officer details	V059 **V145** **V146**	**V147** **V349**	N040 N086 N094	N099 N101
06	Offices held	V302	V303		
06c	Name of officer	V176			
06d	Birth details of officer	V066 V131	V157 V261	N069	
06h	Officer's address	**V382** **V444**	V512	N010	N145
06i	Address overridden?	V091	**V395**		
06j	Former name of officer	V153	V176		
06k	Office to be held - that is, DIR or SEC	V011		N041	
07	Share structure	**V085**	**V258**	N070	
07a	Share class code	V087 V426	V455	N042	
07b	Full title of share			N042	
07d	Total number issued	V518			
07f	Total amount paid	V517			
07g	Total amount unpaid	V517			
08	Share members	**V085**	**V258**		
08a	Share class code				
08b	Number agreed to be taken up	V518			
08c	Are shares fully paid?	V091			
08d	Is member the beneficial owner?	V091		N046	
08f	Total amount paid/taken to be paid	V517			
08g	Total amount unpaid	V517			
08m	Amount paid/taken to be paid per share	V517		N124	
08n	Amount due and payable per share	V517		N124	
08o	Member name (if person)	V100	V176		
08p	Member name (if organisation)	**V097**	V101	N063	
08q	Member ACN/ARBN (if organisation)	**V050** V051	V369 V376	N063	
08r	Member's address	**V444**			
08s	Does the member organisation have an ACN or ARBN?	V091 V370	V375	N144	
08u	Address overridden?	V091	**V395**		
09a	Name of applicant (if person)	V176	V307		
09b	Name of applicant (if organisation)	**V097**	V308		
09c	ACN/ARBN of applicant (if organisation)	**V050** V051	V308		
09d	Applicant's address				
10a	Request application be manually reviewed	V315		N130	
10b	Has ministerial consent been granted for use of proposed name			N123	

10c	Registration Certificate delivery option	V304		
10e	Text in support of application	V342	V343	N130
11	Non-share members	V268	V269	
11a	Non-shareholding member name (if person)	V176	V497	
11b	Non-shareholding member name (if organisation)	**V097**	V498	
11c	Non-shareholding member ACN/ARBN (if organisation)	**V050**	V499	
		V051	V500	
11d	Non-shareholding member's address	**V382**		N145
11e	Does the member organisation have an ACN or ARBN?	V091	V502	
		V501		
11f	Address overridden?	V091	**V395**	

Form 205A – Notification of resolution – change of name – version 1.00

If the resolution to change company name is accepted, an RC05 ASIC-generated correspondence will be returned. The RC05 will include a PDF of the change of name certificate. If the change of name cannot be accepted or if it has queued for manual processing, the RC05 will include a PDF notice describing this.

If the Direct Debit payment method has been chosen, an INV fee advice notice message will also be returned. This message will confirm the Direct Debit details. If Direct Debit is not chosen, a paper invoice will be issued according to the usual invoice cycle.

Item	Description	Tests		Notes	
00a	Signing officer name	**V165**			
00b	Signing officer company office	V299			
00c	Date signed	V117	**V163**	N059	
00d	Declares that the information provided is true and correct	V006			
01a	Current registered company name	**V097**			
01b	ACN	**V025**	V051		
		V050	**V522**		
01c	Payment method	V525	**V526**	N179	
01d	Subject of resolution	V533			
02a	Date of meeting	V002	V117		
		V005			
02g	Special resolution	V534			
02h	Text of special resolution				
03a	New name (including legal elements)	V276	V511	N120	N133
		V280	V516		
03d	Does company wish to use ACN as new company name?	V091	V537		
		V536			
03e	If ACN as name, the legal elements to be used	V276	V539	N120	N141
		V538			
03f	Has proposed name been reserved for this body by lodgement of Form 410	V091			

Item	Description	Tests		Notes
03g	Is the proposed name identical to a registered business name(s)?	V091		
04	Name reservation details	V540	V541	
04c	Reservation document number	**V270**	**V271**	
05	Identical business names	V542	V543	N142
05a	Place of registration of business name	V033	**V329**	
05b	Registration number of business name	**V329**		
10a	Request application be manually reviewed	V551		
10e	Text in support of application, to be considered in manual review	V342	V343	

Form 361 – Notification of a registered agent ceasing to act for a company – version 6.00

A Form 361 enables an agent to cease companies from the list of companies linked to that agent. Form 361 must be signed by the registered agent, not by an officer of the company or companies referred to in the form.

If your software allows it, you can include up to 99 companies on one Form 361.

Item	Description	Tests		Notes
00a	Signing officer name			
00b	Signing officer company office	V175		
00c	Date signed	V117	**V163**	N059
00d	Declares agent is authorised to give notice	V006		
00e	Declares that the information in this form is true and complete	V006		
02a	Company name	**V097**		N003
02b	ACN	**V017** **V025** **V050**	**V051** **V228** **V229**	N004

Form 362 – Notification of appointment or cessation of a registered agent by a company – version 1.00

A Form 362 enables a company to appoint or cease a registered agent. A current officer of the company must sign this form.

Item	Description	Tests		Notes
00a	Signing officer name	**V165**		
00b	Signing officer company office	V299		
00c	Date signed	V117	**V163**	N059
00e	Declares that the information in this form is true and complete	V006		
02a	Company name	**V097**		N003
02b	ACN	**V017** **V025**	**V050** V051	N004

Item	Description	Tests		Notes	
02c	Add (A) or cease (C) agent for this company	V162			

Form 370 – Resignation of office holder – version 3.00

A resigning or retiring company director, alternate director or secretary has the option to use Form 370 to notify ASIC of their retirement or resignation. Note that Form 370 is lodged by the office holder on his or her own behalf and not by the company for the office holder. The Form 370 does not need to be lodged if a Form 484 has already been lodged notifying the same change. The Form 370 is signed by the retiring officer, and must be accompanied by a copy of the letter of resignation in an annexure.

Item	Description	Tests		Notes	
00a	Signing officer name	V176	V237		
00b	Signing officer company office	V237		N041	N096
00c	Date signed	**V005** V032	V117 **V163**	N059	
00d	Declares that the information on the form is true and correct	V006			
01a	Company name	**V097**		N003	
01b	ACN	**V017** **V025**	**V050** V051	N004	N095
06	Resigning officeholder			N094	N176
06a	Status of officer (cease)	V235		N078	
06c	Name of officer	V176	**V476**		
06d	Birth details of officer	V066 V131	**V157** **V476**		
06j	Former name of officer	V153	V176		
06k	Office held – that is, DIR, SEC or ALT	V299		N041	
06m	Cessation date	V002 V032	V118		
17a	Annexure mark				
17b	Annexure type	V236			
17c	Number of pages on signed copy				
17e	Date letter of resignation given to company	V002			
17f	Text of resignation letter				

Form 410 (ECR) – Application for reservation of a name – version 7.00

Only names reservations for Australian public and proprietary companies may be lodged electronically. Reservations for foreign companies and registered Australian bodies must be lodged as paper documents.

An RA56 Advice of ASIC processing status is used to notify the applicant whether or not the application for a new name reservation has been approved.

Advice of whether or not a change of name reservation (410B) or an extension a name reservation (410F) has been approved will be notified on an RC05, along with an INV notice to confirm the payment of the application fee.

Item	Description	Tests		Notes
00a	Signatory name	V176		
00b	Signatory role when applicant is an organisation	V164	V298	
00c	Date signed	V032 **V163** V117		N059
00d	Declares that information provided is true and complete	V006		
01a	Name reserved/to be reserved	V276 V280	V516	
01c	Company type	**V025**	**V326**	
01d	Company class	V027 **V326**	V327	N005
01f	Is the proposed name identical to a registered business name(s)?	V091		
02	Identical business names	V273	V355	N142
02e	Place of registration of business name	V033	**V329**	
02f	Registration number of business name	**V329**		
05	Purpose of reservation	V291		
05e	New reservation – Part and Division	V288		
06e	Change of name – Current registered company name	**V097**		
06f	Change of name – ACN or ARBN	**V017** **V050**	V051	
07b	Extension of reservation – Reason for extension of existing reservation			
07c	Extension of reservation – Reservation document number	**V275**		
07d	Extension of reservation – Existing expiry date	V272	**V275**	
09a	Name of applicant (if person)	V176	V307	
09b	Name of applicant (if organisation)	**V097**	V308	
09c	ACN/ARBN of applicant (if organisation)	**V050** V051	V308	
09d	Applicant's address			
10a	Request application be manually reviewed			
10e	Text in support of application	V342	V343	

Form 410B (EDGE) – Application for reservation of a name – change of name – version 1.00

If the application to reserve a name is approved, an RC05 ASIC-generated correspondence will be returned. The RC05 will include a PDF of the name reservation notice. If the reservation cannot be accepted or if it has queued for manual processing, the RC05 will include a PDF notice describing this.

If the Direct Debit payment method has been chosen, an INV fee advice notice message will also be returned. This message will confirm the Direct Debit details. If Direct Debit is not chosen, a paper invoice will be issued according to the usual invoice cycle.

Item	Description	Tests		Notes
00	Signatory			N121
00a	Signatory name	V176		
00b	Signatory role	V299		
00c	Date signed	V032	**V163**	N059
		V117		
00d	Declares that the information provided is true and correct	V006		
01a	Name/to be reserved (including legal elements)	V276	V511	
		V280	V516	
01e	Payment method	V525	**V526**	N179
01f	Is the proposed name identical to a registered business name(s)?	V091		
02	Identical business names	V273	V355	N142
02e	Place of registration of business name	V033	**V329**	
02f	Registration number of business name	**V329**		
06e	Current registered company name	V097		
06f	ACN or ARBN	**V025**	V051	
		V050	**V522**	

Form 410F (EDGE) – Application for reservation of a name – extension of reservation – version 1.00

If the application to extend a reservation is approved, an RC05 ASIC-generated correspondence will be returned. The RC05 will include a PDF of the extension notice. If the extension cannot be accepted or if it has queued for manual processing, the RC05 will include a PDF notice describing this.

If the Direct Debit payment method has been chosen, an INV fee advice notice message will also be returned. This message will confirm the Direct Debit details. If Direct Debit is not chosen, a paper invoice will be issued according to the usual invoice cycle.

Item	Description	Tests		Notes
00	Signatory			N121
00a	Signatory name	V176		
00b	Signatory role when extending a name change reservation	**V550**		
00c	Date signed	V032	**V163**	N059
		V117		

00d	Declares that the information provided is true and correct	V006			
01a	Name reserved (including legal elements)	V276 V280	V516		
01e	Payment method	V525	**V526**	N179	
07b	Reason for extension				
07c	Reservation document number	**V275**			
07d	Existing expiry date	V272	**V275**		

Form 484 – Change to company details – version 2.00

Form 484 is used to notify changes to company details. Only those portions of the form required to be completed to notify the change need to be completed.

When notifying members' details, there are some important points that need to be noted:

- When a member is an organization, it must be stated whether or not that organization has an ACN or ARBN. See N004 and N076 for details of ACN and ARBN. Where members have an ACN or ARBN, it must be entered on the Form 484.
- Care should be taken when entering details of joint members. When two or more persons or organisations hold shares jointly, name and address details of each joint shareholder should be entered. Refer to your software documentation for details of how to format joint members.

Consult your software documentation for details of how to properly format member details.

Item	Description	Tests		Notes	
00a	Signing officer name	**V165**	V504	N057	
00b	Signing officer company office	V299	V504	N041	N057
00c	Date signed	**V005** V032	V117 **V163**	N057	N059
00d	Declares that the information in this form is true and complete	V006		N047	N152
01a	Company name	**V097**		N003	
01b	ACN	**V017** **V025**	**V050** V051	N004	
01f	Is this a response to an Annual Statement?	V091			
02	Change to special purpose company status	V496			
02a	Date of change to special purpose company status	V002 **V005**	V032		
02b	Has the company commenced to be a special purpose company?	V006	V459		
02c	Has the company ceased to be a special purpose company?	V006 V459	**V460**		
02d	Is the company a home unit company?	V006 V393	V394 **V458**	N173	
02e	Is the company a superannuation trustee company?	V006 V393	V394	N174	

02f	Is the company for charitable purposes?	V006 V393	V394 **V458**	N175	
03b	Date of change of registered office address	**V005** V032	V205	N149	
03c	Registered office address	V040 **V407** **V444**	V492 V512	N023	
03d	Does company occupy address?	V091		N024	
03e	If not occupant, name of occupier	V037 V122	V247		
03f	If not occupant, occupant consents?	V038 V091	V122	N024	
03g	Address overridden?	V091	**V395**		
04	Principal place of business address in Australia			N025	
04b	Date of change of principal place of business address	**V005**	V032	N149	
04c	Address overridden?	V091	**V395**		
04d	Address of principal place of business	V040 **V407** **V444**	V492 V512		
05	Ultimate holding company			N026	N157
05a	Name of ultimate holding company	**V097**	**V410**	N063	
05b	ACN/ARBN of ultimate holding company	V007 **V050**	V051	N063	
05c	Place of incorporation	V418 V420	**V421** **V461**	N028	
05d	ABN of ultimate holding company	**V396**			
05g	Ultimate holding company status	V409 **V410**	**V445** V446		
05h	Date of change	V002 **V005**	V032		
06	Officer details	V496		N099 N101	N176
06	Offices held	V302	V303		
06	Former names	**V513**			
06a	Status of officer (new, cease, change of name, change of address)	V079 V197	**V381**	N145	
06b	Date of change of officer details	V002 V032	V103 V234	N098	N149
06c	Name of officer (if person)	V075 V176 **V413**	**V414** **V476**		
06d	Birth details of officer (if person)	V066 V086 V131 V157	V261 **V414** **V476**	N069	
06f	Name of officer (if organisation)	V076	**V097**	N063	

06g	ACN/ARBN of officer (if organisation)	V007	V099	N063	
		V050	**V198**		
		V051			
06h	Officer's address	V199	**V444**	N010	N145
		V382	V512		
06i	Address overridden?	V091	**V395**		
06j	Former name of officer	V080	V176		
		V137	V262		
		V153			
06k	Office held - that is, DIR, SEC or ALT	V129	V300	N041	
		V299	V301		
06l	Appointment date	V002	V032	N071	N149
		V004	V232	N079	N169
		V005	V263		
06m	Cessation date	V032	V118	N149	N169
		V045	**V310**		
		V090			
06o	Name of director for whom alternate is acting	V176	V350		
		V300	**V415**		
		V301			
07	Share structure	**V258**	**V507**	N070	
		V493	**V509**		
		V496			
07a	Share class code	V087	V426	N042	
07b	Full title of share			N042	
07d	Total number issued	V518			
07f	Total amount paid	V517			
07g	Total amount unpaid	V517			
07l	Class status	V416	V448		
		V447			
07m	Earliest date of change	V002			
08	Share members	**V258**	**V508**		
		V493	**V509**		
		V496	**V519**		
		V507			
08	Details of shares held	**V490**		N087	
08a	Share class code	**V486**			
08b	Total number held	V518			
08c	Are shares fully paid?	V091			
08d	Is member the beneficial owner?	V091	**V336**	N046	
08f	Total amount paid	**V506**	V517		
08g	Total amount unpaid	V483	**V506**		
		V484	V517		
08h	Increase/decrease in holding	**V485**		N158	

08i	Holding status	V450	V480	
		V478	V481	
		V479		
08j	Date of change to register	V002	V032	
		V005		
08k	Date member's name added to register	V002	V032	
		V005	V451	
08o	Member name (if person)	V100	**V490**	
		V176	**V491**	
08p	Member name (if organisation)	**V097**	**V490**	N063
		V101	**V491**	
08q	Member ACN/ARBN (if organisation)	**V050**	V369	N063
		V051	V376	
08r	Member's address	**V444**		
08s	Does the member company have an ACN or ARBN?	V091	V375	N150
		V370		
08t	Member status	V449	V454	
		V451	V462	
		V452	V481	
		V453	V482	
08u	Address overridden?	V091	**V395**	
08v	Former name of member (if person)	V176	V454	
		V452		
08w	Former name of member (if organisation)	V453	V454	N063
09	Annexures	V350	V360	N151
09a	Annexure mark			
09b	Annexure type	V419		
09c	Number of pages on signed copy			
09d	Annexure text			
10	Share issue	**V258**	V496	
		V493		
10	Share classes	V201		
10a	Earliest date of issue	V002	V032	
		V005		
10b	Have the shares been issued for cash only?	V429		N102
10c	Have the shares been issued under a written contract?	V435	V436	N102
10d	Share class code	V426	**V487**	N042
10e	Full title of share			N042
10g	Number of shares in this issue	V219	V518	
10i	Amount paid or taken to be paid on each share	V517		
10j	Amount due and payable on each share	V517		
10o	Description of consideration for other than cash	V431	V432	
11	Share cancellation	**V258**	V496	
		V493		
11a	Earliest date of registration of cancellation	V002	V032	
		V005		

Item	Description	Tests		Notes	
11d	Cancellation provision	V317	**V474**		
		V471			
11e	Section reference if provision other	V433	V434		
11f	Description if provision other	V433	V434		
11g	Share class code	**V400**	**V486**	N042	
		V426	**V487**		
11h	Full title of share class				
11j	Number of shares cancelled	V219	V518		
		V401			
11l	Total consideration paid	V517			

Form 485 – Statement in relation to company solvency – version 2.00

Item	Description	Tests		Notes	
00a	Signatory name	**V165**		N057	
00b	Signatory role when applicant is an organisation	V299		N041	N057
00c	Date signed	**V005**	V117	N057	N059
		V032	**V163**		
00d	Declares that the information in this form is true and complete	**V006**		N047	N152
01a	Company name	V097		N003	
01b	ACN	**V017**	V051	N004	
		V050			
01f	Under section 347A the directors of the company, in their opinion, believe that there are NOT reasonable grounds to think that the company will be able to pay its debts as and when they become due and payable	V006	V424	N156	
		V402	V425		
01h	The directors of the company have not passed a solvency resolution under section 347A within the statutory two month period after the review date	V006	V404	N156	
		V402	V405		
01n	Review date	V032	V405		
		V387	V514		
		V404			
01q	Date of resolution	V002	V424		
		V005	V425		
		V032			

Form 489 – Change of address or office hours of registered body – version 2.00

Item	Description	Tests		Notes	
00a	Signatory name	**V165**	**V193**	N107	
		V176			
00b	Signing officer company office	V164		N041	N096
00c	Date signed	**V005**	V117	N059	
		V032	**V163**		

Item	Description	Tests		Notes	
00e	Declares that the information in this form is true and complete	**V006**			
00j	Company name of company which is agent for foreign company	**V097**	V362	N003	N104
00k	ACN of company which is agent for foreign company	**V050** V051	**V203** V361	N004	N095
01a	Company name	**V097**		N003	
01b	ARBN	**V017** **V050**	V051	N076	N095
01c	Company type	**V026**	V388	N153	
03	Office address in Australia	V348			
03	Office address in place of origin	V348	V468		
03	Office hours	V348		N155	
03	Opening hours	V041 V265	V328		
03a	Has there been a change in the office address in Australia?	**V006**			
03b	Effective date of office address change	V002 **V005**	**V032**		
03c	Address	V389	V512	N154	
03d	Does company occupy address?	V091		N024	
03e	If not occupant, name of occupier	V037 V122	**V247**		
03f	If not occupant, occupant consents?	V038 V091	**V122**	N024	
03g	Address overridden?	V091	V395		
03h	Has there been a change in the office address in place of origin?	V006			
03i	Effective date of office address change	V002 **V005**	V032		
03k	Address	V390 V477	V512	N154	
03n	Has there been a change of registered office hours?	**V006**			
03o	Effective date of office hours change	V032 **V005**	V205		
03p	Is the registered office open each business day from at least 10 am to 12 noon and 2 pm to 4 pm?	V091			
03q	Office hours time of opening	V058			
03r	Office hours time of closing	V043	V058		

Form 490 – Change of officeholders of registered body – version 2.00

Item	Description	Tests		Notes	
00a	Signatory name	**V165** V176	**V193** V504	N107	
00b	Signing officer company office	V164	V504	N041	N096

00c	Date signed	**V005**	V117	N059	
		V032	**V163**		
00e	Declares that the information in this form is true and complete	**V006**			
00j	Company name of company which is agent for foreign company	**V097**	V362	N003	N104
00k	ACN of company which is agent for foreign company	**V050**	**V203**	N004	N095
		V051	V361		
01a	Company name	**V097**		N003	
01b	ARBN	**V017**	V051	N076	N095
		V050			
01c	Company type	**V026**	V388	N153	
06	Officer details	V189		N094	N101
				N099	N108
06	Former name	**V513**			
06a	Status of officer (new, cease, change of name, change of address)	V197	**V381**	N078	N145
		V230	V495		
06b	Date of change of officer details	V002	V104	N098	
		V032	V234		
		V103			
06c	Name of officer (if person)	V075	V176		
06d	Birth details of officer (if person)	V066	V157		
		V086	V261		
		V131			
06f	Name of officer (if organisation)	V076	**V198**	N063	
		V097			
06g	ACN/ARBN of officer (if organisation)	V007	V099	N004	N076
		V050	**V198**	N063	
		V051			
06h	Officer's address	V199	**V444**	N011	N145
		V382	V512		
06j	Former name of officer	V080	V176		
		V137	V262		
		V153			
06k	Office held	V200		N041	
06l	Appointment date	V002	V032	N071	N079
		V004	V232		
		V005	V263		
06m	Cessation date	V002	V118		
		V032	V467		
		V045			

Form 492 – Notification of corrections – version 1.00

Form 492 may be lodged electronically only if it amends a document that is not under requisition. Form 902 is used to respond to a requisition.

Item	Description	Tests		Notes	
00a	Signing officer name	**V165**			
00b	Signing officer company office	V299			
00c	Date signed	V117 **V163**	V253	N059	
00d	Declares that the information on the form is true and complete	V006			
01a	Document number of document being amended	**V174**	**V399**	N111	N168
01b	Date of lodgement of document being amended	V117 **V174**	V253		
01c	Form code of document being amended	**V174**	V239		
01d	Document title of document being amended				
01f	Name of company for which document was lodged	**V097**		N003	
01g	ACN/ARBN of company for which document was lodged	**V017** **V050**	V051 **V174**	N004	
02a	Amendment text				

Form 902 – Amendment to previously lodged document – version 4.00

A Form 902 may be lodged only in response to a requisitioned, electronically lodged document. Form 492 is used to notify corrections.

If the 902 refers to a document which was lodged on paper, the 902 must be lodged on paper.

Item	Description	Tests		Notes	
00a	Signing officer name	**V165**			
00b	Signing officer company office	V299			
00c	Date signed	V117 **V163**	V253	N059	
00d	Declares that the information on the form is true and complete	V006			
01a	Document number of document being amended	V166 **V174**	V231	N111	N168
01b	Date of lodgement of document being amended	V117 **V174**	V253 **V398**		
01c	Form code of document being amended	**V174**	V239		
01d	Document title of document being amended				
01f	Name of company for which document was lodged	**V097**		N003	
01g	ACN/ARBN of company for which document was lodged	**V017** **V050**	V051 **V174**	N004	
02a	Amendment text				

Form 6010 – Application for voluntary deregistration of a company – version 1.00

No notice is delivered electronically in response to the lodgement of a Form 6010. The
deregistration advice notice is delivered on paper to the applicant, or to the nominee if the applicant
is the company.

If the Direct Debit payment method has been chosen, an INV fee advice notice message will also be
returned. This message will confirm the Direct Debit details. If Direct Debit is not chosen, a paper
invoice will be issued according to the usual invoice cycle.

Item	Description	Tests		Notes
00	Signature of applicant			N121
00a	Signatory name	V176	**V532**	N180
00b	Signatory role	V299		N180
00c	Date signed	V032 V117	**V163**	N059
00d	Declares that the information on the form is true and complete	V006		
01a	Company name	**V097**		N003
01b	ACN	**V025** **V050** V051	**V522** **V523** **V524**	N004
01c	Payment method	V525	**V526**	N179
02b	All members of the company agree to the deregistration	V006		
02c	The company is not carrying on business	V006		
02d	The company's assets are worth less than $1000	V006		
02e	The company has paid all fees and penalties payable under this Act	V006		
02f	The company has no outstanding liabilities	V006		
02g	The company is not a party to any legal proceedings	V006		
03a	Name of applicant (if person)	V176 V527	**V528**	
03b	Name of applicant (if organisation)	**V097** V529	V530	
03c	ACN of applicant (if organisation)	**V050** V051	V529 V530	
03d	Applicant's address	V547	V548	N181
03e	Applicant's role	V544 V545	V546	
04	Details of nominee	V531		
04a	Nominee name	V176		
04d	Nominee's address			

RA17 – Request for data amendment report – version 1.00

An RA17 is a request for a report on all amendments made by ASIC to data on forms previously
lodged by the agent.

It is not necessary to produce a paper copy of the RA17.

Item	Description	Tests		Notes
00a	Signing agent name			
00b	Signing agent company office	V175		
00c	Date requested	V032	**V163**	
		V117		

RA50 – Request withdrawal of Form 201 – version 1.00

Item	Description	Tests		Notes
00a	Signing agent name	V176		
00c	Date signed	V032	**V163**	N059
		V117		
00d	Declares that the information provided is true and complete	V006		
01b	Proposed company name	**V316**		
03a	Document number of Form 201	**V316**		

RA51 – Request reprint of registration certificate – version 7.00

An agent may request a reprint of a certificate within 30 days of the registration of the company, where the agent registered the company and the original certificate was delivered electronically. Lodgement of a valid RA51 will result in the preparation of a RA55 reply.

Item	Description	Tests		Notes
01a	Name of company	V332		
01b	ACN of company	V332		
10c	Registration certificate delivery option	V341		

RA52 – Request account transaction listing – version 3.00

An agent may request an account transaction listing for a specified period. Lodgement of a valid RA52 will result in the preparation of a RA57 reply. In deciding the period of the request, agents should consider their processing volumes and the consequent effects on the size of the reply message.

Item	Description	Tests		Notes
17e	Start date of transaction details	V032	V365	
		V333		
17f	End date of transaction details	V032	V365	
		V333		
17g	Display prior outstanding transactions	V091		

RA53 – Authorise X.509 certificate – version 7.00

Use of all X.509 certificates must be authorised with ASIC using an RA53 message before documents signed by the private key associated with the certificate can be lodged. Authorisation will be confirmed by an RA56 message.

The RA54 message allows an agent to alter the authorities attached to a certificate.

Item	Description	Tests		Notes	
00a	Signatory name	V176			
00c	Date signed	V032 V117	**V163**	N059	
00d	Declares that the holder of the attached X.509 certificate is a person authorised to digitally sign transmissions to ASIC on behalf of this lodging agent			N136	
00e	Declares that the holder of the attached X.509 certificate is a person authorised to digitally sign company forms which this lodging agent may transmit to ASIC			N136	
00l	Single use ASIC allocated PIN	**V325**		N131	N137
03a	Certificate, base-64 encoded	V335		N129	

RA54 – Update X.509 certificate authorities – version 7.00

An agent may update the authorities attached to a certificate by lodging an RA54 identifying the certificate involved. This update will be confirmed by an RA56 message.

Item	Description	Tests		Notes
00a	Signatory name	V176		
00c	Date signed	V032 V117	**V163**	N059
00d	Declares that the holder of the attached X.509 certificate is a person authorised to digitally sign transmissions to ASIC on behalf of this lodging agent			N136
00e	Declares that the holder of the attached X.509 certificate is a person authorised to digitally sign company forms which this lodging agent may transmit to ASIC			N136

RA58 – Request X.509 certificate authorities list – version 1.00

An agent may request a list of certificates authorised for use by the agent by lodging an RA58 request. Lodgement of a valid RA58 will result in the preparation of an RA59 reply.

Item	Description	Tests		Notes
00a	Signatory name	V176		
00c	Date signed	V032 V117	**V163**	N059

RA61 – Request review date report – version 1.00

Item	Description	Tests		Notes
00a	Signing agent name			
00b	Signing agent company office	V175		
00c	Date signed	V117	**V163**	
00d	Declares that agent is authorised to request this report	V006		
01a	Report start date	V457		N164
01c	Report end date	V457		N164

RA63 – Request company debt report for a specified company – version 1.00

The Company Debt report for a specified company shows the debt details for a company that is linked to the agent requesting the report.

For companies to appear on these reports they must be already linked to the registered agent by either lodgement of Form 362. ASIC updates customer records after 10 minutes so debt details will not be available if the RA63 is lodged immediately after the form 362.

Linked companies with zero debt balances will *not* appear in the report.

RA63 requests will be processed as they are received.

Item	Description	Tests		Notes	
00a	Signing agent name				
00b	Signing agent company office	V175			
00c	Date signed	V032 V117	**V163**		
00d	Declares that agent is authorised to request this report	V006			
01a	Company name	**V097**		N003	
01c	ACN	**V017** **V050**	V051 **V456**	N004	N170

RA65 – Request documents lodged report – version 1.00

Item	Description	Tests		Notes
00a	Signing agent name			
00b	Signing agent company office	V175		
00c	Date signed	V032 V117	**V163**	
00d	Declares that agent is authorised to request this report	V006		
01a	Company name	**V097**		N003
01c	ACN	**V017** **V050**	V051 **V456**	N004

Item	Description	Tests		Notes
01m	Start date of lodgement period	**V005** V117		
		V032 V443		

RA67 – Request company debt report – version 1.00

The Company Debt report for all companies shows the debt details for all companies linked to the requesting agent that have debt to ASIC.

For companies to appear on these reports they must be already linked to the registered agent by either lodgement of form 362. ASIC updates customer records after 10 minutes so debt details will not be available if the RA63 is lodged immediately after the form 362.

Linked companies with zero debt balances will *not* appear in the report.

RA67 requests will be queued and processed sequentially. There may be some delays in preparing reports if there is a heavy volume of requests at a particular time, especially for large agents.

In order to prevent duplicate and unnecessary requests, a limit of two RA67 requests will be acceptable per calendar day.

Item	Description	Tests		Notes
00a	Signing agent name			
00b	Signing agent company office	V175		
00c	Date signed	V032 **V163**		
		V117		
00d	Declares that agent is authorised to request this report	V006		N171

RA71 – Request for company details – version 3.00

The RA71 can be used to extract a variety of different types of information. These are specified in the request type field. Valid request types are described in N159. Company data will only be extracted for delivery to the agent if a Form 362 has already established a link between the registered agent and the company.

The data provided is drawn from ASIC's ASCOT database which reflects the data captured from documents lodged with ASIC. ASIC does not warrant the completeness or accuracy of this data.

Receipt of company data downloaded from ASIC in no way alters the obligations on company record keepers to maintain complete and accurate registers as required by the *Corporations Act 2001*.

Item	Description	Tests		Notes
00a	Signing agent name			
00b	Signing agent company office	V175		
00c	Date signed	V117 **V163**		
00d	Declares that agent is authorised to make this request	V006		

01a	Company name	**V097**		N003
01b	ACN	**V017**	V051	N004
		V050	**V456**	
01c	Request type	V417	**V505**	N159

Chapter 8 – Electronic Company Registrations (ECR)

Background

ECR is Stage 3 of ASIC's EDGE system and enables the registration of Australian companies and the reservation of names to be made electronically. ECR is linked to an electronic payments facility.

The EDGE mailbox has been programmed to provide editing, validation and acceptance of digitally signed company registration and name reservation requests, in addition to the change documents that are already available. Once requests have been accepted, the data will pass through a series of automatic filters that will check for names availability, names acceptability, data completeness and funds availability. At this stage the company registration or name reservation data will be registered, rejected or queued for manual review.

Digital Signatures

A digital signature links a particular person to an electronic document. It allows the receiver of the document to verify the identity of the person transmitting the document and confirms that the document has not been altered since it was transmitted. A digital signature is **not** a scanned image of a person's hand-written signature. That is a "digitised" signature.

An approved X.509 Certificate is used to enable documents to be digitally signed. The X.509 Certificate is stored on either a smartcard or a diskette and is obtained from a Certification Authority.

A Certification Authority takes on the responsibility for authenticating the link between an X.509 Certificate and its owner.

Digital signatures are required on all electronic company registration and name reservation documents lodged electronically. The transmission that contains these documents must be digitally signed.

Other documents **can** be digitally signed if the holder of the approved X.509 Certificate is the correct signatory for the form. Any data transmission over the Internet or data transmission containing digitally signed documents **must** be digitally signed.

Payments

The two electronic payment modes that are available for ECR are direct debit and pre-paid trading accounts using direct credit. These payment options are available for ECR documents only and **not** for other EDGE documents, such as annual returns or change forms.

The applicant is responsible for payment of fees owing due to the lodgement of ECR documents. In ECR, the applicant is the lodging party.

If the proposed name on a Form 201 is not available or acceptable, or the application is unable to be registered due to insufficient data being supplied, no fee is assessed. However, if a Form 410 is received, the prescribed fee is due and payable regardless of whether the name is available or acceptable.

Direct Debit

If you are using the direct debit payment mode your nominated financial institution account will be debited for the total amount of fees owing due to the lodgement of ECR documents.

The amount debited will not exceed your agreed daily credit limit, unless one or more of your direct debit transactions have failed and an arrangement has been negotiated between you and ASIC, allowing you to exceed the agreed daily credit limit for a period of time.

The EDGE mailbox does a check of the available credit at the time it receives ECR documents. If there is insufficient credit remaining the documents will not be accepted for lodgement.

If a Form 201 is transmitted, the prescribed fees will be debited from your account the next business night after the company is **registered**.

If an ECR Form 410 is transmitted, the prescribed fees will be assessed and debited from your account the next business night after the document is **lodged**.

Direct Credit

If you have chosen a pre-paid trading account using direct credit as your preferred payment option, you must ensure that you have made sufficient prepayments into an ASIC nominated bank account, before transmitting ECR documents. Prepayments are made using electronic funds transfer.

Your prepayments are recorded as a credit in ASIC's accounts receivable system and prescribed fees owing will be offset against that account.

The EDGE mailbox does a check of available funds at the time it receives ECR documents. If there are insufficient funds remaining the documents will not be accepted for lodgement.

Funds will usually be available the next Business Day after a prepayment is made.

Document Lodgements

Lodgement of an ECR Form 410 may request:

- the reservation of a new name. If the name is available and acceptable, it will be reserved for a period of 2 months. Notification of the acceptance or rejection of the request is made on the RA56 reply message; or

- the extension of a name reservation. The reservation will be extended for a further 2 months. Notification of the acceptance or rejection of the request is made on an RC05 reply message; or
- the reservation of a name for the purpose of changing a company name. If the name is available and acceptable, it will be reserved for a period of 2 months. Notification of the acceptance or rejection of the request is made on an RC05 reply message.

Lodgement of a Form 201 requests the registration of an Australian company. If the proposed name is available and acceptable, and the application contains the required data, the company will be registered. In this case, an RA55 will advise you of the registration of the company. The RA55 also includes details of the invoice raised and, if electronic delivery of the certificate was requested, the Postscript or .PDF print stream containing the certificate.

If the proposed name is not available or acceptable, or the application does not contain sufficient data, the application will either be rejected or queued for manual inspection. In this case, notification of the status of a company registration request is made on the RA56 reply message.

The status of a request can be:

Registered
The request has been accepted by the EDGE mailbox and either the company registered (Form 201) or the name reserved (Form 410).

Rejected
The request has failed a compulsory compliance filter, or has been withdrawn by the lodging agent after it has queued for manual inspection.

Inspection
The automatic system could not make a decision on the data and the request has been queued for manual inspection. If a request is referred for manual inspection the name is protected until a decision is made. Manual inspection is available during AEST office hours only.

The lodging agent has the facility to withdraw a Form 201 from the manual inspection queue, up to the point of registration. This will result in the application being automatically rejected and the document being fully processed. No fee will be charged.

Reserve pending
Further documentation is required before the company can be registered. The name is reserved pending receipt of the required documents.

Reserved subject to ASIC decision
If an ECR documents queues for manual inspection the name is protected pending a formal ASIC decision on whether the request should be registered or rejected.

Certificate of Registration

If the Form 201 is accepted and the company registered, a Certificate of Registration is made available for printing, in a self-contained ASIC generated print string, from the EDGE mailbox. There is also a "print and post" option for clients who wish the certificate to be printed by ASIC and posted to a specified address.

A reprint facility is available for the Certificate of Registration for thirty days from the date of registration of the company and can be requested using an RA51. This is only available to the agent who lodged the Form 201 and the certificate must have originally been electronically delivered.

Registered Agent Services

RA50 - Request Withdrawal of Form 201

If the system cannot make an automatic decision on whether or not the proposed name on a Form 201 is available or acceptable, or if insufficient data is supplied on the application, the document will queue for manual inspection.

In this instance, if you do not wish to wait for manual processing of the application you can lodge an RA50 that will automatically reject your application and show the document as fully processed. No fees will be assessed. Another application can then be submitted with a different proposed name or sufficient data.

RA51 - Request Reprint of Registration Certificate

You may request a reprint of a certificate within 30 days of registration of the company. You must be the registered agent who transmitted the Form 201 that registered the company and the original certificate must have been electronically delivered.

RA52 - Request Account Transaction Listing

An account transaction listing, which provides details of line item transactions from the lodging party's debtor's ledger, can be requested for a specified period within the last three months. In deciding the period of the request, you should consider your processing volumes and the consequent effects on the size of the RA57 (transaction listing).

It is possible to reconcile the details of payments made with details of documents lodged by matching the Reference Number found on the RA57 with the Reference Number from the RA55 or RA56.

RA53 - Authorise X.509 Certificate

All X.509 Certificates must be authorised with ASIC before they can be used to digitally sign documents transmitted to the EDGE mailbox.

The initial X.509 Certificate (and possibly some future ones) will be registered as a self authorised transmission containing only an RA53 message containing a single use ASIC issued PIN.

RA54 - Update X.509 Certificate Authorities

You may update the authorities attached to a certificate by lodging this Form identifying the certificate involved.

RA58 - Request X.509 Certificate Authorities List

A list of the certificates authorised for use by your registered agent number may be requested by lodging this Form. An RA59 is prepared in response to an RA58.

Chapter 9 – Frequently Asked Questions

Note that in this chapter, unless otherwise stated, any reference to EDGE also implies a reference to ECR.

Joining EDGE

How do I become registered as an EDGE or ECR lodger?
To be an EDGE or ECR lodger you must be a Registered Agent with ASIC and complete the Application for EDGE Participation, which is part of the Electronic Lodgement Protocol. The Protocol is available through ASIC's home page at www.asic.gov.au.

To access the Protocol open the ASIC home page and enter "edge" in the Search box. Click on the magnifying glass symbol, and a list of matching results appears. Click on the first matching result and the following screen will appear:

The Protocol is opened from the link "ASIC Electronic Lodgement Protocol". The client must sign and return the application to ASIC. ASIC will send the client an EDGE user ID and password.

i)   The lodging party should also download a copy of the EDGE Reference Guide. To do this, click on the "EDGE reference guide" link on the screen above.

Can ASIC recommend which software to use?
No, but a list of registered EDGE Digital Service Provider (DSP) is available
from ASIC's home page – see the screen above. Click on "Software you need".

How much does it cost to lodge electronically with ASIC?
There is no cost to lodge electronically with ASIC except for your set up costs of software and
hardware and the normal lodgement fees as prescribed in the *Corporations (Fees) Regulations
2001*.

What equipment do I need?
Choice of software will determine PC, printer and modem requirements and is best answered by
the DSP.

Where should I look for further information?
Telephone   1300 300 630
ASIC's internet site   www.asic.gov.au.
Your EDGE DSP.

Passwords and lodging documents

Password resetting.
ASIC staff can reset EDGE and ECR passwords. Passwords are automatically reset to your EDGE
user ID. You must also set the password in your package to be the same as the EDGE user ID.

You MUST configure your software so that it will use the NEW password on the next login
attempt, not the old password. ASIC cannot advise the action required to do this for your specific
software package, however we can advise that where packages provide options for specifying the
type of password change, you should select the CORRECTION option, and not an option which
requests that the password be changed at next login.

My screen states invalid ID and invalid password.
You may be typing the letter O instead of the number zero. This may occur if there has been a
change to the password or software recently.

I have sent a document by mistake and want it deleted off ASIC's system.
The Tax Office offers this facility, ASIC does not. To withdraw a lodged document you must lodge
a Form 106 on paper.

How do I log on to EDGE using my new software?
If you are unsure how to log on you should be referred to your DSP.

Validation Reports

Missing reports
The most common causes of people not having received EDGE or ECR reports are:
- You have not logged on to EDGE since the reports were sent;

- You have in fact received the reports but are unaware of this due to unfamiliarity with the software.

As a general comment, new EDGE users often assume that EDGE events occur instantaneously, whereas in fact they take a small but finite amount of time. Your system will probably not wait more than 30 seconds for reports, where Validation reports usually arrive within 1 minute. These times may change during periods of heavy use.

My validation report states "902's or 492's amending paper documents must be lodged on paper"
You can only lodge electronic 902's or 492's for electronically lodged documents. A common cause of this error is that you type the letter O in the document number to be amended instead of zeros. For example, incorrect "OE..." instead of the correct number "0E...".

Where should I look for further information?
EDGE Reference Guide.

What does "X015 Mandatory element has no value" mean in a Validation report?
This error is always due to your software failing to properly validate the document before it is transmitted. It means that a field value is missing where the specifications say there must be a value (eg. surname of officeholder).

Usually you will be able to see what item is missing by looking for the form item at the start of the error message as "Item xx". You should then look up this form item in the EDGE Reference Guide. If you cannot see how to fix it, then you must be referred to their Digital Service Provider (DSP) for assistance. If the DSP cannot see the cause then the supplier should contact the EDGE systems team for assistance.

An example of this type of error message is:

```
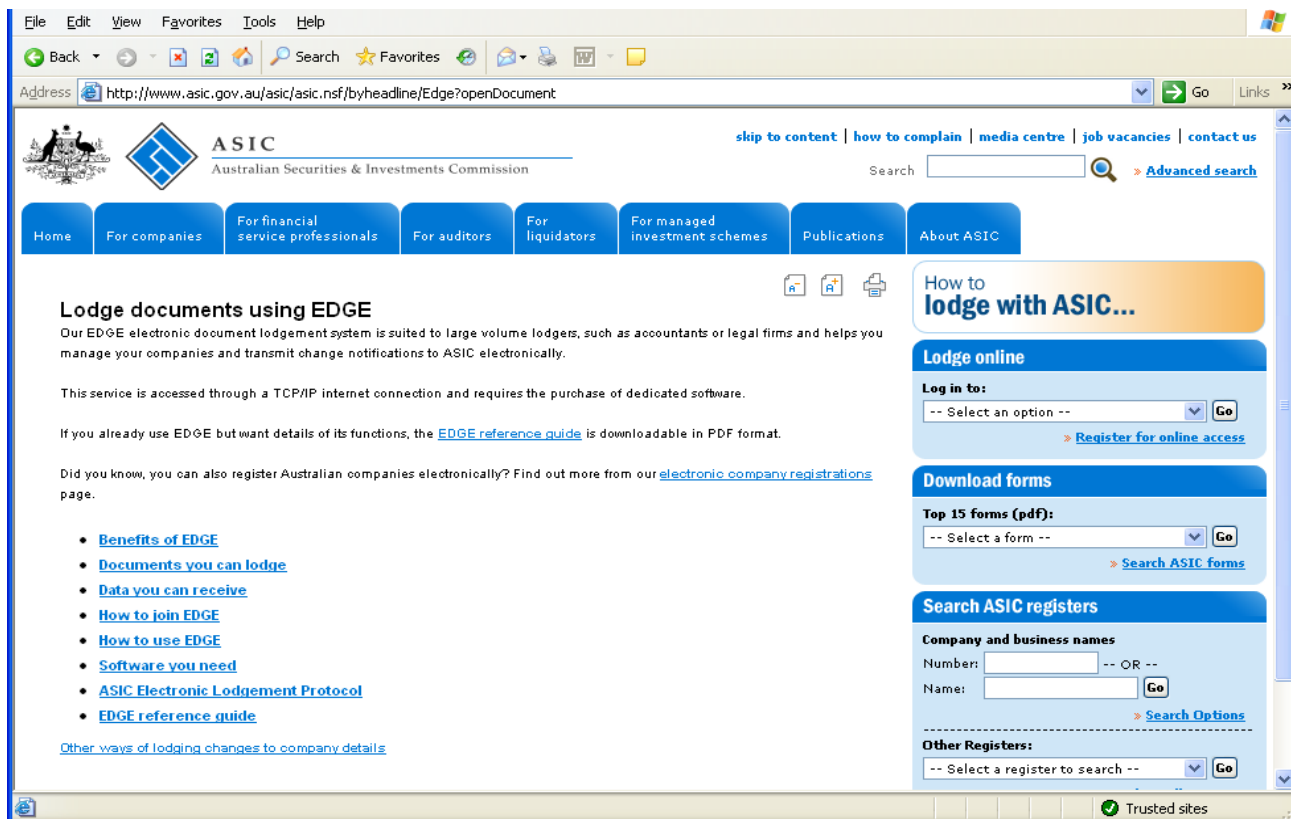DOCUMENTS REJECTED
002//484//063 577 506//POLESTAR PTY. LIMITED

Item 0c//ZDC//Line2//Col27//
X015 Mandatory element has no value
```

Here a Form 484 was lodged with no value for item 0c. Item 0c is listed in the Reference Guide as "Date signed". The rules for the 484 specify that this must be supplied and it has not been supplied, hence the error.

Why does my Validation report show more than 99 documents SENT, but only 99 documents RECEIVED?
There is a limit of 99 documents in a transmission. The validation process ignores any files in the transmission after the first 99. As far as the validation is concerned, the documents should not have been sent, and are regarded as never having been received. Your package should prevent sending more than 99, but some do not prevent it. Identify the documents not validated by comparing the Validation report with the Transmission report, and retransmit any documents not validated.

Downloads

Do I have to get a data download?
No. A data download will enable an agent to compare their record with ASIC's. Depending on the software package used, it will also update your database automatically. However, ASIC does recommend that agents request data downloads regularly.

How do I get a data download?
Data downloads are available for all companies linked to an agent by Form 362. A data download may be requested by lodging RA71 request for data download.

ASIC will provide the requested information on a Form RA72. To collect the data download you must follow the instructions from your Digital Service Provider (DSP).

How do I get a data download for a new client?
The procedure is the same as above, lodge a new 362 electronically with client company details, and then request a download using an RA71.

How many companies can I download at one time?
One data download request may be made per RA71.

I requested a data download and haven't got anything back. Why?
You will receive a validation report before the data download, so check the validation report to ensure that there are no problems with the lodgement. Use the relevant chapters of the Reference Guide to decipher messages if necessary.

How long does the download take after I have lodged the RA71?
Usually within 10 minutes or less but on rare occasions it may be relegated to overnight processing if ASIC computers have an unexpected load of higher priority work.

Where should I look for further information?
Validation Reports.
EDGE Reference Guide.

Electronic Company Registration (ECR)

What is ECR?
ECR is Stage 3 of EDGE and enables the registration of Australian companies to be made electronically, linked to an electronic payment facility.

ECR is aimed at intermediaries such as shelf company promoters, accountants, lawyers etc with this client group registering approximately 96% of all new companies.

What is the difference between ECR and EDGE?
ECR is part of EDGE and extends EDGE to include company registration documents (forms 201 and 410 for Australian companies). ECR lodgers need to use EDGE registered software that

includes forms 201 and 410. It is their responsibility to select software that meets their business needs.

Payment is required for registration transactions at the time of lodgement via their agreed payment method.

ECR requires the use of a digital signature, other EDGE documents can be digitally signed but it is not compulsory.

How do I register as an ECR lodger?
See "Client wishes to join EDGE" for details of how to locate the Electronic Lodgement Protocol. You will have to agree to a payment method with ASIC, this forms part of the protocol.

Obtain EDGE compliant software registered for ECR documents and an X.509 certificate for all individual(s) who will be digitally signing documents or transmissions.

ASIC will register the applicant and provide them with an EDGE user I.D. and password for logging onto EDGE, and a PIN for the transmission of their first authorised X.509 certificate.

Who needs to complete an Application for EDGE Participation?
The EDGE Protocol has been designed to cater for existing lodging parties and for those who wish to lodge ECR documents and to make electronic payments. Not all lodging parties will have to complete a new agreement:

- Existing EDGE lodging parties who wish to become ECR lodging parties must complete the new application;
- All new EDGE lodging parties, whether they wish to lodge ECR documents or not, must complete the new application;
- Existing EDGE lodging parties who do not wish to lodge ECR documents do not have to complete a new application. These lodging parties will automatically come under the terms and conditions of the new EDGE Protocol.

What is a digital signature?
A digital signature links a particular person to an electronic document; it is not a scanned image of a person's hand-written signature (this is known as a digitised signature). Digital signatures are constructed using a hashing algorithm (a type of mathematical formula).

What is an X.509 certificate?
An X.509 certificate is an electronic document that verifies an individual is who they represent themselves to be.

What is a Certification Authority?
A Certification Authority (CA) is an independent authority that is responsible for the issue, renewal and revocation of X.509 certificates to customer organisations. These certificates act as "electronic passports", allowing certificate holders to electronically identify themselves. ASIC will use one or more CAs to issue X.509 certificates to ECR lodging parties.

What are direct debit and direct credit?

For direct debit, the client completes a Form RA04 (Direct Debit request) to authorise ASIC to withdraw funds from their nominated bank account.

For direct credit a client makes an electronic payment into a nominated ASIC bank account. Once these payments have been received and recorded against the client in the accounts receivable system, clients can access these funds to register companies or reserve names.

Can ECR clients lodge change documents?

Yes, they can lodge other EDGE documents subject to the availability of these documents within their software.

What are the options for clients getting their Certificate of Registration of a Company?

Once an application has been accepted and processed, a certificate of registration will be transmitted as a PDF (Portable Document Format) or post-script file for printing at the customers' site.

Clients can also nominate a print and post option. This will occur overnight from the IPC.

Where can I go for more information and assistance?

Telephone   1300 300 630

Electronic Lodgement Protocol and other EDGE information:

ASIC home page   www.asic.gov.au

What is the difference between an ECR Form 410 and an EDGE Form 410B or 410F?

The ECR Form 410:

- Must be digitally signed;
- Must be paid by either direct credit or direct debit;
- May be used to reserve a new name, or to reserve a name for the purpose of changing a company name, or to extend an existing reservation;
- Will, when reserving a new name, always have an RA56 response. For changing a name or extending a reservation, the response will be an RC05.

The EDGE Form 410B:

- Must not be digitally signed;
- May be paid by either direct debit or by invoice;
- Only reserves a name for the purpose of changing a company name;
- Will always have an RC05 response, and may have an INV response if payment by direct debit is chosen;
- Will never have an RA56 response.

The EDGE Form 410F:

- Must not be digitally signed;
- May be paid by either direct debit or by invoice;

- Only extends an existing name reservation;
- Will always have an RC05 response, and may have an INV response if payment by direct debit is chosen;
- Will never have an RA56 response.

General Questions

Can I still lodge paper forms as well as electronic ones?
Yes. ASIC has no plan to insist on electronic lodgement for all documents.

What is the location name for ASIC's mailbox?
As distinct from the tax system there is only one location for ASIC mailbox. The tax system has different names because of the different tax regions.

ASIC has two production mailbox computers. They are known as the PRimary and SEcondary mailboxes. You are free to choose to transmit to either machine. Please remember that outbound reports must be collected from the machine to which the original transmission was made. Software packages may have a "set up" type option to allow clients to select the EDGE mailbox being used.

How do I get my DIS number?
DIS is terminology used in the tax system. When a lodging party asks about the DIS number or ID they are referring to the EDGE user ID & Password.

Is EDGE information available through the Internet?
ASIC's home page is at www.asic.gov.au. The Electronic Lodgement Protocol and the EDGE Reference Guide are both available through the home page for clients who wish to access them this way.

How does PAF affect EDGE and ECR lodgements?
Australia Post's Postal Address File (PAF) is used by ASIC to validate addresses. This validation applies to addresses transmitted to ASIC electronically as well as to addresses on paper documents. From a PAF point of view, there is no difference between addresses on electronic documents and those on paper documents.

More details on PAF can be found from:
1. Australia Post's home page at www.auspost.com.au/futurepost.
2. The EDGE Reference Guide

Who is liable for the fees to be paid for an electronically lodged document?
If an agent lodges a document that is not an ECR document on behalf of an organisation, the organisation will remain liable for the fees in respect of that electronic document. The agent should obtain the relevant fees prior to lodgement and pay them to ASIC upon lodgement of the document. For more information, see the Electronic Lodgement Protocol, available from ASIC's home page at www.asic.gov.au.