



# Corporations Regulations 2001

Statutory Rules No. 193, 2001

made under the

*Corporations Act 2001*

## Compilation No. 132

**Compilation date:** 2 July 2017

**Includes amendments up to:** F2017L00595

**Registered:** 13 July 2017

This compilation is in 7 volumes

Volume 1: regulations 1.0.01–6D.5.02

Volume 2: regulations 7.1.02–7.6.08E

Volume 3: regulations 7.7.01–8.4.02

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

**This compilation includes commenced amendments made by F2017L00321**

Prepared by the Office of Parliamentary Counsel, Canberra

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## 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 2 July 2017 (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](http://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If a provision of the compiled law has been repealed in accordance with a provision of the law, details are included in the endnotes.

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## Schedule 1—List of forms in Schedule 2

(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 <input type="checkbox"/> MGA CASE <input type="checkbox"/> REP PROC <input type="checkbox"/>

Australian Securities & Investments Commission

form **1003**

## Disclosure notice for unlisted disclosing entity

ASC017053

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

Corporations Act 2001  
100:1B(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"/> REQ-A <input type="checkbox"/> CASH <input type="checkbox"/> REQ-P <input type="checkbox"/> PROC. <input type="checkbox"/>
--	--

Australian Securities & Investments Commission

Certification of  
**compliance with stamp duty law**

form **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 / /

--

	ASS: <input type="checkbox"/> RED: <input type="checkbox"/> CASH: <input type="checkbox"/> REQ: <input type="checkbox"/> PROC: <input type="checkbox"/>
--	---

Australian Securities & Investments Commission

form **2501**

Application for  
**extension of time to hold  
Annual General Meeting**

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)  to hold the Annual General Meeting (AGM) in a calendar year other than the one required by Section 250N.  
 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?  yes  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?  yes  no

if yes, date of last AGM (d/m/y) / / \_\_\_\_\_

if no, date of registration (d/m/y) / / \_\_\_\_\_

type of company  listed public company  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"/>
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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     no

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  in a state or territory    \_\_\_\_\_    place of registration \_\_\_\_\_

\_\_\_\_\_    original registered charge number \_\_\_\_\_

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 firm<sup>1</sup>:

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

Surname	First or given names	Residential address
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Dated

Signature<sup>2</sup>

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.

ASS. PROC.
REQ. REQ-P

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)(e), 330

Company name	<input style="width: 90%;" type="text"/>		
A.C.N.	<input style="width: 90%;" type="text"/>		
<b>Details of company</b> <small>(tick one box)</small>			
	<input type="checkbox"/> public company	<input type="checkbox"/> proprietary company	
<b>Details of resignation, removal or cessation</b>			
	<input type="checkbox"/> notice was received of the resignation of the auditor/s date of receipt of notice of resignation (d/m/y)	/ /	<input style="width: 80%;" type="text"/>
	<input type="checkbox"/> the auditor/s was/were removed from office date of removal (d/m/y)	/ /	<input style="width: 80%;" type="text"/>
	<input type="checkbox"/> the auditor is deceased date of death (d/m/y)	/ /	<input style="width: 80%;" type="text"/>
	<input type="checkbox"/> 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)	/ /	<input style="width: 80%;" type="text"/>
	<input type="checkbox"/> 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)	/ /	<input style="width: 80%;" type="text"/>
	<input type="checkbox"/> 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)	/ /	<input style="width: 80%;" type="text"/>
<b>Details of resigning auditors</b>			
	name (family & given names) <input style="width: 95%;" type="text"/>		
or	if a firm, business name <input style="width: 95%;" type="text"/>		
	office, level, building name <input style="width: 95%;" type="text"/>		
	street number & name <input style="width: 95%;" type="text"/>		
	suburb/city <input style="width: 40%;" type="text"/>	state/territory <input style="width: 20%;" type="text"/>	postcode <input style="width: 20%;" type="text"/>
	name (family & given names) <input style="width: 95%;" type="text"/>		
or	if a firm, business name <input style="width: 95%;" type="text"/>		
	office, level, building name <input style="width: 95%;" type="text"/>		
	street number & name <input style="width: 95%;" type="text"/>		
	suburb/city <input style="width: 40%;" type="text"/>	state/territory <input style="width: 20%;" type="text"/>	postcode <input style="width: 20%;" type="text"/>
<b>Signature</b>			
	I certify that the information in this form is true and complete.		
	print name <input style="width: 60%;" type="text"/>	capacity <input style="width: 30%;" type="text"/>	
	sign here <input style="width: 60%;" type="text"/>	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:

- (a) on the terms that under the scheme or contract were offered to the approving shareholders; or
- (b) if alternative terms were offered—on the terms for which you have elected;
- (c) if you do not so elect
  - (i) on whichever of the terms the transferee determines or
  - (ii) on such other terms as are agreed or as the Federal Court of Australia or the Supreme Court of \_\_\_\_\_ on the application of the transferee or of yourself orders.

Dated

*(signature of transferee)*

\*Omit if not applicable

**DIRECTION**

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 509C**

(paragraph 445F(2)(a))

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

*Corporations Act 2001*

### **NOTICE OF MEETING OF CREDITORS TO VARY OR TERMINATE DEED OF COMPANY ARRANGEMENT**

Limited (subject to deed of company arrangement)

1. Notice is given that a meeting of the creditors of the company will be held at *(insert address and place of meeting)* on *(insert date)* at *(insert time)* \*a.m./\*p.m.
2. The purpose of the meeting is to consider and vote on the following resolutions:

*(Set out each resolution under section 445A or paragraph 445C(b) that the administrator of the deed of company arrangement proposes to be voted on at the meeting or, as the case may be, that creditors, in a request made under paragraph 445F(1)(b), have proposed to be voted on at the meeting.)*

Dated

*(signature of administrator)*

\*Delete if not applicable

## 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 21 days 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 21 days 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*

---

served on the company, being, if solicitors are acting for the creditor, the address of the solicitors).

SCHEDULE

Description of the debt <i>(indicate if it is a judgment debt, giving the name of the court and the date of the order)</i>	Amount of the debt
---	--------------------

---

---

\*Total Amount

---

Dated:

signed:

Print name: capacity:

Corporation or partnership name (if applicable):

NOTES:

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 of \$2,000.
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. This form was amended in 2006 as part of amendments of the *Corporations Regulations 2001*. For the period of 12 months after the commencement of those amendments a person may comply with paragraph 459E(2)(e) of the *Corporations Act 2001* in relation to a statutory demand for payment of debt by using:

- (a) the version of this form that was in force immediately before the commencement of the amendments; or
- (b) this version of the form.

\*Omit if inapplicable

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<input type="checkbox"/> ASS.	<input type="checkbox"/> REG. AT
<input type="checkbox"/> CASH	<input type="checkbox"/> REG. P
<input type="checkbox"/> PROC.	

Australian Securities & Investments Commission

Declaration of  
**solvency**

form **520**

Corporations Act 2001  
494(1) & (2)

company name \_\_\_\_\_  
A.C.N. \_\_\_\_\_

**Declaration**

The person(s) listed below  
*declare that*  
I/We constitute a majority of the directors of the company, and  
I/We have enquired into the affairs of the company.

At a meeting of directors, I/We have formed the opinion that the company will be able to  
pay its debts in full within 12 months of the commencement of winding up

A correct statement of the company's assets and liabilities as at the latest  
practicable date (specified on the statement) before the making up of this declaration is

- set out below  
 set out in the annexure marked (      ).

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

date of statement (d/m/y)    /    /

<b>assets</b>	<b>estimated realisable values \$</b>
cash at bank	
cash on hand	
marketable securities	
bills receivable	
trade debtors	
loans and advances	
unpaid calls	
stock in trade	
work in progress, as detailed in inventory	
freehold property	
leasehold property	
plant and machinery	
furniture, fittings, utensils, etc	
patents, trade marks, etc	
investments other than marketable securities	
other property, as detailed in inventory	
<b>estimated realisable value of assets</b>	

**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	
<b>total of liabilities</b>	
<b>estimated surplus after paying debts in full</b>	

**Signatures**

	print name	
<b>1</b>	sign here	date
	print name	
<b>2</b>	sign here	date
	print name	
<b>3</b>	sign here	date
	print name	
<b>4</b>	sign here	date
	print name	
<b>5</b>	sign here	date
	print name	
<b>6</b>	sign here	date

## Form 521

(subsection 496(2), subregulation 5.6.12(6))

*Corporations Act 2001*

### NOTICE OF MEETING OF CREDITORS UNDER SECTION 496

I, *(insert name)* of *(insert address)* Limited  
give notice that, under subsection 496(1), a meeting of the creditors of the company will be held at *(insert place of meeting)* on *(insert date of meeting)* at *\**a.m./p.m.

The winding up of the company commenced on  and I was appointed liquidator by resolution of the members of the company. As the directors declared that the company would be able to pay its debts in full within a period not exceeding 12 months after the commencement of the winding up, the liquidation is proceeding as a members' voluntary winding up.

A list of creditors prepared in accordance with subsection 496(2) is annexed.

I have formed the opinion that the company will not be able to pay or provide for the payment of its debts in full within that period and this meeting is summoned in order that the creditors may, if they so wish, exercise their right under subsection 496(5) to appoint some person other than myself to be the liquidator of the company for the purpose of winding up the affairs and distributing the property of the company.

A statement of the assets and liabilities of the company will be laid before the meeting.

Dated

*(signature of liquidator)*

\*Omit if not applicable

#### **DIRECTION**

Requirements relating to annexures are set out in regulation 1.0.06.

**Form 5249**

<p><b>Form 5249</b></p> <p>Corporations Act 2001 Subparagraph 206F(1)(b)(i)</p> <p><b>Notice to demonstrate why disqualification should not occur</b></p>
<p><b>IN THE MATTER</b> of (1) _____</p>
<p><b>Notice to demonstrate why disqualification should not occur under section 206F of the Corporations Act 2001.</b></p>
<p>To: (2) _____</p>
<p>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),</p>
<p>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.</p> <p>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.</p> <p>Under subsection 206F(1) of the Act you may be disqualified from managing corporations for a period of up to 5 years.</p> <p>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.</p> <p><b>AREAS OF CONCERN</b></p> <p>ASIC has identified a number of concerns about your conduct which are described in Attachment "A".</p> <p>The documents on which these concerns are based are listed in Attachment "B".</p>

**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)*



<b>Signature</b>		(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	_____		
<b>sign here</b>	_____	date	_____
<b>Lodgement with the Australian Securities &amp; Investments Commission</b>			
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.			
<b>Send to</b>		<b>Annexures</b>	
Australian Securities & Investments Commission PO Box 4000 Gippsland Mail Centre VIC 3841		To make any annexure conform to the regulations, you must	
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"/>		1. use A4 size paper of white or light pastel colour with a margin of at least 10mm on all sides.	5. identify the annexure with a mark such as A,B,C, etc.
		2. show the corporation name and A.C.N. or A.R.B.N.	6. endorse the annexure with the words: This is the annexure (mark) of (number) pages referred to in Form (form number and type)
		3. number the pages consecutively	7. sign and date the form
		4. print or type in dark blue or black ink, so that the document is clearly legible when photocopied.	The annexure must be signed by the same person(s) who signed the form.

## Form 529A

(subregulation 5.6.12(6))

*Corporations Act 2001*

### NOTICE OF FIRST MEETING OF CREDITORS OF COMPANY UNDER ADMINISTRATION

Limited (administrator appointed)

1. On *(insert date)*
  - \*the company under section 436A
  - \*The liquidator/provisional liquidator of the company under section 436B
  - \*a chargee of property of the company under section 436C appointed *(insert name)* of *(insert address)* as the administrator of the company.
2. Notice is now given that a meeting of the creditors of the company will be held at *(insert address and place of meeting)* on *(insert date)* at *(insert time)* \*a.m./\*p.m.
3. The purpose of the meeting is to determine:
  - (a) whether to appoint a committee of creditors; and
  - (b) if so, who are to be the committee's members.
4. At the meeting, creditors may also, by resolution:
  - (a) remove the administrator from office; and
  - (b) appoint someone else as administrator of the company.
- \*5. Details of the instrument under the terms of which the administrator was appointed are:
  - (a) date of the instrument: *(insert date)*
  - (b) nature of instrument: *(insert type of instrument, eg mortgage)*
  - (c) place of registration: *(insert, if applicable)*
  - (d) registered charge number: *(insert, if applicable)*

Dated

*(administrator's signature)*

\*Delete if not applicable

**Form 529B**

(subsection 449C(5))

*Corporations Act 2001***NOTICE OF FIRST MEETING OF CREDITORS TO RATIFY APPOINTMENT OF ADMINISTRATOR**

Limited (administrator appointed)

1. On (insert date)
  - \*the company under section 449C(1) and subparagraph 449C(2)(b)(i),
  - \*the liquidator/provisional liquidator of the company under section 449C(2)(b)(ii),
  - \*a chargee of property of the company, under subsection 449C(1) and subparagraph 449C(2)(b)(iii),
 appointed (insert name) of (insert address) as the administrator of the company in place of the previous administrator of the company.
2. The new administrator was appointed because the previous administrator (here set out the applicable circumstances under paragraph 449C(1)(a), (b) or (c), as the case may be).
3. Notice is now given that a meeting of the creditors of the company will be held at (insert address and place of meeting) on (insert date) at (insert time) \*a.m./\*p.m.
4. The purpose of the meeting is:
  - (a) to determine whether to remove the person appointed from office; and
  - (b) if so, to appoint someone else as administrator of the company.
- \*5. Details of the instrument under the terms of which the previous administrator was appointed are:
  - (a) date of the instrument: *(insert date)*
  - (b) nature of instrument: *(insert type of instrument, eg mortgage)*
  - (c) place of registration: *(insert, if applicable)*
  - (d) registered charge number: *(insert, if applicable)*

Dated

*(signature of convenor of the meeting)*

\*Delete if not applicable

## Form 530

(regulation 5.6.13)

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

*Corporations Law*

### STATEMENT IN WRITING OF POSTING OF NOTICE OF MEETING

Limited

I (*name*) of (*address*) state:

1. on (*date*) a notice of the time and place of the meeting (*insert a description of the meeting*) in the form of the annexure marked "A" (*see note below*) was sent by prepaid post to each person appearing in the books of the company, or otherwise known to \*me/\*the convener of the meeting, as a creditor/\*contributory/ \*member/\*debenture holder;

---

\*2. the notices were addressed to the creditors according to their names and addresses appearing in the books of the company or to their last known addresses;

\*2 the notices were addressed to the contributories according to their names and addresses appearing in the books of the company or to their last known addresses;

\*2 the notices were addressed to the debenture holders according to their names and addresses appearing in the books of the company or to their last known addresses;

---

\*3 the persons notified and their addresses specified in the notices sent to them are \*set out in the annexed list (see note below) / \*identifiable by reference to the books of the company.  
Signature

---

\* Omit if inapplicable.

*Note:* Requirements relating to annexures are set out in regulation 1.0.06.

**Form 531A**

(paragraph 5.6.27(2)(a))

Corporations Regulations

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

*Corporations Act 2001*LIST OF PERSONS PRESENT AT MEETING OF: \*MEMBERS/\*CONTRIBUTORIES  
LimitedMeeting held at (*place of meeting*) on (*date*).

No.	Name	Represented by  ( <i>Signature of person attending</i> )	*Number of shares	*Number of votes

(NOTE: If a joint meeting of creditors and members is held, both Form 531A and 531B should be completed)

\*Delete if not applicable

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## Form 531B

(paragraph 5.6.27(2)(b))

Corporations Regulations

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

*Corporations Act 2001*

LIST OF PERSONS PRESENT AT MEETING OF: \*CREDITORS/\*ELIGIBLE  
EMPLOYEE CREDITORS/\*DEBENTURE HOLDERS

Limited

Meeting held at (*place of meeting*) on (*date*).

No.	Name	Represented by ( <i>signature of person attending</i> )	Amount of proof lodged or Amount of debentures held	Nature of any security	Value of any security, as estimated by the creditor	**Balance of creditor's debt after deducting the value of the security

(NOTE: If a joint meeting of creditors and members is held, both Form 531A and 531B should be completed)

\* Delete if not applicable

\*\*Do not complete in the case of a meeting convened under Part 5.3A of the *Corporations Act 2001*



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**Form 531C**

(paragraph 5.6.27(2)(c))

Corporations Regulations

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

*Corporations Act 2001*LIST OF PERSONS PRESENT AT MEETING OF: \*COMMITTEE OF  
INSPECTION/\*COMMITTEE OF CREDITORS

Limited

Meeting held at (*place of meeting*) on (*date*).

No.	Name	Represented by ( <i>Signature of person attending</i> )

\* Delete if not applicable

## Form 532

(regulation 5.6.29)

A.C.N. or A.R.B.N.  
*Corporations Act 2001*

### APPOINTMENT OF PROXY

*\*I/\*We (if a firm, strike out "I" and set out the full name of the firm) of (address), a creditor/\*contributory/ \*debenture holder/\*member of Limited, appoint (name, address and description of the person appointed) or in his or her absence as \*my/\*our \*general/\*special proxy to vote at the \*meeting of \*creditors/\*contributories\*debenture holders/\*members/\*joint meeting of members and creditors to be held on (date), or at any adjournment of that meeting (if a special proxy add the words "to vote for" or the words "to vote against" and specify the particular resolutions).*

Dated

Signature

### CERTIFICATE OF WITNESS

*(This certificate is to be completed only if the person giving the proxy is blind or incapable of writing. The signature of the creditor, contributory, debenture holder or member must not be witnessed by the person nominated as proxy)*

I (name), of (address), certify that the above instrument appointing a proxy was completed by me in the presence of and at the request of the person appointing the proxy and read to him or her before she signed or marked at the instrument.

Dated

Signature of witness

Description

Place of residence

---

\* Omit if inapplicable.

**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 <i>(state how the debt arose)</i>	Amount	Remarks <i>(include details of voucher substantiating payment)</i>
		\$      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



**Schedule 2** Forms

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*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
------------	------	---------	---	--	---	---	---



---

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
------------	------	---------	--	---	--	--	--

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\* Strike out whichever is inapplicable.

#### NOTES

1. 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.
  2. 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**

---

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

---

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
-----	------	---------	---	--	---	--	--	--

---

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---

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

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

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

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

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-authorized 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"> <li>i. APRA-authorized general insurers; or</li> <li>ii. Lloyds underwriters; or</li> <li>iii. unauthorised foreign insurers</li> </ul>				
<b>Total</b>				

**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.

<b>Item</b>	<b>Entity</b>	<b>Person</b>
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.

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



<p><b>Form 587</b></p> <p>Corporations Act 2001 Subsection 206F(3)</p> <p><b>Notice of disqualification from managing corporations</b></p>
<p><b>IN THE MATTER</b> of (1) _____</p>
<p><b>Notice of disqualification from managing corporations under subsection 206F(3) of the Corporations Act 2001.</b></p>
<p>To: (2) _____</p>
<p>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.</p>
<p><b>TAKE NOTICE THAT</b> 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.</p>
<p><b>YOU ARE DISQUALIFIED</b> from the time of service of this notice for a period of _____ (5) years from managing corporations without the leave of ASIC.</p>
<p>Your attention is specifically directed to section 206A of the Corporations Act 2001.</p>
<p>Dated this _____ day of _____ 20 (6)</p>
<p style="text-align: center;"><b>signed</b></p> <p style="text-align: center;">(7) Delegate of the Australian Securities and Investments Commission</p>
<p><b>DIRECTIONS</b></p> <p>(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.</p>

<table border="1"> <tr> <td>ASS.</td> <td><input type="checkbox"/></td> <td>REQ-A</td> <td><input type="checkbox"/></td> </tr> <tr> <td>CASH</td> <td><input type="checkbox"/></td> <td>REQ-P</td> <td><input type="checkbox"/></td> </tr> <tr> <td>PROC.</td> <td><input type="checkbox"/></td> <td></td> <td></td> </tr> </table>	ASS.	<input type="checkbox"/>	REQ-A	<input type="checkbox"/>	CASH	<input type="checkbox"/>	REQ-P	<input type="checkbox"/>	PROC.	<input type="checkbox"/>		
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 603**Corporations Act 2001  
Section 671B**Notice of initial substantial holder**

10. Company Name/Scheme

ACN/ARSN

**1. Details of substantial holder (1)**

Name

ACN/ARSN (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 in the company or voting interests in the scheme 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 (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 in the company or voting interests in the scheme (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 or scheme 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 and other, 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.

**Form 604**Corporations Act 2001  
Section 671B**Notice of change of interests of substantial holder**

To: Company Name/Scheme \_\_\_\_\_

ACN/ARSN \_\_\_\_\_

**1. Details of substantial holder(1)**

Name \_\_\_\_\_

ACN/ARSN (if applicable) \_\_\_\_\_

There was a change in the interests of the  
substantial holder on \_\_\_\_\_ / \_\_\_\_ / \_\_\_\_

The previous notice was given to the company on \_\_\_\_\_ / \_\_\_\_ / \_\_\_\_

The previous notice was dated \_\_\_\_\_ / \_\_\_\_ / \_\_\_\_

**2. Previous and present voting power**

The total number of votes attached to all the voting shares in the company or voting interests in the scheme 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 or scheme, 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 interests**

Particulars 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 or scheme, since the substantial holder was last required to give a substantial holding notice to the company or scheme 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 interests in the company or scheme are as follows:

Name and ACN/ARSN (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 609 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 or scheme 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 and other, 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.

**Form 605**  
 Corporations Act 2001  
 Section 671B

**Notice of ceasing to be a substantial holder**

---

To: Company Name/Scheme \_\_\_\_\_

ACN/ARSN \_\_\_\_\_

**1. Details of substantial holder(1)**

Name \_\_\_\_\_

ACN/ARSN (if applicable) \_\_\_\_\_

The holder ceased to be a substantial holder on     /    /    

The previous notice was given to the company 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 or scheme, since the substantial holder was last required to give a substantial holding notice to the company or scheme 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 interests in the company or scheme are as follows:

Name and ACN/ARSN (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 606 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 and other, 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 a company 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.



**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

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## 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 SEGC)*

*(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



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**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"/>		

---

<p><b>Australian Securities &amp; Investments Commission</b></p> <p><b>Notification of office at which register is kept</b></p>	<p>form <b>909</b></p> <p>Corporations Act 2001 100(1)(d), 172, 271, 1302(4) 601CZC</p>
<p>company name _____</p> <p>A.C.N. _____</p>	
<p><b>Details of Register</b></p> <p><input type="checkbox"/> Register of members</p> <p><input type="checkbox"/> Register of options</p> <p><input type="checkbox"/> Register of charges</p> <p><input type="checkbox"/> Register of holders of debentures</p> <p><input type="checkbox"/> Register of debenture holders for non-companies</p>	
<p><b>Details of change</b></p> <p><input type="checkbox"/> change from registered office                      date of change (d/m/y)    /    /</p> <p><input type="checkbox"/> change from principal place of business              date of change (d/m/y)    /    /</p> <p><input type="checkbox"/> change from other address                                      date of change (d/m/y)    /    /</p>	
<p>Details of other address where changed from:</p> <p>at the office of _____</p> <p>office, level, building name _____</p> <p>street number &amp; name _____</p> <p>suburb/city _____ state/territory _____ postcode _____</p>	
<p><b>New address</b></p> <p>at the office of _____</p> <p>office, level, building name _____</p> <p>street number &amp; name _____</p> <p>suburb/city _____ state/territory _____ postcode _____</p> <p>Does the company occupy these premises?    <input type="checkbox"/> yes    <input type="checkbox"/> no</p> <p>If NO, name of occupier _____</p> <p>occupier's consent (Tick box to assent to statement required by subsection 100(1)(d))</p> <p><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.</p>	
<p><b>Signature</b></p> <p>print name _____ capacity _____</p> <p>sign here _____ date    /    /</p>	

## Form 910

(section 1313)

*Corporations Act 2001*

### PENALTY NOTICE

To *(insert name of person alleged to have committed offence and, if a corporation, its Australian Company Number or its Australian Registered Body Number)*

1. It is alleged that at *(insert place)* on *(insert date)* you committed an offence under or in relation to *(insert provision under or in relation to which the offence is alleged to have been committed)* because you *(set out particulars of alleged offence, including description of alleged conduct constituting the offence. Where applicable, include the name and Australia Company Number or Australian Registered Body Number of any corporation in connection with which the offence is alleged to have been committed)*.

This offence is a prescribed offence.

---

2. Prescribed penalty: \$

Payable to: *(insert name and address of the office of the Australian Securities and Investments Commission)*

---

### \*3. APPLIES IF THE PENALTY NOTICE RELATES TO AN OFFENCE CONSTITUTED BY A FAILURE TO DO A PARTICULAR ACT OR THING

Take notice that:

- (a) the obligation to *(see Note below)* continues, despite the service of this notice or the payment of the prescribed penalty; and
  - (b) if, within 21 days after the date of service of this notice, you:
    - (i) pay the prescribed penalty to the authority specified in paragraph 2; and
    - (ii) *(see Note below)*;  
no further action will be taken against you in relation to the offence described in paragraph 1; and
  - (c) if, at the end of 21 days after the date of service of this notice, you:
    - (i) have not paid the prescribed penalty to the authority specified in paragraph 2;  
or
    - (ii) have not *(see Note below)*;  
proceedings may be instituted against you.
-

**\*3. APPLIES IF THE PENALTY NOTICE RELATES TO AN OFFENCE OTHER THAN ONE CONSTITUTED BY A FAILURE TO DO A PARTICULAR ACT OR THING**

Take notice that if, within 21 days after the date of service of this notice, you pay the prescribed penalty to the authority specified in paragraph 2, no further action will be taken against you in relation to the offence described in paragraph 1.

If, at the end of 21 days after the date of service of this notice, you have not paid the prescribed penalty to the authority specified in paragraph 2, proceedings may be instituted against you.

---

4. Payment of the penalty is not an admission of liability: see subsection 1313(6).

---

Given by \_\_\_\_\_ on behalf of the Australian Securities and Investments  
Commission at \_\_\_\_\_ on

---

\* Omit if not applicable

*Note: insert a description of the particular act or thing that the person allegedly failed to do in committing the alleged offence.*


Australian Securities & Investments Commission

form **911**

Corporations Act 2001

**verification or certification of a document**

Regulation 1.0.16

corporation name

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

**Details of the attached document**

document title

relevant section or subsection  
of the Corporations Act 2001

**Signature**

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.

print name

capacity

sign here

date / /

## **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:

#### PART 3

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

---

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,

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

---

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:

- (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).

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

- (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.

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

[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:

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- (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: