



Pension Practitioner.Com Limited
Daws House
33-35 Daws Lane
London
United Kingdom
NW7 4SD

Pension Schemes Services

Fitz Roy House
Castle Meadow Road
Nottingham
NG2 1BD

Phone 03000 519617
Open from 9am to 5pm, Monday to Friday
Fax 03000 564565
Submission ref 00817677RP/R
CFS-
Date 31 October 2014

Notice to provide information and produce documents about an application to register a pension scheme

This letter is an information notice. It is a legal request for information and documents and I am issuing it under Section 153A of the Finance Act 2004.

Rocky Asset Management Limited Pension Scheme

Thank you for your application on 30 October 2014, to register the pension scheme named above under the Finance Act 2004.

To help us decide whether or not to register the pension scheme HMRC need you to give some information and documents. HMRC believe these are reasonably required in order to consider this application for registration and decide whether or not the pension scheme should be registered.

This notice means that by law you must let HMRC have the information and the documents requested on the attached schedule by 15 December 2014. Please provide them by post.

If you feel you cannot do what this notice asks, or you cannot respond within the timescale specified, please phone us as soon as possible on the phone number above.

What will happen if you do not do what this notice asks

If you do not fully comply with this notice within the time limit set out, HMRC can decide not to register the pension scheme.

Please take care when doing what this notice asks. If you carelessly or deliberately provide inaccurate information or produce a document containing an inaccuracy, we may charge you a penalty of up to £3,000 for each inaccuracy. A penalty for such an inaccuracy would be charged under Section 153E of the Finance Act 2004. We will not charge a penalty if you tell us about the inaccuracy at the time you provide the information or produce the document. If you later find an inaccuracy you must tell us without delay.

Appealing against this notice

You cannot appeal against this notice but you are able to appeal against any decision to not register the pension scheme. HMRC give details of how to appeal when issuing notices advising of a decision not to register.

More information

Enclosed is factsheet PSS/FS1 which gives you more information about this type of notice. If you have any questions once you have read this, please phone 03000 519617.

When replying please use the address shown above, quoting the submission reference. HMRC will need to keep all of the documents you send us so please make sure you keep any copies you need for your own records.

When you have provided this information HMRC will write to you and let you know our decision in respect of your application. If more information is needed in order to reach a decision, HMRC will write to you and tell you what is needed.

Your rights and obligations

'Your Charter' explains what you can expect from us and what we expect from you. For more information go to www.gov.uk/hmrc/your-charter

John Bhandal
HMRC Pensions



Documents or information required for Rocky Asset Management Limited Pension Scheme

- 1** A signed and dated paper copy of the complete scheme rules and any executed amendments to the scheme rules.
- 2** A signed and dated paper copy of the completed deed establishing the scheme and any executed amendments to that deed.
- 3** The scheme's bank name, account name, account number, sort code and date the bank account was opened.
- 4** If this is intended to be a single member occupational scheme, the full name, address, contact telephone number and National Insurance number of the intended member.
- 5** If this is not a single member scheme, please confirm how many members you expect the scheme to have in the first 12 months.

If less than 10 please give the full name, address, phone number and National Insurance number of each known intended member.

- 6** Please give the following marketing and membership information:
 - details of the target membership
 - original copies of the marketing material
 - details of any web based material
 - the full names, addresses and contact details of the introducers to be used
- 7** Please give the following investment information:
 - details of each proposed type of investment
 - a copy of the business plan for each proposed investment
 - the full name, address and contact telephone number for each proposed investment provider
- 8** The projected fund value at the end of the first year of the pension scheme's existence
- 9** What is the nature of the scheme establisher's business? Is the employer trading?

If the scheme establisher is an individual please give their full name, address, contact telephone number, National Insurance number and Self Assessment Unique Taxpayer Reference (UTR).

- 10** For each employer adhered to the scheme please give the following:
 - their full name
 - address
 - contact telephone number
 - number of people employed
 - confirmation of whether they are registered for tax with HMRC
 - the PAYE reference
 - the VAT reference or a statement that the business is not VAT registered
 - the corporation tax reference (if they are a company)
 - the partnership tax reference (if they are an LLP or a partnership)
 - the self assessment tax reference (if they are a sole trader)
- 11** If this scheme is neither an occupational pension scheme nor a public service pension scheme, for example a personal pension scheme, a copy of the permission under the Financial Services and Markets Act 2000 provided by the Financial Conduct Authority.
- 12** Please give the full name, contact address and contact number of all:
 - other persons involved in the administration of this pension scheme, including all trustees
 - persons who provided advice relating to the setting up of the pension scheme