



## APPLICATION FOR REGISTRATION AS A REGISTERED INVESTMENT

- A corporation or trust can use this form to apply for registration as a "registered investment" under section 204.4 of the *Income Tax Act*.
- Send the completed application and the required attachments to:
 

Canada Revenue Agency  
 Registered Plans Directorate  
 Ottawa ON K1A 0L5
- Unless otherwise stated, the sections, subsections, paragraphs, and clauses referred to on this application are from the *Income Tax Act*.

(Please print)

Name (as it will be marketed) of the investment for which registration is being requested	
Name of trust or corporation requesting registration (referred to as the "applicant" below)	
Applicant's address	Telephone number
Trustee's name (if applicable, attach a list of individual trustee names and addresses)	
Trustee's address	

If the applicant wants us to contact a consultant or other agent about this application, print the consultant's or agent's name below.

Name	Telephone number
Address	

1.	The applicant, as of the requested registration date, is: <ul style="list-style-type: none"> <li><input type="checkbox"/> a mutual fund trust defined in subsection 132(6) that meets the redemption requirements of paragraph 108(2)(a);</li> <li><input type="checkbox"/> a mutual fund trust defined in subsection 132(6) that meets the investment restrictions of paragraph 108(2)(b);</li> <li><input type="checkbox"/> a quasi-mutual fund trust described in paragraph 204.4(2)(d) that meets the redemption requirements of paragraph 108(2)(a);</li> <li><input type="checkbox"/> a quasi-mutual fund trust described in paragraph 204.4(2)(d) that meets the investment restrictions of paragraph 108(2)(b);</li> <li><input type="checkbox"/> a pooled fund trust described in paragraph 204.4(2)(a);</li> <li><input type="checkbox"/> a quasi-pooled fund trust described in paragraph 204.4(2)(b);</li> <li><input type="checkbox"/> a mutual fund corporation defined in subsection 131(8);</li> <li><input type="checkbox"/> a quasi-mutual fund corporation described in paragraph 204.4(2)(f);</li> <li><input type="checkbox"/> an investment corporation defined in subsection 130(3);</li> <li><input type="checkbox"/> a quasi-investment corporation described in paragraph 204.4(2)(f).</li> </ul>
2.	The fund or corporation will be used as an investment vehicle for the following (tick one only): <ul style="list-style-type: none"> <li><input type="checkbox"/> registered retirement savings plans (RRSPs);</li> <li><input type="checkbox"/> deferred profit-sharing plans (DPSPs);</li> <li><input type="checkbox"/> registered retirement income funds (RRIFs);</li> <li><input type="checkbox"/> RRSPs and DPSPs;</li> <li><input type="checkbox"/> RRSPs and RRIFs;</li> <li><input type="checkbox"/> RRIFs and DPSPs;</li> <li><input type="checkbox"/> RRSPs, RRIFs, and DPSPs.</li> </ul>
3.	Effective date of registration: _____ <b>Note:</b> The effective date of registration cannot be earlier than the first day of the year in which the application is made, or later than the application date.
4.	Is the applicant: <ul style="list-style-type: none"> <li>a pooled fund trust;</li> <li>a mutual fund trust [not redeemable on demand since it does not meet the requirements of paragraph 108(2)(a)];</li> <li>an investment corporation;</li> <li>a quasi-pooled fund trust;</li> <li>a quasi-mutual fund corporation;</li> <li>a quasi-investment corporation;</li> <li>a quasi-mutual fund trust [that meets the redemption requirements of paragraph 108(2)(a)]; or</li> <li>a quasi-mutual fund trust [that meets the investment restrictions of paragraph 108(2)(b)].</li> </ul> <p><b>If yes, then please provide the following:</b></p> <ul style="list-style-type: none"> <li>▶ a statement of assets and liabilities as of the effective date of registration, as indicated in section 3 above;</li> <li>▶ a statement of income and expenses for the most recently completed fiscal period, or if no such period exists, for the part of the current fiscal period before the date of registration, as indicated in section 3 above; and</li> <li>▶ a statement showing in detail all property held on the date of registration, as indicated in section 3 above, indicating the name of the corporation, trust, debtor, etc., and showing the fair market value at the time each type of investment was acquired.</li> </ul>
5.	Please complete the "Additional Information Required" and the "Certification" areas on page 2 of this application.

### Additional Information Required

Find below the particular type of investment for which registration is being requested in section 1 on page 1. Then indicate by ticking the applicable box(es), that the applicant meets the requirements noted below at the requested registration date and that the required documents have been provided.

#### A mutual fund trust

- An executed copy of the trust document under which the trust operates is attached; and  
 the applicant meets the requirements of Section 4801 of the *Income Tax Regulation*.

#### A quasi-mutual fund trust

- An executed copy of the trust document under which the trust operates is attached; and  
 the applicant holds only prescribed investments for the type of plan or fund for which it has applied for registration.

#### A pooled fund trust

- An executed copy of the trust document under which the trust operates is attached;  
 the applicant meets the requirements of subparagraphs 204.4(2)(a)(vi), (vii), and (viii); and  
 all of the property of the applicant is held in trust for the benefit of the following number of plans or funds:
- |  |  |
|--|--|
| i) registered pension plans              |  |
| ii) deferred profit sharing plans        |  |
| iii) registered retirement savings plans |  |
| iv) registered retirement income funds   |  |

#### A quasi-pooled fund trust

- An executed copy of the trust document under which the trust operates is attached;  
 the applicant meets the requirements of subparagraph 204.4(2)(a)(viii); and  
 the applicant holds only prescribed investments for the type of plan or fund for which it has applied for registration.

#### A mutual fund corporation

- The applicant meets the requirements of subsection 131(8).

#### A quasi-mutual fund corporation

- The applicant meets:
- i) the definition of "Canadian corporation" in subsection 89(1);
  - ii) the requirement in subparagraph 130(3)(a)(vii);
  - iii) the requirement in subparagraph 130(3)(a)(viii); and
  - iv) the requirement in subparagraph 204.4(2)(f)(i).
- the applicant holds only prescribed investments for the type of plan or fund for which it has applied for registration

#### An Investment corporation

- The applicant meets the requirements of paragraph 130(3)(a).

#### A quasi-investment corporation

- The applicant meets:
- i) the definition of "Canadian corporation" in subsection 89(1);
  - ii) the requirement in subparagraph 130(3)(a)(vii);
  - iii) the requirement in subparagraph 130(3)(a)(viii); and
  - iv) the requirement in subparagraph 204.4(2)(f)(i).
- the applicant holds only prescribed investments for the type of plan or fund for which it has applied for registration.

### Certification

I, \_\_\_\_\_ of \_\_\_\_\_,  
(Print Name) (Business address)

certify that the information given on this application and on any documents attached is, to the best of my knowledge, correct and complete.

\_\_\_\_\_  
 Signature of authorized official

\_\_\_\_\_  
 Date

\_\_\_\_\_  
 Position or office

Personal information is collected under the authority of section 204.4 of the *Income Tax Act* and is used for the administration of a registered investment. It may also be used for any purpose related to the administration or enforcement of the Act such as audit and compliance. Information may also be shared or verified under information-sharing agreements to the extent authorized by law. Failure to provide complete or accurate information may result in administrative delays, or a refusal to register the investment. Under the *Privacy Act*, individuals have the right to access their personal information and request correction if there are errors or omissions. Refer to Info Source [www.cra.gc.ca/gncy/tp/nfsrc/nfsrc-eng.html](http://www.cra.gc.ca/gncy/tp/nfsrc/nfsrc-eng.html), Personal Information Bank CRA PPU 226.