**ATTACHMENT**

**Applications for relief - r. 6.37**

In order to assess an application for relief, or a variation of relief granted, under r. 6.37 of the SIS Regulations, APRA requires the following information.

Based on the information received, APRA may request further information if necessary to assess whether the criteria for relief under r. 6.37 are made out.

| **No.** | **Question** | **Response Required** |
| --- | --- | --- |
| **1** | Full name and ABN of the registrable superannuation entity (RSE) for which the Trustee is applying for relief |  |
| **2** | Copy of APRA instrument(s) Trustee is applying to vary | *(Copy to be provided, where relevant)* |
| **3** | **For each affected investment option in the RSE** | |
| **3.1** | Full name of the investment option that has become illiquid |  |
| **3.2** | Reason(s) the option has become illiquid, including details of downstream investments that have caused or contributed to the illiquidity (e.g. percentage of investment option they represent) |  |
| **3.3** | Name and ARSN of the downstream investment (e.g. managed investment scheme) |  |
| **3.4** | Name and Exchange Code (e.g ASX, NZX) of any listed security |  |
| **3.5** | Current status of the investment/downstream investment (i.e. change of withdrawal offer, frozen, temporarily closed, restructure etc) and the period of time that applies to redemptions |  |
| **3.6** | Date and copy of each update (including letters to investors and relevant investment updates referring to the illiquid status) provided by each Fund Manager to the Trustee since the redemption policy was changed | (*Copy to be provided)* |
| **4** | **Funds wholly invested in life policies** | |
| **4.1** | Name of each life policy the fund is invested in |  |
| **4.2** | Copy of each life policy  (**Note:** *If the life policy has been amended since the previous application for relief, an updated copy of the life policy needs to be provided)* | *(Copy to be provided, if not already provided in a previous application)* |
| **4.3** | Details of the provision the Life Insurer is relying upon in relation to the timing of redemption applications |  |
| **4.4** | Confirmation of which life policy pension members are invested in |  |
| **4.5** | Copy of each notification the Trustee has received from the Life Insurer in relation to the illiquid option |  |
| **4.6** | Details of any different arrangements in place for payments to pension members from illiquid investments |  |
| **5** | **Funds wholly invested in pooled superannuation trusts (PSTs):** | |
| **5.1** | Name and ABN of PST |  |
| **5.2** | Copy of the governing rules of the PST  (**Note:** *If the governing rules have been amended since the previous application for relief, an updated copy of the governing rules needs to be provided)* | *(Copy to be provided, if not already provided in a previous application)* |
| **5.3** | Details of the provision the PST is relying upon in relation to the timing of redemption applications |  |
| **5.4** | Copy of each notification the Trustee has received from the PST in relation to the illiquid option |  |
| **5.5** | Details of any different arrangements in place for payments to pension members from illiquid investments |  |
| **6** | **Withdrawal Application and Member details** | |
| **6.1** | Period of time for which a suspension or variation of portability requirements is requested and reasons why |  |
| **6.2** | Number and dollar value of unprocessed withdrawal/redemption requests for the investment option |  |
| **6.3** | Number of members (or investor accounts) in the illiquid option and the percentage of total fund members they represent |  |
| **6.4** | Number of members currently receiving pension payments included in the previous number |  |
| **6.5** | Amount invested in illiquid option in dollars and as a percentage of total fund assets |  |
| **6.6** | Where available, the concentration of member in general, and pensioner member, investments in the illiquid option (as a percentage of individual member’s total benefits in the fund) |  |
| **6.7** | How the trustee is dealing with pension payments for members with investments in affected options |  |
| **6.8** | Number of members and pension members that are 100% invested in the illiquid options |  |
| **6.9** | Information on the nature and timing of communication already undertaken (e.g. copy of any significant event notice(s) issued), or proposed, by the trustee to directly affected members and members of the fund as a whole |  |