



Notice of change to retail or wholesale status for a Corporate Collective Investment Vehicle

Use this form to notify of a change in retail or wholesale status of a corporate collective investment vehicle (CCIV).

If there is insufficient space in any section of the form, you may attach an annexure and submit as part of this lodgement

Lodgement details

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

Name

ASIC registered agent number (if applicable)

Company/entity name

ACN/ABN/ARBN

Telephone number

Postal address

Email address (optional)

1 CCIV details

Current registered CCIV name

ACN

Name of corporate director

ACN/ABN

AFS licence number

2 Details of CCIV status

The CCIV must meet the requirements of the relevant wholesale or retail status it is seeking to register by using this form.

Status of CCIV

The CCIV is, or wishes to be a retail CCIV. Complete section 3 and 4.

Effective date of retail CCIV status:

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

The CCIV is eligible to be, and wishes to be a wholesale CCIV.

Effective date of wholesale CCIV status:

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

3 Details of consenting compliance plan auditor

	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"/>
Principal business address	At the office of, C/- (if applicable)	<input type="text"/>
	Office, unit or 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"/>

4 Documents to be attached

- A copy of the CCIV's constitution as defined by s1223B of the Corporations Act 2001 (the Act).
- A copy of the CCIV's compliance plan (as defined by s1226A of the Act), signed by all the directors of the corporate director of the CCIV.

Signature

This form must be signed by two directors or a director and secretary of the Corporate Director of the CCIV.

The information provided is true and correct

Name of the person signing

Capacity

Signature

Date signed

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

Name of the person signing

Capacity

Signature of applicant

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: Notice of change to retail or wholesale status for 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 5203

When to lodge this form	<p>The Form 5203 is to be used to notify ASIC that a CCIV is or wishes to change its registered status to either a retail or wholesale CCIV.</p> <p>Please note that it is a strict liability offence under s 1222L for a retail CCIV to lodge a notice altering its status to a wholesale CCIV if the CCIV still meets the retail CCIV test outlined under s 1222K of the Corporations Act.</p> <p>The election to alter a CCIV's status may require alterations to the constitution of the CCIV and consideration should be given to s1223F, s1223G and 1223H of the Corporations Act prior to completing this form. If the constitution of a CCIV is modified, or repealed and replaced with a new constitution, a copy of the modification or the new constitution must be lodged with ASIC in addition to this form.</p> <p>If a wholesale CCIV is seeking to alter its status to retail then it will need to comply with the requirements of s1222A(6), s1222J, s1222K, s1222L, s1222M and s1226 of the Corporations Act and lodge a copy of its new constitution and compliance plan in addition to this form.</p>
Signature	<p>This form must be signed by two directors or a director and secretary of the Corporate Director of the CCIV.</p>
Lodgement period	<p>Nil</p>
Lodgement fee	<p>A lodgement fee applies to this form.</p> <p>For information on fees refer to www.asic.gov.au/forms.</p>
Additional information	<p>A CCIV may at any time:</p> <ol style="list-style-type: none">lodge with ASIC a notice stating that the CCIV is, or wishes to be, a retail CCIV; orlodge with ASIC a notice stating that the CCIV is eligible to be, and wishes to be, a wholesale CCIV. <p>This form is a prescribed form.</p>
How to provide additional information	<p>Annexures</p> <p>If there is insufficient space in any section of the form, you may submit annexures as part of this lodgement.</p> <p>To make any annexure conform to the regulations, you must</p> <ol style="list-style-type: none">use A4 size paper of white or light pastel colour with a margin of at least 10mm on all sidesshow the CCIV name and ACNnumber the pages consecutivelyprint or type in BLOCK letters in dark blue or black ink so that the document is clearly legible when photocopiedmark the annexure with an identifying letter or symbol eg a,b,c or 1,2,3 etc.endorse the annexure with the words: This annexure (mark) of (number) pages referred to in form (form number and title)sign and date the annexure <p>The annexure must be signed by the same person(s) who signed the form.</p>
Privacy	<p>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.</p>
Lodgement	<p>Send completed and signed forms to: Australian Securities and Investments Commission, PO Box 4000, Gippsland Mail Centre VIC 3841.</p> <p>For more information</p> <p>Web www.asic.gov.au Need help? www.asic.gov.au/question Telephone 1300 300 630</p>