

APPENDIX 1

Checklist for Registration of New KiwiSaver Scheme. [sections 131-134]

KS Reference	Status - R	_____ (e)
S134(1)(a)(i)	Application received by or on behalf of trustees dated _____ received _____	_____ (a)
	Copy of Trust deed and all Amendments (s116(1)(a)(i)) dated _____	_____ (b)
	Scheme class	_____
Section 116 Eligibility to be a KiwiSaver Scheme		
S134(1)(a)(ii)	Fully funded Defined Contribution Scheme (s116(1)(c)& (d))	_____
	New Scheme post Royal Assent / Independent Trustee (s116(1)(e))	_____
	Individual Trustee NZ Resident (s116(1)(f)(i))	_____
	Corporate Trustee (1 NZ Resident Director) (s116(1)(f)(ii))	_____
2nd Schedule Part 1 (s134(1)(a)(iii))		
(1)	Scheme name	_____
(2)	Scheme commencement date	_____ (c)
(3) (a)	Names of trustees (or directors if trustee a company)	_____
(b)	Names of Independent Trustees	_____
(c)	Administration manager Investment manager Insurer	_____ _____ _____
(d)	Actuary Auditor Solicitor	_____ _____ _____
(4)	Name and address of NZ resident trustee /Director	_____
(5)	Name and address for correspondence from the GA	_____
(6)	Balance date	_____
(7)	Copy of latest annual report and accounts (if any)	_____
(8)	Copy of investment statement	_____
S134(1)(a)(iv)	(9) Statement of Fees (reviewed by GA and are not unreasonable Sch 1cl 2)	_____
	(10) IR Commissioner's Certificate	_____
	(11) Certificate of compliance with sections 7, 8, 9, and 10 of SSAct & no rules contrary to KiwiSaver Act signed by Trustees / Solicitor	_____
	Registration date (Entry date on KSS Register)	_____ (d)
	The financial accounts of the scheme are to be audited	Yes
	Has fee been paid or charged?	_____

Checklist for Conversion to a KiwiSaver Scheme. (s135 to 147)

AS/.....Name of Registered Scheme.....

KS Reference	Status – U or P	_____ (e)
	Conversion Application received by or on behalf of trustees dated _____ received _____	_____ (a)
	Copy of Trust deed and all existing Amendments, Participating agreements, Proposed amendment and explanatory material. (s136(a))	_____
	Scheme class	_____

Section 116 Eligibility to be a KiwiSaver Scheme (s135(2))

Fully funded Defined Contribution Scheme (s116(1)(c)& (d))	_____
New Scheme post Royal Assent / Independent Trustee (s116(1)(e))	_____
Corporate Trustee (1 NZ Resident Director) (s116(1)(f))	_____

2nd Schedule Part 2 (s136(b))

- (1) Proposed KiwiSaver scheme name _____
- (2) Proposed scheme commencement date _____ (c)
- (3) (a) Names of trustees (or directors if trustee a company) _____
- (b) Administration manager _____
- Investment manager _____
- Insurer _____
- (c) Actuary _____
- Auditor _____
- Solicitor _____
- (d) Name and address of NZ resident trustee /Director _____
- (e) Name and address for correspondence from the GA _____
- (f) Balance date _____
- (g) Statement of Fees (reviewed by GA and are not unreasonable) _____
- (4) Names of Independent Trustee unless s116(2) applies _____
- (5) IR Commissioner’s Certificate _____
- (6) Certificate of compliance with sections 7, 8, 9, and 10 of SSAct & no rules contrary to KiwiSaver Act signed by Trustees / Solicitor _____

Provisional Registration date (entry date on KSS register) _____ (d)

The financial accounts of the scheme are to be audited Yes

See page 2 for final registration processes

Final Registration process as KiwiSaver Scheme (s141)

Receipt of confirmation from Trustees that all members have consented _____

Advice from IR Commissioner that Trustees have provided all required info specified in s138(4). _____

Copy of executed trust deed amendment and lodgement fee (\$50.00) _____

GA Satisfied that -
the trust deed has not been amended since the time of making the proposal; and
there is no material change in facts or circumstances since the time the scheme was provisionally registered as a KiwiSaver scheme that would, had those facts or circumstances applied and been known to the Government Actuary at that time, have resulted in the Government Actuary failing to be satisfied of the matters set out in section 137(1)(a)

If GA so satisfied,— _____

Change Provisional registration status to R _____

Effective date of KiwiSaver registration (1 July 2007 or later) _____

Cancel registration under the SSA 1989 effective the same day _____

Checklist for Bolt on Section to a KiwiSaver Scheme. (s148 to 155)

AS/.....Name of Registered Scheme.....

KS Reference	Status - R	_____ (e)
	Application received by or on behalf of trustees dated received	_____ _____ (a) _____
	Copy of Trust deed and all Amendments (s149 (a)) Participating agreements, Proposed amendment.	_____ _____ (b)
	Scheme class	_____

Section 116 Eligibility to be a KiwiSaver Scheme

Fully funded Defined Contribution Scheme (s116(1)(c)& (d))	_____
New Scheme post Royal Assent / Independent Trustee (s116(1)(e))	_____
Corporate Trustee (1 NZ Resident Director) (s116(1)(f))	_____

2nd Schedule Part 3

(1)	Proposed KiwiSaver and RSS Scheme name s	_____
(2)	Proposed KiwiSaver Scheme commencement date	_____ (c)
(3) (a)	Names of trustees (or directors if trustee a company)	_____
(b)	Administration manager	_____
	Investment manager	_____
	Insurer	_____
(c)	Actuary	_____
	Auditor	_____
	Solicitor	_____
(d)	Name and address of NZ resident trustee /Director	_____
(e)	Name and address for correspondence from the GA	_____
(f)	Balance date	_____
(g)	Statement of Fees (reviewed by GA and are not unreasonable)	_____
(4)	Names of Independent Trustee unless s116(2) applies	_____
(5)	IR Commissioner's Certificate	_____
(6)	Certificate of compliance with sections 7, 8, 9, and 10 of SSAct & no rules contrary to KiwiSaver Act signed by Trustees / Solicitor/Admin Manager	_____
(7)	Certificate of compliance with sections 7, 8, 9, and 10 of SSAct (s9 explicit cert) signed by Trustees / Solicitor/Admin Manager	_____
	Registration date (entry date on KSS register)	_____ (d)
	The financial accounts of the scheme are to be audited	Yes

Note File to check next annual report re KiwiSaver transfer offer to members (s154) _____

Executed amendment lodged and \$50.00 lodgement fee paid _____