



# 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.

### 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: 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)

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

<b>When to lodge this form</b>	Use Form 5230 to notify the appointment of an auditor to a retail corporate collective investment vehicle.
<b>Signature</b>	This form must be signed by a director or secretary of the corporate director of the CCIV.
<b>Lodgement period</b>	14 days
<b>Lodgement fees</b>	Nil
<b>Late fees</b>	<p>Late fees will apply if you notify a change outside of the lodgement period.</p> <p>For information on fees refer to <a href="http://www.asic.gov.au/forms">www.asic.gov.au/forms</a>.</p> <p>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 2001</i>. A receipt will not be issued unless requested.</p>

<b>Additional information</b>	<p><b>Legislative Reference</b></p> <p>The legislative reference 1232R(3) of the <i>Corporations Act 2001</i> refers to the ASIC Corporations (CCIV Auditors) Instrument 2024.</p> <p><b>Initial Appointment</b></p> <p>Under section <b>331AAA(1)</b> of the <i>Corporations Act 2001</i>, the corporate director of a CCIV must appoint an auditor of the CCIV within 1 month after the CCIV is registered.</p> <p><b>Appointment to fill vacancy</b></p> <p>Under section <b>331AAB(1)</b> of the <i>Corporations Act 2001</i>, the corporate director must, within 1 month after the vacancy occurs, appoint an auditor to fill the vacancy.</p> <p><b>Advice to ASIC</b></p> <p>Under section <b>1232R(3)</b> of the <i>Corporations Act 2001</i>, 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.</p> <p>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.</p> <p>An auditor can only be appointed if the qualifications under s<b>1226F(3)</b> of the <i>Corporations Act 2001</i> 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 2001</i> and RG 26 <i>Resignation, removal and replacement of auditors</i>.</p>
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<b>How to provide additional information</b>	<p><b>Photocopied Form 5230 pages</b></p> <p>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.</p> <p><b>Annexures</b></p> <p>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</p> <ol style="list-style-type: none"><li>use A4 size paper of white or light pastel colour with a margin of at least 10mm on all sides</li><li>show the CCIV name and ACN</li><li>number the pages consecutively</li><li>print or type in BLOCK letters in dark blue or black ink so that the document is clearly legible when photocopied</li><li>mark the annexure with an identifying letter or symbol eg a,b,c or 1,2,3 etc.</li><li>endorse the annexure with the words: This annexure (mark) of (number) pages referred to in form (form number and title)</li><li>sign and date the annexure</li></ol> <p>The annexure must be signed by the same person(s) who signed the form.</p>
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<b>Privacy</b>	The information provided to ASIC in this form may include personal information. Please refer to our privacy policy ( <a href="http://www.asic.gov.au/privacy">www.asic.gov.au/privacy</a> ) 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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