



# Notice of change to fees and charges in a PDS relating to a CCIV sub-fund

**Form 5289**  
Corporations Act 2001  
1015D(2)(b)

Use this form to notify ASIC that a change has been made to fees and charges set out in a Product Disclosure Statement (PDS). This form may only be used where the PDS relates to a CCIV sub-fund.

## Related Forms

5288 PDS in-use notice relating to a CCIV sub-fund

5290 Notice that a product in a PDS relating to a CCIV sub-fund has ceased to be available

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?

Firm/organisation

Contact name/position description

ASIC registered agent number (if applicable)

Telephone number

Postal address or DX address

## 1 General information

**Responsible person** (an individual or a body corporate who, or on whose behalf, the Statement is required to be prepared. In most cases this will be the corporate director as the body corporate issuing the product.)

1.1 Name of responsible person

1.2 ABN of responsible person

1.3 ACN of responsible person (if applicable)

1.4 AFS licence number (if applicable)

The responsible person shown at 1.1 will be liable for the payment of any fees for this form. Refer to the Guide for fee information.

### 1.5 Contact person

Provide the following details for the contact person to whom ASIC should direct all questions and correspondence regarding the PDS.

1.5.1 Name (First given name, family name)

1.5.2 Capacity

Issuer (including officers and staff)

External service provider

Other (please describe)

1.5.3 Email address (Not mandatory)

If email address provided, can ASIC use this email address to deliver correspondence relating to this PDS?

Yes

No

1.5.4 Telephone number

## 1 Continued... General information

1.5.5 Facsimile number

If fax number provided, can ASIC use this fax number to deliver correspondence relating to this PDS?

 Yes No

1.5.6 Postal address

1.5.7 DX address (not mandatory)

## 2 Original PDS details

2.1 Name of PDS (cannot exceed 100 characters)

2.2 Reference number to identify the original PDS

**Note:** This reference number needs to be identical to the reference number (or ASIC document number) provided on the in-use notice for the original PDS. The ASIC document number is the identifier ASIC allocates to a document recorded on the corporate register.

Date of the original PDS

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

2.3 Date that fees and charges set out in the PDS were changed

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

2.4 Have new products been added to the PDS that have not been included in a previous notice?

 Yes No

If yes, go to 2.5.

2.5 **Product details**

If the PDS has more than one product, complete 2.5.1 to 2.5.3 for each additional product as a separate Annexure. Shorter PDSs can only have one product.

2.5.1 Name of financial product (cannot exceed 100 characters)

2.5.2 Type of financial product

CCIV sub-fund

- Commodities
- Crypto assets
- Derivatives
- Direct real property
- Film
- Financial assets
- Mortgages
- Primary production
- Other

2.5.3 If the product is a CCIV sub-fund, provide the ARFN

## Signature

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

I certify that the information in this form is true and complete.

Name of person signing

Capacity

- Director of the corporate director  
 Company 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](http://www.asic.gov.au)  
Need help? [www.asic.gov.au/question](http://www.asic.gov.au/question)  
Telephone 1300 300 630

# Guide: Notice of change to fees and charges in a PDS relating to a CCIV sub-fund

Use this form to notify ASIC that a change has been made to fees and charges set out in a Product Disclosure Statement (PDS). This form may only be used where the PDS relates to a CCIV sub-fund.

## Related Forms

5288 *PDS in-use notice relating to a CCIV sub-fund*

5290 *Notice that a product in a PDS relating to a CCIV sub-fund has ceased to be available*

**This guide is intended to assist you in completing and lodging the Form FS89, but is not part of the form. The information is intended as a guide only.**

**Please consult your industry body or solicitor for further advice .**

**Statutory references are to the Corporations Act 2001 (e.g. s1015D) and the Corporations Regulations 2001 (e.g. regulation 7.9.15DA ).**

<b>Signature</b>	This form must be signed by a director or secretary of the corporate director of the CCIV.
<b>Lodgement period</b>	As soon as practicable, and in any event within 5 business days after a change is made to fees and charges set out in the enhanced fee disclosure table: <ul style="list-style-type: none"><li>• in the PDS or an existing Supplementary PDS; or</li><li>• that is applied, adopted or incorporated by a shorter PDS.</li></ul>
<b>Lodgement fees</b>	There is no lodgement fee for this form. Late fees will apply.
<b>Late fees</b>	In all cases, late fees will apply if the document is lodged outside the prescribed period.  For information on fees refer to <a href="http://www.asic.gov.au/forms">www.asic.gov.au/forms</a> .  A form is not considered lodged until it is received and accepted by ASIC as complying with s1274(8). A receipt will not be issued unless requested.
<b>When you must tell us about a PDS</b>	Section 1015D(2)(b) and regulation 7.9.16T require a notice (Form 5289 Notice of change to fees and charges in a PDS relating to a CCIV sub-fund) to be lodged with ASIC advising that a change has been made to fees and charges set out in a required enhanced fee disclosure table that is: <ul style="list-style-type: none"><li>• contained in the PDS or an existing Supplementary PDS; or</li><li>• applied, adopted or incorporated by a shorter PDS.</li></ul> The templates for the enhanced fee disclosure table are set out in items 201 and 202 of Schedule 10 to the regulations: see regulation 7.9.16T.  The requirement to lodge a Form 5289 does not apply in relation to a PDS or Supplementary PDS, a copy of which is required by s1015B to be lodged with ASIC (see s1015D(1)).
<b>Responsible person</b>	This notice must be lodged by the person nominated as the responsible person in the Form 5288 <i>PDS in-use notice relating to a CCIV sub-fund</i> (see s1013A(3)).
<b>Why do we collect this information?</b>	The information you provide by completing this notice, helps ASIC monitor PDSs and regulate financial services disclosure.  For further information about how long a PDS should be kept and the superannuation fee data section of the notice, please see the Guide to Form 5288 <i>PDS in-use notice relating to a CCIV sub-fund</i> .

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**How to provide additional information****Annexures**

If there is insufficient space in any section of the form, you may 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 responsible person's name and ACN or ABN
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 e.g. 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.

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**Privacy**

The information provided to ASIC in this form may include personal information. Please refer to our privacy policy ([www.asic.gov.au/privacy](http://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.

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**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](http://www.asic.gov.au)  
Need help? [www.asic.gov.au/question](http://www.asic.gov.au/question)  
Telephone 1300 300 630