



CHECKLIST

APPLICATION FOR INITIAL REGISTRATION: PENSION PLAN

Instructions for using this Checklist

1. This checklist must accompany completed registration applications.
2. All documents requiring certification must be clearly certified as true copies of the original by an appropriate person. For a list of persons who may certify documents, see the Fitness and Propriety FAQ document on the Commission website.
3. All documents that are not in English must be accompanied by a certified English translation.
4. “N/A” should be used where a document or item outlined below is not applicable.

1. The application is being submitted for:

A. RELEVANT APPLICANTS			
No.	Name of Pension Plan	Type of Pension Plan	Type of Pension Benefit
1.			

2. Indicate which of the following have been submitted by the Applicant:

B. APPLICATION AND SUPPORTING DOCUMENTATION			
Item	Submitted	N/A	Notes/Reason for Non-submission
Completed Application Form for the pension plan administrator <i>(Form 1- Application for Registration of an Occupational Pension Plan)</i>	<input type="checkbox"/>	<input type="checkbox"/>	
Pension Plan Rules	<input type="checkbox"/>	<input type="checkbox"/>	
Trust Deed	<input type="checkbox"/>	<input type="checkbox"/>	
Employee Booklet	<input type="checkbox"/>	<input type="checkbox"/>	
Initial Valuation Report (Certified by an actuary)	<input type="checkbox"/>	<input type="checkbox"/>	
Statement of Investment Policies and Goals	<input type="checkbox"/>	<input type="checkbox"/>	
Signing Authorities	<input type="checkbox"/>	<input type="checkbox"/>	
Administrative Services Contract with Pension Manager	<input type="checkbox"/>	<input type="checkbox"/>	
Agreement with the Investment Manager	<input type="checkbox"/>	<input type="checkbox"/>	
Custodian Trust Agreement	<input type="checkbox"/>	<input type="checkbox"/>	
Collective agreement (if the pension plan was established in accordance with a collective agreement)	<input type="checkbox"/>	<input type="checkbox"/>	

C. ANY ADDITIONAL INFORMATION/DOCUMENTATION PROVIDED IN SUPPORT OF APPLICATION		
1.	Summary Document of Pension Plan Rules	<input type="checkbox"/>
2.	Explanation for submitting the registration application outside the timeline specified by the OPBA (if applicable)	<input type="checkbox"/>



3. Application Fees

D. ASSESSMENT OF APPLICATION FEES				
	Category	Fee (BBD)	No. of Persons	Subtotal
<input type="checkbox"/>	Application for registration of pension plan	\$1,000		
<input type="checkbox"/>	Initial registration of pension plan	\$12 per member (minimum \$1000)		
GRAND TOTAL				

i) **Have all assessed application fees been paid in full?**

ii) **If yes, provide proof of payment:**

E. PAYMENT METHOD				
<input type="checkbox"/>	Cheque	Cheque No.:		
<input type="checkbox"/>	Bank Draft	Draft No.:		
<input type="checkbox"/>	Wire transfer ¹	Confirmation No.:	Is the wire confirmation attached?	

¹ Provide confirmation of wire from the financial institution.