



ASIC

Australian Securities &
Investments Commission

Lodging external administration forms online

Handy hints

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What can I lodge online?

Registered liquidators (those registered as a liquidator by ASIC under s1282 of the *Corporations Act 2001*) can lodge all external administration forms online with ASIC via the ASIC Registered Liquidator portal. This is the fastest and most accurate way to lodge this key documentation.

There are a total of 35 forms available for online lodgement. These are:

- EX01 Schedule B of Regulatory Guide 16: Report to ASIC under s422, s438D or s533 of the *Corporations Act 2001* or for statistical purposes
- EX02 Assetless administration funding request (s206F - Director banning)
- EX03 Assetless administration funding request (matters other than s206F - Director banning)
- 505 Notification of appointment or cessation of an external administrator
- 506 Notification of change of address of an external administrator
- 507 Report as to affairs
- 509D Notice of special resolution to wind up company
- 509F Notice of failure to execute deed of company arrangement
- 509G Notice of termination of deed of company arrangement
- 511 Statement verifying report under s430(1), 475(2) or 446C(2)
- 520 Declaration of solvency
- 522 Notification of meeting of creditors to consider appointing a new liquidator
- 523 Notification of final meeting convened by liquidator
- 524 Presentation of accounts and statement
- 525 Notice of disclaimer of onerous property
- 529 Notice of meeting
- 540 Statement in writing of posting of notices of appointment to settle list or supplementary list of contributories
- 545 Statement in writing of giving notice to persons placed on the list or supplementary list of contributories
- 555 Notice of controller extending time to submit report as to affairs
- 562 Notice of liquidator extending time to submit report as to affairs
- 564 Schedule A to Regulatory Guide 16: Preliminary report by court-appointed liquidator to ASIC under s476 of the *Corporations Act 2001*
- 578 Deregistration request (liquidator not acting or affairs fully wound up)
- 905A Notification of change to details of a liquidator
- 908 Annual statement by a liquidator
- 1500 Annual report to creditors
- 1501 Notification of details of pooling determination or order
- 1502 Notification of variation to details of pooling determination or order
- 5011 Copy of minutes of meeting
- 5047 Copy of deed of company arrangement
- 5053 Notice that administration of a company has ended
- 5056 Notice that deed wholly effectuated

Maintenance Forms

- 106 Request to withdraw a lodged document
- 205 Notification of resolution
- 484 Change to company details
- 492 Request for correction

Why should I lodge online?

As one of our existing online lodgers says:

"It's simple to use, easy to understand, time efficient and it's streamlined our reporting and processes..."

... to make online lodging even more simple:

- there is a client manager to manage the Registered Liquidator portal and they can be contacted on exad@asic.gov.au
- any inquiries to our general inquiries line or email address that cannot be answered quickly will be channelled to a specialist so that we can promptly address your issue.

Avoid late fees – lodge online

Online lodgement allows you to lodge more quickly from your own office at a time that suits you. This is particularly important for those forms with very short lodgement periods.

Online validations ensure that the data you send to ASIC meets lodgement needs the first time—eliminating rework and updating the ASIC database more quickly with this important information.

How do I register?

When you lodge online you can have a single logon as a registered liquidator or you can authorise any number of your relevant staff members to have their own logons to either enter data or enter data & submit documents on your behalf.

To register, you need to:

1. Have your ASIC Registered Liquidator number and a self-selected user name and password ready.
2. Go to **Register for access** to our online lodgement services at www.asic.gov.au.
3. Read and accept the terms and conditions of the ASIC Electronic Lodgement Protocol.
4. Take note of the Privacy Statement concerning the Registered Liquidator portal.
5. Register online.
6. Finalise, print and sign your Participation Agreement and fax or mail it to the details shown on the form.

After your registration has been confirmed and you have been notified you will be able to access the Registered Liquidator portal and start lodging.

Details of how to register and how the portal works are available on our website at www.asic.gov.au/online lodgement or you can email us at online@asic.gov.au for details and links.

Lodging hints....

When lodging online, most fields are mandatory and we have built in a series of validations so that the information sent to ASIC meets lodgement needs. Where fields are omitted, or data does not meet validations, you will be given an error message indicating what needs to be completed or amended before you proceed.

In some cases warning messages are given and this is where your data appears incorrect. You are asked to review and amend if appropriate—these are prompts only and don't prevent you from proceeding.

Some examples of validations and prompts are:

- where another form needs to be lodged first, we require the lodgement of this form before you can proceed
- most dates provided to us must not be future dates and must be after the company was created
- some forms prompt you to check a date if the date is more than a calendar month old
- a company must be in a particular registration status for a particular form to be lodged
- a particular type, or types, of external administrator must be appointed before some forms can be lodged

Details of significant edits on specific forms are provided later in this document.

Navigating through the screens

When working in the portal, to prevent page conflict errors you should return to previous screens using the menu on the left-hand side of the page in lieu of the **Back** button.



Attachments

Some forms require you to attach documents - we accept the following format, generally with a maximum file size for each attachment of 3MB :

- TIFF (Tagged Image File Format) - this format is commonly produced by devices such as scanners and usually has a file suffix of '.TIF' or '.TIFF'
- RTF (Rich Text Format)- this format can be created from WORD documents by selecting 'Save As' and selecting 'Rich Text Format' as the file type and usually has a file suffix of '.RTF'
- PDF (Portable Document Format) is a universal file format developed by Adobe Systems that preserves the fonts, images, graphics, and layout of any source document, regardless of the application and platform used to create it and usually has a file suffix of '.PDF'

A larger maximum file size is allowed on some forms—this is noted on the attachment page for those forms.

We will generally accept documents in any of these three formats, however, for security reasons, we reject PDF documents containing encrypted data, active content (e.g. JavaScript, PostScript), external references and PDF documents with attached objects or executables.

We cannot accept word processing and spreadsheet documents because of security issues inherent in those file formats. For example, the macro facilities supported by those file formats are known to pose a security risk.

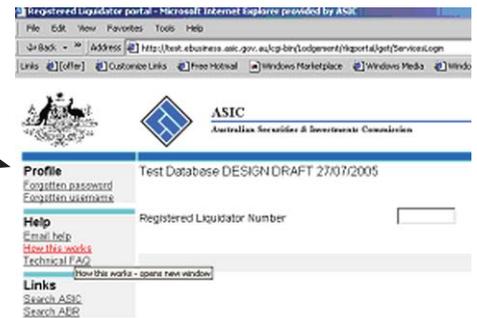
You will receive an error message if the document you are trying to attach does not fit the above criteria.

Text boxes

If you are required to complete a text box as part of a form you should note that text boxes also have a limit on the amount of data you can submit. If you exceed this amount you will receive the same error message as an oversized attachment.

Forgotten your password or user name?

If you cannot remember your password or user name you can use the menu items on the left-hand side of the page for help.



After entering your ASIC Registered Liquidator number:

Forgotten password

You will be asked to enter your user name and will then be presented with the security question you provided when registering for online lodgement and asked for the matching answer. If you can provide this answer your password will be reset.

Forgotten user name

You will need to enter your password and your contact email address—as it appears on our records. If both match a list of all user names will be emailed to all current users of the account.

If you have forgotten both your user name and password, you will need to reapply to lodge online.

Q & A's

I've been appointed as an official liquidator for a company – do I need separate access?

No. You should use your existing registered liquidator access. If you don't have online access, you should use your ASIC Registered Liquidator number when applying.

I'm a registered agent for a company – can I automatically lodge external administration forms?

No. You will need to apply separately to lodge any external administration forms online via the Registered Liquidator portal.

How do I remove obsolete logons for staff that have left our firm or change the access level of an existing logon?

Email online@asic.gov.au with the following details to request that an obsolete logon be removed:

- Portal type – Liquidator
- Registered Liquidator number
- Staff member's full name
- User name

We will reply by email to confirm once the obsolete logon has been removed.

To change the access level of an existing logon, create a new logon for the user with the required access eg. 'data entry only' rather than 'data entry & submitting documents'. Once it has been activated, just request the obsolete logon be removed.

Specific form edits

EX02 & EX03 **Assetless administration funding requests**

- These forms must be lodged online.
- Inbuilt validations and edits ensure the information you enter indicates that you are potentially eligible for funding under ASIC's Funding Criteria & Guidelines.
- You will be unable to submit a funding request if your answers indicate you do not meet these guidelines.

106 **Request to withdraw a lodged document**

- Can only be used to request the withdrawal of Forms 484, 506, 507, 509D, 509F, 509G, 511, 520, 522, 523, 524, 525, 529, 540, 545, 555, 562, 564, 1500, 1501, 1502, 5011.
- For pooled groups—can only be used to request the withdrawal of Forms 523, 524, 1500, 1501, 1502, 5011.
- The form number, document number and date of lodgement of the document requested to be withdrawn must be valid for the company.
- Where the request is due to a duplicate lodgement, the previously lodged document must be valid for the company.

205 **Notification of resolution**

- A Form 520 *Declaration of solvency* must have been lodged prior to the date of the meeting at which the resolution was passed.
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- 492 Request for correction**
- Can only be used to request a correction to Forms 484, 489, 490, 1501, 1502.
 - The form number, document number and date of lodgement of the document requested to be corrected must be valid for the company.
 - Can only correct documents via a Form 492 while you are the external administrator of the company or pooled group.
 - Corrections cannot include changes to effective dates—these must be lodged on paper with duly authorised documentation.
 - New information such as director appointments/cessations/change of address or new shareholdings must be submitted via a Form 484 *Change to company details*.
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- 509D Notice of special resolution to wind up company**
- A Form 505 *Notification of appointment or cessation as an external administrator* appointing you as liquidator—creditors voluntary winding up must be lodged before the 509D.
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- 524 Presentation of accounts and statement**
- The day and month the statement is from should be exactly 6 months or 12 months after the day and month of appointment eg, if the date the appointment commenced is 2 April XXX, the statement date should be 2 October or 2 April.
 - For non-final accounts there should be 6 months between the statement from and to dates.

Warning messages are presented for the above two validations. You will be asked to check and amend if necessary—but not prevented from proceeding.

- 578 Deregistration request (liquidator not acting/affairs fully wound up)**
- A final Form 524 *Presentation of accounts and statement* must be lodged prior to a 578.
 - A Form 523 *Notification of final meeting* convened by liquidator must not have been lodged for this company.
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- 5011 Copy of minutes of meeting**
- A copy of the contents of the minutes of meeting only need to be attached—we do not require signed minutes.
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- 5047 Copy of deed of company arrangement**
- A Form 505 *Notification of appointment or cessation as an external administrator* appointing you as the deed administrator must be lodged before the 5047.
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- Pooled group forms**
- Forms with a pooled group feature - 523, 524, 1500, 1501, 1502 & 5011**
- These forms must be lodged online to benefit from the pooled group feature.
 - All companies in a pooled group must be in external administration.
 - Once a Form 1501 has been lodged online to tell us about a pooled group, any of these forms lodged online will automatically be recorded against each company within that pooled group.
 - There will be a single fee for these forms, regardless of the number of companies within that pooled group.
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Company status validations

Company status	Registered	In External Administration	In strike off (companies pending deregistration)	Deregistered
EX01				
EX02				
EX03				
505 Cease				
505 Commence				
506				
507				
509D				
509F				
509G				
511				
520				
522				
523				
524				
525				
529				
540				
545				
555				
562				
578				
905A				
908				
1500				
1501				
1502				
5011				
5047				
5053				
5056				

Maintenance Forms

106				
205				
484				
492				



Allowable company status for online EXAD forms



Not applicable

