

Master trust authorisation

# Triggering events notification form

November 2018

The Pensions  
Regulator

## About this form

For guidance on notifying us of a triggering event, please visit: [www.tpr.gov.uk/trustees/master-trust-duties.aspx](http://www.tpr.gov.uk/trustees/master-trust-duties.aspx).

You may have a duty to report a triggering event to us. Please see 'Notifying us of a triggering event' for more information on whether you need to do this.

Depending on your role, you will have seven days beginning with the date of the triggering event or becoming aware of the triggering event to notify us. Please see regulation 16(2)(a) and (3) of the Occupational Pension Schemes (Master Trusts) Regulations 2018.

Please notify us of information about the triggering event using this form. Please complete all the relevant sections. We will send you an email confirmation after you submit this form.

If you are notifying us of a triggering event, you must notify us separately using this form for each one.

This form is interactive so can either be:

- ▶ completed electronically and emailed to: [regulatorytransactions@tpr.gov.uk](mailto:regulatorytransactions@tpr.gov.uk), or
- ▶ printed, completed by hand (please use block capitals) and posted to: **Regulatory Transactions, The Pensions Regulator, TelecomHouse, 125-135 Preston Road, Brighton BN1 6AF**

### Please note

We will use the information provided in exercising our functions and may contact you for further information. You are also advised to keep a copy of the completed form for your records.

## Your details

|               |  |
|---------------|--|
| Your name     |  |
| Email address |  |

## Scheme details

|                                    |  |
|------------------------------------|--|
| Master trust name                  |  |
| Pension Scheme Registration number |  |

## Triggering event detail

Please select the triggering event you want to notify us about. Only select the **one** that applies.

|                |  |  |
|----------------|--|--|
| 4 <sup>1</sup> | An insolvency event has occurred in relation to a scheme funder  |  |
| 5              | A scheme funder has become unlikely to continue as a going concern   |  |
| 6              | A scheme funder has decided to end the relationship or arrangement with the master trust scheme of which it is a scheme funder   |  |
| 7              | A scheme funder has ended the relationship or arrangement with the master trust scheme of which it is a scheme funder  |  |
| 8              | A scheme funder, scheme strategist or the trustees have decided that the master trust scheme should be wound up, where the person making the decision has power to do so under the scheme or the rules of the scheme |  |
| 9              | An event has occurred which is required or permitted by the scheme or the rules of the scheme to result in the winding up of the master trust scheme   |  |
| 10             | The trustees have decided that the master trust scheme is at risk of failure   |  |

|  |  |
|--|--|
| Date of triggering event (as per the table in section 21(6) Pension Schemes Act 2017) (dd/mm/yy) |  |
|--|--|

1 Triggering events 1, 2, 2A and 3 are initiated by The Pensions Regulator and do not require notification from master trusts.

## Continuity option

Please indicate the continuity option you expect to pursue.

|                     |  |                     |  |
|---------------------|--|---------------------|--|
| Continuity option 1 |  | Continuity option 2 |  |
|---------------------|--|---------------------|--|

## Implementation strategy

You must send us your implementation strategy within 28 days after the triggering event occurred, or (in the case of a decision to refuse or withdraw notification) within 28 days after the decision became final. Please submit your strategy to the same email address that you use to submit this form.

## Scheme charges

Please provide details of your scheme charge structure. You should also confirm that the scheme will comply with the prohibition on increasing or introducing new charges during the triggering event period<sup>2</sup>. For guidance on charge restrictions, please visit: [www.tpr.gov.uk/trustees/master-trust-duties.aspx](http://www.tpr.gov.uk/trustees/master-trust-duties.aspx). You should submit any document to the same email address that you use to submit this form.

<sup>2</sup> See section 33 of the Pension Schemes Act 2017



## Declaration

Please tick to confirm:

|   |  |
|---|--|
| that the information you have provided is true and correct to the best of your knowledge and belief             |  |
| that you understand that providing us with false or misleading information may affect your authorisation status |  |

### Contact details for person making notification

|   |   |
|---|---|
| <b>Full name</b>                          |   |
| <b>Role in relation to scheme</b>         | <input type="checkbox"/> Scheme trustee <input type="checkbox"/> Scheme funder <input type="checkbox"/> Scheme strategist |
| <b>Role within your organisation</b>      |   |
| <b>Organisation name</b>                  |   |
| <b>Contact address including postcode</b> |   |
| <b>Contact email address</b>              |   |
| <b>Contact telephone number</b>           |   |
| <b>Date form completed (dd/mm/yy)</b>     |   |

| <b>Contact details</b> (decision-maker if different from person making notification) |                |               |                   |
|--|----------------|---------------|-------------------|
| <b>Full name</b>   |                |               |                   |
| <b>Role in relation to scheme</b>  | Scheme trustee | Scheme funder | Scheme strategist |
| <b>Role within the organisation</b>  |                |               |                   |
| <b>Organisation name</b>   |                |               |                   |
| <b>Contact address including postcode</b>  |                |               |                   |
| <b>Contact email address</b>   |                |               |                   |
| <b>Contact telephone number</b>  |                |               |                   |

## Data protection statement

The Pensions Regulator (TPR) is a data controller for the purposes of the General Data Protection Regulation (GDPR) and the Data Protection Act 2018. We process personal data held by us for the purpose of the exercise of any of our statutory functions and objectives. We may also process personal data under other legislation such as the Fraud Act. This includes, for the avoidance of doubt, taking regulatory or enforcement action for breaches of any of this legislation.

We will only store your personal data for as long as our retention schedule allows. During this time, you may be able to exercise certain rights in relation to your personal data such as the right to access, objection and data portability. If you feel that we have handled your personal data in a manner inconsistent with your rights, you may lodge a complaint with the Information Commissioner's Office (ICO).

If you have any questions about how we handle your personal data please contact our Data Protection Officer (DPO) by email at: [dpa@tpr.gov.uk](mailto:dpa@tpr.gov.uk) or write to us at Telecom House, 125-135 Preston Road, Brighton, BN1 6AF. Further information on how your personal data is used, kept secure and your rights can be found by reading our **privacy notice**.

Any information, including any third party data, supplied to TPR may be used (including further disclosure) in connection with any of our statutory functions. TPR 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 TPR unless the law allows us to do so.

## How to contact us

Telecom House  
125-135 Preston Road  
Brighton  
BN1 6AF

[www.tpr.gov.uk](http://www.tpr.gov.uk)

[www.trusteetoolkit.com](http://www.trusteetoolkit.com)

Free online learning for trustees

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