Financial Services Regulatory Authority of Ontario

Ontario

Form 8 - Investment Information Summary

Approved pursuant to the Ontario Pension Benefits Act (R.S.O. 1990, c. P.8, as amended)

Please see the instructions for completing this form.

Part 1 - Pension Plan Information

Registration number

(101)

Name of registered pension plan

(102)

Plan fiscal year

From: (103) yyyy-mm-dd

To: (104) yyyy-mm-dd

Is this a designated plan? (105) Y/N

If the answer in line 105 is “Y”, this form does not need to be prepared

Part 2 - Certification by Plan Administrator

As the administrator of the pension plan or its authorized delegate, I certify that the information contained in this Investment Information Summary is true, accurate and complete to the best of my knowledge and belief.

Dated this (day) day of (Month), (Year).(201)

Signature of administrator

Full name of administrator (please print or type) (202)

Company name (204)

Title/position (203)

Address of administrator

(205)

Telephone number (206)

Facsimile number (207)

Email address (208)

Plan registration number: ____________

Plan fiscal year end: ____________

Part 3 - Statement of Changes in Net Assets

INCREASE IN ASSETS (including receivables)	Current year (A)	Previous Year (B)	
Increase due to investments:			
Net gains (or losses) on investments:			
Realized			(301)
Unrealized			(302)
Investment income (interest, dividends, rents, etc.)			(303)
Total increase due to investments *(Sum of lines 301 to 303)*			(310)
Contributions:			
Employer contributions (normal cost, special payments, etc.)			(311)
Member contributions			(312)
Total contributions *(Lines 311+312)*			(320)
Transfers from other pension plans, LIRAs, LIFs and LRIFs			(321)
Other sources of increase in assets: (specify)			
____________ *(323)*			(322)
TOTAL INCREASE IN ASSETS *(Lines 310+320+321+322)*			(330)

DECREASE IN ASSETS (including payables)	Current year (A)	Previous Year (B)	
Plan expenses:			
Expenses related to managing investments			(331)
Administrative expenses:			
Professional fees			(332)
Other expenses: (specify)			
____________ *(334)*			(333)
Total plan expenses *(Sum of lines 331 to 333)*			(340)
Benefit payments			(341)
Transfer to other pension plans, LIRAs, LIFs and LRIFs			(351)
Other sources of decrease in assets: (specify)			
____________ *(353)*			(352)
TOTAL DECREASE IN ASSETS *(Lines 340+341+351+352)*			(360)

CHANGE IN NET ASSETS *(Lines 330-360)*			(370)
NET ASSETS AT BEGINNING OF FISCAL YEAR			(381)
NET ASSETS AT FISCAL YEAR END *(Lines 370+381)*			(390)

Plan registration number: ____________________

Plan fiscal year end: ____________________

Part 4 - Statement of Net Assets

INVESTMENTS	Current year (A)	Previous Year (B)	
Demand deposits and cash on hand			(401)
Insured contracts			(402)
Short term notes and treasury bills			(403)
Term deposits and guaranteed investment certificates			(404)
Canadian bonds and debentures			(405)
Non-Canadian bonds and debentures			(406)
Mortgage loans			(407)
Real estate debentures			(408)
Canadian stocks			(411)
Non-Canadian stocks			(412)
Real estate			(413)
Resource properties			(414)
Venture capital			(415)
Securities of real estate, resource and investment corporations			(416)
Pooled/mutual/segregated funds:			
Fixed-income funds			(421)
Equity funds			(422)
Balanced funds			(423)
Other funds: (specify)			
(426)			(424)
(427)			(425)
Total pooled/mutual/segregated funds *(Sum of lines 421 to 425)*			(430)
Investments in other asset categories not listed above: (specify)			
(442)			(441)
TOTAL INVESTMENTS *(Sum of lines 401 to 408, 411 to 416, 430 and 441)*			(460)

ACCOUNTS RECEIVABLE			
Contributions			
Employer contributions			(461)
Member contributions			(462)
Investment income receivable (interest, dividends, rents, etc.)			(463)
Other amounts receivable: (specify)			
(465)			(464)
TOTAL ACCOUNTS RECEIVABLE *(Sum of lines 461 to 464)*			(470)

ACCOUNTS PAYABLE			
Accounts payable			(471)
Other payable: (specify)			
(473)			(472)
TOTAL ACCOUNTS PAYABLE *(Sum of lines 471 to 472)*			(480)

NET ASSETS AVAILABLE FOR BENEFITS *(Lines 460+470-480)*			(490)

Part 5 - Interrogatories

5.01 Is the information set out in Parts 3 and 4 of this Investment Information Summary consistent with the information set out in the pension plan's financial statements for the corresponding fiscal year that are required to be filed under section 76 of Regulation 909? ☐

5.02 Were any of the assets of the pension fund held directly by the plan administrator, rather than an external custodian of the pension fund (such as a trust company or insurance company)? ☐

5.03 Were any of the assets of the pension fund invested in derivative instruments, other than those held in pooled or mutual funds or segregated funds? ☐

5.04 Were any of the assets of the pension fund invested in employer-issued securities, other than those held in pooled or mutual funds or segregated funds? ☐

If so, enter the fair market value of such securities as of the fiscal year end: ____________ *(501)*

5.05 Were the assets of the pension fund invested in any master trust? ☐

If so, indicate the name(s) of the master trust(s): ____________ *(502)*

5.06 Were all of the assets of the pension fund invested in a name on behalf of the pension plan in accordance with clause 6(1)(b) of the Federal Investment Regulations (FIR)? ☐

5.07 Did the plan administrator maintain records identifying all of the investments of the pension fund in accordance with section 7 of the FIR? ☐

5.08 Did the plan have a Statement of Investment Policies and Procedures (SIPP) meeting the requirements of section 7.1 of the FIR? ☐

5.09 Was the SIPP reviewed and confirmed or amended by the plan administrator, having regard to all known factors of the plan's portfolio of investments and loans, during the plan fiscal year covered by this Investment Information Summary? ☐

5.10 Did the plan administrator provide a copy of the most recent SIPP to the actuary to the plan? ☐

5.11 Did the investments of the pension fund exceed the 10% quantitative limit described in section 9 of Schedule III of the FIR? ☐

5.13 Did the investments of the pension fund exceed the 30% quantitative limit described in section 11 of Schedule III of the FIR? ☐

5.14 Did the investments of the pension fund comply with the 30% rules respecting real estate corporations, resource corporations and investment corporations described in sections 12 to 14 of Schedule III of the FIR? ☐

5.15 Did the investments of the pension fund comply with the related party transaction rules described in sections 16 and 17 of Schedule III of the FIR? ☐

5.16 Were all of the investments of the pension fund invested in accordance with the SIPP? ☐

5.17 Has the situation described by any of questions 5.02 to 5.15 in this Part of the Investment Information Summary changed so that the answer to the relevant question(s) is different by the time this Investment Information Summary is filed? ☐

If so, list the relevant question(s): ____________ *(503)*

Plan registration number: ______________________

Plan fiscal year end: ______________________

Part 5 - Interrogatories (Cont'd)

5.18 On what date was the SIPP last amended, or if it has never been amended, first established? ____________ *(504)*

5.19 As described in the SIPP, what percentage of the assets of the pension fund were intended to be invested in the following broad asset categories:

	Asset Category	Asset Allocation Target (%)	Asset Allocation Range (%)	
			Minimum	Maximum
Specify asset categories in the next column				
Total		100%		

Part 6 - Additional Explanations and Comments

Ce formulaire est également disponible en français