



Information Bulletin – Statutory Filings For Administrators and Investment Managers

Investment Managers and Administrators of pension plans which will be approved by the Financial Services Commission (“FSC”) pursuant to the Pensions (Superannuation Funds and Retirement Schemes) Act, (“the Act”) are responsible for ensuring that certain documents are filed with the FSC as set out in this bulletin. The bulletin is not intended to be comprehensive; neither does it represent an interpretation of the Act or Regulations.

SCHEDULE FOR FILING DOCUMENTS WITH THE FSC IN RELATION TO AN ON- GOING PENSION PLAN	Notification of the cessation of duties of the Responsible Officer <i>Act S 11(6)</i>	<ul style="list-style-type: none"> • Within seven (7) days of the person ceasing to hold the post of responsible officer
	Notification of cessation of duty as Investment Manager or Administrator <i>Gov Regulations 9(f)</i>	<ul style="list-style-type: none"> • Within 14 days of receipt of notice of termination of its services by the trustees
	Notification of a fund or scheme having no Trustees <i>Gov Regulations 30</i>	<ul style="list-style-type: none"> • As soon as reasonably practical after it has come to the Administrator’s or Investment Manager’s attention
	Change in particulars included in an application <i>RLR Regulation 17</i>	<ul style="list-style-type: none"> • Within 14 days of change
	(i) Annual report containing financial statements (ii) Certification of tax compliance Evidence of renewal of professional indemnity (iii) Certificate of fulfillment of prescribed capital or solvency requirement <i>Investment Manager only:</i> Fund Status Report Fidelity guarantee Insurance <i>Administrator only:</i> Administrator Return <i>RLR Regulation 15 & 16</i>	<ul style="list-style-type: none"> • All documents, except for the <i>Fund Status Report</i>, should be submitted within 120 days after the administrator’s or investment manager’s financial year end • The <i>Fund Status Report</i> must be submitted within 60 days of each calendar quarter

SCHEDULE FOR FILING DOCUMENTS WITH THE FSC IN RELATION TO A DISCONTINUED OPERATION	Notification of discontinuation of operation <i>RLR Regulation 18(1)(a)</i>	Within 14 days after the decision
	Audited Financial Accounts <i>RLR Regulation 18(1)(b)</i>	Not later than 90 days before the effective date of discontinuance
	(i) List of outstanding amounts owed to funds or schemes or their members or beneficiaries (ii) Plan for transfer of business to another Administrator or Investment Manager <i>RLR Regulation 18(1)(d)</i>	Not later than 90 days before the effective date of discontinuance
	Return of licence <i>RLR Regulation 18(1)(e)</i>	Not later than 2 days before the effective date of discontinuance
SCHEDULE FOR FILING NOTICE IN RELATION TO THE INVESTMENT CODE	<i>Investment manager only:</i> Breach of the investment code of practice <i>Investment Regulation 3(2)(g)</i>	Within 14 days of such occurrence

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