



Corporations Regulations 2001

Statutory Rules No. 193, 2001

made under the

Corporations Act 2001

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This compilation is in 7 volumes

Volume 1: regulations 1.0.01–6D.5.03

Volume 2: regulations 7.1.02–7.6.08E

Volume 3: regulations 7.7.01–8A.7.20

Volume 4: regulations 9.1.01–12.9.03

Volume 5: Schedules 1, 2 and 2A

Volume 6: Schedules 3–13

Volume 7: Endnotes

Each volume has its own contents

Prepared by the Office of Parliamentary Counsel, Canberra

About this compilation

This compilation

This is a compilation of the *Corporations Regulations 2001* that shows the text of the law as amended and in force on 1 July 2021 (the **compilation date**).

The notes at the end of this compilation (the **endnotes**) include information about amending laws and the amendment history of provisions of the compiled law.

Uncommenced amendments

The effect of uncommenced amendments is not shown in the text of the compiled law. Any uncommenced amendments affecting the law are accessible on the Legislation Register (www.legislation.gov.au). The details of amendments made up to, but not commenced at, the compilation date are underlined in the endnotes. For more information on any uncommenced amendments, see the series page on the Legislation Register for the compiled law.

Application, saving and transitional provisions for provisions and amendments

If the operation of a provision or amendment of the compiled law is affected by an application, saving or transitional provision that is not included in this compilation, details are included in the endnotes.

Editorial changes

For more information about any editorial changes made in this compilation, see the endnotes.

Modifications

If the compiled law is modified by another law, the compiled law operates as modified but the modification does not amend the text of the law. Accordingly, this compilation does not show the text of the compiled law as modified. For more information on any modifications, see the series page on the Legislation Register for the compiled law.

Self-repealing provisions

If a provision of the compiled law has been repealed in accordance with a provision of the law, details are included in the endnotes.

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(regulation 1.0.03)

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Schedule 1 List of forms in Schedule 2

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Schedule 1 List of forms in Schedule 2

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Schedule 2—Forms

(regulations 1.0.02 and 1.0.03)

ASS ☐
 CASH ☐
 PROC ☐

BRQA ☐
 REQ ☐
 P ☐

Australian Securities & Investments Commission

Disclosure notice for unlisted disclosing entity

(to be lodged as soon as practicable after the disclosing entity becomes aware of the information)

form **1003**

ASCO17053

Corporations Act 2001
1001B(1)

Disclosing entity
Please complete A, B or C.

A a company
name _____
ACN _____

B a body (other than a company)
name _____
ARBN _____

C a prescribed interest undertaking
name _____
ASIC prescribed interest number _____

Details of information
date that the disclosing entity became aware of the information _____ / ____ / ____
full information (if insufficient space please use an annexure)

Declaration

☐ I verify that the attached document marked () is the original document.
☐ I certify that the attached document marked () is a true copy of the original document.

Signature

This form is to be signed by:

if a company or a body a director or secretary or the equivalent
 if a prescribed interest undertaking a director or secretary of the management company or trustee company acting in that capacity

name of management _____
 or trustee company _____
 ACN or ARBN _____
 name of person signing (print) _____ capacity _____

sign here _____ date ____ / ____ / ____

DISCLOSURE NOTICE

		ASS. <input type="checkbox"/> REG-A <input type="checkbox"/> CASH <input type="checkbox"/> REG-P <input type="checkbox"/> PROC. <input type="checkbox"/>
Australian Securities & Investments Commission		form 105 Corporations Regulations 2001 1.0.21
Cover page for office copy of a court order		
Corporation name _____ A.C.N. or A.R.B.N. _____ or if the order relates to a person, the name of the person _____		
Use a separate cover page for each court order. Place the cover page in front of the office copy of the court order.		
Court <input type="checkbox"/> Federal Court of Australia (give state or territory registry) <input type="checkbox"/> Family Court of Australia (give state or territory registry) <input type="checkbox"/> Supreme Court of (give state or territory) _____ date of obtaining order (d/m/y) / / proceeding matter number year		
Type of court order (must be completed by the lodging party - tick one box only)		
Constitution of companies 601BJ altering constitutional documents of a non-company <input type="checkbox"/> 217 254E validating shares issued <input type="checkbox"/> 229 246D(6) setting aside/confirming variation/cancellation modification without unanimous support of class <input type="checkbox"/> 2460	Internal administration 235 remedying oppressive conduct <input type="checkbox"/> 326 266(4) extending the time for lodging a charge <input type="checkbox"/> 328 274 rectifying the charges register <input type="checkbox"/> 330 206G(4) granting leave to manage corporations <input type="checkbox"/> 359 Various corporations 601CC restoring an Australian body to the register <input type="checkbox"/> 413 601CL restoring a foreign company to the register <input type="checkbox"/> 422	External administration 411(10) sanctioning a compromise or arrangement <input type="checkbox"/> 591 413(3) facilitating a reconstruction or an amalgamation <input type="checkbox"/> 597 429(5) extending the time for submitting the reporting officer's report <input type="checkbox"/> 558 470(2)(a) winding up a company and appointing a liquidator <input type="checkbox"/> 560 472(2) appointing a provisional liquidator <input type="checkbox"/> 588 474(3) determining custody and restoring of company's property <input type="checkbox"/> 561 481(5) deregistering a company or releasing a liquidator <input type="checkbox"/> 565/566 482(5) staying or terminating a winding up <input type="checkbox"/> 567 484(1) appointing a special manager <input type="checkbox"/> 5017 484(2)(c) removing a special manager <input type="checkbox"/> 5018 509(7) varying the time to deregister a company <input type="checkbox"/> 571 601AH(2) reinstate the registration of a company <input type="checkbox"/> 580 583 winding up non-company bodies <input type="checkbox"/> 5019 585 approving the manner of service of demand or notice of action <input type="checkbox"/> 5020 Acquisition of shares 648G(9) altering the takeover provisions in the Constitution <input type="checkbox"/> 627 Securities 601ND winding up of an undertaking, scheme, enterprise, contract or arrangement <input type="checkbox"/> 7010 Miscellaneous 1322 general <input type="checkbox"/> Other (including requirements of court rules) section or court rule _____ description _____

		ASS.	<input type="checkbox"/>	REQ-A	<input type="checkbox"/>
		CASM	<input type="checkbox"/>	REQ-P	<input type="checkbox"/>
		PROC.	<input type="checkbox"/>		<input type="checkbox"/>

Australian Securities & Investments Commission

Certification of
compliance with stamp duty lawform **207Z**Corporations Act 2001
117(2), 163(3), 254X(2), 601BC(2)

company name

A.C.N.

Details of the contract for the issue of shares

date of contract (d/m/y) / /

name(s) of contracting parties

details of the shares issued, or deemed to have been issued under the contract

number and class

number and class

number and class

Certification

I certify that the contract for the issue of shares has been duly stamped, if so required and as required by any law of the Australian Capital Territory, New South Wales, the Northern Territory, Queensland, South Australia, Tasmania, Victoria and Western Australia relating to stamp duty on any such document.

Signature

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

print name

capacity

sign here

date / /

	<div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 5px;"></div> <div style="display: flex; justify-content: space-between; font-size: 8px;"> ASS: <input type="checkbox"/> REDA: <input type="checkbox"/> </div> <div style="display: flex; justify-content: space-between; font-size: 8px;"> CASH: <input type="checkbox"/> REQ: <input type="checkbox"/> </div> <div style="display: flex; justify-content: space-between; font-size: 8px;"> PROC: <input type="checkbox"/> </div>
Australian Securities & Investments Commission	
Application for extension of time to hold Annual General Meeting	form 2501 Corporations Act 2001 250P
Company name _____ A.C.N. _____	
Note: ASIC cannot grant an extension if the application is lodged after the date by which the Annual General Meeting should have been held. Do not proceed on the assumption that the extension applied for will be automatically granted.	
Application The company applies for an extension of time under Section 250P (tick one box) <input type="checkbox"/> to hold the Annual General Meeting (AGM) in a calendar year other than the one required by Section 250N. <input type="checkbox"/> to extend the period within which the company may hold its AGM to a date later in the calendar year in which the AGM would otherwise have been due.	
Relevant details balance date of reports to be presented at the AGM (d/m/y) / / The reports will be/have been audited? <input type="checkbox"/> yes <input type="checkbox"/> no if yes, name of auditor _____ year to which the AGM applies _____ date to which extension is sought (d/m/y) / / _____ Has the company held any previous AGM? <input type="checkbox"/> yes <input type="checkbox"/> no if yes, date of last AGM (d/m/y) / / if no, date of registration (d/m/y) / / _____ type of company <input type="checkbox"/> listed public company <input type="checkbox"/> unlisted public company other companies in the economic entity at balance date which are also applying for an extension of time. Separate applications are also required. company name & A.C.N. _____ _____ _____ _____ name of ultimate holding company (if any) _____ reason extension is required _____ _____ _____ _____ _____	
Signature I certify that the information in this form is true and complete. print name _____ capacity _____ sign here _____ date / / _____	

	ASS. <input type="checkbox"/> CASR. <input type="checkbox"/> PROC. <input type="checkbox"/>
	REG-A <input type="checkbox"/> REG-P <input type="checkbox"/>

Australian Securities & Investments Commission

form **310**
**Notification of
further issue of debentures in a series**
Corporations Act 2001
263(2)(b)

Corporation name	
A.C.N. or A.R.B.N.	
Details of the debentures	
original series	
Has the corporation changed its name since registration of the original series? yes <input type="checkbox"/> no <input type="checkbox"/>	
if yes, show former name	
date of first debenture issue (d/m/y) / /	
number of debentures	
if a trustee for the debenture holders was appointed, give name (surname & given names or corporation name)	
charge was originally registered <input type="checkbox"/>	in a state or territory place of registration
	original registered charge number
<input type="checkbox"/>	with ASIC ASIC registered charge number
further issue in the series	
date of further resolution (d/m/y) / /	
number of debentures created	
Verification of the resolution	
I verify that the annexure marked () is a true copy of the resolution authorising the further issue of debentures in the series.	
Signature	
print name	capacity
sign here	date / /

Form 314

(paragraph 324(2)(e))

Corporations Act 2001

RETURN OF MEMBERS OF FIRM OF AUDITORS

Name of firm:

Address of firm¹:

The full names and addresses of all of the members of the firm are:

Surname	First or given names	Residential address
---------	----------------------	---------------------

Dated

Signature²

1. Give the address of each place of business of the firm. If there is more than one place of business, indicate the principal place of business.
2. To be signed by one of the members of the firm.

DIRECTION

Requirements relating to annexures are set out in regulation 1.0.06.

NOTE

The completion of this form does not relieve members of the firm from any obligation under the law relating to business names.

	<div style="border: 1px solid black; width: 100%; height: 100%;"></div> <div style="display: flex; justify-content: space-between; align-items: center; padding: 2px;"> <div style="border: 1px solid black; width: 80%; height: 20px;"></div> <div style="font-size: 8px;"> ASS. <input type="checkbox"/> CASH. <input type="checkbox"/> PROC. <input type="checkbox"/> </div> <div style="font-size: 8px;"> REQ-A <input type="checkbox"/> REQ-P <input type="checkbox"/> </div> </div>
--	--

Australian Securities & Investments Commission

form 315

**Notification of
resignation, removal or cessation
of auditor**

Corporations Act 2001
319(5)(a), 324(1) & (2), 327(4) & (15),
329(11)(c), 330

Company name _____

A.C.N. _____

Details of company
(tick one box)

☐ public company
 ☐ proprietary company

Details of resignation, removal or cessation

☐ notice was received of the resignation of the auditor/s
 date of receipt of notice of resignation (d/m/y) / /

☐ the auditor/s was/were removed from office
 date of removal (d/m/y) / /

☐ the auditor is deceased
 date of death (d/m/y) / /

☐ the auditor has been disqualified for reasons specified under section 324(1) or (2) of the Corporations Act 2001
 date of disqualification (d/m/y) / /

☐ the company is being wound up (refer section 330 of the Corporations Act 2001)
 date of resolution or date of Court Order (d/m/y) / /

☐ the company has become a subsidiary of another company (refer subsection 327(15) of the Corporations Act 2001)
 retired at AGM held (d/m/y) / /

Details of resigning auditors

name (family & given names) _____
 or if a firm, business name _____
 office, level, building name _____
 street number & name _____
 suburb/city _____ state/territory _____ postcode _____

name (family & given names) _____
 or if a firm, business name _____
 office, level, building name _____
 street number & name _____
 suburb/city _____ state/territory _____ postcode _____

Signature

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

print name _____

capacity _____

sign here _____

date / /

Form 501

(subsection 414(2))

Australian Company Number:

Corporations Act 2001

NOTICE TO DISSENTING SHAREHOLDER

(Note that in this form “dissenting shareholder” means a shareholder who has not assented to the scheme or contract mentioned in paragraph B, or who has failed or refused to transfer his or her shares to the transferee in accordance with that scheme or contract)

1. To
of
A. *(insert name of person giving notice, in this form called “the transferee”)* The transferee on *(insert date)* made an offer to the holders of *shares in Limited/*shares included in class of shares in Limited for the transfer of those shares to the transferee, not being an offer made under a scheme or contract arising out of the making of takeover offers or a takeover announcement under the law relating to the acquisition of shares; and
B. the scheme or contract involving the transfer of those shares to the transferee was on or before *(insert date)* approved by the holders of not less than nine-tenths in nominal value of the shares *in that company/*included in that class of shares, other than shares already held at the date of the offer by, or by a nominee for, the transferee (or, if the transferee is a company, its subsidiary); and
C. you are a dissenting shareholder of shares *in the company/ *included in that class of shares.
2. The transferee gives you notice under subsection 414(2) that the transferee desires to acquire those shares held by you.
3. You are entitled under subsection 414(7) to require the transferee, by a demand in writing served on the transferee within one month after the date on which this notice is given, to furnish to you a statement in writing of the names and addresses of all other dissenting shareholders shown in the register of members.
- *4. You are entitled not later than the expiration of one month after the date on which this notice is given or 14 days after the date on which a statement is supplied to you under subsection 414(7), whichever is the later, to elect, by notice to the transferee, which of the alternative terms offered to the approving shareholders under the scheme or contract you prefer. The alternative terms are as follows:

-
5. Unless, on application made by you within one month after the date on which this notice is given or within 14 days after a statement is supplied to you under subsection 414(7), the Federal Court of Australia or the Supreme Court of (*State or Territory*) orders otherwise, the transferee will be entitled and bound subject to subsection 414(7) to acquire your shares:
- (a) on the terms on which under the scheme or contract the shares of the approving shareholders are to be transferred to the transferee; or
 - (b) if alternative terms were offered — on the terms for which you have elected; or
 - (c) if you have not so elected — on whichever of those terms the transferee determines unless the Court otherwise orders.

Dated

(signature of transferee)

*Omit if not applicable

DIRECTION

Requirements relating to annexures are set out in regulation 1.0.06.

Form 502

(subsection 414(9)(a))

Australian Company Number:

Corporations Act 2001

NOTICE TO REMAINING SHAREHOLDER

1. To
of
 - A. (*insert name of person giving notice, in this form called "the transferee"*) The transferee in (*insert date*) made offers to the holders of shares *in Limited/*included in _____ class of shares in _____ Limited for the transfer of those shares to the transferee, not being offers made under a scheme or contract arising out of the making of takeover offers or a takeover announcement under the law relating to the acquisition of shares; and
 - B. under the scheme or contract the transferee became an (*insert date*) beneficially entitled to shares in that company which together with any other shares in that company to which the transferee, or the transferee and any corporation related to the transferee, is beneficially entitled, comprise or include nine-tenths in nominal value of _____ the _____ shares
*in _____ Limited/*included in that class of shares
in _____ Limited; and
 - C. you are the holder of remaining shares *in that company/*included in that class of shares in that company and have not assented to the scheme or contract or been given notice in respect of those shares by the transferee under subsection 414(2).
2. The transferee gives you notice under subsection 414(9) that under that scheme or contract the transferee on (*insert date*) become beneficially entitled to shares in _____ Limited and those shares together with any other shares in that company to which the transferee, or the transferee and any corporation related to the transferee, is beneficially entitled, comprise or included nine-tenths in nominal value of the shares (in that company/*included in that class of shares in that company).
3. You are entitled under subsection 414(9) within 3 months after the date on which this notice is given by notice to the transferee to require the transferee to acquire your shares.
- *3. You are entitled under subsection 414(9) within 3 months after the date on which this notice is given to elect by notice to the transferee which of the alternative terms offered to the approving shareholders under the scheme or contract you will accept. The alternative terms are as follows:
4. If you require the transferee to acquire the shares held by you the transferee will be entitled and bound to acquire those shares:

- Dated

*Omit if not applicable

Requirements relating to annexures are set out in regulation 1.0.06.

Form 503

(subsection 419A(3))

Corporations Act 2001

NOTICE OF CONTROLLER'S INTENTION NOT TO EXERCISE PROPERTY RIGHTS

To: (name), of (address), the
*owner/*lessor of property ("the specified property") being:

(name and description of property including, if appropriate, relevant reference numbers and account numbers identifying contracts such as leasing arrangements in relation to that property)

I (name), of (address), the controller of property of (name of corporation) ("the corporation") give you notice that I do not propose to exercise rights in relation to the specified property as controller of the specified property, whether on behalf of the corporation or anyone else.

Dated

(Controller's signature)

*Delete if not applicable

NOTES:

1. Under subsection 419A(4) the controller is not liable for rent or other amounts by the corporation in relation to the specified property while this notice in force, but the notice does not affect a liability of the corporation.
2. Under subsection 419A(5), this notice ceases to have effect if the controller:
 - (a) revokes the notice, by writing to the owner/lessor; or
 - (b) exercises or purports to exercise a right in relation to the specified property the controller.

Form 509A

(subsection 438C(3))

A.C.N. or A.R.B.N.

*Corporations Act 2001***NOTICE TO DELIVER BOOKS OF COMPANY TO THE ADMINISTRATOR**

Limited (administrator appointed)

To: (name) of (address)

1. I (name), of (address), the administrator of the company, give you notice under subsection 438C(3) that I require you to deliver to me, at the above address, within (insert number being not less than 3) business days of the date of this notice, the books specified in the Schedule, being books of the company, that are in your possession.
2. Note that under subsection 438C(5), you must comply with this notice except so far as you are entitled as against the company and the administrator, to retain possession of the books.

SCHEDULE
(insert specified books)

Dated

(administrator's signature)

Form 509B

(subsection 443B(3))

Corporations Act 2001

NOTICE OF ADMINISTRATOR'S INTENTION NOT TO EXERCISE PROPERTY RIGHTS

Limited (administrator appointed)

To: (name), of (address), the *owner/*lessor of property ("the specified property") being:

(name and description of property, including, if appropriate, relevant reference numbers and account numbers identifying contracts such as leasing arrangements in relation to that property)

I (name), of (address), the administrator of (name of company) ("the company") give you notice that I do not propose to exercise rights in relation to the specified property.

Dated

(administrator's signature)

*Delete if not applicable

NOTES

1. Under subsection 443B(4), the administrator is not liable for rent or other amounts payable by the company in relation to the specified property while this notice is in force, but the notice does not affect a liability of the company.
2. Under subsection 443B(5), this notice ceases to have effect if:
 - (a) the administrator revokes the notice, by writing to the owner/ lessor; or
 - (b) the company exercises or purports to exercise a right in relation to the specified property.

Form 509E

(paragraph 450B(a))

Corporations Act 2001

NOTICE TO CREDITORS OF EXECUTION OF A DEED OF COMPANY ARRANGEMENT

Limited (subject to deed of company arrangement)

*To *(name)* of *(address)*

*To creditors of the company

1. Notice is given under section 450B that the company executed a deed of arrangement on *(insert date)*.
2. A copy of the deed may be inspected at *(insert address)*.

Dated

*(Signature of administrator of the
deed of company arrangement)*

*Delete if not applicable

Form 509H

(paragraph 459E(2)(e))

Corporations Act 2001

CREDITOR'S STATUTORY DEMAND FOR PAYMENT OF DEBT

To *(name and A.C.N. or A.R.B.N. of debtor company)* of *(address of the company's registered office)*

1. The company owes *(name)* of *(address)* ("the creditor")
 - *the amount of \$(*insert amount*), being the amount of the debt described in the Schedule.
 - *the amount of \$(*insert total amount*), being the total of the amounts of the debts described in the Schedule.
 - *2. The amount is due and payable by the company.
 - *2. Attached is the affidavit of *(insert name of deponent of the affidavit)*, dated *(insert date of affidavit)*, verifying that the amount is due and payable by the company
 3. The creditor requires the company, within the statutory period after service on the company of this demand:
 - (a) to pay to the creditor the *amount of the debt/*total of the amounts of the debts; or
 - (b) to secure or compound for the *amount of the debt/*total of the amounts of the debts, to the creditor's reasonable satisfaction.
 4. The creditor may rely on a failure to comply with this demand within the period for compliance set out in subsection 459F(2) as grounds for an application to a court having jurisdiction under the *Corporations Act 2001* for the winding up of the company.
 5. Section 459G of the *Corporations Act 2001* provides that a company served with a demand may apply to a court having jurisdiction under the *Corporations Act 2001* for an order setting the demand aside. An application must be made within the statutory period after the demand is served and, within the same period:
 - (a) an affidavit supporting the application must be filed with the court; and
 - (b) a copy of the application and a copy of the affidavit must be served on the person who served the demand.
- A failure to respond to a statutory demand can have very serious consequences for a company. In particular, it may result in the company being placed in liquidation and control of the company passing to the liquidator of the company.**
6. The address of the creditor for service of copies of any application and affidavit is *(insert the address for service of the documents in the State or Territory in which the demand is*

SCHEDULE

Dated:

Print name:

Corporation or partnership name (if applicable):

1. The form must be signed by the creditor or the creditor's solicitor. It may be signed on behalf of a partnership by a partner, and on behalf of a corporation by a director or by the secretary or an executive officer of the corporation.
2. The amount of the debt or, if there is more than one debt, the total of the amounts of the debts, must exceed the statutory minimum. The statutory minimum is \$2,000 or a greater amount prescribed by the regulations. From 1 July 2021, a greater amount of \$4,000 is prescribed. However, for a 7-month period in 2021, a greater amount of \$20,000 is prescribed in relation to a company that is eligible for temporary restructuring relief (see the *Corporations Amendment (Corporate Insolvency Reforms) Regulations 2020*).
3. Unless the debt, or each of the debts, is a judgment debt, the demand must be accompanied by an affidavit that:
 - (a) verifies that the debt, or the total of the amounts of the debts, is due and payable by the company; and
 - (b) complies with the rules.
4. A person may make a demand relating to a debt that is owed to the person as assignee.

5. The statutory period is 21 days or a longer period prescribed by the regulations. For a 7-month period in 2021, a longer period of 6 months is prescribed in relation to a company that is eligible for temporary restructuring relief (see the *Corporations Amendment (Corporate Insolvency Reforms) Regulations 2020*).

*Omit if inapplicable

Statement of assets and liabilities (show amounts to the nearest \$)
 continued

liabilities	rank for payment \$
secured on specific assets	
secured by floating charge(s)	
estimated expenses of winding up other estimated expenses (including interest accruing until payment of debts in full)	
unsecured creditors (amounts estimated to rank for payment) trade accounts bills payable accrued expenses other liabilities	
contingent liabilities	
total of liabilities	
estimated surplus after paying debts in full	

Signatures

	print name	
1	sign here	date
	print name	
2	sign here	date
	print name	
3	sign here	date
	print name	
4	sign here	date
	print name	
5	sign here	date
	print name	
6	sign here	date

Form 5249

Form 5249 <small>Corporations Act 2001 Subparagraph 206F(1)(b)(i)</small>
Notice to demonstrate why disqualification should not occur
IN THE MATTER of (1) _____
Notice to demonstrate why disqualification should not occur under section 206F of the Corporations Act 2001.
To: (2) _____
The records of the Australian Securities and Investments Commission (ASIC) show that you are or were an officer of _____ (3) corporations that have been wound up, being _____ (4),
where a liquidator has reported under subsection 533(1) of the Corporations Act 2001 (the Act) that each of the corporations may be unable to pay its unsecured creditors more than 50 cents in the dollar.
In these circumstances you are required to demonstrate, in accordance with subparagraph 206F(1)(b)(i) of the Act, why you should not be disqualified from managing corporations.
Under subsection 206F(1) of the Act you may be disqualified from managing corporations for a period of up to 5 years.
In making a decision under subsection 206F(1) of the Act ASIC is required to give you an opportunity to be heard in relation to why you should not be disqualified from managing corporations.
AREAS OF CONCERN
ASIC has identified a number of concerns about your conduct which are described in Attachment "A".
The documents on which these concerns are based are listed in Attachment "B".

OPPORTUNITY TO BE HEARD

If you wish to demonstrate why you should not be disqualified from managing corporations you should notify ASIC within 14 days from the date of service of this notice that you require an opportunity of being heard.

You may exercise your right to be heard by:

1. making a written submission;
2. appearing before a person ASIC has appointed to hear the matter (the delegate) and making submissions orally and appearing before the delegate to present evidence.

You may exercise your right by doing any or all of these options.

Once you have notified ASIC of your wish to demonstrate why you should not be disqualified a delegate will write to you with further details of the hearing procedure.

If you do not wish to demonstrate why you should not be disqualified, a decision will be made by a delegate on the information available.

If you wish to have access to the documents listed in Attachment "B" you should contact ASIC as soon as possible. Access to documents which are identified as "confidential" may be given subject to strict conditions of confidentiality.

Dated this _____ day of _____ 20 _____

signed _____

(5)
Delegate of the Australian Securities and Investments Commission

Attachments

Attachment "A"
Areas of concern

Attachment "B"
List of documents upon which concerns are based.

DIRECTIONS

- (1) Insert name of person subject of the notice.
- (2) Insert name of person subject of the notice.
- (3) Insert number of corporations of which the person was an officer.
- (4) Insert names and ACNs of corporations.
- (5) Insert full name of delegate signing the notice.

Form 527

(paragraph 568(8)(a))

Australian Company Number:

Corporations Act 2001

APPLICATION REQUIRING LIQUIDATOR TO DECIDE WHETHER TO DISCLAIM PROPERTY

Limited

To *(insert name)*, the liquidator of the company.

Under paragraph 568(8)(a), application is made to you by *(full name, address and occupation of applicant)* requiring you to decide whether you will disclaim the property described in the Schedule to this notice or not.

The applicant has the following interest in the property:

SCHEDULE

Dated

(signature of applicant)

Australian Securities & Investments Commission

notice of meeting

form 529

Corporations Act 2001
subregulation 5.6.12 (6)

Company name _____

A.C.N. or A.R.B.N. _____

Type of Meeting

- (a) ☐ creditors in a winding up
- (b) ☐ members in a winding up
- (c) ☐ contributors in a winding up
- (d) ☐ joint meeting of creditors and members in a winding up
- (e) ☐ holders of debentures (subsection 1054 (6))
- (f) ☐ creditors of company under administration apart from section 436E
- (g) ☐ creditors of a company under a deed of company arrangement
- (h) ☐ eligible employee creditors (subsection 444DA (3))
- (i) ☐ eligible unsecured creditors (subsection 574 (1))
- (j) ☐ consolidated meetings for pooled purposes (subsection 579L (1))

Details of Meeting

date of proposed meeting (d/m/y) / /

☐ In relation to the above, set out the purpose for which meeting is called. If the notice relates to a meeting of creditors called under subsection 497 (1), the notice is to state that a person is not entitled to vote as a creditor at a meeting unless he or she has lodged with the Chair of the meeting particulars of the debt or claim which he or she claims to be due to his or her from the company.

Signature	(This form must be signed by a director, a secretary, a liquidator or an administrator of the company, or a director, a secretary, a liquidator, an administrator or a local agent of a foreign company.)
print name _____	capacity _____
print company name _____	
sign here _____	date _____
Lodgement with the Australian Securities & Investments Commission In relation to a creditors Voluntary Winding up under paragraph 497(2)(c), a copy of this notice must be lodged not less than 7 days before the day fixed for the holding of the meeting.	
Send to Australian Securities & Investments Commission PO Box 4000 Gippsland Mail Centre VIC 3841 In line with accepted commercial practice, the policy is not to issue a receipt when payment is made by cheque. If an acknowledgement is required where no fee is payable, tick this box <input type="checkbox"/>	Annexures 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 corporation name and A.C.N. or A.R.B.N. 3. number the pages consecutively 4. print or type in dark blue or black ink, so that the document is clearly legible when photocopied. 5. identify the annexure with a mark such as A,B,C, etc. 6. endorse the annexure with the words: This is the annexure (mark) of (number) pages referred to in Form (form number and type) 7. sign and date the form The annexure must be signed by the same person(s) who signed the form.

Form 535

(subregulation 5.6.49(2))

A.C.N or A.R.B.N:

Corporations Act 2001

FORMAL PROOF OF DEBT OR CLAIM (GENERAL FORM)

To the liquidator of Limited

1. This is to state that the company was on (date of court order in winding up by the Court, or date of resolution to wind up, if a voluntary winding up), and still is, justly and truly indebted to (full name and address of the creditor and, if applicable, the creditor's partners. If prepared by an employee or agent of the creditor, also insert a description of the occupation of the creditor) for

dollars and cents

Particulars of the debt are:

Date	Consideration (state how the debt arose)	Amount	Remarks (include details of voucher substantiating payment)
		\$ c	

2. To my knowledge or belief the creditor has not, nor has any person by the creditor's order, had or received any satisfaction or security for the sum or any part of it except for the following: *(insert particulars of all securities held. If the securities are on the property of the company, assess the value of those securities. If any bills or other negotiable securities are held, show them in a schedule in the following form).*

Date	Drawer	Acceptor	Amount	Due Date
			\$ c	

*3. I am employed by the creditor and authorised in writing by the creditor to make this statement. I know that the debt was incurred for the consideration stated and that the debt, to the best of my knowledge and belief, remains unpaid and unsatisfied.

*3. I am the creditor's agent authorised in writing to make this statement in writing. I know the debt was incurred for the consideration stated and that the debt, to the best of my knowledge and belief, remains unpaid and unsatisfied.

Dated

Signature

Occupation

Address

*Do not complete if this proof is made by the creditor personally

A.C.N. or A.R.B.N:

Corporations Act 2001

FORMAL PROOF OF DEBT OR CLAIM ON BEHALF OF EMPLOYEES

To the liquidator of Limited

I (full name of person making the statement) of (full address) being (occupation) state:

1. the company was, on (*date of court order in winding up, if winding up was by the Court, or date of resolution to wind up if a voluntary winding up*), and still is, indebted to the persons whose names, addresses and descriptions appear in Columns 2, 3 and 4 in the Schedule;
2. the debt is for wages, salaries, annual leave, retrenchment payments or long service leave, due to them for services rendered while employed by the company during the periods set out in Column 5 against the names of the persons;
3. the debt of the company due to each person is for the amount set out in Column 6 against the name of that person;
4. none of those persons has had or received any satisfaction or security in respect of that debt;
5. I am authorised as _____ and the source of my information is as follows:

SCHEDULE

[illegible]

Dated
Signature

Note: In case of a claim for annual leave or long service leave, insert a description of the claim.

Form 537

(subregulation 5.6.54(1))

A.C.N or A.R.B.N:

Corporations Act 2001

NOTICE OF REJECTION OF FORMAL PROOF OF DEBT OR CLAIM

Limited

To
of

1. Your claim against the company set out in the formal proof of debt or claim of *(name of person submitting original proof of debt or claim)* made on *(date)* has been **wholly disallowed/*disallowed to the extent of (particulars of part of claim disallowed)/*allowed in the sum of \$ /*allowed to the extent of your claim for (particulars of part of claim allowed).*
2. My grounds for disallowance of *(particulars of part of claim referred to)* are as follows:
3. If you are dissatisfied with my determination as set out above, you may appeal against it, no later than *(number of days, being not less than 14)* days after the service of this notice or, if the Court allows, within any further period, to the **Federal Court of Australia/*the Supreme court of (State or Territory)*. If you do not do so, your claim will be assessed in accordance with this determination.

Dated

Signature of liquidator

Address

* Omit if inapplicable

Form 538

(regulation 5.6.58)

A.C.N or A.R.B.N:

*Corporations Act 2001***PROVISIONAL LIST OF CONTRIBUTORIES**

Limited

The following is a provisional list of persons to be placed on the list of contributories that I have made from the records of the company, together with the number of their shares or the extent of their interest, their address and other participants:

PART 1**PERSONS WHO ARE CONTRIBUTORIES
IN THEIR OWN RIGHT**

Serial No.	Name	Address	Description of class of contributory	Number of shares (or extent of interest)	Amount called up at date of start of winding up	Amount paid up at date of start of winding up	Amount not called up at date of start of winding up
---------------	------	---------	--	---	--	--	--

PART 2**CONTRIBUTORIES WHO ARE REPRESENTATIVES OF, OR LIABLE FOR THE
DEBTS OF, OTHERS**

Serial No.	Name	Address	Description of class of contributory and in what character included	Number of shares (or extent of interest)	Amount called up at date of start of winding up	Amount paid up at date of start of winding up	Amount not called up at date of start of winding up
---------------	------	---------	--	---	--	--	--

Schedule 2 Forms

Dated

Signature of liquidator

Form 539

(subregulation 5.6.59(1))

A.C.N or A.R.B.N:

*Corporations Act 2001***NOTICE TO CONTRIBUTORIES OF APPOINTMENT TO SETTLE LIST OF CONTRIBUTORIES**

Limited

Take notice that I (*name*) of (*address*), the liquidator of the company, have appointed (*time*) *a.m./*p.m. on (*date*) at (*address of place appointed for settlement*), at which I must settle the list of the contributories of the company that I have made. You are at present included in that list.

Particulars of your inclusion are set out below. Unless, before or at the time appointed for the settlement, you give me sufficient reason for your exclusion, your name will be included in the settled list.

Dated

Signature of liquidator

Serial No.	Name	Address	Description of class of contributory and in what character included	Number of shares (or extent of interest)	Amount called up at date of start of winding up	Amount paid up at date of start of winding up	Amount not called up at date of start of winding up
------------	------	---------	---	--	---	---	---

* Strike out whichever is inapplicable.

NOTES

- Contributories do not have to attend the appointment referred to in this notice if they are satisfied that the particulars contained in the notice are correct.
- A shareholder's name cannot be omitted from the list of contributories because he or she is unable to pay calls; this question will be dealt with when application is made for payment of the calls.

3. A change of address may be notified by giving notice to the liquidator by post before the date fixed for the appointment.

Form 541

(subregulation 5.6.60(2))

A.C.N. or A.R.B.N.:

Corporations Act 2001

CERTIFICATE OF LIQUIDATOR OF FINAL SETTLEMENT OF LIST OF CONTRIBUTORIES

Limited

I (*name*), the liquidator of the company, certify that the result of the settlement of the list of contributories of the company is as follows:

1. The persons named in Column 2 of Schedule 1 have been included in the list of contributories as contributories of the company in respect of the number of shares or extent of interest set out opposite their names. I have listed in Part 1 of Schedule 1, contributories in their own right and, in Part 2 of Schedule 1, contributories who are representatives of, or liable for the debts of, others.
2. The persons named in Column 2 of Schedule 2 were included in the provisional list of contributories, but have been excluded from the settled list of contributories.
3. In Column 6 of Schedule 1 and in Column 6 of Schedule 2, I have set out opposite the name of each person the date when that person was included in or excluded from the list of contributories.
4. In Columns 7 and 8 of Schedule 1, I have set out opposite the name of each person the amount called up at the date of the commencement of the winding up and the amount paid up at that date in respect of the shares, or interest, of that person.

SCHEDULE 1
PERSONS INCLUDED IN THE LIST OF CONTRIBUTORIES

PART 1: CONTRIBUTIONS IN THEIR OWN RIGHT

1	2	3	4	5	6	7	8	9
Serial No.	Name	Address	Description of class of contributory and in what character included	Number of shares (or extent of interest)	Date when included in list	Amount called up at date of start of winding up	Amount paid up at date of start of winding up	Amount not called up at date of start of winding up

**PART 2: CONTRIBUTORIES WHO ARE REPRESENTATIVES OF, OR LIABLE FOR
THE DEBTS OF, OTHERS**

1	2	3	4	5	6	7	8	9
No.	Name	Address	Description of class of contributory and in what character included	Number of shares (or extent of interest)	Date when included in list	Amount called up at date of start of winding up	Amount paid up at date of start of winding up	Amount not called up at date of start of winding up

SCHEDULE 2
PERSONS EXCLUDED FROM THE LIST OF CONTRIBUTORIES

1	2	3	4	5	6
No.	Name	Address	Description of class of contributory and in what character proposed to be included	Number of shares (or extent of interest)	Date when included in list

Dated

Signature of liquidator

Form 542

(subregulation 5.6.61(1))

A.C.N or A.R.B.N.:

Corporations Act 2001

PROVISIONAL SUPPLEMENTARY LIST OF CONTRIBUTORIES

Limited

The following is a list of persons that I have found, since making out the annexed list of contributories dated _____, to be, or to have been, *holders of shares in/*members of the company, and who to the best of my knowledge and belief are contributories of the company:

(insert list in the same form as the original list: see Form 538)

Dated

Signature of liquidator

*Omit if inapplicable

Form 543

(subregulation 5.6.61(1))

A.C.N. or A.R.B.N.:

Corporations Act 2001

CERTIFICATE OF LIQUIDATOR OF SETTLEMENT OF SUPPLEMENTARY LIST OF CONTRIBUTORIES

Limited

I (*name*), the liquidator of the company, certify that the result of the settlement of the provisional supplementary list of contributories of the company that I made out on (*date*) is as follows:

(set out the Certificate and Schedules as in Form 541)

Dated

Signature of liquidator

Form 544

(subregulation 5.6.62(4))

A.C.N. or A.R.B.N.:

Corporations Act 2001

NOTICE TO CONTRIBUTORY OF FINAL SETTLEMENT OF LIST OR SUPPLEMENTARY LIST OF CONTRIBUTORIES AND OF INCLUSION IN LIST

Limited

To:

of:

Take notice that I (*name*), the liquidator of the company, on (*date*) settled the list of contributories of the company. You are included in that list. The character, if applicable, in which, and the number of share, or extent of interest, for which, you are included, and the amounts called up, paid up and unpaid in respect of those shares or that interest are stated in the Schedule.

You may apply to vary the list of contributories, or to remove your name from the list, by making an application to *the Federal Court of Australia/*the Supreme court of (*State or Territory*) within 21 days from the service on you of this notice or, if the Court allows, any further period.

You may inspect the list at my office at (*address*) from Monday to Friday inclusive between the hours of (*insert times making up not less than 3 hours during the normal working day*) and

SCHEDULE

No.	Name	Address	Description of class of contributory and in what character included	Number of shares (or extent of interest)	Amount called up at date of start of winding up	Amount unpaid at date of start of winding up	Amount unpaid at date of start of winding up	Amount not called up at date of start winding up

Dated

Signature of liquidator

* Omit if not applicable

Form 547

(subregulation 5.6.65(1))

Corporations Act 2001

NOTICE TO CREDITOR OR PERSON CLAIMING TO BE A CREDITOR OF INTENTION TO DECLARE A DIVIDEND

Limited

A dividend (*state the number of the dividend, e.g. "first", "second"*) is to be declared on (*date*) for the company.

*You are listed as a creditor in the report on the affairs of the company;

*You are known to me to claim to be a creditor, but your debt or claim has not yet been admitted.

You are required formally to prove your debt or claim on or before (*date*). If you do not, you will be excluded from the benefit of the dividend.

Dated

Signature of liquidator

Address

*Omit if inapplicable.

Form 548

(subregulation 5.6.65(1))

Corporations Act 2001

NOTICE TO CREDITOR OR PERSON CLAIMING TO BE A CREDITOR OF INTENTION TO DECLARE A DIVIDEND

Limited

A final dividend is to be declared on (*date*) for the company.

You are required formally to prove your debt or claim on or before (*date*).

If you do not, I will exclude your claim from participation, and I will proceed to make a final dividend without having regard to it.

Signature of liquidator

Address

Form 549

(subregulation 5.6.67(3))

Corporations Act 2001

NOTICE OF DECLARATION OF DIVIDEND

Limited

(State the number of the dividend, e.g. "First", "Second") dividend.

A dividend at the rate of in the dollar has been declared for the company and a
cheque is attached for \$ calculated at that rate on your debt as admitted to rank for
dividend for \$.

Dated

Signature of liquidator

Address

Form 550

(regulation 5.6.70)

Corporations Act 2001

AUTHORITY TO LIQUIDATOR TO PAY DIVIDEND TO A PERSON NAMED

Limited

To the liquidator

*I/*We authorise and request you to pay to *(name)* of *(address)* all dividends as they are declared for the company, and that become due and payable to *me/*us in respect of *my/ *our claim for \$ _____ against the company.

*I/*We further request that cheques drawn for those dividends are made payable to the order of *(name)*.

This authority remains in force until revoked by *me/*us in writing.

Date

Signature of creditor

Name of creditor

*Omit if inapplicable

Form 551

(subregulation 5.6.71(1))

Corporations Act 2001

(Note: Before completing this schedule please read carefully the “Direction for completing Form 551” at the end of this form)

SCHEDULE OF CONTRIBUTORIES OR OTHER PERSONS TO WHOM A DISTRIBUTION OF SURPLUS IS TO BE PAID

Limited

Serial No. in settled list	Name of contributory as in settled list	Address	Number of shares held as set out in settled list	Total amount called up	Total amount paid up
-------------------------------	---	---------	---	---------------------------	-------------------------

SCHEDULE OF CONTRIBUTORIES OR OTHER PERSONS, TO WHOM A DISTRIBUTION OF SURPLUS IS TO BE PAID

Arrears of calls at date of return	Previous distributions of capital appropriated by liquidator for arrears of calls	Amount of distribution payable per share	Net distribution payable	Date and particulars of transfer of interest or other variation in list
---------------------------------------	--	--	-----------------------------	---

Signature of liquidator

Date

DIRECTION FOR COMPLETING FORM 551

If the Articles:

- (a) provide that the amount divisible among members or any class of members must be dividable in proportion to the amount paid up or that ought to have been paid up at the date of winding up; or
- (b) contain any other provision that requires further information before a distribution can be made;

columns should be added showing the amount called up and the amount paid up at that date in respect of shares then held by those members or that class of members, or any other facts that may be required.

Form 552

(subregulation 5.6.71(2))

Corporations Act 2001

NOTICE OF DISTRIBUTION OF SURPLUS TO CONTRIBUTORIES OR OTHER PERSONS

Limited

A distribution of surplus at the rate of per share has been declared for the company and a cheque is attached for \$ calculated at that rate per share on your (*number*) shares.

Dated

Signature of liquidator

Address

Form 553

(regulation 5.6.72)

Corporations Act 2001

AUTHORITY TO LIQUIDATOR TO PAY DISTRIBUTION OF SURPLUS TO A PERSON NAMED

Limited

To the Liquidator

*I/*We authorise and request you to pay to *(name)* of *(address)* any distribution of surplus payable to *me/*us for the company.

*I/*We further request that the cheque drawn for that distribution be made payable to the order of *(name)*.

This authority remains in force until revoked by *me/*us in writing.

Dated

Signature

Name(s) of person(s) completing this authority

*Omit if inapplicable.

Form 701

Data on intermediated business with APRA-authorised general insurers, Lloyd's underwriters and unauthorised foreign insurers

Australian business number

Australian financial services licence number

Australian financial services licensee name

Reporting period

TABLE 1: AGGREGATE DATA ON INTERMEDIATED BUSINESS WITH APRA-AUTHORISED GENERAL INSURERS, LLOYD'S UNDERWRITERS AND UNAUTHORISED FOREIGN INSURERS

Total business placed with APRA-authorized general insurers, Lloyds underwriters and unauthorised foreign insurers	Premium invoiced this reporting period			
	Effective this reporting period	Effective after the reporting period end	Effective before the reporting period start	Total invoiced this reporting period
a. Business placed directly by the general insurance intermediary with APRA-authorized general insurers				
b. Business placed directly, or indirectly through a foreign intermediary, by the general insurance intermediary with Lloyd's underwriters				
c. Business placed directly, or indirectly through a foreign intermediary, by the general insurance intermediary with unauthorised foreign insurers				
d. Business placed indirectly through another general insurance intermediary, by the general insurance intermediary with: <ul style="list-style-type: none"> i. APRA-authorized general insurers; or ii. Lloyds underwriters; or iii. unauthorised foreign insurers 				
Total				

General insurer is defined in subsection 3(1) of the *Insurance Act 1973*.

Lloyd's underwriter is defined in subsection 3(1) of the *Insurance Act 1973*.

Unauthorised foreign insurer is defined in regulation 4 of the *Insurance Regulations 2002*.

TABLE 2: TRANSACTION LEVEL DATA ON INTERMEDIATED BUSINESS PLACED DIRECTLY, OR INDIRECTLY THROUGH A FOREIGN INTERMEDIARY, WITH UNAUTHORISED FOREIGN INSURERS

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Policy transaction type	Client code	Policy code	Invoice date	Effective date	APRA class of business	Premium	Currency of premium	UFI name	UFI country code	Exemption type	HVI limb	HVI value (#)	Atypical risk class	Customised reason

Note It is an offence under section 137.1 of the *Criminal Code Act 1995* to provide false or misleading information to a Commonwealth entity. The Australian Prudential Regulation Authority is a Commonwealth entity.

Lodgement requirements

If information is to be lodged in Table 1 only, the licensee may lodge the information electronically or in writing.

If information is to be lodged in both Table 1 and Table 2, the licensee must lodge the information electronically. If the licensee is unable to lodge the information electronically, the licensee must arrange an alternative method of lodgement with APRA.

Requirements for forms lodged electronically

A licensee must lodge a form electronically via the licensees portal provided by APRA. A licensee must undertake the steps required by APRA to become authorised to use the portal.

A document accompanying a form may only be lodged electronically if APRA has approved, in writing, the electronic lodgement of documents of that kind. If APRA has not approved the electronic lodgement of a document, the document may be lodged in writing.

APRA may approve the electronic lodgement of:

- (a) a particular kind of document; or
- (b) documents in a particular class of documents.

A document is taken to be lodged with APRA electronically if it is lodged in accordance with APRA's approval, including any requirements of the approval as to authentication.

Requirements for forms lodged in writing

If a form is lodged in writing, the form must be signed in accordance with the requirements of section 912CA of the *Corporations Act 2001*, as modified by regulation 7.6.08C of the *Corporations Regulations 2001*.

Licensees lodging by mail or in person must lodge with APRA:

- (a) the signed, original form; and
- (b) any information, statements, explanations or other matters required by the form; and
- (c) any other material required by the form.

Licensees lodging by email must lodge with APRA:

- (a) the signed form in PDF (portable document format); and
- (b) any information, statements, explanations or other matters required by the form; and
- (c) any other material required by the form.

Licensees lodging by email must retain signed original copies of the forms and attachments for a period of 7 years.

A form, or document, lodged with APRA in writing by, or on behalf of, an entity in an item of the following table, must be signed by the person specified in the item.

Item	Entity	Person
1	A body that is not a foreign company	A director or secretary
2	A body that is a foreign company	(a) a local agent; or (b) if the local agent is a company — a director or secretary of the company
3	An individual	An individual
4	A partnership	(a) a partner; or (b) if the partner is a company — a director or secretary of the company
5	A trust	(a) a trustee; or (b) if the trustee is a body — a director or secretary of the body

Note A body includes a body corporate or an unincorporated body, for example, a society or association — see the definition of **body** in section 9 of the Act.

The following table must be completed. In the table, the person's name must be printed next to the person's signature.

Lodgement details (for the person who physically completes the form)	
Firm/organisation	
Contact name/position description	
ASIC registered agent number (if applicable)	
Telephone number	
Postal address or DX address	
Signature block	
Name	
Signature	
Capacity	
Entity name (if entity acting as local agent)	
Date signed	

Form 587

(subsection 206F(3))

Form 587 <small>Corporations Act 2001 Subsection 206F(3)</small> Notice of disqualification from managing corporations
IN THE MATTER of (1) _____
Notice of disqualification from managing corporations under subsection 206F(3) of the Corporations Act 2001.
To: (2) _____
ASIC has given you notice in the prescribed form requiring you to demonstrate why you should not be disqualified from managing corporations and has given you an opportunity to be heard on the question.
TAKE NOTICE THAT having regard to the Notice to Demonstrate Why Disqualification Should Not Occur dated _____ (3) issued by _____ (4) and your opportunity to be heard ASIC is satisfied that your disqualification pursuant to section 206F of the Corporations Act 2001 is justified.
YOU ARE DISQUALIFIED from the time of service of this notice for a period of _____ (5) years from managing corporations without the leave of ASIC.
Your attention is specifically directed to section 206A of the Corporations Act 2001.
Dated this _____ day of _____ 20 _____ (6)
signed _____
(7) Delegate of the Australian Securities and Investments Commission
DIRECTIONS
<small>(1) Insert the name of person being disqualified. (2) Insert the name of person being disqualified. (3) Insert date of Notice to Demonstrate Why Disqualification Should Not Occur. (4) Insert name of delegate who issued Notice to Demonstrate Why Disqualification Should Not Occur. (5) Insert number of years disqualified. (6) Insert date of notice. (7) Insert full name of delegate signing notice.</small>

Form 588

(subparagraph 206GAA(1)(b)(i))

Form 588**Corporations Act 2001****Subparagraph 206GAA(1)(b)(i)****Notice to demonstrate why disqualification should not occur****IN THE MATTER of (1)** _____**Notice to demonstrate why disqualification should not occur
under section 206GAA of the Corporations Act 2001.****To: (2)** _____

The records of the Australian Securities and Investments Commission (ASIC) show that you are or were an officer of _____ (3) corporations that have been wound up, being _____ (4)

where money was advanced for the purposes of paying the entitlements of employees of the corporations under the Fair Entitlements Guarantee Act 2012 and:

- the Commonwealth has received a minimal return, or no return on the advance; and
- ASIC has reason to believe that the Commonwealth is unlikely to receive more than a minimal return on the advance; and
- ASIC has reason to believe that either the corporations contravened the Corporations Act 2001 or Corporations (Aboriginal and Torres Strait Islander) Act

2006 and that the person failed to take reasonable steps to prevent the contravention or the person contravened the Corporations Act 2001 or Corporations (Aboriginal and Torres Strait Islander) Act 2006.

In these circumstances you are required to demonstrate, in accordance with subparagraph 206GAA(1)(b)(i) of the Act, why you should not be disqualified from managing corporations.

Under subsection 206GAA(1) of the Act you may be disqualified from managing corporations for a period of up to 5 years.

In making a decision under subsection 206GAA(1) of the Act ASIC is required to give you an opportunity to be heard in relation to why you should not be disqualified from managing corporations.

AREAS OF CONCERN

ASIC has identified a number of concerns about your conduct which are described in Attachment "A".

The documents on which these concerns are based are listed in Attachment "B".

OPPORTUNITY TO BE HEARD

If you wish to demonstrate why you should not be disqualified from managing corporations you should notify ASIC within 14 days from the date of service of this notice that you require an opportunity of being heard.

You may exercise your right to be heard by:

1. making a written submission; or
2. appearing before a person ASIC has appointed to hear the matter (the delegate) and making submissions orally and appearing before the delegate to present evidence; or
3. making submissions by telephone or video call to a person ASIC has appointed to hear the matter.

You may exercise your right by doing one of these options.

Once you have notified ASIC of your wish to demonstrate why you should not be disqualified a delegate will write to you with further details of the hearing procedure.

If you do not wish to demonstrate why you should not be disqualified, a decision will be made by a delegate on the information available.

If you wish to have access to the documents listed in Attachment "B" you should contact ASIC as soon as possible. Access to documents which are identified as "confidential" may be given subject to strict conditions of confidentiality.

Dated this _____ day of _____

Signed

(5) Delegate of the Australian Securities and Investments Commission

Attachments

Attachment "A"

Areas of concern

Attachment "B"

List of documents upon which concerns are based

DIRECTIONS

- (1) Insert name of person subject of the notice.
- (2) Insert name of person subject of the notice.
- (3) Insert number of corporations of which the person was an officer.
- (4) Insert names and ACNs of corporations.
- (5) Insert full name of delegate signing the notice.

Form 589

(subsection 206GAA(6))

Form 589**Corporations Act 2001****Subsection 206GAA(6)****Notice of disqualification from managing corporations****IN THE MATTER of (1)** _____**Notice of disqualification from managing corporations
under subsection 206GAA(6) of the Corporations Act 2001.****To: (2)** _____

ASIC has given you notice in the prescribed form requiring you to demonstrate why you should not be disqualified from managing corporations and has given you an opportunity to be heard on the question.

TAKE NOTICE THAT having regard to the Notice to Demonstrate Why Disqualification Should Not Occur dated _____(3) issued by _____

_____ (4) and your opportunity to be heard ASIC is satisfied that your disqualification pursuant to section 206GAA of the Corporations Act 2001 is justified.

YOU ARE DISQUALIFIED from the time of service of this notice for a period of _____(5) years from managing corporations without the leave of ASIC.

Please note the extent of the legal prohibitions on your management of corporations under section 206A of the Corporations Act 2001.

Dated this _____ day of _____ (6)

Signed

(7) Delegate of the Australian Securities and Investments Commission

DIRECTIONS

- (1) Insert the name of person being disqualified.
- (2) Insert the name of person being disqualified.
- (3) Insert date of Notice to Demonstrate Why Disqualification Should Not Occur.
- (4) Insert name of delegate who issued Notice to Demonstrate Why Disqualification Should Not Occur.
- (5) Insert number of years disqualified.
- (6) Insert date of notice.
- (7) Insert full name of delegate signing notice.

		ASS. <input type="checkbox"/> REQ-A <input type="checkbox"/> CASH <input type="checkbox"/> REQ-P <input type="checkbox"/> PROC. <input type="checkbox"/>	
Australian Securities & Investments Commission			
Application for voluntary deregistration of a company		form 6010 Corporations Act 2001 601AA(1) & (2)	
Company name _____ A.C.N. _____			
Application I, the applicant, apply to deregister the above company under subsection 601AA(2) of the Corporations Act 2001.			
Declaration I declare that the statements below are correct. (a) All members of the company agree to the deregistration; and (b) the company is not carrying on business; and (c) the company's assets are worth less than \$1000; and (d) the company has paid all fees and penalties payable under this Act; and (e) the company has no outstanding liabilities; and (f) the company is not a party to any legal proceedings.			
Details of the applicant name (family & given names) OR company name _____ (At the office of) C/- _____ office level building name _____ street number & name _____ suburb/city state/territory postcode _____ country (if not Australia) _____			
Details of nominee If the applicant is the company, it must nominate a person to be given notice of the deregistration. name (family & given names) _____ office level building name _____ street number & name _____ suburb/city state/territory postcode _____ country (if not Australia) _____			
Signature I certify that the information in this form is true and complete. print name capacity _____ sign here date _____			

Form 603Corporations Act 2001
Section 671B**Notice of initial substantial holder**To Company/registered
scheme/notified foreign
passport fund nameACN/ARSN/APFRN
NFPFRN (if applicable)**1. Details of substantial holder (1)**

Name

ACN/ARSN/APFRN (if applicable)

NFPFRN (if applicable)

The holder became a substantial holder on ____ / ____ / ____

2. Details of voting power

The total number of votes attached to all the voting shares or interests in the company, scheme or fund that the substantial holder or an associate (2) had a relevant interest (3) in on the date the substantial holder became a substantial holder are as follows:

Class of securities (4)	Number of securities	Person's votes (5)	Voting power (6)

3. Details of relevant interests

The nature of the relevant interest the substantial holder or an associate had in the following voting securities on the date the substantial holder became a substantial holder are as follows:

Holder of relevant interest	Nature of relevant interest (7)	Class and number of securities

4. Details of present registered holders

The persons registered as holders of the securities referred to in paragraph 3 above are as follows:

Holder of relevant interest	Registered holder of securities	Person entitled to be registered as holder (8)	Class and number of securities

5. Consideration

The consideration paid for each relevant interest referred to in paragraph 3 above, and acquired in the four months prior to the day that the substantial holder became a substantial holder is as follows:

Holder of relevant interest	Date of acquisition	Consideration (9)		Class and number of securities
		Cash	Non-cash	

6. Associates

The reasons the persons named in paragraph 3 above are associates of the substantial holder are as follows:

Name and ACN/ARSN/APFRN (if applicable) and NFPFRN (if applicable)	Nature of association

7. Addresses

The addresses of persons named in this form are as follows:

Name	Address

Signature

print name

capacity

sign here

date / /

DIRECTIONS

- (1) If there are a number of substantial holders with similar or related relevant interests (eg. A corporation and its related corporations, or the manager and trustee of an equity trust), the names could be included in an annexure to the form. If the relevant interests of a group of persons are essentially similar, they may be referred to throughout the form as a specifically named group if the membership of each group, with the names and addresses of members is clearly set out in paragraph 7 of the form.
- (2) See the definition of "associate" in section 9 of the Corporations Act 2001.
- (3) See the definition of "relevant interest" in sections 608 and 671B(7) of the Corporations Act 2001.
- (4) The voting shares of a company constitute one class unless divided into separate classes.
- (5) The total number of votes attached to all the voting shares or interests in the company, scheme or fund (if any) that the person or an associate has a relevant interest in.
- (6) The person's votes divided by the total votes in the body corporate, scheme or fund multiplied by 100.
- (7) Include details of:
 - (a) any relevant agreement or other circumstances by which the relevant interest was acquired. If subsection 671B(4) applies, a copy of any document setting out the terms of any relevant agreement, and a statement by the person giving full and accurate details of any contract, scheme or arrangement, must accompany this form, together with a written statement certifying this contract, scheme or arrangement; and
 - (b) any qualification of the power of a person to exercise, control the exercise of, or influence the exercise of, the voting powers or disposal of the securities to which the relevant interest relates (indicating clearly the particular securities to which the qualification applies).

See the definition of "relevant agreement" in section 9 of the Corporations Act 2001.
- (8) If the substantial holder is unable to determine the identity of the person (eg. if the relevant interest arises because of an option) write "unknown".
- (9) Details of the consideration must include any and all benefits, money or otherwise, that any person from whom a relevant interest was acquired has, or may, become entitled to receive in relation to that acquisition. Details must be included even if the benefit is conditional on the happening or not of a contingency. Details must be included of any benefit paid on behalf of the substantial holder or its associate in relation to the acquisitions, even if they are not paid directly to the person from whom the relevant interest was acquired.

GUIDE

This guide does not form part of the prescribed form and is included by ASIC to assist you in completing and lodging form 603.

Signature

Company - form must be signed by a director or secretary.

Foreign company - form may be signed by the local agent, or if the local agent is a company, a director or secretary of the company.

Registered scheme - form must be signed by director or secretary of the responsible entity.

Lodging period

Nil

Lodging Fee

Nil

Other forms to be completed

Nil

Additional information

(a) If additional space is required to complete a question, the information may be included on a separate piece of paper annexed to the form.

(b) This notice must be given to a listed company, or the responsible entity for a registered scheme, or the operator of a notified foreign passport fund. A copy of this notice must also be given to each relevant securities exchange.

(c) The person must give a copy of this notice:

(i) within 2 business days after they become aware of the information; or

(ii) by 9.30 am on the next trading day of the relevant securities exchange after they become aware of the information if:

- (A) a takeover bid is made for voting shares or interests in the company or registered scheme; and
- (B) the person becomes aware of the information during the bid period.

Annexures

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 corporation/registered scheme/notified foreign passport fund name and ACN/ARBN/ARSN and APFRN (if applicable) and NFPFRN (if applicable)
- 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 identify the annexure with a mark such as A, B, C, etc
- 6 endorse the annexure with the words:
This is 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.

Information in this guide is intended as a guide only. Please consult your accountant or solicitor for further advice.

Form 604Corporations Act 2001
Section 671B**Notice of change of interests of substantial holder**To Company/registered
scheme/notified foreign passport
fund name

ACN/ARSN/APFRN

NFPFRN (if applicable)

1. Details of substantial holder (1)

Name

ACN/ARSN/APFRN (if applicable)

NFPFRN (if applicable)

There was a change in the interests of the
substantial holder onThe previous notice was given to the company, or the responsible
entity for a registered scheme, or the operator of a notified foreign
passport fund on

The previous notice was dated

2. Previous and present voting powerThe total number of votes attached to all the voting shares or interests in the company, scheme or fund that the substantial holder or an associate
(2) had a relevant interest (3) in when last required, and when now required, to give a substantial holding notice to the company, scheme or fund,
are as follows:

Class of securities (4)	Previous notice		Present notice	
	Person's votes	Voting power (5)	Person's votes	Voting power (5)

3. Changes in relevant interestsParticulars of each change in, or change in the nature of, a relevant interest of the substantial holder or an associate in voting securities of the
company, scheme or fund, since the substantial holder was last required to give a substantial holding notice to the company, scheme or fund are as
follows:

Date of change	Person whose relevant interest changed	Nature of change (6)	Consideration given in relation to change (7)	Class and number of securities affected	Person's votes affected

4. Present relevant interests

Particulars of each relevant interest of the substantial holder in voting securities after the change are as follows:

Holder of relevant interest	Registered holder of securities	Person entitled to be registered as holder (8)	Nature of relevant interest (6)	Class and number of securities	Person's votes

5. Changes in association

The persons who have become associates (2) of, ceased to be associates of, or have changed the nature of their association (9) with, the substantial holder in relation to voting securities in the company, scheme or fund are as follows:

Name and ACN/ARSN/APFRN (if applicable) and NFPFRN (if applicable)	Nature of association

6. Addresses

The addresses of persons named in this form are as follows:

Name	Address

Signature

print name

capacity

sign here

date / /

DIRECTIONS

- (1) If there are a number of substantial holders with similar or related relevant interests (eg. a corporation and its related corporations, or the manager and trustee of an equity trust), the names could be included in an annexure to the form. If the relevant interests of a group of persons are essentially similar, they may be referred to throughout the form as a specifically named group if the membership of each group, with the names and addresses of members is clearly set out in paragraph 6 of the form.
- (2) See the definition of "associate" in section 9 of the Corporations Act 2001.
- (3) See the definition of "relevant interest" in sections 608 and 671B(7) of the Corporations Act 2001.
- (4) The voting shares of a company constitute one class unless divided into separate classes.
- (5) The person's votes divided by the total votes in the body corporate, scheme or fund multiplied by 100.
- (6) Include details of:
 - (a) any relevant agreement or other circumstances because of which the change in relevant interest occurred. If subsection 671B(4) applies, a copy of any document setting out the terms of any relevant agreement, and a statement by the person giving full and accurate details of any contract, scheme or arrangement, must accompany this form, together with a written statement certifying this contract, scheme or arrangement; and
 - (b) any qualification of the power of a person to exercise, control the exercise of, or influence the exercise of, the voting powers or disposal of the securities to which the relevant interest relates (indicating clearly the particular securities to which the qualification applies).

See the definition of "relevant agreement" in section 9 of the Corporations Act 2001.
- (7) Details of the consideration must include any and all benefits, money or otherwise, that any person from whom a relevant interest was acquired has, or may, become entitled to receive in relation to that acquisition. Details must be included even if the benefit is conditional on the happening or not of a contingency. Details must be included of any benefit paid on behalf of the substantial holder or its associate in relation to the acquisitions, even if they are not paid directly to the person from whom the relevant interest was acquired.
- (8) If the substantial holder is unable to determine the identity of the person (eg. if the relevant interest arises because of an option) write "unknown".
- (9) Give details, if appropriate, of the present association and any change in that association since the last substantial holding notice.

GUIDE

This guide does not form part of the prescribed form and is included by ASIC to assist you in completing and lodging form 604.

Signature

Company - form must be signed by a director or secretary.

Foreign company - form may be signed by the local agent, or if the local agent is a company, a director or secretary of the company.

Registered scheme - form must be signed by director or secretary of the responsible entity.

Lodging period

Nil

Lodging Fee

Nil

Other forms to be completed

Nil

Additional information

(a) If additional space is required to complete a question, the information may be included on a separate piece of paper annexed to the form.

(b) This notice must be given to a listed company, or the responsible entity for a registered scheme, or the operator of a notified foreign passport fund. A copy of this notice must also be given to each relevant securities exchange.

(c) The person must give a copy of this notice:

(i) within 2 business days after they become aware of the information; or

(ii) by 9.30 am on the next trading day of the relevant securities exchange after they become aware of the information if:

- (A) a takeover bid is made for voting shares or interests in the company or registered scheme; and
- (B) the person becomes aware of the information during the bid period.

Annexures

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 corporation/registered scheme/notified foreign passport fund name and ACN/ARBN/ARSN and APFRN (if applicable) and NFPFRN (if applicable)
- 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 identify the annexure with a mark such as A, B, C, etc
- 6 endorse the annexure with the words:
This is 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.

Information in this guide is intended as a guide only. Please consult your accountant or solicitor for further advice.

Form 605Corporations Act 2001
Section 671B**Notice of ceasing to be a substantial holder**

To Company/registered scheme/notified foreign passport fund name

ACN/ARSN/APFRN

NFPFRN (if applicable)

1. Details of substantial holder (1)

Name

ACN/ARSN/APFRN (if applicable)

NFPFRN (if applicable)

The holder ceased to be a
substantial holder on

/ /

The previous notice was given to the company, or the responsible entity for a registered scheme, or the operator of a notified foreign passport fund on

/ /

The previous notice was dated

/ /

2. Changes in relevant interests

Particulars of each change in, or change in the nature of, a relevant interest (2) of the substantial holder or an associate (3) in voting securities of the company, scheme or fund, since the substantial holder was last required to give a substantial holding notice to the company, scheme or fund are as follows:

Date of change	Person whose relevant interest changed	Nature of change(4)	Consideration given in relation to change (5)	Class (6) and number of securities affected	Person's votes affected

3. Changes in association

The persons who have become associates (3) of, ceased to be associates of, or have changed the nature of their association (7) with, the substantial holder in relation to voting securities in the company, scheme or fund are as follows:

Name and ACN/ARSN/APFRN (if applicable) and NFPFRN (if applicable)	Nature of association

4. Addresses

The addresses of persons named in this form are as follows:

Name	Address

Signature

print name

capacity

sign here

date

/ /

DIRECTIONS

- (1) If there are a number of substantial holders with similar or related relevant interests (eg. a corporation and its related corporations, or the manager and trustee of an equity trust), the names could be included in an annexure to the form. If the relevant interests of a group of persons are essentially similar, they may be referred to throughout the form as a specifically named group if the membership of each group, with the names and addresses of members is clearly set out in paragraph 4 of the form.
- (2) See the definition of "relevant interest" in sections 608 and 671B(7) of the Corporations Act 2001.
- (3) See the definition of "associate" in section 9 of the Corporations Act 2001.
- (4) Include details of:
 - (a) Any relevant agreement or other circumstances because of which the change in relevant interest occurred. If subsection 671B(4) applies, a copy of any document setting out the terms of any relevant agreement, and a statement by the person giving full and accurate details of any contract, scheme or arrangement, must accompany this form, together with a written statement certifying this contract, scheme or arrangement; and
 - (b) any qualification of the power of a person to exercise, control the exercise of, or influence the exercise of, the voting powers or disposal of the securities to which the relevant interest relates (indicating clearly the particular securities to which the qualification applies).See the definition of "relevant agreement" in section 9 of the Corporations Act 2001.
- (5) Details of the consideration must include any and all benefits, money or otherwise, that any person from whom a relevant interest was acquired has, or may, become entitled to receive in relation to that acquisition. Details must be included even if the benefit is conditional on the happening or not of a contingency. Details must be included of any benefit paid on behalf of the substantial holder or its associate in relation to the acquisitions, even if they are not paid directly to the person from whom the relevant interest was acquired.
- (6) The voting shares of accompany constitute one class unless divided into separate classes.
- (7) Give details, if appropriate, of the present association and any change in that association since the last substantial holding notice.

GUIDE

This guide does not form part of the prescribed form and is included by ASIC to assist you in completing and lodging form 605.

Signature

Company - form must be signed by a director or secretary.

Foreign company - form may be signed by the local agent, or if the local agent is a company, a director or secretary of the company.

Registered scheme - form must be signed by director or secretary of the responsible entity.

Lodging period

Nil

Lodging Fee

Nil

Other forms to be completed

Nil

Additional information

(a) If additional space is required to complete a question, the information may be included on a separate piece of paper annexed to the form.

(b) This notice must be given to a listed company, or the responsible entity for a registered scheme, or the operator of a notified foreign passport fund. A copy of this notice must also be given to each relevant securities exchange.

(c) The person must give a copy of this notice:

(i) within 2 business days after they become aware of the information; or

(ii) by 9.30 am on the next trading day of the relevant securities exchange after they become aware of the information if:

(A) a takeover bid is made for voting shares or interests in the company or registered scheme; and

(B) the person becomes aware of the information during the bid period.

Annexures

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 corporation/registered scheme/notified foreign passport fund name and ACN/ARBN/ARSN and APFRN (if applicable) and NFPFRN (if applicable)
- 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 identify the annexure with a mark such as A, B, C, etc
- 6 endorse the annexure with the words:
This is 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.

Information in this guide is intended as a guide only. Please consult your accountant or solicitor for further advice.

Form 719

(regulations 7.5.90 and 7.5.92)

Corporations Regulations 2001

STATEMENT ABOUT PAYMENTS OUT OF FINANCIAL INDUSTRY DEVELOPMENT ACCOUNT

1. The name of the market licensee to which this statement relates is *(insert name of market licensee)*.
2. This statement relates to the financial year ending on *(insert date)* (the **relevant financial year**).
3. Specify in respect of each purpose approved by the Minister under subregulation 7.5.88 of the Regulations:
 - (a) the terms of the purpose as so approved are:
(insert terms)
 - (b) the date of that approval was *(date)*;
 - (c) the amount of payments made for that purpose during the relevant financial year was \$(*amount*);
 - (d) the total, as at the end of the relevant financial year, of all payments made for this purpose in the relevant financial year and previous financial years was \$(*amount*);
 - (e) further payments for this purpose **are / *are not* envisaged.
4. The total of payments for all purposes in respect of the relevant financial year was \$(*amount*).

REPORT OF AUDITOR

**I/We (insert name of the auditor or auditors signing this report), report that:*

- (a) **I / *We have audited the above statement; and*
- (b) *it accurately represents the payments that it mentions.*

Dated

(signature of auditor)

(under the signature add the name under which the auditor practises or the name of the firm in which the auditor is employed)

** Omit if not applicable*

DECLARATION

I (insert name of officer of the market licensee and the office he or she occupies), declare:

- (a) *that, to the best of my knowledge and belief, the information contained in the above statement is correct; and*

- (b) that the Board of *(insert name of the market licensee)* has accepted the information contained in the statement and resolved that the statement be lodged with ASIC.

Dated

(signature of officer of the market licensee)

(under the signature add the name of the person signing)

Form 719A

(subregulation 7.5.56(4))

Corporations Regulations 2001

COMPENSATION FOR LOSSES RESULTING FROM THE UNAUTHORISED TRANSFER OF RIGHTS, SHARES, DEBENTURES OR OTHER SECURITIES BY DEALER

This notice relates to the unauthorised transfer of securities by *(insert name of the dealer who is claimed to have transferred securities without authority of transferor)* (in this notice called 'the dealer') of *(insert residential address of the dealer)* *formerly carrying on / *carrying on business at *(insert address of the principal place of business of the dealer, including State or Territory)*.

A person wishing to make a claim under regulation 7.5.54 or 7.5.55 of the *Corporations Regulations 2001* in respect of loss suffered as a result of a transfer of securities executed between *(insert date of first day of applicable period)* and *(insert date of last day of applicable period, being a date before the date on which the notice is first to be published)* (inclusive) by the dealer without authority must lodge his or her claim with:

Securities Exchanges Guarantee Corporation

(insert address, including State or Territory and postcode).

The claim must be made in writing before the end of *(specify last application day, at least 3 months after last day of publication of notice)*.

Under subregulation 7.5.56(3) of the *Corporations Regulations 2001*, a claim that is not made before the end of that day is barred unless the Board of the Securities Exchanges Guarantee Corporation otherwise determines.

The effect of regulation 7.5.54 of the *Corporations Regulations 2001* is to allow a person who:

- (a) owned securities that were transferred by a dealer; and
- (b) did not authorise the dealer to transfer those securities; and
- (c) suffered loss as a result of the transfer;

to make a claim for compensation for the loss suffered in respect of the securities.

The effect of subregulation 7.5.55(1) of the *Corporations Regulations 2001* is to allow:

- (a) a person to whom securities were transferred by the dealer without the authority of the owner of the securities; or
- (b) a successor in title of that person;

to make a claim for compensation for the loss suffered in respect of the securities.

Under regulation 7.5.55 of the *Corporations Regulations 2001*, the following persons are not entitled to make a claim:

- (a) a person who knew that the owner of the securities had not authorised the dealer to transfer them;
- (b) a person who is connected with the dealer in a way described in regulation 7.5.04 of the *Corporations Regulations 2001*.

(signature of an officer of the SEGC)

(under the signature add the words 'for the Securities Exchanges Guarantee Corporation')

(add the date of signature)

* Omit if not applicable

Form 719B

(subregulation 7.5.61(4))

*Corporations Regulations 2001***NOTICE CALLING FOR CLAIMS AGAINST SECURITIES EXCHANGES
GUARANTEE CORPORATION**

This notice relates to claims for pecuniary loss suffered in respect of a contravention of the ASTC certificate cancellation provisions by *(insert name of dealer who is claimed to have contravened SCH certificate cancellation provisions)* (in this notice called ‘the dealer’) *formerly carrying on business / *carrying on business at *(insert business address of the dealer)*.

A person wishing to make a claim under subregulation 7.5.60(1) of the *Corporations Regulations 2001* for pecuniary loss suffered in respect of a contravention by the dealer of the SCH certificate cancellation provisions during the period beginning on and ending on *(insert dates)* is required to serve the claim on:

Securities Exchanges Guarantee Corporation

(insert address including relevant State or Territory and postcode).

The claim must be made in writing and served on or before the end of *(specify last application day — at least 3 months after last day of publication of notice)*.

(NOTES:

1. Under subregulation 7.5.61(3) of the *Corporations Regulations 2001*, a claim that is not served before the end of the day specified will be barred, unless the Board of the Securities Exchanges Guarantee Corporation (‘SEGC’) otherwise determines.
2. Regulation 7.5.60 of the *Corporations Regulations 2001* provides that a person who suffers pecuniary loss in respect of a contravention, by a dealer, of the ASTC certificate cancellation provisions may make a claim in respect of the loss. ASTC certificate cancellation provisions are provisions of the ASTC operating rules that deal with brokers cancelling certificates or other documents of title to Part 4 financial products or with matters incidental to that function.)

A person may not make a claim under regulation 7.5.60 of the *Corporations Regulations 2001* if:

- (a) the loss is in respect of an unauthorised execution (within the meaning of regulation 7.5.53 of those Regulations) in respect of which the person has made, or is entitled to make a claim under Subdivision 4.7 of Part 7.5 of those Regulations; or
- (b) the person was involved in the contravention of the ASTC certificate cancellation provisions.

(signature of an officer of the SEGC)

for the Securities Exchanges Guarantee Corporation

(add the date of signature)

* Omit if not applicable

Form 720

(subregulation 7.5.70(1))

Corporations Regulations 2001

NOTICE CALLING FOR CLAIMS AGAINST THE SECURITIES EXCHANGES GUARANTEE CORPORATION

In relation to *(insert name of dealer who has become insolvent)* (in this notice called 'the dealer') of *(insert residential address of the dealer)*, *formerly / carrying on business at *(insert address of the principal place of business of the dealer, including State or Territory)*, a dealer who has become insolvent.

Persons wishing to make a claim under subregulation 7.5.64(1) of the *Corporations Regulations 2001* in respect of property that was, in the course of, or in connection with, the dealer's business of dealing in securities, entrusted to or received by the dealer (or another person as provided under that subregulation) are required to lodge their claim with:

The Securities Exchanges Guarantee Corporation

(insert address, including State or Territory and postcode).

The claim must be made in writing on or before *(insert date)*.

Subject to regulation 7.5.70 of the *Corporations Regulations 2001*, claims not made on or before that date are barred unless the Board of the Securities Exchanges Guarantee Corporation otherwise determines.

Subregulation 7.5.64(1) of the *Corporations Regulations 2001* provides to the effect that, where the requirements of that provision are otherwise met, a person may make a claim in respect of property that was, in the course of, or in connection with, the dealer's business of dealing in securities, entrusted to or received by:

- (a) unless paragraph (b) applies, the dealer or an employee of the dealer; or
- (b) if the dealer was, at the time the property was so entrusted or received, a partner in a participant, the participant, or a partner in, or an employee of, the participant.

(signature of an officer of the SEGCG)

(under the signature add the words 'For the Securities Exchanges Guarantee Corporation')

(add the date of signature)

* Omit if not applicable

Form 721

(regulation 7.5.80)

Corporations Regulations 2001

NOTICE OF DISALLOWANCE OF CLAIM AGAINST THE SECURITIES EXCHANGES GUARANTEE CORPORATION

(Set out the name and address of the claimant or the claimant's solicitor and an appropriate form of salutation)

In relation to *(insert name of the dealer to whom the claim relates)*, *formerly carrying on /
*carrying on business at *(insert business address of the dealer)*.

The *Board of the Securities Exchanges Guarantee Corporation / *delegate of the Board of the Securities Exchanges Guarantee Corporation under section 890C of the *Corporations Act 2001* has considered your claim against the Corporation in respect of *(insert description of the circumstances giving rise to the claim and the loss allegedly suffered by the claimant)*.

After considering all the available evidence, the Corporation has decided that the claim under *regulation *(insert relevant regulation number)* / *regulations *(insert relevant regulation numbers)* should be *disallowed / *partly disallowed to the extent set out below.

If you are not satisfied with this decision, you may bring proceedings within 3 months after service of this notice (see section 888H of the Act).

Yours sincerely,

(signature of an officer of the Corporation)

(under the signature add the words 'for the Securities Exchanges Guarantee Corporation')

(add the date of signature)

(If the claim has been partly disallowed, insert a heading

'PARTICULARS OF PARTIAL DISALLOWANCE'

and specify the necessary particulars under it)

* Omit if not applicable

Form 905

Registration no:

*Corporations Act 2001***PARTICULARS OF CESSATION OR CHANGE RELATING TO A PERSON
REGISTERED AS AN AUDITOR UNDER SUBSECTION 1287(1)**

Surname

First or given names

Residential address

***1. CESSATION**

On *(insert date)*, I ceased to practise as an auditor. I request ASIC to exercise its discretion under subsection 1290(1) and cancel my registration as an auditor.

***2. CHANGE OF NAME**

On *(insert date)*, I changed my name
from:
to:

***3. CHANGE IN OTHER PARTICULARS**

*On *(insert date)*, the full address of the principal place at which I practise was changed from:
to: *(insert full address)*

*On *(insert date)*, the full address of a place at which I practise was changed from:
to: *(insert full address)*

*On *(insert date)*, I commenced to practise at: *(insert full address)*

*On *(insert date)*, I commenced to practise under a name and style other than my own at: *(insert full address)*

*On *(insert date)*, I ceased to practise at: *(insert full address)*

*On *(insert date)*, the *name/*address of a firm of which I am *a member/*an employee was changed from:
to:

*On (insert date) , I became *a member/*an employee of: (insert name and full address)

*On (insert date) , I ceased to be *a member/*an employee of: (insert name and full address)

*On (insert date) , a name or style other than my own under which I practise was changed from:
to:

Dated: (insert date)

(signature of the registered company auditor)

* Omit if not applicable

		ASS. <input type="checkbox"/> REG-A <input type="checkbox"/> CASH <input type="checkbox"/> REG-P <input type="checkbox"/> PROC. <input type="checkbox"/>	
Australian Securities & Investments Commission		form 909 Corporations Act 2001 100(1)(d), 172, 271, 1302(4) 601CZC	
Notification of office at which register is kept			
company name _____ A.C.N. _____			
Details of Register <input type="checkbox"/> Register of members <input type="checkbox"/> Register of options <input type="checkbox"/> Register of charges <input type="checkbox"/> Register of holders of debentures <input type="checkbox"/> Register of debenture holders for non-companies			
Details of change <input type="checkbox"/> change from registered office date of change (d/m/y) / / <input type="checkbox"/> change from principal place of business date of change (d/m/y) / / <input type="checkbox"/> change from other address date of change (d/m/y) / /			
Details of other address where changed from: at the office of _____ office, level, building name _____ street number & name _____ suburb/city _____ state/territory _____ postcode _____			
New address at the office of _____ office, level, building name _____ street number & name _____ suburb/city _____ state/territory _____ postcode _____ Does the company occupy these premises? <input type="checkbox"/> yes <input type="checkbox"/> no			
If NO, name of occupier _____ occupier's consent (Tick box to assent to statement required by subsection 100(1)(d)) <input type="checkbox"/> The occupier of the premises has consented in writing to the use of the new address as the place for keeping of the register and has not withdrawn that consent.			
Signature print name _____ capacity _____ sign here _____ date / /			

<div style="border: 1px solid black; width: 150px; height: 50px; margin: 0 auto;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin: 0 auto;"></div>	
Australian Securities & Investments Commission	form 911
verification or certification of a document	Corporations Act 2001
	Regulation 1.0.16
<div style="border: 1px solid black; padding: 5px;"><div style="border-bottom: 1px solid black; margin-bottom: 5px;">corporation name</div><div style="border-bottom: 1px solid black; margin-bottom: 5px;">A.C.N. or A.R.B.N.</div><div style="border-bottom: 1px solid black; margin-bottom: 5px;">Details of the attached document</div><div style="border-bottom: 1px solid black; margin-bottom: 5px;">document title</div><div style="border-bottom: 1px solid black; margin-bottom: 5px;">relevant section or subsection of the Corporations Act 2001</div><div style="border-bottom: 1px solid black; margin-bottom: 5px;">Signature</div><div style="margin-bottom: 5px;"><input type="checkbox"/> I verify that the attached document marked { } is the original document.</div><div style="margin-bottom: 5px;"><input type="checkbox"/> I certify that the attached document marked { } is a true copy of the original document.</div><div style="display: flex; justify-content: space-between; margin-bottom: 5px;"><div>print name</div><div>capacity</div></div><div style="display: flex; justify-content: space-between;"><div>sign here</div><div>date / /</div></div></div>	

Schedule 2A—Forms of transfer of Division 3 securities

(regulation 7.11.04)

Form 1

DIVISION 3 SECURITY TRANSFER FORM

MARKING STAMP

PART 1

Full name of company:

Description of Division 3 assets:

Class:

If not fully paid,
paid to: Register:

Quantity:

[Words]

[Figures]

Transfer identification number:

Full name(s) of transferor(s):

The transferor(s) hereby transfer(s) the above Division 3 assets to the transferee(s) named in Part 2 hereof or to the several transferees named in Part 2 of the Broker's Transfer Form(s), Split Transfer Form(s) or Consolidated Transfer Form(s) relating to the assets.

This transfer is executed on the transferor's behalf by the transferor's broker, who certifies:

- (a) as to the validity of documents; and
- (b) that stamp duty, if payable, has been or will be paid.

[Transferor's broker's stamp]

Affixed at

on

(place and date of affixing stamp)

Schedule 2A Forms of transfer of Division 3 securities
Form 1

PART 2

Full name(s) and address(es) of transferee(s):

Transferee's broker hereby certifies:

- (a) that the Division 3 assets set out in Part 1 above, having been purchased in the ordinary course of business, are to be registered in the name(s) of the transferee(s) named in this Part; and
- (b) that stamp duty, if payable, has been or will be paid;

and hereby requests that such entries be made in the register as are necessary to give effect to this transfer;

[Transferee's broker's stamp]

Date of affixing stamp:

PART 3

Transferee's broker hereby certifies:

- (a) that the Division 3 assets set out in Part 1 above, having been purchased in the ordinary course of business, are to be registered in the name(s) of the transferee(s) named in the Consolidated Transfer Form relating to the Division 3 assets; and
- (b) that stamp duty, if payable, has been or will be paid;

and hereby requests that such entries be made in the register as are necessary to give effect to this transfer.

[Transferee's broker's stamp]

Date of affixing stamp:

Form 2

BROKER'S TRANSFER FORM

MARKING STAMP

PART 1

Full name of company:

Description of Division 3 assets:

Class:

If not fully paid, Register:
paid to:

Quantity:

[Words]

[Figures]

Transfer identification number:

Transferor's broker hereby certifies:

Full name(s) of transferor(s):

- (a) that the Security Transfer Form relating to the Division 3 assets set out above has been or will be lodged at the company's office; and
- (b) that stamp duty, if payable, has been or will be paid.

[Transferor's broker's stamp]

Affixed at

on

(place and date of affixing stamp)

PART 2

Full name(s) and address(es) of transferee(s):

Transferee's broker hereby certifies:

- (a) that the Division 3 assets set out in Part 1 above, having been purchased in the ordinary course of business, are to be registered in the name(s) of the transferee(s) named in this Part; and
- (b) that stamp duty, if payable, has been or will be paid; and hereby requests that such entries be made in the register as are necessary to give effect to this transfer.

[Transferee's broker's stamp]

Date of affixing stamp:

Schedule 2A Forms of transfer of Division 3 securities
Form 2

PART 3

Transferee's broker hereby certifies:

- (a) that the Division 3 assets set out in Part 1 above, having been purchased in the ordinary course of business, are to be registered in the name(s) of the transferee(s) named in the Consolidated Transfer Form relating to the assets; and
- (b) that stamp duty, if payable, has been or will be paid;

and hereby requests that such entries be made in the register as are necessary to give effect to this transfer.

[Transferee's broker's stamp]

Date of affixing stamp:

Form 3

SPLIT TRANSFER FORM

MARKING STAMP

PART 1

Full name of company:

Description of Division 3 assets:

Class:

If not fully paid,
paid to: Register:

Quantity:

[Words]

[Figures]

Transfer identification number:

The [name of market licensee] hereby certifies that the Security Transfer Form or the Broker's Transfer Form relating to the Division 3 assets set out above has been or will be lodged at the company's office.

Full name(s) of transferor(s):

[Market licensee stamp]

Affixed at

on

(place and date of affixing stamp)

PART 2

Transferee's broker hereby certifies:

Full name(s) and address(es) of transferee(s)

- (a) that the Division 3 assets set out in Part 1 above, having been purchased in the ordinary course of business, are to be registered in the name(s) of the transferee(s) named in this Part; and
- (b) that stamp duty, if payable, has been or will be paid; and hereby requests that such entries be made in the register as are necessary to give effect to this transfer.

[Transferee's broker's stamp]

Date of affixing stamp:

PART 3

Transferee's broker hereby certifies:

- (a) that the Division 3 assets set out in Part 1 above, having been purchased in the ordinary course of business, are to be registered in the name(s) of the transferee(s) named in the Consolidated Transfer Form relating to the Division 3 assets; and
- (b) that stamp duty, if payable, has been or will be paid;

and hereby requests that such entries be made in the register as are necessary to give effect to this transfer.

[Transferee's broker's stamp]

Date of affixing stamp:

Form 4

CONSOLIDATED TRANSFER FORM

MARKING STAMP

PART 1

Full name of company:

Description of Division 3 assets:

Class:

If not fully paid,
paid to: Register:

Quantity:

[Words]

[Figures]

Transfer identification number:

Transfer Consolidation Number(s):

PART 2

Transferee's broker hereby certifies:

Full name(s) and address(es) of
transferee(s):

- (a) that the Division 3 assets set out in Part 1 of the Form(s) whose Transfer Consolidation Number(s) is (or are) set out in Part 1 above, having been purchased in the ordinary course of business, are to be registered in the name(s) of the transferee(s) named in this Part; and
- (b) that stamp duty, if payable, has been or will be paid; and hereby requests that such entries be made in the register as are necessary to give effect to the transfer(s).

[Transferee's broker's stamp]

Date of affixing stamp:

Form 5

SECURITY RENUNCIATION AND TRANSFER FORM

MARKING STAMP

PART 1

Full name of company:

Description of Division 3 rights:

Register:

Quantity:

[Words]

[Figures]

Transfer identification number:

Full name(s) of transferor(s):

The transferor(s) hereby renounce(s) and transfer(s) the above Division 3 rights in favour of the transferee(s) named in Part 2 hereof or to the several transferees named in Part 2 of the Broker's Renunciation and Transfer Form(s), Renunciation and Split Transfer Form(s) or Renunciation and Consolidated Transfer Form(s) relating to the above Division 3 rights.

This transfer and renunciation is executed on the transferor's behalf by the transferor's broker, who certifies:

- (a) as to the validity of documents; and
- (b) that stamp duty, if payable, has been or will be paid.

[Transferor's broker's stamp]

Affixed at

on

(place and date of affixing stamp)

PART 2

Transferee's broker hereby certifies:

Full name(s) and address(es) of
transferee(s):

- (a) that, the Division 3 rights set out in Part 1 above having been purchased in the ordinary course of business, the Division 3 assets to which the Division 3 rights relate are to be issued to the transferee(s) named in this Part; and
 - (b) that stamp duty, if payable, has been or will be paid;
- and hereby requests that the Division 3 assets be issued by the company to the transferee(s) and such entries be made in the register as are necessary to give effect to this renunciation and transfer.

[Transferee's broker's stamp]

Date of affixing stamp:

PART 3

Transferee's broker hereby certifies:

- (a) that, the Division 3 rights set out in Part 1 above having been purchased in the ordinary course of business, the Division 3 assets to which the rights relate are to be issued to the transferee(s) named in the Renunciation and Consolidated Transfer Form relating to the Division 3 rights; and
- (b) that stamp duty, if payable, has been or will be paid;

and hereby requests that the Division 3 assets be issued by the company to the transferee(s) and such entries be made in the register as are necessary to give effect to this renunciation and transfer.

[Transferee's broker's stamp]

Date of affixing stamp:

Form 6

**BROKER'S RENUNCIATION AND TRANSFER
FORM**

MARKING STAMP

PART 1

Full name of company:

Description of Division 3 rights:

Register:

Quantity:

[Words]

[Figures]

Transfer identification number:

Transferor's broker hereby certifies:

- (a) that the Security Renunciation and Transfer Form relating to the Division 3 rights set out above has been or will be lodged at the company's office; and
- (b) that stamp duty, if payable, has been or will be paid.

Full name(s) and address(es) of transferor(s):

[Transferor's broker's stamp]

Affixed at

on

(place and date of affixing stamp)

PART 2

Transferee's broker hereby certifies:

(a) that, the Division 3 rights set out in Part 1 above having been purchased in the ordinary course of business, the Division 3 assets to which the Division 3 rights relate are to be issued to the transferee(s) named in this Part; and

Full name(s) and address(es) of transferee(s):

(b) that stamp duty, if payable, has been or will be paid; and hereby requests that the Division 3 assets be issued by the company to the transferee(s) and such entries be made in the register as are necessary to give effect to this renunciation and transfer.

[Transferee's broker's stamp]

Date of affixing stamp:

PART 3

Transferee's broker hereby certifies:

(a) that, the Division 3 rights set out in Part 1 above having been purchased in the ordinary course of business, the Division 3 assets to which the Division 3 rights relate are to be issued to the transferee(s) named in the Renunciation and Consolidated Transfer Form relating to the rights; and

(b) that stamp duty, if payable, has been or will be paid;

and hereby requests that the Division 3 assets be issued by the company to the transferee(s) and such entries be made in the register as are necessary to give effect to this renunciation and transfer.

[Transferee's broker's stamp]

Date of affixing stamp:

Form 7

RENUNCIATION AND SPLIT TRANSFER FORM

MARKING STAMP

PART 1

Full name of company:

Description of Division 3 rights:

Register:

Quantity:

[Words]

[Figures]

Transfer identification number:

The *[name of market licensee]* hereby certifies that the Security Renunciation and Transfer Form or the Broker's Renunciation and Transfer Form relating to the Division 3 rights set out above has been or will be lodged at the company's office.

Full name(s) of transferor(s):

[Market licensee stamp]

Affixed at

on

(place and date of affixing stamp)

PART 2

Transferee's broker hereby certifies:

(a) that, the Division 3 rights set out in Part 1 above having been purchased in the ordinary course of business, the Division 3 assets to which the Division 3 rights relate are to be issued to the transferee(s) named in this Part; and

Full name(s) and address(es) of transferee(s):

(b) that stamp duty, if payable, has been or will be paid; and hereby requests that the Division 3 assets be issued by the company to the transferee(s) and such entries be made in the register as are necessary to give effect to this renunciation and transfer.

[Transferee's broker's stamp]

Date of affixing stamp:

PART 3

Transferee's broker hereby certifies:

- (a) that, the Division 3 rights set out in Part 1 above having been purchased in the ordinary course of business, the Division 3 assets to which the Division 3 rights relate are to be issued to the transferee(s) named in the Renunciation and Consolidated Transfer Form relating to the rights; and
- (b) that stamp duty, if payable, has been or will be paid;

and hereby requests that the Division 3 assets be issued by the company to the transferee(s) and such entries be made in the register as are necessary to give effect to this renunciation and transfer.

(Transferee's broker's stamp)

Date of affixing stamp:

Form 8

RENUNCIATION AND CONSOLIDATION
TRANSFER FORM

MARKING STAMP

PART 1

Full name of company:

Description of Division 3 rights:

Register:

Quantity:

[Words]

[Figures]

Transfer identification number:

Transfer Consolidation Number:

PART 2

Transferee's broker hereby certifies:

(a) that, the Division 3 rights set out in Part 1 of the Form(s) whose Transfer Consolidation Number(s) is (or are) set out in Part 1 above having been purchased in the ordinary course of business, the Division 3 assets to which the Division 3 rights relate are to be issued to the transferee(s) named in this Part; and

Full name(s) and address(es) of transferee(s):

(b) that stamp duty, if payable, has been or will be paid; and hereby requests that the Division 3 assets be issued by the company to the transferee(s) and such entries be made in the register as are necessary to give effect to the renunciation(s) and transfer(s).

[Transferee's broker's stamp]

Date of affixing stamp:

Form 9

TRUSTEE TRANSFER FORM

MARKING STAMP

PART 1

Full name of company:

Description of Division 3 assets:

Class:

If not fully paid,
paid to: Register:

Quantity:

[Words]

[Figures]

Transfer identification number, where
appropriate:

Full name(s) of transferor(s):

PART 2

Full name(s) and address(es) of transferee(s):

Transferor hereby certifies that the Division 3 assets set out in Part 1 above are to be registered in the name(s) of the transferee(s) named in this Part, being the person(s) for or on whose behalf the transferor held them, either alone or together with another person or other persons, in the ordinary course of business immediately before the execution of this transfer, and hereby requests that such entries be made in the register as are necessary to give effect to this transfer.

I [*or We*] hereby transfer the above Division 3 assets to the transferee(s) named in Part 2 hereof.

Execution by the transferor(s):

Date of execution:

Form 10

TRUSTEE RENUNCIATION AND TRANSFER FORM

PART 1

Full name of company:

Description of Division 3 rights:

Register:

Quantity:

[Words]

[Figures]

Transfer identification number, where appropriate:

Full name(s) of transferor(s):

PART 2

Full name(s) and address(es) of transferee(s):

Transferor hereby certifies that, the Division 3 rights set out in Part 1 above having been transferred to the person(s) for or on whose behalf the transferor held them, either alone or together with another person or other persons, in the ordinary course of business immediately before the transfer, the Division 3 assets to which the Division 3 rights relate are to be issued to the transferee(s) named in this Part, and hereby requests that the Division 3 assets be issued by the company to the transferee(s) and that such entries be made in the register as are necessary to give effect to this renunciation and transfer.

I *[or We]* hereby renounce and transfer the above Division 3 rights in favour of the transferee(s) named in Part 2 hereof.

Execution by the transferor(s):

Date of execution: