Scheme Return

The Pensions Regulator

What is the Scheme Return?

From April 2005 it is a legal requirement for all trustees of all registered pension schemes (or managers of all non-trust based registered pension schemes) to complete a scheme return and send it to the regulator. The information provided will be used by the regulator:

- to make sure the information it holds is accurate;
- to calculate levies due from pension schemes; and
- in the regulation of pension schemes.

Failure to submit a completed scheme return by the date specified in the scheme return notice can result in the trustees or managers of the scheme being fined. If you provide false or misleading information, you will be committing a criminal offence.

What to do next and help with the Scheme Return

Please complete the scheme return following the instructions provided in 'Completion guidance' on the right.

If you need more help you can contact us:

Phone: **0845 600 5666** and select option 2
9am to 5.30pm, Monday to Friday
Please note that all calls to and from the Pensions Regulator may be recorded for quality and monitoring purposes.

Email: **exchange@thepensionsregulator.gov.uk**

You will have been sent a scheme return notice in the form of a letter or email by the regulator informing you that you need to complete a scheme return. You must complete the scheme return and send it back to reach us by the date shown in the scheme return notice. If you have concerns about getting the completed scheme return back to the Pensions Regulator by the deadline given, please contact us as soon as possible.

Where to send your completed form

Send the scheme return and any additional sheets to:

Scheme Information Management Team
The Pensions Regulator
Napier House
Trafalgar Place
Brighton
BN1 4DW

Completion guidance

Please use black ink to complete the form. Write clearly and only in CAPITAL LETTERS.

Please complete all relevant questions in full. If a question does not apply to the scheme, please leave it blank. Do not write 'n/a'. If an answer to a question is the same as a previous question, please write the answer in full. For example, do not write 'as above'.

Where a question provides a list of options, please tick the appropriate option(s).

Example:

Are there any custodians of the scheme assets?

No - go to 12
Yes - give details below.

When a question asks for information relating to numeric data use numerals in your response. For example, one million pounds should be written as £1,000,000, not £1m; average age should be written as 55, not fifty-five; where an answer is zero it should be written as 0.

All financial information should be given in British Pounds (GBP) and so converted beforehand where necessary.

You are advised to keep a copy of the completed form for your records.

Data Protection statement

The Pensions Regulator is a data controller under the Data Protection Act. It holds information for the reasons given to the Information Commissioner, and may use the information for any of these reasons.

The Pensions Regulator may receive information about you from others, or may give information to others, but it can only do this in accordance with the law.

The Pensions Regulator may check information it receives about you with what it already holds on its records. This includes information that you have provided as well as that given by others, such as government departments. We will not give information to anyone outside the Pensions Regulator unless the law allows us to do so.

0 Scheme return contact

0.1 **Contact details if we have questions about this scheme return**

Title

First name(s)

Surname

Address

Line 1	
Line 2	
Line 3	
Line 4	
Line 5	

Postcode

Country

Email address

Telephone number

0 Levy contact

0.2 **Contact details if we have questions about the scheme levy**

Title

First name(s)

Surname

Address

Line 1	
Line 2	
Line 3	
Line 4	
Line 5	

Postcode

Country

Email address

Telephone number

Part 1: About the scheme

1 Scheme name and address

1.1 **Full name of scheme**

1.2 **Address of scheme**

Address

Line 1

Line 2

Line 3

Line 4

Line 5

Postcode

Country

2 Registration and approval details

2.1 **HMRC Pension Scheme Tax Reference** (where available)

2.2 **Pension Schemes Registry number**

3 Scheme status

3.1 **What is the current status of the scheme?**

Tick one status only and provide the relevant date.

- **Open**
- **Closed to new entrants**
  Date closed
  D D M M Y Y Y Y
- **Paid up (frozen)**
  Date paid up
  D D M M Y Y Y Y
- **Winding up**
  Date winding up commenced
  D D M M Y Y Y Y
- **Wound up**
  Date winding up completed
  D D M M Y Y Y Y

3.2 **Scheme year-end date** D D M M

3.3 **Date scheme year-end applicable** D D M M Y Y Y Y

3 Small scheme details

3.3 TO BE COMPLETED BY SCHEMES WITH 11 OR FEWER MEMBERS ONLY

Some small schemes are exempt from some of the requirements contained in pensions legislation. The exemptions depend on the membership of the scheme and the way in which decisions can be made by trustees. Please answer the questions below, which will assist in identifying whether the exemptions apply. Where it appears that exemptions apply, trustees should consider obtaining appropriate advice as to their remaining obligations under pensions legislation.

Please select the appropriate answer to the following statements:

Membership

This scheme has no more than 11 members.

○ **No**
○ **Yes**

Trusteeship

All members are appointed as trustees to the scheme,
Or
All members are directors of the company which is the sole trustee of the scheme.

○ **No**
○ **Yes**

Decisions

The scheme's provisions provide that any decisions to be made by the trustee(s) are made by unanimous agreement of the trustees who are members of the scheme / directors of the corporate trustee who are members of the scheme (as applicable)
Or
The scheme has a trustee / corporate trustee has a director (as applicable) who is independent in relation to the scheme for the purposes of section 23 of the Pensions Act 1995 and is registered on the Regulator's trustee register.

○ **No**
○ **Yes**

4 Membership details

4.1 Membership – 1 April 2008 to 31 March 2009

Complete this table with the number of members in the pension scheme for each of the categories given. These should be as at the Scheme year-end between 1 April 2008 and 31 March 2009. Only count each member once, as defined in section 124 of the Pensions Act 1995.

Priority for apportioning members is:

1. Active member
2. Deferred member
3. Pensioner member

	DC
Active members	
Deferred members	
Pensioner members	
Total members	

Date of the scheme year end applicable for the above figures

D D M M Y Y Y Y

For example, if a member has both an active and a deferred member record, only count them once as an active member.

4.2 Membership – 1 April 2009 to 31 March 2010

Complete this table with the number of members in the pension scheme for each of the categories given. These should be as at the Scheme year-end between 1 April 2009 and 31 March 2010. Only count each member once, as defined in section 124 of the Pensions Act 1995.

Priority for apportioning members is:

1. Active member
2. Deferred member
3. Pensioner member

	DC
Active members	
Deferred members	
Pensioner members	
Total members	

Date of the scheme year end applicable for the above figures

D D M M Y Y Y Y

For example, if a member has both an active and a deferred member record, only count them once as an active member.

5 Member age profiles

5.1 Member age profiles

Please provide the number of active and deferred members which fall into each of the age groups. Please do not include any pensioner members in these figures.

50 to 59	60 and over

6 Scheme assets and contributions

6.1 Total assets

Please provide the latest valuation of scheme assets. The scheme's Annual Report and Financial Statement will normally contain this information.

Market value of scheme assets

£

Effective date

D D M M Y Y Y Y

6.2 Total contributions

Please provide the most recent total contributions paid over a year, split into employer and employee contributions. The scheme's Annual Report and Financial Statement will normally contain this information.

Total employer contributions over the year:

£

Total employee contributions over the year:

£

Effective date

D D M M Y Y Y Y

Part 2: Scheme trustees and Insurers

This section is about trustees, advisers and service providers that are appointed to the scheme. You may be required to supply documentary proof of the appointment at a later date.

7 Trustee details

7.1 Is the scheme written under trust?

- ○ **No - go to 8**
- ○ **Yes - give details below**

Give details of all the trustees for this scheme. Photocopy section 7 as many times as necessary. Make sure you number each sheet, 1 of 3 for example.

7.2 Category of trustee

Scheme trustee

___ of ___

- ○ **Corporate trustee (non-professional)**
- ○ **Professional trustee (including corporate)**
- ○ **Statutory independent trustee**
- ○ **Appointed by the regulator trustee**
- ○ **Member-nominated trustee**
- ○ **Principal or participating employer**
- ○ **Employer-appointed trustee**
- ○ **Pensioneer Trustee**

7.3 Details of individual trustee

Title

First name(s)

Surname

Is this the chair of trustees? ○ **Yes** ○ **No**

7.4 Details of corporate trustee

Name as stated on trust deed

7.5 Correspondence address for this trustee

Address

Line 1	
Line 2	
Line 3	
Line 4	
Line 5	

Postcode

Country

Email address (where available)

Telephone number

8 Insurance company details

8.1 Is there an insurance company for the scheme?

- ◯ **No - go to 9**
- ◯ **Yes - give details below**

Give details of all the insurance companies for this scheme. Photocopy section 8 as many times as necessary. Make sure you number each sheet. 1 of 3, for example.

8.2 Insurance company details

Insurance company

of

Name of firm

Address

Line 1

Line 2

Line 3

Line 4

Line 5

Postcode

Country

Preferred email address

Telephone number (where known)

Insurance company's reference number for the scheme (where known)

Does this insurer carry out the main administration of the scheme?

- ◯ **No – go to 9**
- ◯ **Yes – go to 11**

Please note: We only require details of the MAIN administrator of the scheme. If you have stated that an insurer carries out the administration you do not need to complete this page. If not, please complete only one of the two questions below.

9 Third party administrator details

9.1 Is there a third party administrator appointed to the scheme?

- ○ **No - go to 10**
- ○ **Yes - give details below**

9.2 Third party administrator details

Name of firm

Address

Line 1

Line 2

Line 3

Line 4

Line 5

Postcode

Country

Email address (where available)

Telephone number

10 In-house administrator details

10.1 Is there an in-house administrator appointed to the scheme?

- ○ **No - go to 11**
- ○ **Yes - give details below**

10.2 In-house administrator details

Name of firm

Address

Line 1

Line 2

Line 3

Line 4

Line 5

Postcode

Country

Email address (where available)

Telephone number

11 Fund manager details

11.1 Is there a fund manager for the scheme?

- ○ **No - go to 12**
- ○ **Yes - give details below**

Give details of all the fund managers for this scheme. Photocopy section 11 as many times as necessary. Make sure you number each sheet. 1 of 3, for example.

11.2 Fund manager details

Fund manager

of

Name of firm

Address

Line 1

Line 2

Line 3

Line 4

Line 5

Postcode

Country

Preferred email address

Telephone number (where known)

12 Investment adviser details

12.1 Is there an investment adviser for the scheme?

- ○ **No - go to 13**
- ○ **Yes - give details below**

Give details of all the investment advisers for this scheme. Photocopy section 12 as many times as necessary. Make sure you number each sheet. 1 of 3, for example.

12.2 Investment adviser details

Investment adviser

of

Name of firm

Address

Line 1

Line 2

Line 3

Line 4

Line 5

Postcode

Country

Preferred email address

Telephone number (where known)

Part 3: Employer details

13 Employer relationships

Only answer this question if this is a multi-employer schemes (more than 1 current employer participating in the scheme)

Please select the relationship description which best describes the employers in this schemes

- ○ The scheme is designed for employers that are part of the same corporate group or structure only.
- ○ This is a Master Trust, designed for employers that are part of the similar industry, profession or affinity organisation (such as a trade body, business group etc).
- ○ This is a Master Trust that does not require participating employers to be associated through a corporate group, industry, profession or affinity group.

14 Principal employer

14.1 Principal employer details

The principal employer is the employer named in the Trust Deed and Rules of the scheme as having special powers such as the power to appoint trustees, amend the scheme rules, or wind the scheme up.

Principal employer's name in full

14.2 Principal employer's registered address

Address

Line 1

Line 2

Line 3

Line 4

Line 5

Postcode

Country

14.3 Organisation type

- ○ **Private limited company**
- ○ **Public limited company**
- ○ **Limited liability partnership**
- ○ **Partnership**
- ○ **Sole trader**
- ○ **Registered charity**
- ○ **College or education institution**
- ○ **Overseas company**
- ○ **Other**

14.4 Trading status

- ○ **Active**
- ○ **Active (proposal to strike off)**
- ○ **Dormant**
- ○ **Liquidated or dissolved**
- ○ **In administration**
- ○ **In liquidation**
- ○ **In receivership**
- ○ **Company voluntary arrangement**

14.5 Contact details

Please provide an email address for the pensions contact at this employer. A group mailbox (eg pensions@company.com) is preferred over an individual's name (due to transient nature of employees within the workplace).

Email address

14.6 Employer identifiers

Companies House registration number (where available)

Registered charity number (where applicable)

15 Other participating employers

15.1 Please provide details of all other participating employers here. Photocopy section 15 as many times as necessary. Make sure you number each sheet. 1 of 3, for example.

If there are more than 12 participating employers, please contact the regulator for assistance.

Details of all previous names of this employer should be provided, where applicable. Should the employer have more than one previous name, please provide details of one name here.

The definition of 'employer' in relation to that Scheme/Section is set out in Section 318 of the Pensions Act 2004 and regulations made thereunder.

Additional employer

of

Participating employer's name in full

Address

Line 1

Line 2

Line 3

Line 4

Line 5

Postcode

Country

15.2 Organisation type

- Private limited company
- Public limited company
- Limited liability partnership
- Partnership
- Sole trader
- Registered charity
- College or education institution
- Overseas company
- Other

15.3 Trading status

- Active
- Active (proposal to strike off)
- Dormant
- Liquidated or dissolved
- In administration
- In liquidation
- In receivership

15.4 Contact details

Please provide an email address for the pensions contact at this employer. A group mailbox (eg pensions@company.com) is preferred over an individual's name (due to transient nature of employees within the workplace).

Email address

15.5 Employer identifiers

Companies House registration number (where available)

Registered charity number (where applicable)

16 Previous employers

16.1 **Provide details of all employers that have ceased to participate in the scheme (if available). Photocopy section 16 as many times as necessary. Make sure you number each sheet. 1 of 3, for example.**

Please provide these details for all employers involved in the scheme since 6 April 1975. If there are more than 12 previous employers, please contact the regulator for assistance.

Details of all previous names of this employer should be provided, where applicable. Should the employer have more than one previous name, provide details of the most recent name change here.

Previous employer

of

Last known name

Employer type

- ○ **Previous principal employer**
- ○ **Previous partipating employer**

Last known address

Line 1

Line 2

Line 3

Line 4

Line 5

Postcode

Country

Date this employer ceased to participate in the scheme

D D M M Y Y Y Y

Part 4: Declaration

17 Scheme trustee/manager representative's declaration

To be completed by a person authorised to represent the scheme trustees or manager (for non-trust based schemes).

I declare that:

- **I am authorised to submit the scheme return on behalf of the scheme trustees/scheme manager (non-trust based schemes)**
- **The scheme trustees/manager are aware of the information supplied on this form**
- **The information supplied on this form is true and correct to the best of my knowledge**
- **The scheme trustees/manager are aware that the levy-specific data will be used to calculate certain levies for this scheme, where appropriate.**

Title

First name(s)

Surname

Signature

Date

D D M M Y Y Y Y

Please be aware that it is a criminal offence under section 195 of the Pensions Act 2004 to knowingly or recklessly supply false or misleading information on this form.