

Entry Page - All Industries



Breach Notification Form

By completing this online form you are lodging a breach notification by e-mail with the *Australian Prudential Regulation Authority (APRA)* under one the following Acts (as applicable):

- s. 29JA of the *Superannuation Industry (Supervision) Act 1993*
- s. 131A of the *Life Insurance Act 1995*
- s. 49A of the *Insurance Act 1973*
- s. 62A of the *Banking Act 1959*
- s. 912D of the *Corporations Act 2001*

By using the online form, you also have the ability to nominate for APRA to send a copy of this notification form to notify *the Australian Securities and Investments Commission (ASIC)* of the breach. APRA will be acting as ASIC's agent for the purpose of collecting these breach reports for ASIC and forwarding them to ASIC.

APRA will acknowledge receipt of this breach notification and, where the entity has nominated for ASIC to be notified, will forward a copy of the form to ASIC at the time of receipt by APRA.

APRA encourages regulated institutions to use the online form as a means of effectively advising the regulator(s) of breaches when they occur. Some of the questions contained in the online form are pre-filled with information available from APRA's records as identified by your ABN.

Online Breach Notification Form

Please complete the following information about the breach notification

Please enter your ABN

Instructions

Please refer to the instructions for completing this form

Please call the APRA Contact Centre on 1300 13 10 60 if you have any queries or issues with using the form.

Facsimile or Email

If you wish to lodge a breach notification to APRA by facsimile or mail, you may use the word version of this form (see below). See the list of [APRA offices](#) to send a breach notification to. Please note that if you do not lodge the breach notification using the online form you will need to, if applicable, separately notify ASIC of the breach.

- [pdf version](#) (with instructions) or
- [word version](#) (without instructions)

ADI tailored form

(a) Approved Deposit-Taking Institutions (ADI) form

Online Breach Notification Form	
* Please complete the following information about the breach notification	
ABN:	[ABN prefilled]
Regulated institution's name:	[name of institution pre-filled]
Date breach occurred:	[date]
Date regulated institution became aware:	[date]
Estimated number of members/policyholders/depositors/clients affected -	[free text]
Estimate of \$dollar amount involved:	\$ [free text]
Who is the regulated institution lodging this notification with?	<input type="radio"/> APRA only <input type="radio"/> APRA and ASIC
Will the regulated institution be separately notifying ASIC? <i>(NB: this only appears if 'APRA only' selection made)</i>	<input type="radio"/> Yes <input type="radio"/> No

Breach Notification Details

Please select the condition and/or legislative requirements breached

Condition Requirements	
* Please select <u>one</u> of the following (if applicable):	
<input type="radio"/> APRA authority <input type="radio"/> AFS Licence	[free text] [drop down]
Legislative Requirements	
* Please select <u>one or more</u> of the following:	
<input type="radio"/> Banking Act 1959	[free text]
<input type="radio"/> Banking Regulations 1959	[free text]
<input type="radio"/> ADI Prudential Standards	[drop down menu]
<input type="radio"/> Corporations Act 2001	[free text]
<input type="radio"/> Corporations Regulations 2001	[free text]
<input type="radio"/> ASIC Act 2001	[free text]
<input type="radio"/> Retirement Savings Accounts Act 1997	[free text]
<input type="radio"/> Financial Sector (Shareholdings) Act 1998	[free text]
<input type="radio"/> Financial Sector (Business Transfer and Group Restructure) Act 1999	[free text]
<input type="radio"/> Financial Sector (Collection of Data) Act 2001	(no selection required)
<input type="radio"/> Financial Institutions Supervisory Levies Act 1998	(no selection required)

ADI tailored form

<p>Category of Breach</p> <p>* Please select one of the following categories that best describes the nature of the breach:</p>
[drop down menu]
<p>Financial Service Sector</p> <p>* Please select one of the following sectors that best describes the financial services the breach relates to: <i>(This section only appears if 'APRA and ASIC' selection made as it is info for ASIC)</i></p>
[drop down menu]

<p>Nature and Impact of Breach</p> <p>* Please set out in 300 characters or less the nature and impact of the breach (including details on the effect on members/policyholder/depositors/clients and how the breach was identified) – additional documents can be attached if necessary (see below).</p>
[free text]

<p>Rectification Steps Taken</p> <p>* Please set out in 300 characters or less the rectification action already undertaken and/or proposed action - additional documents can be attached if necessary (see below).</p>
[free text]

<p>Contact Details</p> <p>* Please complete the following information. APRA can only accept online breach notifications from the nominated list of responsible officers provided and where APRA has the email address details of the responsible officer lodging this breach notification. A verification email will be sent to the responsible officer for confirmation before APRA will accept this online breach notification.</p>	
Name of Contact Person submitting breach notification:	[drop down menu]
Position held with regulated institution:	[free text]

<p>Attachments</p> <p>Please attach additional documents if necessary.</p>
Attach a file: <input type="text"/> <input type="button" value="Browse"/> <i>(ZIP files only)</i>

<p>* Mandatory information</p> <p style="text-align: right;"><input type="button" value="Clear"/> <input type="button" value="Submit"/></p> <p>When you click on 'Submit', a verification email will be sent to the nominated Contact Person so they can verify the information in the form and lodge the form with APRA. APRA will automatically acknowledge receipt of the online breach notification form once the form is verified. A separate acknowledgement email will be sent to the Contact Person containing a copy of the completed form, and an APRA ID reference number, as their record of the breach notification. A copy of the verified form will also be sent to ASIC if the regulated institution has nominated for this to happen.</p>

General Insurance tailored form

(b) General Insurance form

Online Breach Notification Form	
* Please complete the following information about the breach notification	
ABN:	[ABN prefilled]
Regulated institution name:	[name of institution pre-filled]
Date breach occurred:	[date]
Date regulated institution became aware:	[date]
Estimated number of members/policyholders/depositors/clients affected:	[free text]
Estimate of \$dollar amount involved:	\$ [free text]
Who is the regulated institution lodging this notification with?	<input type="radio"/> APRA only <input type="radio"/> APRA and ASIC
Will the regulated institution be separately notifying ASIC? <i>(NB: this only appears if 'APRA only' selection made)</i>	<input type="radio"/> Yes <input type="radio"/> No

Breach Notification Details

Please select the condition and/or legislative requirements breached

Condition Requirements	
* Please select <u>one</u> of the following (if applicable):	
<input type="radio"/> APRA authority <input type="radio"/> AFS Licence	[free text] [drop down menu]
Legislative Requirements	
* Please select <u>one or more</u> of the following:	
<input type="radio"/> Insurance Act 1973	[free text]
<input type="radio"/> Insurance Regulations 1973	[free text]
<input type="radio"/> General Insurance Prudential Standards	[drop down menu]
<input type="radio"/> Corporations Act 2001	[free text]
<input type="radio"/> Corporations Regulations 2001	[free text]
<input type="radio"/> ASIC Act 2001	[free text]
<input type="radio"/> Insurance Contracts Act 1984	[free text]
<input type="radio"/> Insurance Acquisitions and Takeovers Act 1991	[free text]
<input type="radio"/> Financial Sector (Shareholdings) Act 1998	[free text]
<input type="radio"/> Financial Sector (Business Transfer and Group Restructure) Act 1999	[free text]
<input type="radio"/> Financial Sector (Collection of Data) Act 2001	<i>(no selection required)</i>
<input type="radio"/> Financial Institutions Supervisory Levies Act 1998	<i>(no selection required)</i>

General Insurance tailored form

Category of Breach

* Please select one of the following categories that best describes the nature of the breach:

[drop down menu]

Financial Service Sector

* Please select one of the following sectors that best describes the financial services the breach relates to: *(This section only appears if 'APRA and ASIC' selection made as it is info for ASIC)*

[drop down menu]

Nature and Impact of Breach

* Please set out in 300 characters or less the nature and impact of the breach (including details on the effect on members/policyholder/depositors/clients and how the breach was identified) – additional documents can be attached if necessary (see below).

[free text]

Rectification Steps Taken

* Please set out in 300 characters or less the rectification action already undertaken and/or proposed action - additional documents can be attached if necessary (see below).

[free text]

Contact Details

* Please complete the following information. APRA can only accept online breach notifications from the nominated list of responsible officers provided and where APRA has the email address details of the responsible officer lodging this breach notification. A verification email will be sent to the responsible officer for confirmation before APRA will accept this online breach notification.

Name of Contact Person submitting breach notification:

[drop down menu]

Position held with regulated institution:

[free text]

Attachments

Please attach additional documents if necessary.

Attach a file:
(ZIP files only)

*** Mandatory information**

When you click on 'Submit', a verification email will be sent to the nominated Contact Person so they can verify the information in the form and lodge the form with APRA. APRA will automatically acknowledge receipt of the online breach notification form once the form is verified. A separate acknowledgement email will be sent to the Contact Person containing a copy of the completed form, and an APRA ID reference number, as their record of the breach notification. A copy of the verified form will also be sent to ASIC if the regulated institution has nominated for this to happen.

Life Insurance & Friendly Society tailored form

(c) Life Insurance form

Online Breach Notification Form	
* Please complete the following information about the breach notification	
ABN:	[ABN pre-filled]
Regulated institution name:	[name of institution pre-filled]
Date breach occurred:	[date]
Date regulated institution became aware:	[date]
Estimated number of members/policyholders/depositors/clients affected:	[free text]
Estimate of \$dollar amount involved:	\$ [free text]
Who is the regulated institution lodging this notification with?	<input type="radio"/> APRA only <input type="radio"/> APRA and ASIC
Will the regulated institution be separately notifying ASIC? <i>(NB: this only appears if 'APRA only' selection made)</i>	<input type="radio"/> Yes <input type="radio"/> No

Breach Notification Details

Please select the condition and/or legislative requirements breached

Condition requirements	
* Please select <u>one</u> of the following (if applicable):	
<input type="radio"/> APRA authority <input type="radio"/> AFS Licence	[free text] [drop down menu]
Legislative Requirements	
* Please select <u>one or more</u> of the following:	
<input type="radio"/> Life Insurance Act 1995	[free text]
<input type="radio"/> Life Insurance Regulations 1995	[free text]
<input type="radio"/> Life Insurance Prudential Standards	[drop down menu]
<input type="radio"/> Life Insurance Prudential Rules	[drop down menu]
<input type="radio"/> Corporations Act 2001	[free text]
<input type="radio"/> Corporations Regulations 2001	[free text]
<input type="radio"/> ASIC Act 2001	[free text]
<input type="radio"/> Retirement Savings Accounts Act 1997	[free text]
<input type="radio"/> Insurance Contracts Act 1984	[free text]
<input type="radio"/> Insurance Acquisitions and Takeovers Act 1991	[free text]
<input type="radio"/> Financial Sector (Shareholdings) Act 1998	[free text]
<input type="radio"/> Financial Sector (Business Transfer and Group Restructure) Act 1999	[free text]
<input type="radio"/> Financial Sector (Collection of Data) Act 2001	(no selection required)
<input type="radio"/> Financial Institutions Supervisory Levies Act 1998	(no selection required)

Category of Breach * Please select one of the following categories that best describes the nature of the breach:
[drop down menu]
Financial Service Sector * Please select one of the following sectors that best describes the financial services the breach relates to: <i>(This section only appears if 'APRA and ASIC' selection made as it is info for ASIC)</i>
[drop down menu]

Nature and Impact of Breach * Please set out in 300 characters or less the nature and impact of the breach (including details on the effect on members/policyholder/depositors/clients and how the breach was identified) – additional documents can be attached if necessary (see below).
[free text]

Rectification Steps Taken * Please set out in 300 characters or less the rectification action already undertaken and/or proposed action - additional documents can be attached if necessary (see below).
[free text]

Contact Details * Please complete the following information. APRA can only accept online breach notifications from the nominated list of responsible officers provided and where APRA has the email address details of the responsible officer lodging this breach notification. A verification email will be sent to the responsible officer for confirmation before APRA will accept this online breach notification.	
Name of Contact Person submitting breach notification:	[drop down menu]
Position held with regulated institution:	[free text]

Attachments Please attach additional documents if necessary.
Attach a file: <input type="text"/> <input type="button" value="Browse"/> (ZIP files only)

* Mandatory information <div style="text-align: right;"><input type="button" value="Clear"/> <input type="button" value="Submit"/></div>
When you click on 'Submit', a verification email will be sent to the nominated Contact Person so they can verify the information in the form and lodge the form with APRA. APRA will automatically acknowledge receipt of the online breach notification form once the form is verified. A separate acknowledgement email will be sent to the Contact Person containing a copy of the completed form, and an APRA ID reference number, as their record of the breach notification. A copy of the verified form will also be sent to ASIC if the regulated institution has nominated for this to happen.

Superannuation Tailored form

(a) Superannuation form

Online Breach Notification Form	
* Please complete the following information about the breach notification	
ABN:	[ABN pre-filled]
Regulated institution name:	[name of institution pre-filled]
Name of all RSE(s) affected:	<input type="radio"/> No RSEs under trusteeship <input type="radio"/> Small APRA Funds (SAFs) <input type="radio"/> Single Member ADFs <input type="radio"/> List of RSEs <i>(select from pre-filled list)</i>
Date breach occurred:	[date]
Date regulated institution became aware:	[date]
Estimated number of members/policyholders/depositors/clients affected:	[free text]
Estimate of \$dollar amount involved:	\$ [free text]
Who is the regulated institution lodging this notification with?	<input type="radio"/> APRA only <input type="radio"/> APRA and ASIC
Will the regulated institution be separately notifying ASIC? <i>(NB: this only appears if 'APRA only' selection made)</i>	<input type="radio"/> Yes <input type="radio"/> No

Breach Notification Details

Please select the condition and/or legislative requirements breached

Condition Requirements	
* Please select <u>one</u> of the following (if applicable):	
<input type="radio"/> s. 29E of SIS Act	[drop down menu]
<input type="radio"/> s. 29EA of SIS Act	[drop down menu]
<input type="radio"/> AFS Licence	[drop down menu]
Legislative Requirements	
* Please select <u>one or more</u> of the following:	
<input type="radio"/> Superannuation Industry (Supervision) Act 1993	[free text]
<input type="radio"/> Superannuation Industry (Supervision) Regulations 1994	[free text]
<input type="radio"/> Corporations Act 2001	[free text]
<input type="radio"/> Corporations Regulations 2001	[free text]
<input type="radio"/> ASIC Act 2001	[free text]
<input type="radio"/> Superannuation (Resolution of Complaints) Act 1993	[free text]
<input type="radio"/> Financial Sector (Collection of Data) Act 2001	<i>(no selection required)</i>
<input type="radio"/> Financial Institutions Supervisory Levies Act 1998	<i>(no selection required)</i>

Superannuation Tailored form

Category of Breach
 * Please select one of the following categories that best describes the nature of the breach:

[drop down menu]

Financial Service Sector
 * Please select one of the following sectors that best describes the financial services the breach relates to: *(This section only appears if 'APRA and ASIC' selection made as it is info for ASIC)*

[drop down menu]

Nature and Impact of Breach
 * Please set out in 300 characters or less the nature and impact of the breach (including details on the effect on members/policyholder/depositors/clients and how the breach was identified) – additional documents can be attached if necessary (see below).

[free text]

Rectification Steps Taken
 * Please set out in 300 characters or less the rectification action already undertaken and/or proposed action - additional documents can be attached if necessary (see below).

[free text]

Contact Details
 * Please complete the following information. APRA can only accept online breach notifications from the nominated list of responsible officers provided and where APRA has the email address details of the responsible officer lodging this breach notification. A verification email will be sent to the responsible officer for confirmation before APRA will accept this online breach notification.

Name of Contact Person submitting breach notification:	[drop down menu]
Position held with regulated institution:	[free text]

Attachments
 Please attach additional documents if necessary.

Attach a file:
(ZIP files only)

*** Mandatory information**

When you click on 'Submit', a verification email will be sent to the nominated Contact Person so they can verify the information in the form and lodge the form with APRA. APRA will automatically acknowledge receipt of the online breach notification form once the form is verified. A separate acknowledgement email will be sent to the Contact Person containing a copy of the completed form, and an APRA ID reference number, as their record of the breach notification. A copy of the verified form will also be sent to ASIC if the regulated institution has nominated for this to happen.