



Financial Sector (Collection of Data) (reporting standard) determination No. 7 of 2014

Reporting Standard SRS 520.0 Responsible Persons Information

Financial Sector (Collection of Data) Act 2001

I, Steven Davies, delegate of APRA, under paragraph 13(1)(a) of the *Financial Sector (Collection of Data) Act 2001* (the Act) and subsection 33(3) of the *Acts Interpretation Act 1901*:

- (a) REVOKE Financial Sector (Collection of Data) (reporting standard) determination No. 77 of 2013, including *Reporting Standard SRS 520.0 Responsible Persons Information* made under that Determination; and
- (b) DETERMINE *Reporting Standard SRS 520.0 Responsible Persons Information*, in the form set out in the Schedule, which applies to the financial sector entities to the extent provided in paragraph 3 of the reporting standard.

Under section 15 of the Act, I DECLARE that the reporting standard shall begin to apply to those financial sector entities, and the revoked reporting standard shall cease to apply, on 1 April 2014.

This instrument commences on 1 April 2014.

Dated: 21 March 2014

[Signed]

Steven Davies
General Manager, Statistics

Interpretation

In this Determination:

APRA means the Australian Prudential Regulation Authority.

financial sector entity has the meaning given by section 5 of the Act.

Schedule

Reporting Standard SRS 520.0 Responsible Persons Information comprises the 17 pages commencing on the following page.



Reporting Standard SRS 520.0

Responsible Persons Information

Objective of this Reporting Standard

This Reporting Standard sets out the requirements for the provision of information to APRA relating to the responsible persons of an RSE licensee.

It includes *Form SRF 520.0 Responsible Persons Information* and associated specific instructions and must be read in conjunction with *Prudential Standard SPS 520 Fit and Proper*.

Authority

1. This Reporting Standard is made under section 13 of the *Financial Sector (Collection of Data) Act 2001*.

Purpose

2. Information collected in *Form SRF 520.0 Responsible Persons Information* (SRF 520.0) is used by APRA for the purposes of prudential supervision and publication, including assessing compliance with *Prudential Standard SPS 520 Fit and Proper* (SPS 520).

Application and commencement

3. This Reporting Standard applies to each registrable superannuation entity (RSE) licensee (RSE licensee).
4. This Reporting Standard commences on 1 April 2014.

Forms and method of submission

5. The information required by this Reporting Standard must be given to APRA in electronic format using 'Direct to APRA' application or, where 'Direct to APRA' is not available, by a method notified by APRA, in writing, prior to submission.

Note: the 'Direct to APRA' application software (also known as 'D2A') may be obtained from APRA.

Information required and due dates

6. Subject to paragraph 7, an RSE licensee to which this Reporting Standard applies must provide the information required by this Reporting Standard:
 - (a) within 28 days of the commencement of SPS 520¹;
 - (b) within 14 days of any change or new appointment of a responsible person of the RSE licensee;
 - (c) within 14 days of the RSE licensee assessing that a responsible person is not fit and proper; and
 - (d) in the case of information provided in accordance with paragraph 7, within the time specified by notice in writing.
7. If, having regard to the particular circumstances of an RSE licensee, APRA considers it necessary or desirable to obtain information more or less frequently than as provided by paragraph 6, APRA may, by notice in writing, change the reporting requirements for the particular RSE licensee.
8. APRA may grant, in writing, an RSE licensee an extension of a due date, in which case the new due date for the provision of the information will be the date on the notice of extension.

Quality control

9. The information provided by an RSE licensee under this Reporting Standard must be the product of systems, procedures and internal controls that have been reviewed and tested by an RSE auditor.² This will require the RSE auditor to review and test the RSE licensee's systems, procedures and internal controls designed to enable the RSE licensee to report reliable information to APRA. This review and testing must be done on:
 - (a) an annual basis or more frequently if necessary to enable the RSE auditor to form an opinion on the reliability and accuracy of information; and
 - (b) at least a limited assurance engagement consistent with professional standards and guidance notes issued by the Auditing and Assurance Standards Board as may be amended from time to time, to the extent that they are not inconsistent with the requirements of SPS 310.
10. All information provided by an RSE licensee under this Reporting Standard must be subject to systems, processes and controls developed by the RSE licensee for the internal review and authorisation of that information. It is the responsibility of the Board and senior management of the RSE licensee to ensure that an appropriate set of policies and procedures for the authorisation of information submitted to APRA is in place.

¹ SPS 520 commenced on 1 July 2013.

² Refer also to *Prudential Standard SPS 310 Audit and Related Matters* (SPS 310).

Authorisation

11. When an officer or agent of an RSE licensee provides the information required by this Reporting Standard using the 'Direct to APRA' software, it will be necessary for the officer or agent to digitally sign the relevant information using a digital certificate acceptable to APRA.
12. If the information required by this Reporting Standard is provided by an agent who submits using the 'Direct to APRA' software on the RSE licensee's behalf, the RSE licensee must:
 - (a) obtain from the agent a copy of the completed form with the information provided to APRA; and
 - (b) retain the completed copy.
13. An officer or agent of an RSE licensee who submits the information under this Reporting Standard for, on behalf of, the RSE licensee must be authorised by either:
 - (a) the Chief Executive Officer of the RSE licensee; or
 - (b) the Chief Financial Officer of the RSE licensee.

Variations

14. APRA may, by written notice to an RSE licensee, vary the reporting requirements of SRF 520.0 in relation to that RSE licensee.

Interpretation

15. In this Reporting Standard:

APRA means the Australian Prudential Regulation Authority established under the *Australian Prudential Regulation Authority Act 1998*;

Chief Executive Officer means the chief executive officer of the RSE licensee, by whatever name called, and whether or not he or she is a member of the Board of the RSE licensee³;

Chief Financial Officer means the chief financial officer of the RSE licensee, by whatever name called;

due date means the relevant date under paragraph 6 or, if applicable, paragraph 8;

responsible person has the meaning given in *Prudential Standard SPS 520 Fit and Proper*;

RSE auditor means an auditor appointed by the RSE licensee to perform functions under this Reporting Standard;

RSE licensee has the meaning given in section 10(1) of the SIS Act; and

SIS Act means *Superannuation Industry (Supervision) Act 1993*.

³ Refer to *Prudential Standard SPS 510 Governance*.

SRF 520.0: Responsible Persons Information

Australian Business Number	Institution Name	
Reporting Period	Scale Factor	Reporting Consolidation

1. Responsible persons information - Directors, executive officers and senior managers

1.1 Existing director, executive officer and senior manager employment information

Title (1)	Given name(s) (2)	Family name (3)	Date of birth (4)	Former name(s) (5)

Type of responsible person (6)	Position title (7)	Main responsibilities (8)	Employer name (9)	Associate (10)
Director				Yes
Director (Chair)				No
Executive officer: CEO				
Executive officer: CFO				
Other executive officer				
Secretary				
Senior manager				
Other responsible person				

Responsible person status (11)	Assessed under Fit and Proper Policy (12)	End date (13)	Responsible person - Business phone number (14)	Responsible person - Business email address (15)
Changed	Yes			
Unchanged	No			
No longer acting as a responsible person	Interim			

1.2 New director, executive officer and senior manager employment information

Title (1)	Given name(s) (2)	Family name (3)	Date of birth (4)	Former name(s) (5)

Type of responsible person (6)	Position title (7)	Main responsibilities (8)	Employer name (9)	Associate (10)
Director				Yes
Director (Chair)				No
Executive officer: CEO				
Executive officer: CFO				
Other executive officer				
Secretary				
Senior manager				
Other responsible person				

Assessed under Fit and Proper Policy (11)	Start date (12)	Responsible person - Business phone number (13)	Responsible person - Business email address (14)
Yes			
No			
Interim			

2. Responsible persons information - RSE auditor

2.1 Existing RSE auditor

Title (1)	Given name(s) (2)	Family name (3)	Date of birth (4)	Former name(s) (5)	Organisation name (6)	ABN (7)

Number of RSEs audited (8)	Responsible person status (9)	Assessed under Fit and Proper Policy (10)	End date (11)	Responsible person - Business phone number (12)	Responsible person - Business email address (13)
	Changed	Yes			
	Unchanged	No			
	No longer acting as a responsible person	Interim			

2.2 New RSE auditor

Title (1)	Given name(s) (2)	Family name (3)	Date of birth (4)	Former name(s) (5)	Organisation name (6)	ABN (7)

Number of RSEs audited (8)	Assessed under Fit and Proper Policy (9)	Start date (10)	Responsible person - Business phone number (11)	Responsible person - Business email address (12)
	Yes			
	No			
	Interim			

3. Responsible persons information - RSE actuary

3.1. Existing RSE actuary

Title (1)	Given name(s) (2)	Family name (3)	Date of birth (4)	Former name(s) (5)	Actuarial firm (6)	ABN (7)

Number of RSEs covered by actuary (8)	Number of sub-funds covered by actuary (9)	Responsible person status (10)	Assessed under Fit and Proper Policy (11)	End date (12)	Responsible person - Business phone number (13)	Responsible person - Business email address (14)
		Changed	Yes			
		Unchanged	No			
		No longer acting as a responsible person	Interim			

3.2. New RSE actuary

Title (1)	Given name(s) (2)	Family name (3)	Date of birth (4)	Former name(s) (5)	Actuarial firm (6)	ABN (7)

Number of RSEs covered by actuary (8)	Number of sub-funds covered by actuary (9)	Assessed under Fit and Proper Policy (10)	Start date (11)	Responsible person - Business phone number (12)	Responsible person - Business email address (13)
		Yes			
		No			
		Interim			

4. Notification that a responsible person is no longer fit and proper

Title (1)	Given names (2)	Family name (3)	Date of birth (4)	Position title (5)	Fit and Proper assessment date (6)

5. Address details

5.1. Registered address of the entity

Address Line 1					
Address Line 2					
Suburb		State		Postcode	
Country (applicable if not Australia)					

5.2. Postal address of the entity

Address Line 1					
Address Line 2					
Suburb		State		Postcode	
Country (applicable if not Australia)					

6. Billing contact information

Title (1)	Given names (2)	Family name (3)	Position title (4)	Business phone number (5)	Business email address (6)	Preference to receive invoice (7)
						Mail
						Email

6.1. Address for billing

Address Line 1					
Address Line 2					
Suburb		State		Postcode	
Country (applicable if not Australia)					

7. Crisis management contact details

7.1. Primary crisis management contact

Title (1)	Given name(s) (2)	Family name (3)	Position title (4)	Mobile phone number (5)	Direct phone number (6)	Email (7)

7.2. Secondary crisis management contact

Title (1)	Given name(s) (2)	Family name (3)	Position title (4)	Mobile phone number (5)	Direct phone number (6)	Email (7)

7.3. Recovery site phone number

Reporting Form SRF 520.0

Responsible Persons Information

Instructions

These instructions assist completion of *Reporting Form SRF 520.0 Responsible Persons Information* (SRF 520.0). *Prudential Standard SPS 520 Fit and Proper* (SPS 520) requires an RSE licensee to provide certain information to APRA and to ensure that this information remains correct for all responsible persons. Information reported in SRF 520.0 is required primarily for prudential and publication purposes.

SRF 520.0 and these instructions together comprise the form, and prescribe the procedures, for the purposes of paragraph 48 of SPS 520, for providing the information required by paragraphs 45, 46 and 47 of SPS 520.

Reporting level

SRF 520.0 must be completed for each RSE licensee.

SRF 520.0 must be submitted:

- within 28 days of the commencement of SPS 520 (when complying with paragraph 44);
- within 14 days of any change or new appointment of a responsible person (when complying with paragraph 45); and
- within 14 days of an RSE licensee assessing that a responsible person is not fit and proper (when complying with paragraph 46).

SRF 520.0 does not need to be completed in full when submitting information in the three situations listed above. In each situation, SRF 520.0 must be completed only to the extent necessary to comply with the relevant paragraph of SPS 520.

An RSE licensee may use the annual form to correct and update the information they have provided to APRA for this purpose by resubmitting the form through D2A.

Reporting basis and unit of measurement

Report all items on SRF 520.0 in accordance with the Australian Accounting Standards unless otherwise specified.

Items on SRF 520.0 must be reported as at the end of the reporting period.

Items on SRF 520.0 are to be reported as text, whole numbers and dates as DD/MM/YYYY.

These instructions specify the unit of measurement that applies to each item.

Specific instructions

Terms highlighted in *bold italics* indicate that the definition is provided in these instructions.

Responsible persons information - Existing directors, executive officers and senior managers

Item 1.1 collects all existing responsible persons that are directors, executive officers or senior managers of the RSE licensee at the time of submission of SRF 520.0, or have ceased to be a responsible person during the reporting period.

Unit of measurement: report dates in item 1.1 column 4 and item 1.1 column 13 as DD/MM/YYYY.

<p>Item 1.1</p>	<p>Report each responsible person as a separate line in item 1.1. If a responsible person is serving as chairperson on the Board, report that responsible person as <i>director (chair)</i> and <i>director</i> on two separate lines in item 1.1.</p> <p>For each responsible person, report:</p> <ul style="list-style-type: none"> • the title in column 1, the given name(s) in column 2, the family name or surname in column 3, the date of birth in column 4 and the former name(s), if any in column 5; • the type of responsible person in column 6. If the type of responsible person reported in column 6 is <i>other executive officer</i>, <i>senior manager</i> or <i>other responsible person</i>, report the <i>position title</i> of the <i>responsible person</i> in column 7; otherwise, leave blank; • if the type of responsible person reported in column 6 is <i>other executive officer</i>, <i>senior manager</i> or <i>other responsible person</i>, report a brief description of the main responsibilities of the responsible person in column 8; otherwise, leave blank; • the employer in column 9. The employer may be the RSE licensee or may be another entity; • if the employer is the RSE licensee or is an associate of the RSE licensee report 'yes' in column 10, otherwise report 'no'; • the responsible person status in column 11; • if the responsible person has been <i>assessed under the fit and proper policy</i>, report 'yes' in column 12. If a person holding a responsible person position on an interim basis has not yet been <i>assessed under the fit and proper policy</i>, report 'interim' in column 12; otherwise, report 'no'; • if 'no longer acting as a responsible person' is reported in column 11, report the date that an individual ceased to hold the responsible person position in column 13. If the individual has not ceased holding the responsible person position, leave column 13 blank; and • the business phone number in column 14 and business email address
------------------------	---

	<p>in column 15.</p> <p>The types of responsible person are a <i>director</i>, <i>director (Chair)</i>, <i>executive officer (CEO)</i>, <i>executive officer (CFO)</i>, <i>other executive officer</i>, <i>senior manager</i>, <i>secretary</i> or <i>other responsible person</i>. For the purposes of this instruction guide, a reference to ‘a director’ is, in the case of a group of individual trustees, an individual trustee. An alternate director must be reported as a director. Do not include responsible persons who are the RSE auditor or RSE actuary in item 1.1.</p> <p>The types of responsible person status are: ‘changed’, ‘unchanged’ or ‘no longer acting as a responsible person’:</p> <ul style="list-style-type: none"> • if all information about an existing responsible person reported in item 1.1 column 1 to column 10 inclusive, column 12, column 14 and column 15 remains unchanged, report the status as ‘unchanged’; • if the existing responsible person is no longer a responsible person, report the status as ‘no longer acting as a responsible person’; and • if any information about an existing responsible person reported in item 1.1 column 1 to column 10 inclusive, column 12, column 14 and column 15 has changed, report the status as ‘changed’.
Position title	Represents the employment position title of an individual.
Director	Represents a director of an RSE licensee, within the meaning given in s. 10(1) of the SIS Act. A reference to ‘a director’ is, in the case of a group of individual trustees, an individual trustee.
Director (Chair)	Represents a director of an RSE licensee, within the meaning given in s. 10(1) of the SIS Act, who is serving as chairperson of the Board.
Executive officer (CEO)	Represents an executive officer (within the meaning given in s. 10(1) of the SIS Act) who is appointed to undertake the responsibilities of the Chief Executive Officer of the RSE licensee, howsoever named.
Executive officer (CFO)	Represents an executive officer (within the meaning given in s. 10(1) of the SIS Act) who is appointed to undertake the responsibilities of the Chief Financial Officer of the RSE licensee, howsoever named.
Secretary	Represents a person acting as a secretary of the RSE licensee.
Senior manager	Represents a person undertaking the responsibilities of a senior manager within the meaning given in <i>Prudential Standard SPS 520 Fit and Proper</i> .
Assessed under Fit and Proper policy	Represents whether a newly appointed responsible person has been assessed under the entity's fit and proper policy. Reference: <i>Prudential Standard SPS 520 Fit and Proper</i> .

Responsible persons information - New directors, executive officers and senior managers

Item 1.2 collects all new responsible persons that are directors, executive officers or senior managers of the RSE licensee at the time of submission of SRF 520.0.

Unit of measurement: report dates in item 1.2 column 4 and item 1.2 column 12 as DD/MM/YYYY.

<p>Item 1.2</p>	<p>Report each responsible person as a separate line in item 1.2. If a responsible person is serving as chairperson on the Board, report that responsible person as Director (Chair) and director on two separate lines in item 1.2.</p> <p>For each responsible person, report:</p> <ul style="list-style-type: none"> • the title in column 1, the given name(s) in column 2, the family name or surname in column 3, the date of birth in column 4 and the former name(s), if any in column 5; • the type of responsible person in column 6. If the type of responsible person reported in column 6 is other executive officer, senior manager or other responsible person, report the position title of the responsible person in column 7; otherwise, leave blank; • if the type of responsible person reported in column 6 is other executive officer, senior manager or other responsible person, report a brief description of the main responsibilities of the responsible person in column 8; otherwise, leave blank; • the employer in column 9. The employer may be the RSE licensee or may be another entity; and • if the employer is the RSE licensee or an associate of the RSE licensee report ‘yes’ in column 10, otherwise report ‘no’; • if the responsible person has been assessed under the fit and proper policy, report ‘yes’ in column 11. If a person holding a responsible person position on an interim basis has not yet been assessed under the fit and proper policy, report ‘interim’ in column 11; otherwise, report ‘no’; • the date that the individual commenced in the responsible person position in column 12; and • the business phone number in column 13 and business email address in column 14. <p>The types of responsible person are a director, director (Chair), executive officer (CEO), executive officer (CFO), other executive officer, senior manager, secretary or other responsible person. For the purposes of this instruction guide, a reference to ‘a director’ is, in the case of a group of individual trustees, an individual trustee. An alternate director must be reported as a director. Do not include responsible persons who are the RSE auditor or RSE actuary in item 1.2.</p>
------------------------	--

Responsible persons information – Existing RSE auditor details

Item 2.1 collects information about the RSE licensee's current RSE auditor(s) and RSE auditor(s) that ceased during the reporting period.

Unit of measurement: report dates in item 2.1 column 4 and column 11 as DD/MM/YYYY; report item 2.1 column 8 as a whole number.

<p>Item 2.1</p>	<p>Report each RSE auditor appointed by the RSE licensee as a separate line in item 2.</p> <p>For each RSE auditor, report:</p> <ul style="list-style-type: none"> • the title in column 1, the given name(s) in column 2, the family name or surname in column 3, the date of birth in column 4 and former name(s), if any, in column 5; • name of the organisation which employs the RSE auditor in column 6; • <i>ABN</i> of the organisation which employs the RSE auditor in column 7; • number of RSEs within an RSE licensee's business operations that the RSE auditor is appointed to audit in column 8; • the responsible person status in column 9; • if the RSE auditor has been assessed under the fit and proper policy, report 'yes' in column 10. If RSE auditor appointed on an interim basis has not yet been assessed under the fit and proper policy, report 'interim' in column 10; otherwise, report 'no'. • if 'no longer acting as a responsible person' is reported in column 9, report the date that the RSE auditor ceased to hold the responsible person position in column 11; if 'changed' or 'unchanged' is reported in column 9, leave column 11 blank; and • the business phone number in column 12 and business email address in column 13. <p>The types of responsible person status are: 'changed', 'unchanged', 'no longer acting as a responsible person' or 'new responsible person':</p> <ul style="list-style-type: none"> • if all information about an existing responsible person remains unchanged, report the status as 'unchanged'; • if the existing responsible person is no longer a responsible person, report the status as 'no longer acting as a responsible person'; and • if any information about an existing responsible person reported in item 2.1 column 1 to column 8 inclusive, column 10, column 12 and column 13 has changed, report the status as 'changed'.
<p><i>ABN</i></p>	<p>Represents a unique public identifier issued to an entity registered in the Australian Business Register to be used in dealings with government. A company registered under the <i>Corporations Act 2001</i> or a business entity carrying on an enterprise in Australia is entitled to an ABN.</p>

Responsible persons information – New RSE auditor details

Item 2.2 collects information about the RSE licensee’s newly appointed RSE auditor(s).

Unit of measurement: report dates in item 2.2 column 4 and column 10 as DD/MM/YYYY; report item 2.2 column 8 as a whole number.

Item 2.2	<p>Report each new RSE auditor appointed by the RSE licensee during the reporting period as a separate line in item 2.2.</p> <p>For each RSE auditor, report:</p> <ul style="list-style-type: none"> • the title in column 1, the given name(s) in column 2, the family name or surname in column 3, the date of birth in column 4 and former name(s), if any, in column 5; • name of the organisation which employs the RSE auditor in column 6; • <i>ABN</i> of the organisation which employs the RSE auditor in column 7; • number of RSEs within an RSE licensee’s business operations that the RSE auditor is appointed to audit in column 8; • if the RSE auditor has been assessed under the fit and proper policy, report ‘yes’ in column 9. If RSE auditor appointed on an interim basis has not yet been assessed under the fit and proper policy, report ‘interim’ in column 9; otherwise, report ‘no’; • the date that the RSE auditor commenced in the responsible person position in column 10; • the business phone number in column 11 and business email address in column 12.
-----------------	---

Responsible persons information – Existing RSE actuary details

Item 3.1 collects about the RSE licensee’s current RSE actuary or actuaries and any RSE actuary who has ceased during the reporting period.

Unit of measurement: report dates in item 3.1 column 4 and column 12 as DD/MM/YYYY; report item 3.1 column 8 and column 9 as whole numbers.

Item 3.1	<p>Report each RSE actuary appointed by the RSE licensee as a separate line in item 3.1.</p> <p>For each RSE actuary, report:</p> <ul style="list-style-type: none"> • the title in column 1, the given name(s) in column 2, the family name or surname in column 3, the date of birth in column 4 and the former name(s), if any, in column 5; • name of the organisation which employs the RSE actuary in column 6; • <i>ABN</i> of the organisation which employs the RSE actuary in column 7; • number of RSEs within the RSE licensee’s business operations to which the RSE actuary is appointed to provide actuarial services in
-----------------	---

	<p>column 8;</p> <ul style="list-style-type: none"> • number of sub-funds within the RSE licensee’s business operations to which the RSE actuary is appointed to provide actuarial services in column 9. If there are no sub-funds within any RSEs within the RSE licensee’s business operations, report ‘0’ in column 9; • the responsible person status in column 10; • if the RSE actuary has been assessed under the fit and proper policy, report ‘yes’ in column 11; if RSE actuary appointed on an interim basis has not yet been assessed under the fit and proper policy, report ‘interim’ in column 11; otherwise, report ‘no’; • if ‘no longer acting as a responsible person’ is reported in column 10, report the date that the RSE actuary ceased to hold the responsible person position in column 12; if ‘existing responsible person’, ‘unchanged’ or ‘new responsible person’ is reported in column 10, leave column 12 blank; and • the business phone number in column 13 and business email address in column 14. <p>The types of responsible person status are: ‘changed’, ‘unchanged’ or ‘no longer acting as a responsible person’:</p> <ul style="list-style-type: none"> • if all information about an existing responsible person reported in item 3.1 column 1 to column 9 inclusive, column 11, column 13 and column 14 remains unchanged, report the status as ‘unchanged’; • if the existing responsible person is no longer a responsible person, report the status as ‘no longer acting as a responsible person’; and • if any information about an existing responsible person reported in item 3.1 column 1 to column 9 inclusive, column 11, column 13 and column 14 has changed, report the status as ‘changed’.
--	---

Responsible persons information – New RSE actuary details

Item 3.2 collects about the RSE licensee’s newly appointed RSE actuary or actuaries.

Unit of measurement: report dates in item 3.2 column 4 and column 11 as DD/MM/YYYY; report item 3.2 column 8 and column 9 as whole numbers.

Item 3.2	<p>Report each RSE actuary newly appointed by the RSE licensee during the reporting period as a separate line in item 3.2.</p> <p>For each RSE actuary, report</p> <ul style="list-style-type: none"> • the title in column 1, the given name(s) in column 2, the family name or surname in column 3, the date of birth in column 4 and the former name(s), if any, in column 5; • name of the organisation which employs the RSE actuary in column 6; • <i>ABN</i> of the organisation which employs the RSE actuary in column 7;
-----------------	---

	<ul style="list-style-type: none"> • number of RSEs within the RSE licensee’s business operations to which the RSE actuary is appointed to provide actuarial services in column 8; • number of sub-funds within the RSE licensee’s business operations to which the RSE actuary is appointed to provide actuarial services in column 9. If there are no sub-funds within any RSEs within the RSE licensee’s business operations, report ‘0’ in column 9; • if the RSE actuary has been assessed under the fit and proper policy, report ‘yes’ in column 10; if RSE actuary appointed on an interim basis has not yet been assessed under the fit and proper policy, report ‘interim’ in column 10; otherwise, report ‘no’; • the date that the RSE actuary commenced in the responsible person position in column 11; and • the business phone number in column 12 and business email address in column 13.
--	--

Notification that a responsible person is no longer fit and proper

Item 4 collects certain information about where a responsible person is no longer fit and proper.

Unit of measurement: report dates in column 4 and column 6 as DD/MM/YYYY.

Item 4	<p>Report the title of the responsible person in column 1.</p> <p>Report the given name(s) of the responsible person in column 2.</p> <p>Report the family name or surname of the responsible person in column 3.</p> <p>Report the date of birth of the responsible person in column 4.</p> <p>Report the <i>position title</i> of the responsible person in column 5.</p> <p>Report the date that the responsible person was assessed as being no longer fit and proper in column 6.</p>
---------------	--

Address details

Item 5 collects an RSE licensee’s address.

Item 5	Report address line 1, address line 2, suburb, state and postcode, in item 5.1 and item 5.2 respectively. For item 5.1 this must be a street address.
<i>Registered address of the RSE licensee</i>	Represents the registered address of the RSE licensee
<i>Postal address of the RSE licensee</i>	Represents the postal address of the RSE licensee

Billing contact information

Item 6 collects information about an RSE licensee's billing contact person.

Item 6	<p>For item 6, report the title of the billing contact person in column 1, the given name(s) of the billing contact person in column 2, the family name or surname of the billing contact person in column 3, the position title of the billing contact person in column 4, the business phone number for the billing contact person in column 5, the business email address for the billing contact person in column 6 and whether the billing contact person prefers to receive the invoice by mail or email, in column 7.</p> <p>Report address line 1, address line 2, suburb, state and postcode of the address to which invoices are to be sent in item 6.1.</p>
---------------	--

Crisis management contact details

Item 7 collects an RSE licensee's primary and secondary crisis management contact person.

Item 7	<p>Report the details of the primary crisis management contact person in item 7.1 and the details of the crisis management secondary contact person in item 7.2.</p> <p>For the contact person, report in item 7.1 and item 7.2: title in column 1, given name(s) in column 2, the family name or surname in column 3, the <i>position title</i> in column 4, mobile phone number in column 5, direct phone number in column 6 and email address in column 7.</p> <p>Report the phone number for the recovery site in item 7.3.</p>
Crisis management contact	Represents the individual nominated to be a contact person in the event of a crisis in accordance with the requirements in <i>Prudential Standard SPS 232 Business Continuity Management</i> .
Recovery site	Represents the location nominated as the recovery site as defined in <i>Prudential Standard SPS 232 Business Continuity Management</i> .

Interpretation

For the purposes of these instructions:

- **responsible person** has the meaning given in *Prudential Standard SPS 520 Fit and Proper*;
- **RSE actuary** means an actuary appointed by the RSE licensee to perform functions in relation to its business operations;
- **RSE auditor** means an auditor appointed by the RSE licensee to perform functions within its business operations;
- **RSE licensee** has the meaning given in section 10(1) of the SIS Act;

- **SIS Act** means *Superannuation Industry (Supervision) Act 1993*; and
- **sub-fund** means a defined benefit sub-fund within the meaning given in *Prudential Standard SPS 160 Defined Benefit Matters*.