

3 Employer details for all employments to be covered by the contracting-out certificate

Please attach photocopies of this page if further space is required

Employer name
Address
Postcode

Required effective date

/ /

Employer's Contracting-Out Number (ECON) if known

E

Company Registration Number (CRN)

--

Employer name
Address
Postcode

Required effective date

/ /

Employer's Contracting-Out Number (ECON) if known

E

Company Registration Number (CRN)

--

Employer name
Address
Postcode

Required effective date

/ /

Employer's Contracting-Out Number (ECON) if known

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Employer's Contracting-Out Number (ECON) if known

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Company Registration Number (CRN)

--

Employer name
Address
Postcode

Required effective date

/ /

Employer's Contracting-Out Number (ECON) if known

E

Company Registration Number (CRN)

--

4 Notice and consultation

Did you answer yes to section 1?

- Yes ► go to section 5
- No Have the earners mentioned in Regulation 3(1)(a) of the Occupational Pension Schemes (Contracting-out) Regulations 1996 SI 1996/1172 and/or Regulation 3(1)(a) of the Occupational Pension Schemes (Contracting-out) Regulations (Northern Ireland) 1996 SR 1996 No. 493 been given:
- either a notice of intention in accordance with Regulation 3(1) of the Occupational Pension Schemes (Contracting-out) Regulations 1996 SI 1996/1172, and/or Regulation 3(1) of the Occupational Pension Schemes (Contracting-out) Regulations (Northern Ireland) 1996 SR 1996 No. 493
- or a notice of explanation in accordance with Regulation 10 of the Occupational Pension Schemes (Contracting-out) Regulations 1996 SI 1996/1172, and/or Regulation 10 of the Occupational Pension Schemes (Contracting-out) Regulations (Northern Ireland) 1996 SR 1996 No. 493
- No one type of notice must have been given before the application can be approved
- Yes please answer the following questions for each type of notice given

Notice of intention

When did this notice expire?

	/		/	
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How did you give notice?

- by sending or delivering it to each of them
- by exhibiting it conspicuously at the place of work, and drawing each employee's attention to it

Notice of explanation

How did you give notice?

- by sending or delivering it to each of them
- by exhibiting it conspicuously at the place of work, and drawing each employee's attention to it

Who have you sent copies of the notice to?

tick as many boxes as apply

- The trustees
- The insurers
- The Scheme Administrator
- The Friendly Society

5 Details for National Insurance rebate payments

Name and address of bank/building society

Name
Address
Postcode

Account details

Branch sort code									
Account number									
Account name									
Building society reference number <i>if applicable</i> 18 characters max									
Account name used by BACS 18 characters max									

Magnetic media number

Do you hold an existing magnetic media number?

- No
- Yes provide details below, if you wish to use it for your industry-wide scheme

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Do you wish to apply for a new or additional magnetic media number?

- Yes
- No

Name and address for payments information

Name
Address
Postcode

6 Declaration

I confirm that the scheme:

- is not excluded from contracting-out under the Occupational Pension Schemes (Contracting-out) Regulations 1996 SI 1996/1172 and/or Occupational Pension Schemes (Contracting-out) Regulations (Northern Ireland) 1996 SR 1996 No. 493
- is not exempt from the restrictions imposed under Section 40 of the Pensions Act 1995 and/or Article 40 of the Pensions (Northern Ireland) Order 1995 SI 1995/3213 (N.I. 22) (restrictions on employer-related investments) *not applicable to overseas schemes*.

I confirm that:

- either all independent trade unions recognised in relation to the earners concerned have been given a copy of the election notice, and, where appropriate, consultations have been undertaken with these trade unions in accordance with Regulation 3 of the Occupational Pension Schemes (Contracting-out) Regulations 1996 SI 1996/1172 and/or Regulation 3 of the Occupational Pension Schemes (Contracting-out) Regulations (Northern Ireland) 1996 SR 1996 No.493
- or there are no independent trade unions recognised in relation to the earners concerned.

I confirm that the rules of the scheme make provision for:

- the investment of minimum payments within one month of the end of the income tax month to which they relate
- the investment of age-related rebates made to the scheme within one month after payment by the Inland Revenue National Insurance Contributions Office
- the insurance company to be notified by the trustees of any alteration in the membership of the scheme and the amount of earnings of any member *only applicable to insured schemes*
- employees' contribution over and above minimum payments to be invested as to provide money purchase benefits.

I confirm that the scheme complies with:

- the Occupational Pension Schemes (Investment) Regulations 1996 SI 1996/3127 and/or Occupational Pension Schemes (Investment) Regulations (Northern Ireland) 1996 SR 1996 No. 584 *not applicable to overseas schemes*
- the requirements concerning minimum payments set out in Section 8 of the Pension Schemes Act 1993 and/or Section 4 of the Pension Schemes (Northern Ireland) Act 1993 c.49, and regulations made under that Section.

If the scheme is a trust scheme, I confirm that the trustees have:

- ensured that the scheme meets the requirements of Section 34 of the Pensions Act 1995 and/or Article 34 of the Pensions (Northern Ireland) Order 1995 SI 1995/3213 (N.I. 22) *not applicable to wholly insured schemes*

- opened a separate scheme account in accordance with Section 49(1) of the Pensions Act 1995 and/or Article 49(1) of the Pensions (Northern Ireland) Order 1995 SI 1995/3213 (N.I. 22), or are exempt from doing so by Regulation 11(1) of the Occupational Pension Schemes (Scheme Administration) Regulations 1996 and/or Regulation 11(1) of the Occupational Pension Schemes (Scheme Administration Regulations) (Northern Ireland) 1997 SR 1997 No. 94.

I hereby elect that:

- the employments shown above, for earners for whom minimum payments are made to the scheme described in section 2 of this form, and for any periods for which such payments are made, shall be contracted-out employments by reference to Section 9(3) of the Pension Schemes Act 1993 and/or Section 5(3) of the Pension Schemes (Northern Ireland) Act 1993 c.49.

I declare that:

- I have adhered to the scheme from the effective date shown in Section 3 of this form, or earlier, and that the contracting-out conditions have been satisfied from that date.
- the information provided in section 5 is correct.

I confirm that:

- tax approval has been granted or is currently being sought in respect of the scheme under the provisions of Chapter IV or Part XIV of the Income and Corporation Taxes Act 1988, by filling in an Application for tax approval of a Stakeholder Pension Scheme under Chapter IV Part XIV of Income and Corporation Taxes Act (ICTA 1988) form SHP101 or an Application for tax approval of a Personal Pension Scheme under Chapter IV Part XIV of Income and Corporation Taxes Act (ICTA 1988) form PSPP101.

I apply to the Inland Revenue:

- to determine whether the employments shown above are to be treated as contracted-out, and, if so, from what date are they to be treated in this way.
- to issue a contracting-out certificate accordingly.

I understand that, in the case of an industry-wide Stakeholder Pension scheme, if employers covered by this form are operating two or more contracted-out schemes which include a Contracted-Out Money Purchase scheme and a Contracted-Out Money Purchase Stakeholder Pension scheme:

- the Secretary of State will not make an age-related payment in respect of earners who have moved to or move from a Contracted-out Money Purchase (COMP) scheme or the money purchase part of a Contracted-Out Mixed Benefit (COMB) scheme to a Contracted-Out Money Purchase Stakeholder Pension scheme where the transfer was or is, only or mainly on the grounds of age.

I understand that, in the case of an industry-wide Chapter IV COMP scheme, if employers covered by this form are operating two or more contracted-out schemes which include a Contracted-Out salary Related (COSR) scheme and a Contracted-Out Money Purchase (COMP) scheme and/or a Contracted-Out

Mixed Benefit (COMB) scheme:

- the Secretary of State will not make an age-related payment in respect of earners who have moved or move from a COSR scheme or a salary-related part of a COMB scheme to a COMP scheme where the transfer was or is, only or mainly on the grounds of age.

Scheme Administrator's signature

Signature	Date
	/ /
Name	

7 What to do now

When you have filled in this form, send it together with any relevant completed forms to:

Inland Revenue Savings, Pensions, Share Schemes
(Nottingham)
Yorke House
PO Box 62
Castle Meadow Road
Nottingham
NG2 1BG