

Senate Select Committee on Superannuation and Financial Services

Main Inquiry Reference (a)

Submission No. 73

(Supplementary to Submission No. 23)

Submittor: Australian Prudential Regulation
Authority (APRA)
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Morton, Sue (SEN)

From: Rosenbaum, Thea [thea.rosenbaum@apra.gov.au]
Sent: Tuesday, 29 August 2000 4:33 PM
To: 'super.sen@aph.gov.au'
Subject: Senate Enforcement Statistics



Submitted stats.xls

> Ms Sue Morton

> Secretary
> Senate Select Committee on Superannuation and Financial Services
>
>
> Dear Ms Morton
>
> I refer to the request by the Committee when APRA appeared before it on
> the 14th of August for more detail on the cases of 'significant' concern
> which were summarised in APRA's supplementary submission dated 11 August
> 2000.
>
> Despite our best efforts we have been unable to obtain the information in
> the requested format. Over the period of time concerned the ISC had a
> number of changes not just of staff but also recording systems which have
> created a significant difficulty in our retrieval of the information.
>
> However, please find attached a summary document which we believe does
> provide a good summary of those cases which were considered significant
> enough to require consideration by the ISC's Enforcement Committee in the
> then enforcement structure adopted by the regulator. Some care needs to
> be taken with this information as some cases will have been discussed more
> than once by the Enforcement Committee.
>
> I apologise for the delay in providing this information to you. Please
> feel free to contact me if you would like any further clarification.
>
> Yours sincerely
>
>
> Thea Rosenbaum
> Company Secretary
> <<Submitted stats.xls>>

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ENFORCEMENT ACTION STATISTICAL SUMMARY													
ACTION / DATE OF E.C.	STATE	Number of members included	\$ assets included	Number of members included	\$ assets included	Number of members included	\$ assets included	Number of members included	\$ assets included	Number of members included	\$ assets included	FUND TYPE	Industry
1	16/01/1987	NSW											
2	16/01/1987	VIC											
3	02/02/1986	QLD											
4	02/02/1986	NSW											
5	02/02/1986	NSW											
6	02/02/1986	NSW											
7	16/02/1986	VIC											
8	16/02/1986	VIC											
9	16/02/1986	NSW											
10	16/02/1986	VIC											
11	16/02/1986	VIC											
12	16/02/1986	QLD											
13	23/02/1986	NSW											
14	23/02/1986	VIC											
15	26/03/1986	VIC											
16	01/05/1986	VIC											
17	01/05/1986	SA											
18	01/05/1986	SA											
19	01/05/1986	VIC											
20	15/05/1986	QLD											
21	15/05/1986	NSW											
22	15/05/1986	VIC											
23	19/06/1986	QLD											
24	19/06/1986	ACT											
25	30/06/1986	SA											
26	20/07/1986	QLD											
27	31/07/1986	SA											
28	31/07/1986	VIC											
29	28/08/1986	NSW											
30	28/08/1986	VIC											
31	28/08/1986	VIC											
32	18/09/1986	VIC											
33	18/09/1986	SA											
34	28/09/1986	VIC											
35	28/09/1986	VIC											
36													
37	19/10/1986	VIC											
38	13/10/1986	VIC											
39													
40													
41													
42	12/11/1986	VIC											
43	08/01/1989	VIC											
44	08/01/1989	VIC											
45	08/01/1989	VIC											
46	08/01/1989	ACT											
47	03/02/1989	VIC											
48	03/02/1989	QLD											
49	03/02/1989	VIC											
50	03/02/1989	VIC											
51	10/03/1989	QLD											
52	07/04/1989	VIC											
53	07/04/1989	NSW											
54	01/06/1989	VIC											
55	01/06/1989	VIC											
56	21/06/1989	VIC											
57	07/04/1989	NSW											
58	28/06/1989	NSW											