



Pooled Registered Pension Plan Annual Information Return

Protected B
when completed

The administrator of a pooled registered pension plan must file a Form RC368, Pooled Registered Pension Plan Annual Information Return, within four months after the end of the year to which the document relates as directed by the Superintendent under section 58 of the Pooled Registered Pension Plans Act (PRPP Act), and as required by section 213 of the Income Tax Regulations (ITR).

All questions on the form must be answered.

Submit certified copies of the form to the Canada Revenue Agency (CRA) and the Office of the Superintendent of Financial Institutions (OSFI) at the addresses below:

Canada Revenue Agency
Registered Plans Directorate
Ottawa ON K1A 0L5

Office of the Superintendent of Financial Institutions
255 Albert Street
Ottawa ON K1A 0H2

For more information about the terms used in this form, visit the following websites:

canada.ca/registered-plans-administrators

osfi-bsif.gc.ca

Or by contacting us, as applicable, at:

Canada Revenue Agency
1-800-267-3100
From outside Canada and the US, call
us collect at **613-221-3105**

Office of the Superintendent of Financial Institutions
1-800-385-8647
Email: information@osfi-bsif.gc.ca

(Please print or type)

Section 1 – Plan Information

Official name of the plan				
CRA registration number			OSFI registration number	
Administrator name			Email address	
Address				
City	Province	Postal code	Telephone number	Fax
Name of authorized officer			Plan Year End (MM-DD)	
Period of this report From _____ to _____ Year Month Day Year Month Day			Number of months in this reporting period	

Section 2 – Financial Data for the Plan Year

Report amounts to the nearest dollar - Enter "0" or greater on each line.	
(i) Market value of assets at prior plan year-end	
Additions:	
(ii) Employer contributions	
(iii) Member contributions	
(iv) Amount transferred to the plan from a registered pension plan, specified pension plan, deferred profit sharing plan, registered retirement savings plan, registered retirement income fund or other pension plan	
(v) Total increase due to investments	
Investment income	
Net gains (losses) on investments – realized	
Net gains (losses) on investments – unrealized	

Deductions:	
(vi) Amount used to purchase annuities	
(vii) Amount transferred from the plan to another PRPP, pension plan or retirement savings plan as per section 54(2)(a) and (b) of the PRPP Act.	
(viii) Amount of variable payments	
(ix) Other distributions paid from the plan	
(x) Total fees/expenses paid from plan (not included in the management expense ratio)	
(xi) Market value of assets at current plan year-end (Amount should be equal to the sum of lines (i) through (v) less the sum of lines (vi) through (x) and should equal amount reported in the auditor's report)	

Section 3 – Plan Membership (by location at the end of the plan year)

Enter relevant provincial information. The total line is mandatory.

Location of Employment	Male	Female	Total	Number in Included Employment
Newfoundland and Labrador				
Prince Edward Island				
Nova Scotia				
New Brunswick				
Quebec				
Ontario				
Manitoba				
Saskatchewan				
Alberta				
British Columbia				
Yukon				
Northwest Territories				
Nunavut				
Total				

Section 4 – Investment Options – Financial Data

Default contribution rate %

Default Option

For each target date / balanced fund, provide the following information (attach a separate page if more space is needed)

Name of Default Investment Option	
Cost	%
Annual rate of return (net of expenses)	%
Market value of assets	
Investments Held: (list top 10 holdings in percentage format)	%
– Investment #1	
– Investment #2	
– Investment #3	
– Investment #4	
– Investment #5	
– Investment #6	
– Investment #7	
– Investment #8	
– Investment #9	
– Investment #10	

Asset Allocation:	%
– Cash and Equivalents	
– Canadian Bonds	
– Foreign Bonds	
– Canadian Equity	
– U.S. Equity	
– Foreign Equity	
– Other	

Other Investment Options

For each Investment Option other than the Default Option, provide the following information (attach a separate page if more space is needed)

Name of Investment Option	
Cost	%
Annual rate of return (net of expenses)	%
Market value of assets	
Investments Held: (list top 10 holdings in percentage format)	%
– Investment #1	
– Investment #2	
– Investment #3	
– Investment #4	
– Investment #5	
– Investment #6	
– Investment #7	
– Investment #8	
– Investment #9	
– Investment #10	
Asset Allocation:	%
– Cash and Equivalents	
– Canadian Bonds	
– Foreign Bonds	
– Canadian Equity	
– U.S. Equity	
– Foreign Equity	
– Other	

Section 5 – Other Plan Information

Did the plan become a designated pooled pension plan as defined in subsection 147.5(1) of the ITA during the year?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the plan comply with the 10% rule, the 30% rule, and related party transaction rules described in sections 9, 10, and 12 of the Pooled Registered Pension Plan Regulations (PRPP Regulations) respectively?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the plan comply with the low cost requirement described in section 26 of the PRPP Act and section 20 of the PRPP Regulations?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the plan comply with the prohibition on offering inducements as described in section 24 of the PRPP Act?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
How many members contributed to the plan during the year?		
How many members contributed to the plan during the year, but are not employed with an employer participating in the plan?		
Have you attached a copy of the auditor's report?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
List of employers who are participating in the plan at year-end (attach a separate page if more space is needed)		

Business Name	Business Number #####AA####	Does the employer contribute to the Plan?
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No

Number of employers who are participating in the plan at year-end

Section 6 – Certification

As an authorized officer of the administrator of the plan,
 I, _____, certify that to the best of my knowledge, the following is true and correct:
 (Please print the name of the authorized officer of the Plan Administrator)

(a) the information given on this form is accurate and complete;

(b) the plan and investments comply with and are being administered according to the PRPP Act and the PRPP Regulations, and with section 147.5 of the ITA and the Regulations thereto;

and I acknowledge that:

(c) the information collected on this form will be used for the purposes of regulating the plan pursuant to the PRPP Act and the ITA, which are administered by OSFI and the CRA respectively, and shared with Statistics Canada pursuant to two separate agreements; and

(d) this form and the information provided will be subject to the Access to Information Act and the Privacy Act.

Date (YYYY-MM-DD)	Signature of authorized officer	Position of authorized officer
Telephone of authorized officer		Email of authorized officer

Personal information is collected under the authority of section 213 of the ITR and Section 58 of the PRPP Act and is used for the registration and administration of a PRPP. Information may also be disclosed under information-sharing agreements in accordance with the corresponding Acts. Incomplete or inaccurate information may result in financial penalties, administrative delays, and revocation of the plan.

Information is described in personal information banks CRA PPU 226 and OSFI PPU 025 and in the CRA and OSFI chapters of Info Source respectively. Personal information is protected under the Privacy Act and individuals have a right of protection, access to and correction or notation of their personal information.