



Application form

Variation of RSE licence

Paragraph 29F(2)(a) of the *Superannuation Industry (Supervision) Act 1993*

Details of RSE licensee

1. Name of RSE licensee

2. Address of RSE licensee(s)
Address

3. RSE licence number

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4. RSE licence class

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5. Identify funds with ABN under trusteeship of RSE licensee
(If insufficient space provided, please attach full list)

Name

ABN

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Type of entity

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Application form continues on the next page

Office use only.

D	D	M	M	Y	Y	Y	Y



Details of RSE licensee (continued)

Name	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
ABN	<input type="text"/>
Type of entity	<input type="text"/>
Name	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
ABN	<input type="text"/>
Type of entity	<input type="text"/>

Type of variation

6. Is the application made in respect to a variation or revocation of a condition imposed on the RSE licence under section 29EA of the *Superannuation Industry (Supervision) Act 1993* (the SIS Act)?
- Yes No *Please specify details at 11.*
7. Is the application made in respect to a variation of the RSE licence class?
- Yes No *Please specify details at 11.*
8. If the application is made in respect to a variation of RSE licence class, is the application fee attached?
- Yes No

Please note that an Application for variation of RSE licence class cannot be processed by APRA unless the application is accompanied by payment of the relevant fee. The prescribed Schedule of Fees is contained in the *Superannuation Industry (Supervision) Amendment Regulations 2004* and may be viewed on the superannuation licensing website at www.apra.gov.au - superannuation licensing.

Application form continues on the next page



AFS licensee only

9. Is RSE licensee an AFS licensee? Yes No

10. If yes, provide the following:

AFS licence number

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Copy of AFS licence Attached

Where the RSE licensee is also an AFS licensee, pursuant to paragraph 29FC(2)(c) of the SIS Act,

- (i) APRA must consult ASIC before varying the RSE licence so that it is an RSE licence of a different class, if, in APRA's opinion, the variation might reasonably be expected to affect that RSE licensee's ability to provide one or more of the financial services (within the meaning of the *Corporations Act 2001*) that the RSE licensee provides; and
- (ii) APRA must consult ASIC before varying or revoking a condition that, in APRA's opinion, might reasonably be expected to affect the RSE licensee's ability to provide one or more of the financial services (within the meaning of the *Corporations Act 2001*) that the RSE licensee provides; and
- (iii) APRA must consult ASIC before varying a condition so that it would, in APRA's opinion, become a condition that might reasonably be expected to have an effect as described in subparagraph (ii).

11. Detail reasons for seeking variation of RSE licence class, or variation or revocation of a condition on RSE licence. If insufficient space is provided, please attach further submission (including all relevant documents).

Application form continues on the next page



Signatures

Both applicants must sign.

If trustee is a body corporate, at least two directors to sign.

If trustee is a group of individual trustees, all individual trustee to sign.

Name

Capacity

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Signature

SIGNATURE IN HERE

Date

D	D		M	M		Y	Y	Y	Y
		/		/					

Name

Capacity

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Signature

SIGNATURE IN HERE

Date

D	D		M	M		Y	Y	Y	Y
		/		/					

Name

Capacity

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Signature

SIGNATURE IN HERE



Date

D	D	/	M	M	/	Y	Y	Y	Y

Name

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Capacity

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Signature

SIGNATURE IN HERE

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Date

D	D	/	M	M	/	Y	Y	Y	Y

Name

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Capacity

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Signature

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Date

D	D	/	M	M	/	Y	Y	Y	Y

Name

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Capacity

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Signature

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Date

D	D	/	M	M	/	Y	Y	Y	Y

Application form continues on the next page



Name

[Grid for Name: 4 rows of 26 boxes each]

Capacity

[Grid for Capacity: 1 row of 26 boxes]

Signature

SIGNATURE IN HERE

[Signature box]

Date

D D M M Y Y Y Y
[Date grid: 2 boxes, /, 2 boxes, /, 4 boxes]

Name

[Grid for Name: 4 rows of 26 boxes each]

Capacity

[Grid for Capacity: 1 row of 26 boxes]

Signature

SIGNATURE IN HERE

[Signature box]

Date

D D M M Y Y Y Y
[Date grid: 2 boxes, /, 2 boxes, /, 4 boxes]

Name

[Grid for Name: 4 rows of 26 boxes each]

Capacity

[Grid for Capacity: 1 row of 26 boxes]

Signature

SIGNATURE IN HERE

[Signature box]

Date

D D M M Y Y Y Y
[Date grid: 2 boxes, /, 2 boxes, /, 4 boxes]

Name

[Grid for Name: 4 rows of 26 boxes each]

Capacity

[Grid for Capacity: 1 row of 26 boxes]

Signature

SIGNATURE IN HERE

[Signature box]

Date

D D M M Y Y Y Y
[Date grid: 2 boxes, /, 2 boxes, /, 4 boxes]



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*.

Is there a prescribed fee?

Applicants seeking a variation of an RSE licence are required to pay the appropriate fee. The Schedule of Fees as stipulated in r. 3A06 of the Regulations are dependant on the type of variation the applicant is seeking.

The Schedule of Fees is available on APRA's website.

Where to lodge Application for variation

Australian Prudential Regulation Authority
Level 12
1 Martin Place
SYDNEY NSW 2000

GPO Box 9836
SYDNEY NSW 2000

End of form.