

## GENERAL REGISTRATION INFORMATION

### RETIREMENT SCHEMES - DOCUMENT CHECKLIST

Yes No

**Existing Scheme- Approved by Taxpayer Audit and Assessment  
Department ("TAAD")**

- |  |     |     |
|--|-----|-----|
| 1. Completed <b>Application for Registration of a Retirement Scheme</b>  | [ ] | [ ] |
| 2. Two (2) photocopies of;   |     |     |
| I. The Master 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. Other constitutive documents   | [ ] | [ ] |
| III. Any duly stamped Amendment to the original Master Trust Deed and/or other constitutive documents made <b>pursuant to the Income Tax Act</b> prior to amendment for compliance with the Pension Act  | [ ] | [ ] |
| 3. A. The original of the amending 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 amending constitutive documents made <b>pursuant to the Pensions (Superannuation Funds and Retirement Schemes) Act, 2004</b> . The amendments should be identified clearly and labeled alphabetically prior to submission       | [ ] | [ ] |
| <b>OR where a Single Replacement document is done, the following should be submitted:</b>  |     |     |
| B. 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 any other "replacement" constitutive documents made <b>pursuant to the Pensions (Superannuation Funds and Retirement Schemes) Act, 2004</b> . The amendments should be identified clearly and labeled alphabetically prior to submission | [ ] | [ ] |
| 4. 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   | [ ] | [ ] |
| 5. Schedule showing where conditions outlined in Section 14(1)(b) and 14(3) of the Acts appear in the documents  | [ ] | [ ] |
| 6. Individual contracts issued under the scheme  | [ ] | [ ] |
| 7. Member Handbook   | [ ] | [ ] |
| 8. Business Plan for the next three years  | [ ] | [ ] |
| 9. Information Folder  | [ ] | [ ] |

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## RETIREMENT SCHEMES - DOCUMENT CHECKLIST

### Existing Scheme – Approved by Taxpayer Audit and Assessment Department (T.A.A.D.) (Cont'd)

	Yes	No
10. Annual Financial Statements for the last three (3) completed scheme, 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	[ ]	[ ]

.....  
Name

.....  
Signature