



Notification of appointment of auditor for a corporate collective investment vehicle

Form 5230
Corporations Act 2001
331AAA(1), 331AAB(1)
1226F(3), 1232R(2)
1232R(3)

Use Form 5230 to notify of the appointment of an auditor to a retail corporate collective investment vehicle (CCIV). 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 ASIC registered agent number (if applicable) Telephone number Postal address
CCIV details	CCIV name ACN Corporate director name ACN/ABN
Auditor details	Auditor registration number (for individual auditor or authorised audit company) Family name Given name or Company name ACN/ABN or Firm name (if applicable)

Continued...Auditor details

Address

Office, unit, level

Street number and Street name

Suburb/City

State/Territory

Postcode

Country (if not Australia)

Date of appointment

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

Signature

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

The new auditor (whether person, firm or authorised audit company) has consented in writing to the appointment as required by the *Corporations Act 2001* and RG 26 *Resignation, removal and replacement of auditors*.

The information provided is true and correct

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.

Search 'Form 5230' on ASIC's website for information
about how to lodge this form electronically.

For more information

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

Guide:

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This guide does not form part of the form. It is included by ASIC to assist you in completing and lodging the Form 5230.

When to lodge this form	Use Form 5230 to notify the appointment of an auditor to a retail corporate collective investment vehicle.
Signature	This form must be signed by a director or secretary of the corporate director of the CCIV.
Lodgement period	14 days
Lodgement fees	Nil
Late fees	Late fees will apply if you notify a change outside of the lodgement period. For information on fees refer to www.asic.gov.au/forms. A form is not considered lodged until it is received and accepted by ASIC as being in compliance with s1274(8) of the <i>Corporations Act</i> 2001. A receipt will not be issued unless requested.

Additional information	Legislative Reference The legislative reference 1232R(3) of the <i>Corporations Act</i> 2001 refers to the subsection inserted by Part 2 of ASIC Corporations (Auditing) Instrument 2026/469. Initial Appointment Under section 331AAA(1) of the <i>Corporations Act</i> 2001, the corporate director of a CCIV must appoint an auditor of the CCIV within 1 month after the CCIV is registered. Appointment to fill vacancy Under section 331AAB(1) of the <i>Corporations Act</i> 2001, the corporate director must, within 1 month after the vacancy occurs, appoint an auditor to fill the vacancy. Advice to ASIC Under section 1232R(3) of the <i>Corporations Act</i> 2001, the corporate director must then advise ASIC of the appointment by the entity of an auditor of the CCIV within 14 days of the appointment. If the auditor is resigning or being removed from the CCIV, ASIC consent is required to be obtained prior to the resignation/removal taking effect. An auditor can only be appointed if the qualifications under s1226F(3) of the <i>Corporations Act</i> 2001 are satisfied. Consent in writing must be obtained from the person, firm or authorised audit company being appointed as auditor as required by of the <i>Corporations Act</i> 2001 and RG 26 <i>Resignation, removal and replacement of auditors</i>.
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How to provide additional information	Photocopied Form 5230 pages 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. 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.
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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) 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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