



FORM 1

Application Number: (For official use only)

THE PENSIONS (SUPERANNUATION FUNDS AND RETIREMENT SCHEMES) ACT, 2004

The Pensions (Superannuation Funds and Retirement Schemes) (Registration, Licensing and Reporting) Regulations, 2006

APPLICATION FOR REGISTRATION OF A SUPERANNUATION FUND/RETIREMENT SCHEME

NOTES

- Please complete in type or block capitals. All signatures must be originals.
- All applicable questions must be answered. If necessary, you may continue to record your answers on separate sheets of paper. Any additional paper used must be attached to this form and be clearly marked with the number of the relevant question.
- **Documents listed in sections 16, 17, 18 and 19 are to be certified as true copies of the originals by either an Attorney-at-Law or the Quorum of trustees.**
- **Applicants must paginate and index all multi-page documents which are to be submitted with this form. Such documents are also to bear at the top right of each page the name of the applicant and the type of document.**
- When completing this application form, please make reference to the attached document checklist (pages ii through vii) or call us if further information is needed.
- Where amendments are to be effected to the Trust Deed/Master Trust Deed and Plan Rules pursuant to the Act and the attendant Regulations and such amendments are so complex as to change the majority of the provisions, and it is difficult to keep track of the up-to-date position, it is good practice to combine the changes into a single replacement document.
- The FSC reserves the right to examine other areas not included in this application and to request additional information and documents from the individuals and organizations referred to herein.

SUPERANNUATION FUNDS - DOCUMENT CHECKLIST

	Yes	No
<u>Existing Fund - Approved by Taxpayer Audit and Assessment Department ("T.A.A.D")</u>		
1. Completed Application for Registration of a Superannuation Fund	[]	[]
2. Two (2) photocopies of;		
I. The Trust Deed (duly stamped at the Office of Stamp Duty And Transfer Tax) made pursuant to the Income Tax Act prior to amendment for compliance with the Pensions Act	[]	[]
II. Plan Rules	[]	[]
III. Any duly stamped amendment to the original Trust Deed and/or Plan Rules made pursuant to the Income Tax Act prior to amendment for compliance with the Pension Act	[]	[]
3. Statement in writing from T.A.A.D. evidencing approval of the original plan and any subsequent amendment made pursuant to the Income Tax Act giving the SA reference number	[]	[]
4. The original "replacement" Trust Deed (duly stamped by the Office of Stamp Duty and Transfer Tax) and a photocopy, as well as the original and photocopy of the replacement Plan Rules made pursuant to the Pensions (Superannuation Funds and Retirement Schemes) Act, 2004 . The amendments should be identified clearly and labelled alphabetically prior to submission	[]	[]
5. Schedule showing where conditions outlined in Section 13(2) of the Act, appear in the documents	[]	[]
6. Member Handbook	[]	[]
7. Most recent formal Actuarial Valuation (the effective date of which is within three (3) years of the date of application)	[]	[]
8. Annual Financial Statements for the last three (3) completed plan year, audited where applicable	[]	[]
9. Application Fee	[]	[]

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Name

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Signature

SUPERANNUATION FUNDS - DOCUMENT CHECKLIST

Yes No

Existing Fund – Not Approved by Taxpayer Audit and Assessment

Department (T.A.A.D)

- | | | |
|--|-----|-----|
| 1. Completed Application for Registration of a Superannuation Fund | [] | [] |
| 2. The original and a photocopy of: | | |
| I. The Trust Deed (duly stamped at the Office of Stamp Duty and Transfer Tax) made pursuant to the Income Tax Act prior to amendment for compliance with the Pensions Act | [] | [] |
| II. Plan Rules | [] | [] |
| III. Any other constitutive documents | [] | [] |
| IV. Any duly stamped Amendment to the original Trust Deed and/or Plan Rules made pursuant to the Income Tax Act prior to amendment for compliance with the Pensions Act | [] | [] |
| 3. The original “replacement” Trust Deed (duly stamped by the Office of Stamp Duty and Transfer Tax) and a photocopy, as well as the original and photocopy of the replacement Plan Rules made pursuant to the Pensions (Superannuation Funds and Retirement Schemes) Act, 2004 . The amendments should be identified clearly and labelled alphabetically prior to submission | [] | [] |
| 4. Schedule showing where conditions outlined in Section 13(2) of the Act, appear in the documents | [] | [] |
| 5. Member Handbook | [] | [] |
| 6. Most recent formal Actuarial Valuation (the effective date of which is within three (3) years of the date of application) | [] | [] |
| 7. Annual financial statements for the last three (3) completed plan year, audited where applicable | [] | [] |
| 8. Application Fee | [] | [] |

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Name

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Signature

SUPERANNUATION FUNDS - DOCUMENT CHECKLIST

	Yes	No
<u>New Fund</u>		
1. Completed Application for Registration of a Superannuation Fund	[]	[]
2. The original and a photocopy of:		
I. The Trust Deed (duly stamped at the Office of Stamp Duty And Transfer Tax)	[]	[]
II. Plan Rules	[]	[]
III. Any other constitutive documents	[]	[]
3. Schedule showing where conditions outlined in Section 13(2) of the Act, appear in the documents	[]	[]
4. Member Handbook	[]	[]
5. If the superannuation fund is a defined benefit plan, formal Actuarial Valuation the effective date of which must be the same as the effective date of the superannuation fund	[]	[]
6. Application Fee	[]	[]

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Name

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Signature

RETIREMENT SCHEMES - DOCUMENT CHECKLIST

Yes No

Existing Scheme- Approved by Taxpayer Audit and Assessment Department (“TAAD”)

- | | | |
|---|-----|-----|
| 1. Completed Application for Registration of a Retirement Scheme | [] | [] |
| 2. Two (2) photocopies of: | | |
| I. The Master Trust Deed (duly stamped at the Office of Stamp Duty And Transfer Tax) | [] | [] |
| II. Plan Rules | [] | [] |
| III. Any other constitutive documents | [] | [] |
| IV. Any duly stamped Amendment to the original Trust Deed and/or Plan Rules made pursuant to the Income Tax Act prior to amendment for compliance with the Pensions Act | [] | [] |
| 3. Statement in writing from TAAD evidencing approval of the original plan and any subsequent amendment made pursuant to the Income Tax Act giving the SA reference number | [] | [] |
| 4. The original “replacement” Master Trust Deed (duly stamped by the Office of Stamp Duty and Transfer Tax) and a photocopy, as well as the original and photocopy of the replacement Plan Rules made pursuant to the Pensions (Superannuation Funds and Retirement Schemes) Act, 2004 . The amendments should be identified clearly and labelled alphabetically prior to submission | [] | [] |
| 5. Schedule showing where conditions outlined in Section 14(1)(b) and 14(3) of the Act appears in the documents | [] | [] |
| 6. Individual contracts issued under the scheme | [] | [] |
| 7. Member Handbook | [] | [] |
| 8. Business Plan for the next three years | [] | [] |
| 9. Information Folder | [] | [] |
| 10. Annual Financial Statements for the last three (3) completed scheme years, audited where applicable | [] | [] |
| 11. Sample forms and any relevant contractual documents that a prospective member will be required to sign in order to join or remain a member of the scheme | [] | [] |
| 12. Marketing circulars and documents that will be used to market or advertise the scheme | [] | [] |
| 13. A list of names of the persons that sell or otherwise distribute the schemes contracts under the scheme’s Master Trust Deed and their FSC registration numbers | [] | [] |
| 14. Application Fee | [] | [] |

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Name

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Signature

RETIREMENT SCHEMES - DOCUMENT CHECKLIST

	Yes	No
<u>Existing Scheme- Not Approved by TAAD</u>		
1. Completed Application for Registration of a Retirement Scheme	[]	[]
2. The original as well as a photocopy of:		
I. The Master Trust Deed (duly stamped at the Office of Stamp Duty And Transfer Tax)	[]	[]
II. Plan Rules	[]	[]
III. Any other constitutive documents	[]	[]
IV. Any duly stamped Amendment to the original Trust Deed and/or Plan Rules made pursuant to the Income Tax Act prior to amendment for compliance with the Pensions Act	[]	[]
3. The original “replacement” Master Trust Deed (duly stamped by the Office of Stamp Duty and Transfer Tax) and a photocopy, as well as the original and photocopy of the replacement Plan Rules made pursuant to the Pensions (Superannuation Funds and Retirement Schemes) Act, 2004 . The amendments should be identified clearly and labelled alphabetically prior to submission	[]	[]
4. Schedule showing where conditions outlined in Section 14(1)(b) and 14(3) of the Act appears in the documents	[]	[]
5. Individual contracts issued under the scheme	[]	[]
6. Member Handbook	[]	[]
7. Business Plan for the next three years	[]	[]
8. Information Folder	[]	[]
9. Annual Financial Statements for the last three (3) completed scheme years, audited where applicable	[]	[]
10. Sample forms and any relevant contractual documents that a prospective member will be required to sign in order to join or remain a member of the scheme	[]	[]
11. Marketing circulars and documents that will be used to market or advertise the scheme	[]	[]
12. A list of names of the persons that sell or otherwise distribute the schemes contracts under the scheme’s Master Trust Deed and their FSC registration numbers	[]	[]
14. Application Fee	[]	[]

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Name

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Signature

RETIREMENT SCHEMES - DOCUMENT CHECKLIST

	Yes	No
<u>New Scheme</u>		
1. Completed Application for Registration of a Retirement Scheme	[]	[]
2. The original as well as a photocopy of:		
I. The duly stamped Master Trust Deed	[]	[]
II. Plan Rules	[]	[]
III. Any duly stamped Amendment to the Master Trust Deed and Plan Rules	[]	[]
3. Schedule showing where conditions outlined in Section 14(1)(b) and 14(3) of the Act appears in the documents	[]	[]
4. Individual contracts issued under the scheme	[]	[]
5. Member Handbook	[]	[]
6. Business Plan for the next three years	[]	[]
7. Information Folder	[]	[]
8. Sample forms and any relevant contractual documents that a prospective member will be required to sign in order to join or remain a member of the scheme	[]	[]
9. Marketing circulars and documents that will be used to market or advertise the scheme	[]	[]
10. A list of names of the persons that sell or otherwise distribute the schemes contracts under the scheme's Master Trust Deed and their FSC registration numbers	[]	[]
14. Application Fee	[]	[]

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Name

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Signature