



**FIRST SCHEDULE
FORM 1**

(Regulations 4, 10, 12-14, 16 and 17)

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**

1	Superannuation Fund/Retirement Scheme Name: ----- -----
2(a)	Type of Fund/Scheme: Defined Benefit [] Defined Contribution []
(b)	Does the plan provide for mandatory sponsor contributions by law? Yes [] No []
(c)	Is the plan a Specified Fund/Scheme? Yes [] No []
(d)	Do self employed or persons in non pensionable posts contribute to the plan? Yes [] No []
(e)	Is the plan a public fund? Yes [] No []
3	Effective Date of Fund/Scheme: [dd/mm/yyyy]
4	Fund/Scheme Year End Date: [dd/mm]
5	SA Registration Number:
6	Number of members at inception or active members at the date of application if later:
7	Number of pensioners at date of application, if not a new fund/scheme:
8	If not a new fund or scheme, what is the status of the fund or scheme?(See page 17) Active Open ("AO") [] Active Closed ("AC") [] Inactive ("IA") [] Transferred ("TR") []

10	TRUSTEES	
A	1) Name of trustee:	
	2) Address:.....	
	3) Type of Trustee: Individual: Member [] Sponsor [] Pensioner [] Corporate: Member [] Sponsor [] Pensioner []	4) TRN:
	5) FSC Registration No.	6) Date issued:

10	TRUSTEES	
B	1) Name of trustee:	
	2) Address:.....	
	3) Type of Trustee: Individual: Member [] Sponsor [] Pensioner [] Corporate: Member [] Sponsor [] Pensioner []	4) TRN:
	5) FSC Registration No.	6) Date issued:

10	TRUSTEES	
C	1) Name of trustee:	
	2) Address:.....	
	3) Type of Trustee: Individual: Member [] Sponsor [] Pensioner [] Corporate: Member [] Sponsor [] Pensioner []	4) TRN:
	5) FSC Registration No.	6) Date issued:

NOTE: If there are more than three Trustees, the above information must also be provided for each additional Trustee

11	ADMINISTRATOR	
A	1) Name of Administrator:	
	2) Address:.....	
	3) FSC Licence No.	4) Date issued:

11	ADMINISTRATOR	
B	1) Name of Administrator:	
	2) Address:.....	
	3) FSC Licence No.	4) Date issued:

11	ADMINISTRATOR	
C	1) Name of Administrator:	
	2) Address:.....	
	3) FSC Licence No.	4) Date issued:

11	ADMINISTRATOR	
D	1) Name of Administrator:	
	2) Address:.....	
	3) FSC Licence No.	4) Date issued:

12	INVESTMENT MANAGER	
A	1) Name of Investment Manager:	
	2) Address:.....	
	3) FSC Licence No.	4) Date issued:

12	INVESTMENT MANAGER	
B	1) Name of Investment Manager:	
	2) Address:.....	
	3) FSC Licence No.	4) Date issued:

12	INVESTMENT MANAGER	
C	1) Name of Investment Manager:	
	2) Address:.....	
	3) FSC Licence No.	4) Date issued:

12	INVESTMENT MANAGER	
D	1) Name of Investment Manager:	
	2) Address:.....	
	3) FSC Licence No.	4) Date issued:

NOTE: If there are more than four Investment Managers, the above information must also be provided for each additional Investment Manager

A AUDITOR

1) Name of Engagement Partner:

2) Designation:

3) Audit Firm:

4) Address:

.....
.....
.....
.....

5) Mailing Address (if different from above):

.....
.....
.....

6) Tel No:

7) Fax No:

8) E-mail address:

9) Related Party? Yes No

B ACTUARY

1) Name of Actuary:

2) Designation:

3) Firm:

4) Address:

.....
.....
.....

5) Mailing Address (if different from above):

.....
.....
.....

6) Tel No:

7) Fax No:

8) E-mail address:

9) Related party? Yes No

16	DOCUMENTATION (please tick to confirm documents are enclosed)	
RETIREMENT SCHEME with effective dates BEFORE March 1, 2005:		Tick
1	<p>Two copies of the constitutive documents of the scheme. (If approval from the Taxpayer Audit and Assessment Department has not been received, the original and copy Master Trust Deed, the original and copy rules and any other constitutive documents must be submitted.)</p> <p>A schedule, showing where the conditions set forth in Sections 14 (1) (b) and 14 (3) of the Act appear in these documents, must be attached.</p>	
2	Individual Contracts issued under the scheme	
3	Members' Handbook, a written explanation of all the provisions of the scheme and any applicable amendments thereto	
4	Business plan for the next three years	
5	Information Folder	
6	Letter from the Taxpayer Audit and Assessment Department approving the scheme and giving SA reference number	
7	Annual audited Financial Statements for the last three completed scheme years	
8	Sample forms and any relevant contractual documents that a prospective member will be required to sign in order to join or to 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 the names of the persons that sell or otherwise distribute the scheme's contracts under the scheme's Master Trust Deed and their FSC registration numbers	
11	Application fee	

17	DOCUMENTATION (Please tick to indicate which documents are enclosed)	
RETIREMENT SCHEME with effective dates ON or AFTER March 1, 2005:		Tick
1	An original and copy of each constitutive document of the scheme. A schedule, showing where the conditions set forth in Sections 14 (1)(b) and 14 (3) of the Act appear in these documents, must be attached	
2	Individual Contracts to be issued under the scheme	
3	Members' Handbook; a written explanation of all the provisions of the scheme; and any applicable amendments thereto	
4	Business plan for the next three years	
5	Information Folder	
6	Sample forms and any relevant contractual documents that a prospective member will be required to sign in order to join or to remain a member of the scheme.	
7	Marketing circulars and documents that will be used to market or advertise the scheme.	
8	A list of the names of the persons that sell or otherwise distribute the scheme's contracts under the scheme's Master Trust Deed and their FSC registration numbers	
9	Application fee	

18	DOCUMENTATION (Please tick to confirm which documents are enclosed)	
SUPERANNUATION FUND with effective dates BEFORE March 1, 2005:		Tick
1	<p>Two copies of the constitutive documents of the superannuation fund. (If approval from the Taxpayer Audit and Assessment Department has not been received, original and copy Trust Deed, Rules and any other constitutive documents must be submitted)</p> <p>A schedule, showing where the placement of the conditions set forth in Section 13 (2) of the Act appear in these documents, must be attached</p>	
2	Members' Handbook; a written explanation of all the provisions of the fund; and any applicable amendments thereto	
3	Letter from the Taxpayer Audit and Assessment Department approving the superannuation fund and giving SA reference number	
4	Most recent formal Actuarial Valuation report, the effective date of which is within three years of the date of application.	
5	Annual audited Financial Statements for the last three completed plan years	
6	Application fee	
7	<p>If a public fund:</p> <ul style="list-style-type: none"> i. evidence of approval as such under the Income Tax Act ii. Evidence of exemption from section 13(2)(d) and (p) of the Pensions (Superannuation Funds and Retirement Schemes) Act, 2004 granted by the Minister 	

19	DOCUMENTATION (cont'd)	
DOCUMENTATION (Please tick to confirm document has been attached.)		
For SUPERANNUATION FUNDS with effective dates ON or AFTER March 1, 2005:		
		Tick
1	An original and copy Trust Deed duly stamped and original and copy Rules as well as any other constitutive documents of the superannuation fund. A schedule, showing where in these documents, information indicating compliance with the conditions set forth in Section 13 (2) of the Act appears must be attached.	
2	Members' Handbook; a written explanation of all the provisions of the superannuation fund; and any applicable amendments thereto.	
3	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.	
4	Application fee	

20	CERTIFICATES REQUIRED																							
Application is being made for : of Registration	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> <td style="text-align: center;">5</td> <td style="text-align: center;">6</td> <td style="text-align: center;">7</td> <td style="text-align: center;">8</td> <td style="text-align: center;">9</td> <td style="text-align: center;">10</td> <td style="text-align: center;">Other</td> </tr> <tr> <td style="width: 20px; height: 20px;"></td> </tr> </table>	1	2	3	4	5	6	7	8	9	10	Other												copies of the Certificate
1	2	3	4	5	6	7	8	9	10	Other														

As part of the application for approval of the superannuation fund or retirement scheme the Quorum of trustees is required to certify that the constitutive documents of the superannuation fund or retirement scheme comply with the Pensions (Superannuation Funds and Retirement Schemes) Act, 2004 and regulations thereunder.

We,the trustees of

.....
 hereby certify that the Trust Deed and Plan Rules or the Master Trust Deed and all other constitutive documents of the superannuation fund or retirement scheme comply with the Pensions (Superannuation Funds and Retirement Schemes) Act, 2004 and regulations thereunder.

Signature:

Witnessed by:

Name:

Title/Position:

Stamp

Date:

Signature:

Witnessed by:

Name:

Title/Position:

Stamp

Date:

Signature:

Witnessed by:

Name:

Title/Position:

Stamp

Date:

Signature:

Witnessed by:

Name:

Title/Position:

Stamp

Date:

We the [] sponsor(s) or [] sponsor(s) and trustees or [] trustees of :

Superannuation Fund/Retirement Scheme hereby make application for approval of the fund/scheme under the Pensions (Superannuation Funds and Retirement Schemes) Act 2004 and the Income Tax Act.

Pursuant to our application under the Income Tax Act we hereby authorize the release of such documents as may be required by the Commissioner of Income Tax.

Signature:

Witnessed by:

Name:

Title/Position:

Date:

Stamp

Signature:

Witnessed by:

Name:

Title/Position:

Date:

Stamp

Signature:

Witnessed by:

Name:

Title/Position:

Date:

Stamp

Signature:

Witnessed by:

Name:

Title/Position:

Date:

Stamp

For existing funds/schemes in operation before March 1, 2005, this section must be signed by the quorum of trustees only. For new funds/schemes, this section must be signed by the sponsors or the quorum of trustees or both.

We the sponsors of the superannuation fund/retirement scheme hereby certify that to the best of our knowledge, information and belief all the information given in this application and contained in supporting statements and documentation submitted is true and correct.

We consent to the Financial Services Commission obtaining information from any source as permitted by the laws of Jamaica or any other jurisdiction for the purpose of verifying information submitted in support of this application.

Signature:

Witnessed by:

Name:

Title/Position:

Date:

Stamp

Signature:

Witnessed by:

Name:

Title/Position:

Date:

Stamp

Signature:

Witnessed by:

Name:

Title/Position:

Date:

Stamp

Signature:

Witnessed by:

Name:

Title/Position:

Date:

Stamp

Note: The sponsor and each participating sponsor, if applicable, are required to sign

GLOSSARY	FUND/SCHEME STATUS
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Fund/Scheme Status can be one of the following:

1	Active Open (“AO”)	An active open superannuation fund/retirement scheme is one into which contributions are paid and new members are enrolled from time to time.
2	Active Closed (“AC”)	An active closed superannuation fund/retirement scheme is one into which contributions are paid but no new members are enrolled.
3	Inactive (“IA”)	An inactive superannuation fund/retirement scheme is a fund/scheme for which there is a cessation of contributions and member enrolment.
4	Termination Pending (“TP”)	A termination pending superannuation fund/retirement scheme is an active or inactive fund/scheme for which approval of termination/winding-up has not yet been granted by the Commission or Court.
5	Terminated Open (“TO”)	A terminated open superannuation fund/retirement scheme is an active or inactive fund/scheme for which notice to wind-up the fund/scheme has been approved by the Commission/Court but assets remain in the fund/scheme and all the relevant reports have not been filed with the relevant authorities.
6	Terminated Closed (“TC”)	A terminated closed superannuation fund/retirement scheme is a fund/scheme for which approval of termination/winding-up has been granted by the Commission/Court, no assets remain in the fund/scheme and all filings have been submitted to the Commission and the Taxpayer Audit and Assessment Department.
7	Transferred (“TR”)	Is a fund/scheme whose administration and/or investment management function(s) have been moved to another administrator or investment manager.