

SIGNIFICANT DEALING NOTIFICATION



Please submit notification by email to: Technical.RiskandCompliance@allianz.com.au

I/We are providing this notification, and confirm:

This notification has been provided to Allianz pursuant to our obligation under s994f(6) of the Corporations Act to notify Allianz of a significant dealing. A significant dealing is a dealing that:

- I) is not consistent with the target market determination (the **TMD**) for a product, and
- II) been assessed by us as significant.

This notification is intended to assist us in identifying dealings that are not consistent with the TMD.

Following receipt of this Notification, Allianz will conduct a separate investigation and assessment of the notified dealing to determine whether it is a significant dealing as the Issuer of the product and therefore reportable to ASIC under s994G of the Corporations Act.

This notification has been provided to Allianz within 10 business days after we became aware of the significant dealing.

DISTRIBUTOR DETAILS			
Company:			
Address:			
CONTACT INFORMATION (this person needs to be available to discuss this notification at short notice and be familiar with the circumstances giving rise to the notification)			
Name:			
Phone:		Email:	
Alternate Contact:			
Name:			
Phone:		Email:	
Description of the significant dealing: (please include a policy number for one impacted customer)			
Significant dealing identification date:			
Occurrence Date(s), or date range (if known) during which dealing(s) occurred that taken together are significant:			
How was the significant dealing identified?			
Self-reported by sales staff Through the investigation process of remediating another incident Identified in change process (i.e. projects) Customer Complaints QA performed by the business		1st line R&C control testing 2nd line assurance Internal Audit External reviews Other - please provide details:	
		<input style="width: 100%; height: 30px;" type="text"/>	

How was the dealing inconsistent with the TMD:	
Eligibility Criteria Ineligibility Persons Application Process	Approved Distributors Other: <input style="width: 100%; height: 20px;" type="text"/>
Significance Assessment Date:	
Description of why the dealing was assessed as significant:	
Distribution Method:	
Contact centre Distributor branch / centre (Brokerage, Underwriting agency, Financial Institution, Dealership)	Online Other: (please provide details) <input style="width: 100%; height: 20px;" type="text"/>
What steps, if any, have been, or will be, taken in relation to the significant dealing since it has been identified (if none please state N/A)	
Number of customers (if known) who acquired the product that were not in the target market (include information or evidence as to how this was determined)	
The actual or potential harm to customers (if known), including the amount of any loss/damage (financial or otherwise), resulting from customers who were not in the target market acquiring the product:	
Impacted Product(s)	
*Unique reference numbers are located at the bottom right and/or left hand corner of the PDS (depending on the product).	
Full Name/Title	
Unique Reference Number*:	
Full Name/Title	
Unique Reference Number*:	
Full Name/Title	
Unique Reference Number*:	
Impacted TMD(s)	
*The reference numbers are located at the bottom left hand corner of the TMD.	
Full Name/Title	
Unique Reference Number*:	
Full Name/Title	
Unique Reference Number*:	
Full Name/Title	
Unique Reference Number*:	

Additional Information: