

FORM CA3

Charitable Fundraising – Annual Return

Charitable Fundraising Act 1991



13 32 20 fairtrading.nsw.gov.au

Please read this information before completing this form.
This form can be completed in Adobe Reader and saved for your records.

Information for Authority Holders

1. This form is for the Annual Return for an Authority to fundraise in NSW.
2. Complete all required fields.
3. For more information please see www.fairtrading.nsw.gov.au

4. For assistance completing the form please contact 13 32 20 or email: charity.inquiries@customerservice.nsw.gov.au
5. Lodge this Annual Return form and any supporting documents by:
email: charity.inquiries@customerservice.nsw.gov.au

* **Mandatory fields**

Part A – Authority Holder details

Organisation's name*

Authority (CFN) Number*

ABN

Registered with ACNC* Yes No

Daytime phone number*

Email address*

Registered office address* (cannot be a post office box)

Suburb

State

Postcode

Postal address (if different from registered address)

Suburb

State

Postcode

Business address (if different from registered address)

Suburb

State

Postcode

Part A – Authority Holder details *(continued)*

TRADERS ENGAGED IN FINANCIAL YEAR

Have Traders been engaged this Financial Year*?

Yes No

Trader 1

Title Given name(s)

<input type="checkbox"/>	<input type="text"/>
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Family/Surname

<input type="text"/>

Company name of trader

<input type="text"/>

Date started (DD/MM/YYYY)

<input type="text"/>

ABN/ACN

<input type="text"/>

Email address

<input type="text"/>

Daytime phone number

<input type="text"/>

Address

<input type="text"/>

Suburb

<input type="text"/>

State

<input type="text"/>

Postcode

<input type="text"/>

Trader 2

Title Given name(s)

<input type="checkbox"/>	<input type="text"/>
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Family/Surname

<input type="text"/>

Company name of trader

<input type="text"/>

Date started (DD/MM/YYYY)

<input type="text"/>

ABN/ACN

<input type="text"/>

Email address

<input type="text"/>

Daytime phone number

<input type="text"/>

Address

<input type="text"/>

Suburb

<input type="text"/>

State

<input type="text"/>

Postcode

<input type="text"/>

If more than two traders please attach a separate list containing the above requirements.

Part B – Annual return information

Financial Year end date* (DD/MM/YYYY)

Number of employees

(Registered Authority only)

FUNDRAISING APPEALS CONDUCTED IN FINANCIAL YEAR

Beneficiary 1

Charitable purpose

Start date (DD/MM/YYYY)

End date (DD/MM/YYYY)

Beneficiary 2

Charitable purpose

Start date (DD/MM/YYYY)

End date (DD/MM/YYYY)

Beneficiary 3

Charitable purpose

Start date (DD/MM/YYYY)

End date (DD/MM/YYYY)

If more than three appeals please attach a separate list containing the above requirements.
A single appeal can have more than one beneficiary.

Part B – Annual return information (continued)

AS REPORTED IN THE FINANCIAL STATEMENTS

Total revenue

Total expenses

Total assets

Total liabilities

Total income from donations and bequests

Total expenses from grants and donations inside Australia

Tiers of Financial Reporting – documentation to be provided as part of this Annual Return – Tick the level of Financial Reporting

Gross Fundraising Appeals < \$100,000

Annual Financial Statement consisting of:

- An income statement that summarises the income and expenditure of each fundraising appeal conducted in a financial year,
- A balance sheet that summarises all assets and liabilities resulting from the conduct of fundraising appeals at the end of the financial year,
- A statement of cash flows.
- Must be prepared in accordance with Australian Accounting Standards

Gross Fundraising Appeals – \$100,000 – < \$250,00

In addition* to requirements for Gross Fundraising Appeals < \$100,000

Notes to the financial accounts, including as a minimum:

- The accounting principles and methods adopted in the preparation of financial statements
- Details of any material matter or occurrence, including those of an adverse nature such as an operating loss from a fundraising appeal conducted in the financial year.
- A statement that describes the manner in which the net surplus or deficit obtained from a fundraising appeal in the financial year as applied.
- The aggregate gross income and aggregate direct expenditure incurred in all fundraising appeals conducted jointly with traders in the financial year.

Gross Fundraising Appeals > \$250,000

In addition* to requirements for Gross Fundraising Appeals \$100,000 – <\$250,000

Independent Audit Report on the financial statements.

Part C – Auditor details (an auditor / accountant must be nominated)

Is auditor

Individual Company

Title Given name(s)

<input type="text"/>	<input type="text"/>
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Family/Surname

<input type="text"/>

Auditor company

<input type="text"/>

Daytime telephone number*

<input type="text"/>

Mobile number

<input type="text"/>

Email address*

<input type="text"/>

Website

<input type="text"/>

Business address*

<input type="text"/>

Suburb

<input type="text"/>

State

<input type="text"/>

Postcode

<input type="text"/>

Postal address (if different from Business address)

<input type="text"/>

Suburb

<input type="text"/>

State

<input type="text"/>

Postcode

<input type="text"/>

Auditor qualifications*

<input type="text"/>

Auditor experience qualifications - Provide details / Registration number*

<input type="text"/>

1. The audit must be conducted by a Registered Company Auditor, authorised audit company or a person having other qualifications or experience acceptable to us and be in line with the relevant requirements of the Australian Auditing Standards.
2. An acceptable auditor would be a current member of either CPA Australia (CPA), The Institute of Chartered Accountants in Australia & New Zealand (CAANZ) or Institute of Public Accountants (IPA) and holds a current public practice certificate issued by one of those bodies.
3. An authority holder is exempt from this requirement if they do not receive more than \$250,000 gross income from fundraising appeal/s in any financial year.
4. If the fundraising income is between \$100,001 and \$250,000, the authority holder must engage an accountant with formal accounting qualifications to prepare its annual financial statements.
5. If the fundraising income is less than \$100,000, the authority holder can engage an accountant who has no formal accounting training but who possesses other qualifications and experience we assess as suitable to prepare its annual financial statements.

The auditor must be objective, impartial, and free of any conflict of interest in performing their duties.

Part D – Contact Person for this form

Title Given name(s)

<input type="text"/>	<input type="text"/>
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Family/Surname

<input type="text"/>

Daytime telephone number

<input type="text"/>

Mobile number

<input type="text"/>

Email address

<input type="text"/>

Part E – Declaration

To be completed by the person identified in Part D:

I declare:

- that I am 18 years or older and I am authorised to lodge this return as, or on behalf of, the authority holder,
- that the contents of this return including any attachments are true, correct and complete,
- that the attached financial statement meets the requirements of the Act and regulation,
- the financial information and documents attached, give a true and fair view of the financial matters to which they relate,
- there are reasonable grounds to believe [where the Authority Holder is also an organisation] that the organisation has appropriate and effective internal controls and is able to pay its debts as and when they become due and payable,
- that the Authority Holder has taken reasonable steps to ensure they have complied with this Act, the regulations, and any conditions of the authority.

Signature

<input type="text"/>

Date signed (DD/MM/YYYY)

<input type="text"/>

This form is designed to be completed in Adobe Reader. A cross appearing in the digital signature field above may indicate a compatibility issue. If a cross appears please sign here

Printed name

<input type="text"/>

Privacy Statement

NSW Fair Trading, Department of Customer Service gives priority to protecting the privacy of your personal information. We do this by handling personal information in a responsible manner and in accordance with the *Privacy and Personal Information Protection Act 1998* (PPIP Act). Service NSW acts as a shopfront for us and performs transactions for you, on our behalf.

The personal information contained in your application is collected and held by NSW Fair Trading and Service NSW will collect and hold person information on our behalf as part of the application process.

We are collecting your personal information for the following purposes:

1. To receive and assess an application, renewal, annual return or change of details application in New South Wales in accordance with the *Charitable Fundraising Act 1991* and the *Charitable Fundraising Regulation 2021*.
2. Internal administrative purposes, including liaising with you in relation to your application.
3. We may use the information to support more informed policy making, program management, evaluation, research and service planning as it can facilitate more efficient service delivery for charitable fundraising authority holders in NSW.
4. As required by legislation to record information on a public register, parts of which will be published online.

The consequence of not providing it is that your application may not be able to be determined. We may use the personal information contained in your application to confirm your details if you make any subsequent applications in relation to any licence or authority issued by NSW Fair Trading. We may also use it to administer/update our customer database including to send you information that we consider important such as reminders to renew an authority.

Continues next page

Part E – Declaration *(continued)*

We will store and manage your personal information in accordance with provisions under the PPIP Act.

If required, we may make enquiries and exchange information with other NSW government agencies (including the NSW Police Force), or other States, Territories and/or the Commonwealth for the purpose of assessing your application and for compliance purposes. We may disclose your personal information for these purposes.

We will not disclose your personal information to anybody else unless you have given consent, or we are authorised or permitted to do so by law. Our [Privacy Statement](#) describes when this may occur. You can find this information and our [Privacy Management Plan](#) on the Department of Customer Service website.

Please see the [Fair Trading Privacy Code of Practice](#) for more information about how we handle your personal information, how you can request access to or correct the personal information we hold about you (if the information is inaccurate, incomplete, not relevant or out of date) and who to contact if you have a privacy enquiry or complaint, or email brdprivacy@customerservice.nsw.gov.au.

For more information about how Service NSW handles personal information please visit www.service.nsw.gov.au/privacy.

Checklist

- All questions are answered and particulars provided
- Copy of the annual financial statements - Part B
- Declaration completed and signed