



Application for Registration as a Registered Schemes Administrator

Notes for Applicants

This form must be signed manually; unfortunately at this time electronically submitted forms are not acceptable.

The fees for registration are set out by the Registered Schemes Administrators (Fees) Order (which is updated annually); the Order and other related legislation may be obtained from the Isle of Man Financial Services Authority ("the Authority") at <http://www.iomfsa.im/>. All fees are payable to "Isle of Man Government" and include:

- *An application fee which must accompany the application for registration;*
- *An initial annual fee which will be invoiced when registration has taken place; and*
- *A recurring annual fee which is invoiced on the 1st of August of each year.*

It is an offence under the Retirement Benefits Schemes Act 2000 ("the Act") for a person to act as an administrator of a retirement benefits scheme (or to use a title or description falsely implying registration) unless that person is registered in accordance with the provisions of the Act. The administrator of a retirement benefits scheme is the person responsible for the management of the scheme.

All convictions (with the exception of summary motoring offences) must be brought to the attention of the Authority. By virtue of the Rehabilitation of Offenders Act 2001, spent convictions must also be disclosed to the Authority.

Where required, general guidance and assistance on the completion of this form may be obtained from the Authority.

All Applicants

1	Type of application:			
<i>A professional schemes administrator is a person who in the course of business acts as a scheme administrator; an in-house schemes administrator is a person who is not otherwise a professional schemes administrator, i.e. where an employer is the administrator of its in-house scheme.</i>				
2	Full name of applicant:			
3	Business (and where different, correspondence) address:			
Contact name:				Telephone:
Email:				Website:
4	Please provide the full details, including the address and name of the main contact person, of all retirement benefits schemes for which the applicant is, or has been, responsible for the management of the scheme:			

Corporate Applicants

5	Trading name and address of company:											
Contact name:								Telephone:				
Email:						Website:						
Date and number of incorporation:							Place of incorporation:					
Authorised share capital:							Issued share capital:					
Paid up share capital:						Amount and nature of loan capital:						
6	Is the company associated with any other company or a subsidiary of a parent organisation? If yes , please attach an organisation chart to this application form, including details of the parent organisation and its paid-up share capital:											
7	Full name and role of each officer and controller (see page 6 for definitions) of the company, and the full name of each person who holds the ultimate beneficial interest in the shares of the company or the controller and, where the ultimate beneficial interests in all shareholdings in the company (or its controller) exceed 10% of the issued capital of the company or controller, the name of the person holding those interests:											
Name:						Role:						
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<i>A completed Form F&P 1 or Form F&P 2 in respect of each person above must be submitted with this application form; please see 'Additional Information' on page 6. Should there be more than four individual trustees, details of each additional person must be provided.</i>												

Disclosures (corporate applicants):

Has the company or any associated or parent company ever been investigated by any regulatory authority, fined, or reprimanded by such a body or disbarred from any trade association or professional body?

Has the company or any associated or parent company ever had any debts or judgements recorded against it, or are any judgements pending?

Has the company or any associated or parent company ever been censured, disciplined or publicly criticised by any court of law or by an officially appointed enquiry on the Isle of Man or elsewhere?

Has any associated company been voluntarily or compulsorily wound up?

Has the company or any associated or parent company made any compromise or arrangement with its creditors, or ceased trading in circumstances where its creditors did not receive or have not yet received full settlement of their claims?

Is the company, or any associated or parent company, a regulated business?

If yes has been answered to any of these questions, please provide full details:

Partnership Applicants

8	Trading name of partnership:			
Is this name registered under the Registration of Business Names Act 1918-54?				
Is the partnership a Limited Partnership? If yes , name & type of each partner:				
Name:		Type:		
Name:		Type:		
Name:		Type:		
Name:		Type:		
<i>A completed Form F&P 1 or Form F&P 2 in respect of each partner named above must be submitted with this application form; see 'Additional Notes' on page 6. Should there be more partners than named above, details of each additional partner must be provided.</i>				
9	Disclosures (partnership applicants):			
Has the partnership ever been investigated by any regulatory authority, fined, or reprimanded by such a body or disbarred from any trade association or professional body?				
Has the partnership ever had any debts or judgements recorded against it, or are any judgements pending?				
Has the partnership ever been censured, disciplined or publicly criticised by any court of law or by an officially appointed enquiry on the Isle of Man or elsewhere?				
Is the partnership a regulated business?				
If yes has been answered to any of these questions please provide full details:				

Administrator's Experience

10 In order that a person may act as the administrator of an authorised retirement benefits scheme, that person must have adequate knowledge and experience fitted for the management of any retirement benefits scheme for which it is proposed that they will act. Please provide below details of the initial retirement benefits scheme for which it is proposed that the applicant will act, and ensure that details of all relevant pension knowledge and experience held by the applicant and each director, executive or manager named on this form, together with details of any associated professional pension related qualifications held by each named person, is included in the application or here:

Additional Documentation

Copies of the following documents must be submitted with this form (please tick to indicate they are attached to the form):

Completed Form F&P1 or Form F&P 2 in respect of each individual named on this form:	
Application fee, or proof of payment of application fee:	
Organisation Chart:	
Memorandum and Articles of Association (corporate applicants):	
Authorised signatory List (corporate applicants):	
The last three years' audited accounts (corporate applicants):	
The three year business plan, including markets, financials and resources (corporate applicants):	

🔒 Data Protection Notice

The Authority is registered with the Information Commissioner as a data controller under Isle of Man data protection legislation. The Authority collects and processes personal data to carry out its functions under relevant legislation and may share personal data with other parties where there is a legal basis for doing so. Information on how the Authority collects and processes personal data can be found in the [Privacy Policy](https://www.iomfsa.im/terms-conditions/privacy-policy/) on the Authority's website: <https://www.iomfsa.im/terms-conditions/privacy-policy/>. **Please call +44 (0)1624 646000 if you have any queries.**

Declaration (all applicants)

I/We certify that the information given on this form is complete and correct to the best of my/our knowledge and belief:

Signed:

Full name:

Date:

By virtue of section 46 of the Retirement Benefits Schemes Act 2000, a person commits an offence if they knowingly provide any information which is false or misleading in a material particular, or provide information recklessly which is false or misleading in a material particular.

Additional Information

Extracts from the Retirement Benefits Schemes Act 2000

'director' includes- (a) any individual occupying the position of director by whatever name called;
(b) any individual in accordance with whose directions or instructions one or more of the appointed directors are accustomed to act unless the appointed director or directors are accustomed so to act by reason only that they do so on advice given by that person in a professional capacity.

'manager' means an individual employed by the body corporate concerned who, under the immediate authority of a director or its chief executive-

- (a) exercises managerial functions; or
- (b) is responsible for maintaining the accounts or other records of the scheme.

'controller' means - (a) a managing director of a body corporate of which the body corporate concerned is a subsidiary;
(b) a chief executive of a body corporate of which the body corporate concerned is a subsidiary;
(c) an individual in accordance with whose directions or instructions one or more of the directors of a body corporate of which the body corporate concerned is a subsidiary are accustomed to act unless the director or directors are accustomed so to act by reason only that they do so on advice given by that person in a professional capacity;
(d) an individual who either alone or with any associate or associates is entitled to exercise or control the exercise of 15% or more of the voting power at any general meeting of the body corporate concerned or of another body corporate of which it is a subsidiary.

'chief executive' means an individual who is employed by the body corporate concerned and who either alone or jointly with others is or will be responsible under the immediate authority of the directors for the conduct of its business.

Forms F&P 1 and F&P 2

Form F&P 1 – Individual Questionnaire – is an application form for an individual seeking appointment as a professional trustee (a trustee who carries out the role by way of business) of a retirement benefits scheme, as well as those individuals seeking appointment as director, controller, chief executive, or senior manager of a trustee or administrator of an authorised scheme.

Form F&P 2 – Notification Only Form – is an application form for an individual seeking appointment as a non-professional trustee (a trustee who does not carry out the role by way of business) of a retirement benefits scheme.

Continuation

Please include relevant question number:

When completed this form should be sent to:

The Isle of Man Financial Services Authority

PO Box 58, Finch Hill House, Bucks Road, Douglas, Isle of Man IM99 1DT

Tel: +44 (0)1624 646000 Email: pensions@iomfsa.im