



Notification of resignation, removal or cessation of a registered scheme auditor

If there is insufficient space in any section of the form, you may photocopy the relevant page(s) and submit as part of this lodgement

Scheme details

Registered scheme name

ARSN

Responsible entity name

ACN/ABN

Lodgement details

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

Name

ASIC registered agent number (if applicable)

Telephone number

Postal address

Please provide an estimate of the time taken to complete this form.

 hrs mins

1. Details of resignation, removal or cessation

Notice was received of the resignation of the auditor/s

Date of receipt of notice of resignation

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

The auditor/s was/were removed from office

Date of removal

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

The auditor is deceased

Date of death

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

The auditor has been disqualified for reasons specified under Division 2 of Part 2M.4 of the Corporations Act 2001

Date of disqualification

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

The scheme is being wound up (refer section 331AD of the Corporations Act 2001)

Date winding up commenced

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

2. Details of auditor(s)

	Auditor registration number <i>(for individual auditor or authorised audit company)</i>	
	<input type="text"/>	
	Family name	Given name
	<input type="text"/>	<input type="text"/>
OR	Company name	
	<input type="text"/>	
	ACN/ABN	
	<input type="text"/>	
OR	Firm name (if applicable)	
	<input type="text"/>	
	Office, unit, level	
	<input type="text"/>	
	Street number and Street name	
	<input type="text"/>	
	Suburb/City	State/Territory
	<input type="text"/>	<input type="text"/>
	Postcode	Country (if not Australia)
	<input type="text"/>	<input type="text"/>
	Auditor registration number <i>(for individual auditor or authorised audit company)</i>	
	<input type="text"/>	
	Family name	Given name
	<input type="text"/>	<input type="text"/>
OR	Authorised audit company name	
	<input type="text"/>	
	ACN/ABN	
	<input type="text"/>	
OR	Firm name (if applicable)	
	<input type="text"/>	
	Office, unit, level	
	<input type="text"/>	
	Suburb/City	State/Territory
	<input type="text"/>	<input type="text"/>
	Postcode	Country (if not Australia)
	<input type="text"/>	<input type="text"/>

Signature

This form must be signed by a director or secretary of the responsible entity..

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

Name

Signature

Date signed

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>
[D	D]		[M	M]		[Y	Y]

Lodgement

Send completed and signed forms to:
Australian Securities and Investments Commission,
PO Box 4000, Gippsland Mail Centre VIC 3841.

For help or more information

Telephone 03 5177 3988
Email info.enquiries@asic.gov.au
Web www.asic.gov.au

Guide:

Notification of resignation, removal or cessation of a registered scheme auditor

This guide does not form part of the form. It is included by ASIC to assist you in completing and lodging the Form 5133.

Signature	This form must be signed by a director or secretary of the responsible entity.
Lodgement period	14 days
Lodgement fees	Nil
Late fees	<p>Late fees will apply if you notify a change outside of the lodgement period.</p> <p>The late fees are:</p> <ul style="list-style-type: none">• \$65 for up to one month late• \$270 for over one month late. <p>A form is not considered lodged until it is received and accepted by ASIC as complying with s1274(8) of the Corporations Act 2001. A receipt will not be issued unless requested.</p>
Additional information	<p>For the resignation of scheme auditor – the auditor must first obtain consent from ASIC to their resignation</p> <p>For removal of scheme auditor - the responsible entity of a registered scheme must first obtain consent from ASIC to remove the auditor of a scheme from office.</p>
Lodgement details	<p>To estimate the time taken to complete the form (on the cover page), please include:</p> <ul style="list-style-type: none">• The time actually spent reading the instructions, working on the question and obtaining the information• The time spent by all employees in collecting and providing this information
How to provide additional information	<p>Photocopied Form 5133 pages</p> <p>If there is insufficient space in any section of the form, you may photocopy the relevant page(s) and submit as part of this lodgement.</p> <p>Annexures</p> <p>If there is insufficient space in any section of the form, you may alternately submit annexures as part of this lodgement. To make any annexure conform to the regulations, you must</p> <ol style="list-style-type: none">1. use A4 size paper of white or light pastel colour with a margin of at least 10mm on all sides2. show the scheme name and ARSN3. number the pages consecutively4. print or type in BLOCK letters in dark blue or black ink so that the document is clearly legible when photocopied5. mark the annexure with an identifying letter or symbol eg a,b,c or 1,2,3 etc.6. endorse the annexure with the words: This annexure (mark) of (number) pages referred to in form (form number and title)7. sign and date the annexure <p>The annexure must be signed by the same person(s) who signed the form.</p>

Lodgement

Send completed and signed forms to:
Australian Securities and Investments Commission,
PO Box 4000, Gippsland Mail Centre VIC 3841.

For help or more information

Telephone 03 5177 3988
Email info.enquiries@asic.gov.au
Web www.asic.gov.au