

## Lodgement information

For help with lodging this application, or for more information about authorisations in New South Wales, contact:

Mining, Exploration and Geoscience

**Resource Operations**

**Phone +61 2 4063 6600 (8.30am – 4.30pm)**

[resource.operations@planning.nsw.gov.au](mailto:resource.operations@planning.nsw.gov.au)

### Note

- any reference to the '**Department**' in this form, refers to **Regional NSW**

### How to submit this form

- **By email:** Send an electronic copy of the form and any attachments to [resource.operations@planning.nsw.gov.au](mailto:resource.operations@planning.nsw.gov.au)
- **By mail:** Mail your form and any attachments to Mining, Exploration and Geoscience, Resource Operations, PO Box 344, Hunter Region Mail Centre NSW 2310
- **In person:** Submit your application in person at the Department office, 516 High Street, Maitland, New South Wales. Office hours are 8.30am to 4.30pm
- **Facsimile:** +61 2 4063 6973

© State of New South Wales through Regional NSW. ABN: 19 948 325 463

This publication is copyright. You may download, display, print and reproduce this material providing that the wording is reproduced exactly, the source is acknowledged, and the copyright, update address and disclaimer notice are retained.

The information contained in this publication is based on knowledge and understanding at the time of writing (July 2020). However, because of advances in knowledge, users are reminded of the need to ensure that the information upon which they rely is up to date and to check the currency of the information with the appropriate officer of the Regional NSW or the user's independent adviser.

### Privacy statement

This information is collected by the Department for the purposes of assessing an application for an authorisation or an application associated with an authority as required by the *Mining Act 1992* or Mining Regulation 2016.

This information may also be used by the Department to confirm applicant details in the event that subsequent applications are made and may also be used to establish and maintain databases to assist the Department with its work generally.

Except for purposes required by law, the information will not be accessed by any third parties in a way that would identify the person without the consent of that person.

You may apply to the Department to access and correct any information the Department holds if that information is inaccurate, incomplete, not relevant or out of date.

## When to use this form

**Complete this form if you claim to have a legal or equitable interest and want to direct the Secretary not to register any transfer of an authority unless it complies with the provisions of the caveat.**

This form has been prepared for the purposes of [s124](#) of the *Mining Act 1992*.

If there is insufficient room in any of the fields, please provide the information as an attachment.

## Important notes

Unless withdrawn, this caveat will remain in force for only three months from the lodgement date. During this period any transfer of the authority will not be registered. The Supreme Court may overrule this caveat or direct the Secretary not to register any transfer after the three month period has expired. If such an order is not made, at the expiration of the three months, the transfer will be registered.

## Agents

If this application is lodged by an agent on behalf of the applicant/s, the Department may seek confirmation of the authority under which the agent operates and any limits of that authority. The agent will need to complete the declaration at the end of this form and supply evidence of their appointment, if not already supplied to the Department ([cl97](#) of the Mining Regulation 2016).

## How to submit this form

Refer to the cover page for details.

## Next steps

Once your caveat has been lodged with the Secretary, it will be reviewed and recorded in the public register.

# Lodgement of caveat

Form AD5, Mining Act 1992



Regional  
NSW

## 1 Authority/s the caveat should be recorded against

Type - eg EL, AL, ML	Number	Act

## 2 Authority holder/s details

Provide the current full name of authority holder/s.

1 <sup>st</sup> Authority holder details	
Name	
Contact phone	
Contact email	
ACN / ARBN	
Street address (Registered street address for a company)	
Postal address	<input type="checkbox"/> Same as above
2 <sup>nd</sup> Authority holder details	
Name	
Contact phone	
Contact email	
ACN / ARBN	
Street address (Registered street address for a company)	
Postal address	<input type="checkbox"/> Same as above

# Lodgement of caveat

Form AD5, Mining Act 1992



Regional  
NSW

3 <sup>rd</sup> Authority holder details	
Name	
Contact phone	
Contact email	
ACN / ARBN	
Street address (Registered street address for a company)	
Postal address	<input type="checkbox"/> Same as above

## Additional holders

Provide the full name, contact details, ACN or ARBN (for foreign companies), street address (individual), registered street address (company) and postal address details of additional authority holders.

Additional holders	

## 3 Details of caveator

1 <sup>st</sup> Caveator details	
Name	
Email	
Contact phone	
Street address (Registered street address for a company)	
Postal address	<input type="checkbox"/> Same as above

2 <sup>nd</sup> Caveator details	
Name	
Email	
Contact phone	
Street address (Registered street address for a company)	
Postal address	<input type="checkbox"/> Same as above

## 4 Contact for this application

Any correspondence relating to this application will be sent to this person.

Contact details	
Contact name	
Position held	
Company	
Postal address	
Phone (incl area code)	
Mobile	
Email	

### Your preferred contact method

- Email (for companies – provide a company email address which is regularly monitored rather than an individual employee's email address)
- Mail (including DX)

## 5 Nature of interest claimed

### 5.1 Reasons for lodgement

Briefly explain why you are lodging this caveat and the facts on which your claim is founded.

Reasons for lodgement

### 5.2 Supporting evidence

Provide supporting evidence of caveatable interest

- I have attached evidence supporting caveatable interest (eg: formal correspondence, contract, deed or will)

### 5.3 Terms

Provide any terms you would like the caveat to be subject to:

Terms

## 6 Checklist of items to be included with this application

Item		Reference
Supporting evidence of caveatable interest	<input type="checkbox"/>	Question 5
For agents only – evidence of appointment as agent, if this has not been previously supplied to the department	<input type="checkbox"/>	Question 7

## 7 Declaration

This form should be signed by the applicant/s (in the case of a company a duly authorised officer) or an agent authorised to act on behalf of the applicant/s.

### 7.1 Applicant/s (individual or company)

For each applicant (signed below):

I certify that the information provided is true and correct to the best of my knowledge and belief. I understand under the *Crimes Act 1900 NSW Part 5A*, that knowingly or recklessly giving false or misleading information is a serious offence, and under the *Mining Act 1992 section 378C*, any person who provides information that the person knows to be false or misleading is guilty of an offence, for which they may be subject to prosecution.

(For companies only) In addition to the declaration above, by signing below, I **also** certify that I am authorised to complete and provide the information in this form on behalf of the company listed in section 2 of this form.

1 <sup>st</sup> Applicant details	
Name	
Position/title	
Date	
Signature	

2 <sup>nd</sup> Applicant details	
Name	
Position/title	
Date	
Signature	

# Lodgement of caveat

Form AD5, Mining Act 1992



Regional  
NSW

3 <sup>rd</sup> Applicant details	
Name	
Position/title	
Date	
Signature	

## 7.2 Agent authorised to act for this applicant/s

Evidence of appointment is required if this has not been previously supplied to the Department.

Agent details	
Name	
Position/title	
Date	
Signature	

# Lodgement of caveat

Form AD5, *Mining Act 1992*



Regional  
NSW

## Office/Administrative use only

Application received:			
Time:		Date:	
Officer's Name			
Signature			

## Document control

Approved by: Executive Director, Resource Operations, Regional NSW under delegation from the Minister administering the *Mining Act 1992*.

CM9 Reference: DOC20/442539

Amendment schedule		
Date	Version #	Amendment
July 2020	1.0	New format for Regional NSW. Form updated to reflect new Departmental name and branding, and updated links.