



**APPLICATION FOR REGISTRATION OF A PENSION PLAN
(PBSA Section 13)**

General Information – Plan Sponsor/Administrator				
Legal Name of Plan				
Plan Sponsor				
Administrator (if not Plan Sponsor)				
Main Industry of Employer				
Plan Administrator Contact - if plan is trusteeed, Chair of the Board of Trustees (Required Information)	Name		Position or Title	
	Address			
	Phone		Email	
	Fax			
Contact Information – Plan Service Providers				
Name and Address of Fundholder (Required)	Company Name			
	Address			
	Contact		Phone	
			Email	
	Policy / Account No.			
Name and Address of Actuary (if plan is a benefit formula provision)	Company Name			
	Address			
	Contact		Phone	
			Email	
	Name and Address of Consultant (if different from actuary)	Company Name		
Address				
Contact			Phone	
			Email	
Location of Books and Records				
Are books and records kept at the administrator's location <input type="checkbox"/> Yes <input type="checkbox"/> No If No, please complete this section	Company Name			
	Address			
	Contact		Phone	
			Email	

Plan Details	
Effective Date of Plan:	
Plan Fiscal Year End:	
Is this plan the result of a split from another registered pension plan?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	
If yes, CRA registration number of original plan:	

Type of Organization	
Private Sector	Public Sector
<input type="checkbox"/> Incorporated	<input type="checkbox"/> Municipal Government
<input type="checkbox"/> Unincorporated (partnership/sole proprietor)	<input type="checkbox"/> Municipal Enterprise
<input type="checkbox"/> Co-operative	<input type="checkbox"/> Federal Government
<input type="checkbox"/> Trade or Employee Association	<input type="checkbox"/> Federal Enterprise
<input type="checkbox"/> Religious, Charitable or Not for Profit	<input type="checkbox"/> Provincial Government
<input type="checkbox"/> Other (Private)	<input type="checkbox"/> Provincial Enterprise
	<input type="checkbox"/> Other (Public)

Benefit Type		
<input type="checkbox"/> Defined Contribution	<input type="checkbox"/> Defined Benefit	<input type="checkbox"/> Target Benefit

Employers		
<input type="checkbox"/> Single Employer	<input type="checkbox"/> More than one employer, not a multi-employer plan*	<input type="checkbox"/> More than one, multi-employer
If the pension plan is a multi-employer plan, is it a		
<input type="checkbox"/> Collectively bargained multi-employer plan, or <input type="checkbox"/> Non-collectively bargained multi-employer plan?		

*A plan with more than one employer is not a multi-employer plan if all of the participating employers are affiliates within the meaning of the *Business Corporations Act*.

Plan Contributors	
Are members <u>required</u> to contribute to the plan?	Is this plan a jointly sponsored pension plan?*
<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

*A jointly sponsored plan is a plan where members may be required to contribute to fund either or both of an unfunded liability and a solvency deficiency.

MEMBERSHIP				
Province	Males	Females	Total	Federal*
British Columbia				
Alberta				
Saskatchewan				
Manitoba				
Ontario				
Quebec				
New Brunswick				
Nova Scotia				
Prince Edward Island				
Newfoundland and Labrador				
Yukon				
Northwest Territory				
Nunavut				
Outside Canada				
Total				

* Federal Employment: Indicate the number of active members employed in an activity that is under the jurisdiction of the federal *Pension Benefits Standards Act, 1985*. Examples are aviation and airlines, banks, broadcasting and telecommunications, interprovincial and international transportation, marine navigation and shipping, railways, and employees who work and reside in the territories of Canada.

FORMER MEMBERS*		
Deferred vested members	Retirees and Beneficiaries	Total Former Members

* When making an application for registration of a new pension plan, there will be former members only where the new pension plan results from a split of an existing pension plan, and some, or all, of the retirees or deferred vested members under the original plan are transferred to the new pension plan.

In all other cases, the number of former members will be zero (0).

FEES *		
Active Members (x \$6.15)	Former Members (x \$4.50)	Total Fees Enclosed (Minimum = \$200 Maximum = \$75,000)

* Section 138 of the Pension Benefits Standards Regulation prescribes the fees payable when making an application for registration of a pension plan. Please make the cheque payable to "Minister of Finance".

Personal information is collected under the authority of s. 26(a) of the *Freedom of Information and Protection of Privacy Act*. The information will be used and retained for purposes of administering the *Pension Benefits Standards Act*. Should you have any questions about collection of this personal information, please contact the Freedom of Information Analyst at 604-660-3555, Suite 2800 – 555 West Hastings Street, Vancouver, B.C. V6B 4N6.

**ADMINISTRATOR STATEMENT OF COMPLIANCE-
PLAN REGISTRATION**

(Schedule 3, Form 5, B.C. Reg. 219/15)

WHEN TO USE THIS FORM

An administrator is required by section 13 (c) of the *Pension Benefits Standards Act* (the “Act”) to file a statement with an application for registration of a pension plan that, in the opinion of the administrator, the plan documents comply with the Act and the regulations under the Act. The issuance by the Superintendent of Pensions (the “superintendent”) of a certificate of registration for a pension plan registered under the Act may be made based on this statement. Administrators are reminded that the superintendent has the power to refuse to register any pension plan if, in the opinion of the superintendent, the records filed under section 13 of the Act in relation to a pension plan do not comply with the Act and the regulations.

I, [name of administrator] the administrator of
....., [name of pension plan], attach an application for
registration of a pension plan dated, [MM/DD/YYYY] and CERTIFY THAT

1. It is my opinion that the plan documents filed with this statement comply with the Act and the regulations.
2. I acknowledge that the obligation to determine compliance of the plan documents filed with this statement is the responsibility of the administrator, and I declare that I have fulfilled that responsibility and, in making this application, have complied with the Act and the regulations.
3. I confirm that the following documents have been established in accordance with the requirements of the Act:
 - (a) a governance policy that meets the requirements of section 42 (1),
 - (b) a statement of investment policy and procedure that meets the requirements of section 43 (1), and
 - (c) a funding policy that meets the requirements of section 44.

I declare that the above statements are true to the best of my knowledge and belief and I make these statements conscientiously believing them to be true.

DATED at, British Columbia, on[MM/DD/YYYY]

.....
SIGNATURE OF ADMINISTRATOR OR AUTHORIZED OFFICER
.....
[TYPE OR PRINT NAME]

NOTE: The administration of a pension plan in a manner that does not comply with the Act and the regulations may be subject to an administrative penalty under section 116 of the Act or may be an offence under section 123 of the Act. In addition, an administrator may be subject to a direction for compliance under section 113 of the Act issued by the superintendent relating to, among other matters, the manner of administration of a pension plan.

ATTACHMENTS

Please include copies of the following plan documents as applicable, with the application for registration.

- plan text
- any document that creates the plan or under which the plan is constituted
- any trust agreements related to the plan
- any policies or contracts with insurance companies
- any by-laws or resolutions relating to the plan
- the participation agreement, if the plan is a non-collectively bargained multi-employer plan
- a list of participating employers, if the plan is a non-collectively bargained multi-employer plan
- the explanation or plan summary provided to members (sections 9 and 10 of the Regulations)
- sample of the Annual Members Statement provided to plan members (section 11 of the Regulations)
- if a benefit formula provision, a copy of the actuarial valuation report
- a cheque payable to the Minister of Finance to cover the registration fee