



# Data on intermediated business with APRA- authorised general insurers, Lloyd’s underwriters and unauthorised foreign insurers

## Form 701

Australian business number

Australian financial services licensee name

Australian financial services licence number

Reporting period

**Table 1: Aggregate data on intermediated business with APRA-authorised general insurers, Lloyd’s underwriters and unauthorised foreign insurers**

Total business placed with APRA- authorised general insurers, Lloyd’s underwriters and unauthorised foreign insurers	Premium invoiced this reporting period			
	Effective this reporting period	Effective after the reporting period end	Effective before the reporting period start	Total invoiced this reporting period
(a) Business placed directly by the general insurance intermediary with APRA-authorised general insurers				
(b) Business placed directly, or indirectly through a foreign intermediary, by the general insurance intermediary with Lloyd’s underwriters				
(c) Business placed directly, or indirectly through a foreign intermediary, by the general insurance intermediary with unauthorised foreign insurers				
(d) Business placed indirectly through another general insurance intermediary, by the general insurance intermediary with:  (i) APRA-authorised general insurers; or (ii) Lloyd’s underwriters; or (iii) unauthorised foreign insurers.				
<b>Total</b>				

*General insurer* is defined in subsection 3 (1) of the *Insurance Act 1973*.

*Lloyd’s underwriter* is defined in subsection 3 (1) of the *Insurance Act 1973*.

*Unauthorised foreign insurer* is defined in regulation 4 of the *Insurance Regulations 2002*.

**Table 2: Transaction level data on intermediated business placed directly, or indirectly through a foreign intermediary, with unauthorised foreign insurers**

1	2	3	4	5	6	7	8
Policy transaction type	Client code	Policy code	Invoice date	Effective date	APRA class of business	Premium	Currency of premium
9	10	11	12	13	14	15	
UFI name	UFI country code	Exemption type	HVI limb	HVI value (#)	Atypical risk class	Customised reason	

**If information is to be lodged in Table 2, the licensee must lodge the form via D2A**

Note: It is an offence under section 137.1 of the *Criminal Code Act 1995* to provide false or misleading information to a Commonwealth entity. The Australian Prudential Regulation Authority is a Commonwealth entity.

**Lodgement requirements**

If information is to be lodged in Table 1 only, the licensee may lodge the information electronically or in writing.  
 If information is to be lodged in both Table 1 and Table 2, the licensee must lodge the information electronically. If the licensee is unable to lodge the information electronically, the licensee must arrange an alternative method of lodgement with APRA.

**Requirements for forms lodged electronically**

A licensee must lodge a form electronically via the licensees portal provided by APRA. A licensee must undertake the steps required by APRA to become authorised to use the portal.  
 A document accompanying a form may only be lodged electronically if APRA has approved, in writing, the electronic lodgement of documents of that kind. If APRA has not approved the electronic lodgement of a document, the document may be lodged in writing.  
 APRA may approve the electronic lodgement of:  
 (a) a particular kind of document; or  
 (b) documents in a particular class of documents.  
 A document is taken to be lodged with APRA electronically if it is lodged in accordance with APRA’s approval, including any requirements of the approval as to authentication.

**Requirements for forms lodged in writing**

If a form is lodged in writing, the form must be signed in accordance with the requirements of section 912CA of the *Corporations Act 2001*, as modified by regulation 7.6.08C of the *Corporations Regulations 2001*.  
 Licensees lodging by mail or in person must lodge with APRA:  
 (a) the signed, original form; and  
 (b) any information, statements, explanations or other matters required by the form; and  
 (c) any other material required by the form.  
 Licensees lodging by email must lodge with APRA:  
 (a) the signed form in PDF (portable document format); and  
 (b) any information, statements, explanations or other matters required by the form; and  
 (c) any other material required by the form.  
 Licensees lodging by email must retain signed original copies of the forms and attachments for a period of 7 years.

A form, or document, lodged with APRA in writing by, or on behalf of, an entity in an item of the following table, must be signed by the person specified in the item.

Item	Entity	Person
1	A body that is not a foreign company	A director or secretary
2	A body that is a foreign company	(a) a local agent; or (b) if the local agent is a company – a director or secretary of the company
3	An individual	An individual
4	A partnership	(a) a partner; or (b) if the partner is a company – a director or secretary of the company
5	A trust	(a) a trustee; or (b) if the trustee is a body – a director or secretary of the body

Note: A body includes a body corporate or an unincorporated body, for example, a society or association – see the definition of body in section 9 of the Act.

The following table must be completed. In the table, the person's name must be printed next to the person's signature.

<b>Lodgement details (for the person who physically completes the form)</b>	
Firm/organisation	
Contact name/position description	
ASIC registered agent number (if applicable)	
Telephone number	
Postal address or DX address	
<b>Signature block</b>	
Name	
Signature	
Capacity	
Entity name (if entity acting as local agent)	
Date signed	