

Financial Assistance Scheme

The Financial Assistance Scheme is administered by the Pension Protection Fund



Financial Assistance Scheme
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www.pensionprotectionfund.org.uk

FAS A1 07/11

Notification and Qualification

1/11

How to use this form

The form is made up of 2 parts:

- Part A – **Notification**, and
- Part B – **Qualification**.

You can use this form to notify us of the details of an occupational pension scheme or section of a scheme. You can also use it to provide the additional information we need to decide whether or not a scheme is a qualifying pension scheme.

Before completing this form, please check the Financial Assistance Scheme (FAS) information on the Pension Protection Fund website. It contains details of schemes of which FAS has been notified. It also tells you whether or not the schemes are qualifying pension schemes. The address is:

www.pensionprotectionfund.org.uk

If you are a member of an occupational pension scheme that is winding-up, you need to check with the trustees of the scheme to find out whether or not they are already in the process of notifying us. If they are, there is no need for you to do so.

Please note that you must complete separate Notification and Qualification forms for each section of a sectionalised multi-employer scheme.

References to sections in this form should be taken as references to sections of sectionalised multi-employer schemes.

A sectionalised multi-employer scheme is one where assets and liabilities are separated into different sections, each section relating to a different employer or group of employers.

CONTINUED →

Part A – Notification

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We must have certain details in writing before we can consider whether or not a pension scheme is a qualifying pension scheme for the purpose of the FAS.

We only need to be notified once. Please check if we have already been notified of the scheme you want to tell us about. You can do this by visiting our website:

www.pensionprotectionfund.org.uk

or speaking to the trustees of the scheme.

Notification can be completed by:

a In the case of a pension scheme that is winding-up:

- Any trustee of the scheme.
- Any member of the scheme or their appointed representative.
- A surviving spouse or civil partner of a member of the scheme who has died.
- Any professional adviser in relation to the scheme.

b In the case of a pension scheme that has wound-up:

- A former trustee or manager of the scheme.
- A former member of the scheme or their appointed representative.
- A surviving spouse or civil partner of a former member of the scheme who has died.
- A former professional adviser in relation to the scheme.
- Any insurance company that is paying annuities to former members of the scheme.

Part A – Notification continued

3/11

About you

Surname	Mr/Mrs/Miss/Ms
Other names	
Address	
Postcode	

Daytime phone number

Code	Number
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What is the number?

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Home Work Mobile

Please tick the appropriate box.

Email address (if you have one)

What is your involvement in the scheme?

For example, member or former member, appointed representative of a member or former member, trustee or former trustee, professional adviser, surviving spouse or civil partner of a member or former member who has died.

About the scheme

Has the scheme you want to notify us of completed the process of winding-up?

<input type="checkbox"/> N No You must answer the questions a , b , c and d .	<input type="checkbox"/> Y Yes You must answer the questions a and b . Please answer the questions c and d if you can.	<input type="checkbox"/> Do not know Please contact the trustees of the scheme.
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a What is the name of the pension scheme or section?
b Tell us the name and address of an employer to which the scheme or section relates or has related?

This should be the principal employer – if known.

Name
Address
Postcode

If there has been a change of name you must also tell us the previous name of the employer.

CONTINUED →

Part A – Notification continued

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About the scheme continued**c** What is the pension scheme registration number of the scheme or section?*You may know this as the Occupational Pension Regulatory Authority (OPRA) number.***d** Tell us the name and address of a trustee of the scheme?*This should be the statutory independent trustee if one has been appointed.*

Postcode

Other information

Please use this space to tell us anything else you think we might need to know.

Declaration**I declare** that the information I have given on this form is correct and complete as far as I know and believe.**I understand** that if I give information that is incorrect or incomplete, action may be taken against me.

Date

What to do nowIf you are sending Part A – **Notification** only, please return pages 3 and 4 and keep the rest of the form until you can complete it.

Send this part of the form to us using the envelope we have sent you with this form. It does not need a stamp.

If possible, please complete Part B – **Qualification** and return it at the same time. If this is not possible, please return Part B as soon as you can.**What happens next**

We may need to contact you if we need clarification or more information from you.

We will also write to you to tell you when you have completed the Notification requirements in relation to the scheme. If you have not returned **Part B** we will ask you to provide the Qualification information within **6 months**.

Part B – Qualification

5/11

We need more information to help us to decide whether or not a pension scheme or section is a qualifying pension scheme for the purposes of FAS. If you are unable to answer any question, please use the box in **Other information** on page 9 to tell us the reason. We may need to contact you about this.

If you are returning this part of the form separately from **Part A**, then you will have 6 months from the date you complete the Notification requirements to provide this information. But the sooner you return this part of the form, the sooner we will be able to make a decision.

About you

You do not need to fill in this section if you are returning **Parts A** and **B** together. Go straight to the next section – **About the scheme**.

Surname		Mr/Mrs/Miss/Ms
Other names		
Address		
		Postcode
Daytime phone number		What is the number?
Code	Number	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Email address (if you have one)		Home Work Mobile
		<i>Please tick the appropriate box.</i>

What is your involvement in the scheme?

For example, member or former member, appointed representative of a member or former member, trustee or former trustee, professional adviser, surviving spouse or civil partner of a member or former member who has died.

About the scheme

You do not need to answer questions **a**, **b** and **c** if you have completed **Part A** of this form and are returning it together with **Part B**. Go straight to question **d**.

a What is the name of the pension scheme or section?

b Tell us the name and address of an employer to which the scheme or section relates or has related?

This should be the principal employer – if known.

Name
Address
Postcode

CONTINUED →

Part B – Qualification continued

6/11

About the scheme continued

c What is the pension scheme registration number of the scheme or section?

You may know this as the Occupational Pension Regulatory Authority (OPRA) number.

d What is the employer to which the scheme or section relates?

Please tick the appropriate box. If there is more than one employer please use the space in **Other information** on page 9 to tell us about them.

- | | | |
|---|---|---|
| <input type="checkbox"/> A company | <input type="checkbox"/> An individual | <input type="checkbox"/> A partnership |
| <input type="checkbox"/> A public body
<i>What kind of body?</i> | <input type="checkbox"/> A relevant body
<i>What kind of body?</i> | <input type="checkbox"/> Other
<i>Please specify</i> |

e Has the employer to which the scheme or section relates undergone an insolvency event?

- N** No **Y** Yes

What was the date of the event?

What kind of insolvency event was it?

f Are you asking us to consider a whole scheme or a section of a scheme?

- Whole scheme Section
What is the name of the section of the scheme?

g Is the scheme or section a tax approved scheme?

Please note that only those sections of schemes that have tax approval may qualify for assistance. An application made on behalf of a scheme or section that is only partially tax approved will be treated as relating only to that section of the scheme that has tax approval.

- N** No **Y** Yes

h When did the scheme or section begin winding-up?

Date

i How many members did the scheme have immediately before it started to wind-up?

Split this into active, deferred and pensioner members if you know this.

Total

Active

Deferred

Pensioner

CONTINUED →

Part B – Qualification continued

7/11

About the scheme continued

j Are you, or would you have expected to be, a beneficiary of the scheme?

N **No** **Y** **Yes**

k Is the scheme contracted out?

N **No** **Y** **Yes**
What is the Scheme Contracted Out Number?

.....
 The pension scheme or section you are telling us about will not qualify for FAS if it fell into one or more of the categories below immediately before it started to wind-up.

Please tick **No** or **Yes** to the following questions.

If you are unable to answer any of the questions, please use the space in **Other information** on page 9 to explain why.

1 Is this a money purchase scheme, or a scheme that offers only money purchase benefits?

N **No** **Y** **Yes**

2 Is this a public service pension scheme where there is no requirement for assets related to the intended rate or amount of benefit under the scheme to be set aside in advance (disregarding requirements relating to additional voluntary contributions)?

N **No** **Y** **Yes**

3 Is this a scheme which is made under Section 7 of the Superannuation Act 1972 or under Article 9 of the Superannuation (Northern Ireland) Order 1972 (superannuation of persons employed in local government service etc) and provides pensions to persons employed in local government service?

N **No** **Y** **Yes**

4 Is this a scheme which is made under Section 2 of the Parliamentary and Other Pensions Act 1987 (power to provide for pensions for Members of the House of Commons etc)?

N **No** **Y** **Yes**

5 Is this a scheme which is established under Section 48 of the Northern Ireland Act 1988 (pensions of members), or which was established under Part 2 of the Ministerial Salaries and Members' Pensions Act (Northern Ireland) 1965 or Article 3 of the Assembly Pensions (Northern Ireland) Order 1976?

N **No** **Y** **Yes**

CONTINUED →

Part B – Qualification continued

8/11

About the scheme continued

6 Is this a scheme in respect of which a relevant public authority has given a guarantee or made any other arrangements for the purposes of securing that the assets of the scheme are sufficient to meet its liabilities?

N **No** **Y** **Yes**

7 Is this a scheme which provides relevant benefits within the meaning of Section 612(1) of the Income and Corporation Taxes Act 1988 but which is neither a tax approved scheme nor a relevant statutory scheme within the meaning of section 611A of that Act?

N **No** **Y** **Yes**

8 Is this a scheme

- a which has been categorised before 18 April 2005, by the Commissioners of Inland Revenue, and on or after that date, by the Commissioners of HM Revenue and Customs, for the purposes of its approval as a centralised scheme for non-associated employers,
- b which is not contracted-out in accordance with Section 9 of the Pension Schemes Act 1993, and
- c under the provisions of which the only benefits that may be provided on or after retirement, other than money purchase benefits derived from the payment of voluntary contributions by any person, are lump sum benefits which are not calculated by reference to a member's salary?

N **No** **Y** **Yes**

9 Is this a scheme the only benefits provided by which, other than money purchase benefits, are death benefits, and under the provisions of which no member has accrued rights, other than rights to money purchase benefits?

N **No** **Y** **Yes**

10 Is this a scheme with such a superannuation fund as is mentioned in Section 615(6) of the Income and Corporation Taxes Act 1988 (exemption from tax in respect of certain pensions)?

N **No** **Y** **Yes**

11 Is this a scheme which does not have its main place of administration registered in the United Kingdom?

N **No** **Y** **Yes**

12 Is this a scheme with fewer than two members?

N **No** **Y** **Yes**

CONTINUED →

Part B – Qualification continued

9/11

Other information

Please use this space to tell us anything else you think we might need to know.

Declaration

I declare that the information I have given on this form is correct and complete as far as I know and believe.

I understand that if I give information that is incorrect or incomplete, action may be taken against me.

Signature

Date

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Documents to support Qualification

To help us to decide whether or not the scheme you have told us about is a qualifying pension scheme, we need to see some evidence.

Please send us:

- The scheme's trust deed and rules, as they applied immediately before wind-up.
- Evidence confirming wind-up date. This must be in one of the following formats:
 - a** in the case of wind-up triggered by the trustees either
 - a resolution to wind-up the scheme signed by the trustees,
 - or minutes from the trustee meeting that determined wind-up
 - b** in the case of wind-up that was automatically triggered, legal advice confirming that the scheme had started to wind-up, or
 - c** in the case of wind-up triggered as a result of an order of the court or by OPRA, a copy of the order.
- A letter confirming tax approval from HM Revenue and Customs (previously Inland Revenue).
- Evidence of the employer to which the scheme or section relates. If the employer of the scheme or section is not included in the scheme rules, or details have been amended, we will need a copy of the deed certifying the change of employer.
- Evidence confirming employer's insolvency as follows:
 - a** for companies that have entered an insolvency event as set out in Section 121 of the Pensions Act 2004
 - a copy of the notice of the appointment of an insolvency practitioner
 - a proxy to vote at creditors' meetings, or
 - copies of reports of creditors' meetings (preferred), or
 - a print out of the *insolvency history* page from the Companies House website
 - b** for companies or limited liability partnerships that have been dissolved
 - a copy of the relevant notice from the London, Edinburgh or Belfast Gazette.
 For relevant bodies that have entered the equivalent of an insolvency event as set out in Section 121 of the Pensions Act 2004
 - evidence as described under a.
 - c** for individuals or partnerships that have entered an insolvency event as set out in Section 121 of the Pensions Act 2004
 - the bankruptcy order
 - minutes of creditors' meetings
 - winding-up orders, or
 - a relevant extract from the London, Edinburgh or Belfast Gazette
 - d** for public bodies, charities or Trade Unions
 - evidence that they are being discontinued.

For schemes where an employer has discharged the debt due under Section 144 of the 1993 Pensions Act or that no debt was due under that section of the Act when the scheme commenced wind-up, or the employer discharged the debt due under Section 75 of the 1995 Act or that no debt was due under that section when the scheme began to wind-up.

If there was no debt due to be paid:

- The trustees' minutes relating to this issue.

If there was debt owing to the scheme:

- The debt certificate issued by the actuary as at the date of wind-up.

Part B – Qualification continued

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Documents to support Qualification continued

If the debt certificate shows that the scheme was less than 100 per cent funded and the employer subsequently made a payment to restore funding to 100 per cent:

- the accounts showing the date and amount of the payment, or
- the trustees' minute confirming the date and amount of the payment.

If the debt was partially met by the employer:

- the accounts showing the date and amount of the payment, or
- the trustees' minute confirming the date and amount of the payment.

plus

- any legal advice the trustees received regarding the non-pursuance of the remainder of the debt and
- trustees' minutes discussing the non-pursuance of the debt, and the minute confirming the decision not to pursue the remainder of the debt.

If the debt was not met by the employer:

- legal advice the trustees received regarding the non-pursuance of the debt and
- trustees' minutes discussing the non-pursuance of the debt, and the minute confirming the decision not to pursue the debt.

All the documents we asked for must be the originals or certified copies. We will send them back to you.

What we will do now

We will use the information you have given us to decide whether this is a qualifying pension scheme. For more information about how we make this decision, and how we decide on awards to individual members, please see our leaflet *What the Financial Assistance Scheme means to you*.

We will show the names of schemes which have completed the Notification requirements and are qualifying pension schemes on our website, which is updated regularly. The address is:

www.pensionprotectionfund.org.uk

You can also ask the trustees of the scheme about the status of the scheme.

How we collect and use information

The information we collect about you and how we use it depends mainly on the reason for your business with us. But we may use it for any of the Department's purposes, which include:

- social security benefits and allowances
- child support
- employment and training
- private pensions policy, and
- retirement planning.

We may get information from others to check the information you give to us and to improve our services. We may give information to other organisations as the law allows, for example to protect against crime. To find out more about how we use information, visit our website:

www.dwp.gov.uk/privacy.asp

or contact any of our offices.