



PROVIDENT INSTITUTIONS DIVISION

PENSION FUNDS DEPARTMENT
APPLICATION FOR THE REGISTRATION OF A PENSION FUND

APPLICATION FOR REGISTRATION AS A PENSION FUND

IN TERMS OF SECTION 4 OF THE PENSION FUNDS ACT, 1956 (Act No. 24 OF 1956)

Section A. General Information

1. I, _____
(full name of authorized representative of fund)

hereby apply for the registration of

as a pension fund.

2. It is intended that -

(a) The Principal Officer will be

(full names)

- (b) The ID number of the of the Principal Officer

-
- (c) The physical address of the Principal Officer

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- (d) The contact details of the Principal Officer

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- (e) The registered office of the fund

(full physical address)

- (d) The postal address of the fund

- (e) The name and contact details of the proposed administrator (if applicable)

- (f) The name and contact details of the proposed auditor (if applicable)

- (g) The name and contact details of the appointed valuator

Section B. Applicant's declaration

We: _____
(Name of Pension Fund)

- **Declare** that all the information and documents provided in this application are complete, correct and can be relied upon.
- **Understand** that if any information in this application changes before and/or after this application is approved, we must immediately notify NAMFISA in writing of the changes.

(To be signed by two Trustees including the Chairperson of the Interim Board of Trustees.)

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Full Name
(Interim Board Chairperson)

Signature

Date

.....
Full Name
(Ordinary Member of the Interim Board)

.....
Signature

.....
Date

Section C. Fit and Proper Questionnaire for proposed Principal Officer and Trustees
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Kindly complete the questionnaire in full and if the answer to any of the questions is yes, please provide full details and attach to the questionnaire.

	YES	NO
1. Have you ever been found guilty by any professional or financial services industry body (in Namibia or elsewhere), of an act of dishonesty, negligence, incompetence or mismanagement?	<input type="checkbox"/>	<input type="checkbox"/>

2. Are you a member of any professional body?	<input data-bbox="602 226 672 275" type="checkbox"/>	<input data-bbox="1024 226 1094 275" type="checkbox"/>
3. Have you ever been denied membership of any professional body referred to in 2 on account of an act of dishonesty, negligence, incompetence or mismanagement?	<input data-bbox="602 436 672 485" type="checkbox"/>	<input data-bbox="1024 436 1094 485" type="checkbox"/>
4. Have you ever been found guilty by any regulatory or supervisory body (in Namibia or elsewhere) or has an authorization to carry on business been refused, suspended or withdrawn by any such body on account of an act of dishonesty, negligence, incompetence or mismanagement?	<input data-bbox="602 709 672 758" type="checkbox"/>	<input data-bbox="1024 709 1094 758" type="checkbox"/>
5. Have you ever been disqualified or prohibited by any court of law (whether in Namibia or elsewhere) from taking part in the management of any company or other statutorily created, recognized or regulated body, irrespective whether such disqualification has since been lifted or not?	<input data-bbox="602 1182 672 1230" type="checkbox"/>	<input data-bbox="1024 1182 1094 1230" type="checkbox"/>
6. Have you been involved with a corporation, which has been censured, disciplined, suspended or refused membership or registration by a stock exchange, futures	<input data-bbox="602 1644 672 1692" type="checkbox"/>	<input data-bbox="1024 1644 1094 1692" type="checkbox"/>

exchange, other market or regulatory authority?		
7. Have you had any judgment (including a finding of fraud, misrepresentation or dishonesty) given against you in any civil proceedings, in Namibia or elsewhere or are there any proceedings now pending which may lead to such a judgment?	<input type="checkbox"/>	<input type="checkbox"/>
8. Have you ever been a controlling shareholder, director of a company or member of a close corporation at the time it was placed under judicial management or in provisional or final liquidation?	<input type="checkbox"/>	<input type="checkbox"/>
9. Have you ever been the subject of any investigation or disciplinary proceedings by any regulatory authority (whether in Namibia or elsewhere) or exchange, professional body or government body or agency?	<input type="checkbox"/>	<input type="checkbox"/>
10. Have you ever been declared insolvent?	<input type="checkbox"/>	<input type="checkbox"/>

<p>11. If the answer to 11 is "Yes" have you since been rehabilitated?</p>	<input data-bbox="605 233 672 279" type="checkbox"/>	<input data-bbox="1027 233 1094 279" type="checkbox"/>
<p>12. Have you ever been a principal officer, member, director or CEO of any business or company which has failed, where that failure has been occasioned entirely or in part by deficiencies in competence, diligence, honesty, integrity, fairness or ethical behavior in the management of the business or company?</p>	<input data-bbox="605 485 672 531" type="checkbox"/>	<input data-bbox="1027 485 1094 531" type="checkbox"/>
<p>13. Are you candid and truthful in all your dealings with any regulatory body and do you demonstrate readiness and willingness to comply with the requirements and standards of the regulatory system and with other legal, regulatory and professional requirements and standards?</p>	<input data-bbox="605 989 672 1035" type="checkbox"/>	<input data-bbox="1027 989 1094 1035" type="checkbox"/>

Section D. Attachments

Kindly confirm the attachment of documents by marking the appropriate box with an "X".

		Attached	Comment
PROPOSED FUND INFORMATION			
(a)	Two copies of the proposed rules of the fund;		
(b)	The date on which the fund will come into operation;		
(c)	Full details of those who will be participating employers of the fund (if applicable)		
(d)	Number of members who will immediately join the fund upon registration		
(e)	Code of conduct for the members of the Board of Trustees (if available)		
INTERIM BOARD OF TRUSTEES INFORMATION			
(f)	Two copies of the Interim Board of Trustees resolution for the establishment of the pension fund;		
(g)	Full details of the proposed interim trustees;		
(h)	Curriculum vitae's of the proposed interim trustees;		
(i)	Identification documents of proposed interim trustees;		
(j)	Completed disclosure of interest report by the proposed interim trustees;		
(k)	Proof of application for the Police Clearance by the Police/Certificate of conduct by the Police and		
(l)	Completed fit and proper form for each trustee		
PRINCIPAL OFFICER INFORMATION			
(m)	The proposed interim Board of Trustees resolution approving the appointment of the principal officer		
(n)	Curriculum vitae of the proposed Principal Officer;		
(o)	Proof of Namibian citizenship or permanent residence of principal officer;		

(p)	Completed fit and proper form		
THIRD PARTY INFORMATION			
(q)	Two copies of the Valuator's Certificate of financial soundness of the rules;		
(r)	Copy of the proposed administration agreement between the fund and the administrator (if applicable)		
(s)	Copy of any other agreements between the fund and any other party (benefit consultant, valuator, auditor, investment manager) (if applicable)		
REGULATORY REQUIREMENTS			
(t)	Proof of payment of the prescribed application fee;		