



Employment Pensions  
 #402, 9515 – 107<sup>th</sup> Street  
 Edmonton, AB T5K 2C3  
 Phone: (780) 427-8322

## Application for Registration of a Pension Plan

NOTE: Plans whose only members are “connected persons” as defined under the *Income Tax Act* (Canada) do **NOT** file with this office

General information – plan sponsor / administrator			
<b>Official name of the pension plan:</b>			
<b>Plan sponsor / administrator name (company or board):</b>			
<b>Primary plan contact information</b>	<b>Name:</b>		<b>Position or title:</b>
	<b>Address:</b>		
	<b>Phone:</b>		<b>Email:</b>
<b>Plan sponsor / administrator means:</b>	<ul style="list-style-type: none"> <li>in the case of a single employer or individual pension plan, the plan sponsor</li> <li>in the case of a Non-Collectively Bargained Multi-Employer Plan (NCBMEP), the designated employer or board of trustees,</li> <li>in the case of a Collectively Bargained Multi-Employer Plan (CBMEP), the board of trustees</li> </ul>		
Contact information - plan service providers			
<b>Name and address of fundholder</b>	<b>Company name:</b>		
	<b>Address:</b>		
	<b>Policy / trust account number</b>		
<b>Name and address of actuary  (Required only for plans with defined benefit provisions)</b>	<b>Name:</b>		<b>Position or title:</b>
	<b>Company name:</b>		
	<b>Address:</b>		
	<b>Email:</b>		<b>Phone:</b>
<b>Name of consultant  (only if different from actuary or fundholder)</b>	<b>Company name:</b>		
	<b>Address:</b>		
	<b>Phone:</b>		
If needed, attach a sheet containing all other applicable contacts (i.e. third party administrators; plan auditor, custodian, etc.)			

**Nature of business**

Are any plan members employed in federally regulated activities or industries? If yes, ensure the membership section on page 3 is completed in its entirety.  Yes  
 No

Please use the following NAICS codes and industry descriptions to select the main activity of your business. More information on NAICS can be found at:

<https://www.statcan.gc.ca/eng/subjects/standard/naics/2017/index>

**OR** you can call Statistics Canada at 1-800-263-1136 for help in determining your NAICS

**Select ONLY one code:**

NAICS	Industry description	NAICS	Industry description
11	<input type="checkbox"/> Agriculture, forestry, fishing and hunting	52	<input type="checkbox"/> Finance and insurance
21	<input type="checkbox"/> Mining, quarrying, and oil and gas extraction	53	<input type="checkbox"/> Real estate and rental and leasing
22	<input type="checkbox"/> Utilities	54	<input type="checkbox"/> Professional, scientific and technical services
23	<input type="checkbox"/> Construction	55	<input type="checkbox"/> Management of companies and enterprises
31	<input type="checkbox"/> Manufacturing - food, beverage, tobacco, clothing, textile & leather	56	<input type="checkbox"/> Administrative and Support, Waste Management and Remediation Services
32	<input type="checkbox"/> Manufacturing - wood, paper, printing, chemical, petroleum, metal etc.	61	<input type="checkbox"/> Educational services
33	<input type="checkbox"/> Manufacturing - electronic, machinery, furniture, transportation & misc.	62	<input type="checkbox"/> Health care and social assistance
41	<input type="checkbox"/> Wholesale trade	71	<input type="checkbox"/> Arts, entertainment and recreation
44	<input type="checkbox"/> Retail trade	72	<input type="checkbox"/> Accommodation and food services
48 / 49	<input type="checkbox"/> Transportation and warehousing	81	<input type="checkbox"/> Other services (except public administration)
51	<input type="checkbox"/> Information and cultural industries	91	<input type="checkbox"/> Public administration

**Type of organization**

Public sector	Private sector
<input type="checkbox"/> Municipal government	<input type="checkbox"/> Incorporated
<input type="checkbox"/> Municipal enterprise	<input type="checkbox"/> Unincorporated business (sole proprietor or partnership)
<input type="checkbox"/> Federal government	<input type="checkbox"/> Co-operative
<input type="checkbox"/> Federal enterprise	<input type="checkbox"/> Trade or employee association
<input type="checkbox"/> Provincial government	<input type="checkbox"/> Religious, charitable or other non-profit organization
<input type="checkbox"/> Provincial enterprise	<input type="checkbox"/> Other (private):
<input type="checkbox"/> Other (public) :	

**Plan classification**

How many employers (affiliated or not) participate in this plan? <input style="width: 80px; height: 20px;" type="text"/>	Are the employer contributions to the plan collectively bargained? <input type="checkbox"/> Yes <input type="checkbox"/> No
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Plan details									
Does this plan have any <b>defined benefit</b> provisions?  <input type="checkbox"/> Yes <input type="checkbox"/> No				<b>Effective date of plan:</b>					
				Year			Month		Day
				Month		day			
<b>Plan Fiscal Year End:</b>				Month		day			
NOTE: The plan's Fiscal Year End is 12-31 unless the plan text defines a different date.									
<b>Plan Review Date</b> (for plans with <b>defined benefit provisions only</b> ):				Month		day			
NOTE: The pension plan's review date is 12-31 or the same as the plan's Fiscal Year end, unless the plan text defines a different date.									
Note:									
<ul style="list-style-type: none"> <li>Unless members make ALL investment decisions, the Plan must have a Statement of Investment Policies and Procedures (SIPP)</li> <li>Further, if the Plan has Defined Benefit provisions, the SIPP must be filed with the actuary</li> </ul>									

Membership						Fee enclosed		number of enrolled employees who also work in included employment	
Area of employment	Total number of employees of the plan sponsor		Number of employees enrolled on the date of plan establishment			Total			Total
	Male	Female	Male	Female	Total "A"				
Alberta									
Newfoundland & Labrador									
Prince Edward Island									
Nova Scotia									
New Brunswick									
Quebec									
Ontario									
Manitoba									
Saskatchewan									
British Columbia									
Yukon Territory									
Northwest Territories									
Nunavut									
Outside Canada									
<b>Total</b>									

In this column, please enter the total number of employees who work in included employment, *of the number listed in column "A"*

\$2.50 / member  
 minimum = \$250.00  
 maximum = \$75,000.00

\$

**Documents for filing**

The application and accompanying documents must be filed with the office of the Alberta Superintendent of Pensions not later than 60 days after the decision to establish the plan is made.

The following signed documents have been included with the application for registration:

[Form 1: Administrator Statement of Compliance – Plan Registration](#)

Pension plan text document

Any document that creates the plan or under which the plan is constituted (e.g. board resolution)

Fundholder agreement(s)

**In addition, if the plan has a defined benefit provision we have also included:**

Initial actuarial valuation and cost certificate

<b>Disclosure to members</b> (check one)	Members of the plan and employees eligible to become members of the plan will be provided with: <input type="checkbox"/> A summary of the plan provisions (i.e. an employee booklet) <p style="text-align: center;"><b>OR</b></p> <input type="checkbox"/> A copy of the pension plan text document
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**Note:** Information collected on this form may be released to individuals, upon request, in accordance with the requirements, terms and conditions of the [Freedom of Information and Protection of Privacy Act](#).

**CERTIFICATION**

**Must be signed by the individual shown as the plan sponsor / administrator contact on page 1 of this form.**

**A third party administrator or consultant is not permitted to sign the form on behalf of the plan sponsor.**

<b>Signature</b>	<b>Date</b>

Please forward this application with the necessary documents and the required fee, payable to the **Government of Alberta** to:

**Alberta Treasury Board and Finance  
Employment Pensions  
402 Terrace Building  
9515 - 107 Street  
EDMONTON, AB T5K 2C3**