



FORM 7

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

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

FUND STATUS REPORT - FSC 45

INVESTMENT MANAGER IDENTIFICATION AND DETAILS	
(a)	Name of Investment Manager:
(b)	FSC Licence No.:
(c)	End of Period:
(d)	Period Under Review From: To: No. of Months:
<hr/>	
Responsible Officer:	
(d)	Name: FSC No.:
(e)	Telephone No.:
(f)	E-mail:

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FUNDS/SCHEMES UNDER MANAGEMENT
FSC 45.10

	Superannuation Fund/ Retirement Scheme Name (01)	FSC Registration Number (02)	Type of Fund/Scheme (03)	Fund/ Scheme Status (04)	Fund/Scheme Value as at Current Period \$ (05)	Previous period \$ (06)
(001)						
(002)						
(003)						
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(036)						
(037)						
(038)						
(039)						
(040)						
	TOTALS					

**INVESTMENT PORTFOLIO MIX
FSC 45.15**

Ref. No. to Notes	Current Period			Previous Period		
	J\$'000	% of Total Investments	% Foreign Securities	J\$'000	% of Total Investments	% Foreign Securities
	(01)	(02)	(03)	(04)	(05)	(06)
Deposits (019)						
Commercial Paper (029)						
Securities of Governments (039)						
Repurchase Agreements (049)						
Bonds and Debentures (059)						
Mortgage Loans (069)						
Other Loans (079)						
Promissory Notes (084)						
Leases (090)						
Stocks and Shares (099)						
Real Estate (109)						
Investment Arrangements (119)						
Derivatives (129)						
Other Investments (139)						
TOTAL INVESTMENTS (149)						

FSC Licence No.

Period Ending

TYPE I POOLED FUNDS PORTFOLIO MIX
FSC 45.20

POOLED FUND NAME:

Ref. No. to Notes	Current Period			Previous Period		
	J\$'000	% of Total	% Foreign	J\$'000	% of Total	% Foreign
		Investments	Securities		Investments	Securities
	(01)	(02)	(03)	(04)	(05)	(06)
Deposits	(010)					
Commercial Paper	(020)					
Securities of Governments	(030)					
Repurchase Agreements	(040)					
Bonds and Debentures	(050)					
Mortgage Loans	(060)					
Other Loans	(070)					
Promissory Notes	(080)					
Leases	(090)					
Stocks and Shares	(100)					
Real Estate	(110)					
Derivatives	(120)					
Other Investments	(130)					
TOTAL INVESTMENTS	(140)					

FSC Licence No.:

End of Period

**INTERROGATORIES FOR INVESTMENT MANAGERS
FSC 45.30**

(001) Has there been any change in the corporate structure of the investment manager? Yes No

If yes, give details and attach revised corporate organizational chart.

(002) Pursuant to Regulation 17 of the Registration, Licensing and Reporting Regulations, were there any changes to the particulars contained in the application for registration of the fund/scheme which have not been filed with the Commission? Yes No

If yes, please provide details

(003) Have there been any changes to the list of covered persons as submitted at registration? Yes No

If yes, please provide details

	Name	Position	Number of Shares held	Percentage of shares
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

(004) Please answer the following questions, respecting Type I Pooled Funds:

(i) Are there any Type 1 Pooled Funds under management which holds assets for a superannuation fund or retirements scheme which is not approved by the FSC? Yes No

(ii) Are there any Type 1 Pooled Funds under management holding investments or securities that would be deemed ineligible or prohibited for an approved superannuation fund or retirement scheme? Yes No

(iii) Are there any Type 1 Pooled Funds under management which is a party to or engaged in a transaction prohibited for an approved superannuation fund or retirement scheme? Yes No

INTERROGATORIES FOR INVESTMENT MANAGERS
FSC 45.30.1

(005) Are there adequate systems and controls in place:

(i) to ensure that pension plan assets are being invested in accordance with the Trust Deed, Plan Rules and other constitutive documents of the funds/schemes? Yes No

(ii) to identify, monitor and manage risk. in all its forms, for pension plans? Yes No

(iii) to obtain, update, maintain and secure members'/plan records? Yes No

(iv) to supply accurate and complete data and reports to the trustees of the various funds/schemes in sufficient time to enable them to comply with the requirements of the fund/scheme? Yes No

(006) Describe the process undertaken in arriving at the opinions expressed in (005).

(007) In the portfolio of plans which is managed by you, are there any superannuation funds or retirement schemes which have not applied or will not be applying for registration pursuant to the Pensions (Superannuation Funds and Retirement Schemes Act, 2004)? Yes No

If yes, please attach details inclusive of the name, status and the type of fund or scheme

FSC Licence No.

End of Period

**RESPONSIBLE OFFICER'S
CERTIFICATION
FSC 45.40**

I hereby certify that, to the best of my knowledge and belief, the information contained in this form.

(a) is true, correct and complete,

(b) complies with the provisions of the Pensions (Superannuation Funds and Retirement Schemes) Act, 2004 and regulations thereunder.

RESPONSIBLE OFFICER

Signature :

Name :

Title/Position :

Date :