



Application form - RSE registration

Under s. 29L of the Superannuation Industry (Supervision) Act 1993

Part A – General information

DRAFT RSE licence application

Is this a draft RSE registration application?

Yes No

A1 – Applicant details

Name of RSE licensee

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ABN

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RSE licence number (if issued)

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RSE licence class (if issued)
(check box)

Public offer entity licence

Non-public offer entity licence

Extended public offer entity licence

Contact person – primary

Title

Mr Mrs Ms Other

Name

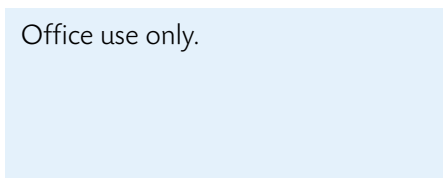
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Position held

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Part A continues on the next page

Office use only.



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Part A – General information (continued)

Telephone numbers

Direct business number

Mobile number

Facsimile number

Email

A2 – Superannuation entity details

Name of entity

ABN of proposed RSE

Type of RSE entity (*check box*)

Public offer superannuation fund

Non-public offer superannuation fund

Approved Deposit Fund (ADF)

Pooled Superannuation Trust (PST)

Small APRA Fund (SAF)

Member benefit type (*check box*)

Defined contribution

Defined benefit

Defined contribution and defined benefit

Authorisation intentions (*check box*)

MySuper

Eligible Rollover Fund (ERF)

Website

End of Part A – General Information



Part B – Likely compliance with SIS Act and prudential standards

B1 – Trust deed

B1.1 – Trust deed/governing rules

Trust deed/governing rules

Attached

Deed of retirement and appointment (if applicable)

Attached

B1.2 - Attestation - Trust deed/governing rules

The Applicant attests that the trust deed and governing rules of the superannuation entity comply with s. 29L of the SIS Act and do not contravene Part 6 of the Act

Yes No

The Applicant attests that while an application is pending, if the trust deed or governing rules are varied or revoked and replaced, the Applicant will lodge an up-to-date copy of the trust deed or governing rules with APRA as soon as practicable after the trust deed or governing rules are varied or revoked and replaced.

Yes No

B2 – RSE licensee’s prudential standard requirements

ORFR strategy

Attached

Risk appetite statement

Attached

Risk management strategy

Attached

Business plan – superannuation entity

Attached

Adequacy of resources

Attached

Business continuity plan

Attached

Outsourced material business activities *(provide an additional table where needed)*

| Name of service provider | Role | Offshore | Outsourcing agreement |
|--------------------------|------|-------------------------------------------------------------|-----------------------------------|
| | | Yes <input type="checkbox"/> No <input type="checkbox"/> | Attached <input type="checkbox"/> |
| | | Yes <input type="checkbox"/> No <input type="checkbox"/> | Attached <input type="checkbox"/> |
| | | Yes <input type="checkbox"/> No <input type="checkbox"/> | Attached <input type="checkbox"/> |

Part B continues on the next page



Part B – Likely compliance with SIS Act and prudential standards

B3 - Prudential Standard SPS 160 Defined Benefit Matters *(complete this section if applicable)*

B3.1 - Shortfall limit

Shortfall limit

Attached

B3.2 Attestation – First actuarial investigation

The Applicant attests that an RSE actuary will be appointed and will carry out a first investigation as at the date of establishment of the defined benefit status of the fund.

Yes No

B4 – Prudential Standard SPS 250 Insurance in Superannuation

Insurance strategy

Attached

B5 – Prudential Standard SPS 530 Investment Governance

B5.1 - Investment objectives

Investment objectives – Investment options

Attached

B5.2 - Investment strategy

Investment strategy – proposed RSE/each investment option

Attached

B5.3 - Liquidity management plan

Liquidity management plan

Attached

B6 – Prudential standards – additional matters

Additional matters demonstrating likely compliance with prudential standards

Attached

End of Part B – Likely compliance with SIS Act and prudential standards



Part C – Attestation

The Applicant attests that each of the statements (i) to (ii) in this certificate is true and correct:

(i) Information provided

The Applicant attests that the information provided as part of this application complies with the relevant sections of the SIS Act and the relevant prudential standards.

The Applicant attests to comply with written requests that are given to it by APRA before an RSE registration is granted.

In addition, the Applicant confirms that any changes to the information provided in this application will be provided to APRA as soon as practicable after making the modification.

(ii) Further information

The Applicant acknowledges that APRA may ask for more information and agrees that it will promptly provide any information that APRA reasonably considers is necessary in order for the application to proceed, and in the event that the application is approved.

Body corporate

At least two directors of the body corporate must sign the attestation.

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Part C continues on the next page



Part C – Attestation (continued)

Group of individual trustees

Each trustee in a group of individual trustees must sign the attestation.

(provide an additional attestation if further space is required to accommodate all trustee signatures.)

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Part C continues on the next page



Part C – Attestation (continued)

Notes

Penalties

Applicants should note that giving false or misleading information is a serious offence (see s. 136.1, s. 137.1 and s. 137.2 of the *Criminal Code Act 1995*). Where information is disclosed to APRA as part of this application, APRA may in turn disclose that information in any of the circumstances permitted by s. 56 of the *Australian Prudential Regulation Authority Act 1998*.

There are serious penalties for operating an RSE without being registered by APRA.

Draft RSE registration application

To expedite the registration process, Applicants are strongly encouraged to submit a draft registration form prior to submitting a final application.

Is there a prescribed fee?

There is no application fee for Applicants seeking to register an RSE.

Where to lodge the application form

Australian Prudential Regulation Authority, GPO Box 9836 in all capital cities (except Hobart and Darwin)

End of Form.