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| **Reporting Form – Central Bank (Supervision and Enforcement) Act 2013 (Section 48(1)) (Investment Firms) Regulations 2017 (SI 604 of 2017)**  **Part 6 – Client Asset Requirements (the “CAR”) / Part 7 – Investor Money Requirements (the “IMR”)** | | |
| **Part 1: Overview** | | |
| 1.1 | Firm Name. |  |
| 1.2 | Provide the contact details of the person making the submission. | 1. Name: 2. Contact number: 3. E-mail address: 4. Other relevant information: |
| 1.3 | Who is making the submission?   1. Head of Client Asset Oversight (PCF-45); 2. Head of Investor Money Oversight (PCF-46); 3. Other – provide details. |  |
| 1.4 | Does the reportable matter relate to the CAR or the IMR? |  |
| 1.5 | Provide a brief description of the reportable matter. |  |
| 1.6 | Has the reportable matter been brought to the attention of the Board and/or Risk/Compliance Committee? (Yes/No) |  |
| 1.7 | State the CAR/IMR Regulation relating to the breach/Incident or other reporting obligation. |  |
| 1.8 | Is the firm aware of the reportable matter occurring previously? If so, provide details. |  |
| 1.9 | Possible future breach (Yes/No) |  |
| **Part 2: Timeline** *(Provide dates in the following format: DD/MM/YYYY)* | | |
| 2.1 | Date reportable matter occurred |  |
| 2.2 | Date reportable matter identified |  |
| 2.3 | Date reportable matter rectified (if applicable) |  |
| 2.4 | Date report submitted to the Central Bank |  |
| **Part 3: Impact** | | |
| 3.1 | Value | 1. Currency: 2. Nominal (Yes/No): |
| 3.2 | Recurrent (Yes/No) |  |
| 3.3 | Material (Yes/No or N/A) |  |
| 3.4 | Record here the basis for which the reportable matter is deemed material as outlined in the Client Asset Management Plan (“CAMP”) / Investor Money Management Plan (“IMMP”) (as applicable). |  |
| 3.5 | Provide details of impact/possible impact with regard to the following area(s) (as applicable). | 1. Client: 2. Reputation: 3. Firm: 4. Other: |
| 3.6 | Where a client(s) has been impacted, state whether said client(s) has been informed. (Yes/No or N/A) |  |
| 3.7 | Provide details of any insurance claims that the firm has made/intends to make in relation to the reportable matter (as applicable). |  |
| 3.8 | Has the firm sought or does it intend to seek legal advice in relation to the reportable matter? If yes, provide details. |  |
| **Part 4: Description and History of the Reportable Matter** | | |
| 4.1 | Provide a detailed description of the reportable matter, including a relevant history of all operational areas within the firm impacted by the reportable matter. Outline how the reportable matter was identified (for example, by a manual or automated check, or identified by the firm/ a client/ other). | |
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| 4.2 | Provide details of the resolution status and/or resolution/remediation plan(s). This should include details on the current / planned controls that will ensure that this reportable matter does not re-occur, and details of any disciplinary action taken. | |
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| 4.3 | Confirm if there is potential for further occurrences and outline the likelihood in this regard. Outline any additional processes and / or procedures put in place to prevent re-occurrence, if applicable. | |
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| 4.4 | Provide any further information you deem applicable (for example, details of any provisions that the firm has made in relation to the reportable matter). | |
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| 4.5 | Status of reportable matter | 1. On-going: 2. Closed: |

Completed reporting forms should be submitted via the Central Bank’s Online Reporting System (the “ONR”). Any queries should be directed to [CAST@centralbank.ie](mailto:cast@centralbank.ie).

*“The Central Bank may process personal data provided by you in order to fulfil its statutory functions or to facilitate its business operations. Any personal data will be processed in accordance with the requirements of data protection legislation. Any queries concerning the processing of personal data by the Central Bank may be directed to* [*dataprotection@centralbank.ie*](mailto:dataprotection@centralbank.ie)*. A copy of the Central Bank’s Data Protection Notice is available at* [www.centralbank.ie/fns/privacy-statement](http://www.centralbank.ie/fns/privacy-statement)*.”*