



Notification of request by corporate director to change compliance plan auditor of a corporate collective investment vehicle

Form 5214
Corporations Act 2001
1226K

Use this form to request a change of compliance plan auditor of a corporate collective investment vehicle (CCIV). Refer to Australian Securities and Investments Commission (ASIC) Regulatory Guide 26 and the attached Guide before completing this form.

If there is insufficient space in any section of the form, you may photocopy the relevant page(s) and submit as part of this lodgement.

Lodgement details	Who should ASIC contact if there is a query about this form?
	Name <input type="text"/>
	ASIC registered agent number (if applicable) <input type="text"/>
	Telephone number <input type="text"/>
	Postal address <input type="text"/> <input type="text"/>

CCIV details	CCIV name <input type="text"/>	
	ACN <input type="text"/>	
	Corporate director name <input type="text"/>	
	ACN/ABN <input type="text"/>	AFS licence number <input type="text"/>

1 Details of resignation, removal or cessation

<input type="checkbox"/> Notice was received of the resignation of the auditor and disclosure as required by Regulatory Guide 26 Resignation, removal and replacement of auditors (RG 26) has been made.	Date of receipt of notice of resignation <input type="text"/> / <input type="text"/> / <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]
<input type="checkbox"/> The auditor was removed from office and disclosure as required by Regulatory Guide 26 Resignation, removal and replacement of auditors (RG 26) has been made.	Date resignation was disclosed <input type="text"/> / <input type="text"/> / <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]
<input type="checkbox"/> The auditor is deceased.	Date removal was disclosed <input type="text"/> / <input type="text"/> / <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]
<input type="checkbox"/> The auditor has become ineligible to act for reasons specified under s1226F(3) of the Corporations Act 2001.	Date of death <input type="text"/> / <input type="text"/> / <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]
	Date of ineligibility <input type="text"/> / <input type="text"/> / <input type="text"/> [D] [D] / [M] [M] / [Y] [Y]

2 Details of ceasing auditor(s)

	ASIC registered company auditor number (for individual auditor or authorised audit company)
	<input type="text"/>
	Family name <input type="text"/>
	Given name/s <input type="text"/>
OR	Authorised audit company name
	<input type="text"/>
	ACN/ABN <input type="text"/>
OR	Firm name (if applicable)
	<input type="text"/>
	Office, unit, level <input type="text"/>
	Street number and Street name <input type="text"/>
	Suburb/City <input type="text"/>
	State/Territory <input type="text"/>
	Postcode <input type="text"/>
	Country (if not Australia) <input type="text"/>

3 Details of new auditor

	Date of appointment
	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> [D] [D] [M] [M] [Y] [Y]
	ASIC registered company auditor number (for individual auditor or authorised audit company)
	<input type="text"/>
	Family name <input type="text"/>
	Given name/s <input type="text"/>
OR	Authorised audit company name
	<input type="text"/>
	ACN/ABN <input type="text"/>
OR	Firm name (if applicable)
	<input type="text"/>
	ABN <input type="text"/>
	Office, unit, level <input type="text"/>
	Street number and Street name <input type="text"/>
	Suburb/City <input type="text"/>
	State/Territory <input type="text"/>
	Postcode <input type="text"/>
	Country (if not Australia) <input type="text"/>

Address

Signature

This form must be signed by a director or secretary of the corporate director of the CCIV.

To the best of my knowledge, the information in this form is true and complete (it is an offence to provide false or misleading information to ASIC).

Name of person signing

Capacity

- Director of the corporate director
 Secretary of the corporate director

Signature

Date signed

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

Lodgement

Send completed and signed forms to:
Australian Securities and Investments Commission,
PO Box 4000, Gippsland Mail Centre VIC 3841.

For more information

Web www.asic.gov.au
Need help? www.asic.gov.au/question
Telephone 1300 300 630

Guide: Notification of request by corporate director to change compliance plan auditor of a corporate collective investment vehicle

This guide does not form part of the form. It is included by ASIC to assist you in completing and lodging the Form 5214.

Use of this form	This is a prescribed form.
Signature	This form must be signed by a director or secretary of the corporate director of the CCIV.
Lodgement period	Within 7 days of the compliance plan auditor changing.
Lodgement fees	Nil
Late fees	Nil.
Additional information	<p>For the resignation of compliance plan auditor – the auditor must first obtain consent from ASIC to their resignation using Form 5213 <i>Application for consent from ASIC to resign as compliance plan auditor of a corporate collective investment vehicle</i>.</p> <p>For removal of compliance plan auditor - the corporate director of a CCIV must first obtain consent from ASIC to remove the auditor of the compliance plan from office using Form 5212 <i>Application for consent from ASIC to remove compliance plan auditor of a corporate collective investment vehicle</i>.</p> <p>The resignation or removal will only take effect on the day, following ASIC's consent, when the following disclosure requirements are made by the corporate director, for a CCIV:</p> <ul style="list-style-type: none">• if the CCIV is a disclosing entity, the corporate director must give a continuous disclosure notice, that would not deal with other matters, to ASIC and any relevant market operator for the CCIV (RG 26); and• if the CCIV is <u>not</u> a disclosing entity, the corporate director must give notice to the CCIV's members (RG 26):<ul style="list-style-type: none">• by a public notice displayed prominently on the corporate director's website where the notice can reasonably be readily located and accessed by members of the CCIV;• by email; or• in writing. <p>In both instances, the notice must contain:</p> <ul style="list-style-type: none">• details of the outgoing auditor;• details of the proposed incoming auditor; and• the reason for the change in auditor. <p>ASIC consent is not required for removal of a compliance plan auditor where the auditor has become ineligible to act under s1226F(3) of the <i>Corporations Act 2001</i>.</p>
Further guidance	ASIC Regulatory Guide 26 <i>Resignation, removal and replacement of auditors</i> (RG 26) sets out full details of when ASIC will grant an application for consent to resign or be removed as auditor (see www.asic.gov.au/rg).

How to provide additional information

Annexures

If there is insufficient space in any section of the form, you may alternately submit annexures as part of this lodgement. To make any annexure conform to the regulations, you must

1. use A4 size paper of white or light pastel colour with a margin of at least 10mm on all sides
2. show the CCIV name and ACN
3. number the pages consecutively
4. print or type in BLOCK letters in dark blue or black ink so that the document is clearly legible when photocopied
5. mark the annexure with an identifying letter or symbol eg a,b,c or 1,2,3 etc.
6. endorse the annexure with the words:
This annexure (mark) of (number) pages referred to in form (form number and title)
7. sign and date the annexure

The annexure must be signed by the same person(s) who signed the form.

Privacy

The information provided to ASIC in this form may include personal information. Please refer to our privacy policy (www.asic.gov.au/privacy) for information about how we handle your personal information, your rights to seek access to and correct personal information, and to complain about breaches of your privacy.

Lodgement

Send completed and signed forms to:
Australian Securities and Investments Commission,
PO Box 4000, Gippsland Mail Centre VIC 3841.

For more information

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