Office of the Superintendent of Financial Institutions Canada   Bureau du surintendant des institutions financières Canada

Office of the Superintendent of Financial Institutions
Private Pension Plans Division

Specifications for Diskette/CDROM Filing of Annual Information Return (OSFI 49) and Financial Statements and General Interrogatories (OSFI 60)

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OSFI BSIF

Canada

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1.0 Purpose

The purpose of this document is to provide specifications to plan administrators and software consultants to develop the diskette/CDROM requirements for diskette/electronic submission.

The Private Pension Plans Division (PPPD) of the Office of the Superintendent of Financial Institutions (OSFI) supervises approximately 1,160 pension plans and receives annual information and financial statement returns from plan administrators and/or their consultants. The PPPD also has a Memorandum of Understanding (MOU) with Canada Customs and Revenue Agency (CCRA) whereby the PPPD collects information on CCRA's behalf. To date, all returns submitted to the PPPD have been in paper format, and are a mix of text and financial/numerical information.

The PPPD is implementing diskette/electronic filing for OSFI's required Annual Information Return (OSFI 49) and Financial Statements and General Interrogatories (OSFI 60). This medium is typically desirable in situations where information is currently being submitted on paper, and staff is employed to process the information, entering some or all of it into a computer system so that it can be analysed, forwarded, published or processed further. The benefits of Diskette/CDROM filing include eliminating or reducing data errors, faster data input, validation at source, and improved data integrity.

2.0 Deliverables

We are providing information for the development of a software package to process Diskette/CDROM filing of OSFI 49 and OSFI 60 by a third party and by pension plan administrators who will be developing their own software package. All software packages, including those produced by third parities, consultants, etc. and marketed commercially must be approved by OSFI before they can be used to process Diskette/CDROM filings. In order to proceed, we require these deliverables:

(a) a software package for each return, or a package combining both the OSFI 49 and OSFI 60, following the specifications set out in Section 3.0 and Appendices 1 to 9 of this document; and

(b) documentation that includes a user guide as well as the crosschecks and validation rules used in the Diskette/CDROM filing software.

2.1 Expected Time Frames

- Software testing and approval by OSFI, February – March 2003.
- Names of approved commercially marketed software packages available on OSFI Web site starting February 2003.
- Plan administrators will be required to file forms OSFI 49 and OSFI 60 via Diskette/CDROM for plan years ending after October 1, 2004. Earlier adoption is encouraged and would be appreciated.

3.0 Diskette/CDROM Filing Specifications

3.1 General

The OSFI 49 and OSFI 60 Data Point Details and sample schemas (see Appendices) provide detailed technical guidance to plan administrators and software vendors interested in developing the software required to produce the Diskette/CDROM filing of the OSFI 49 and OSFI 60 annual filings. The term "diskette" also applies to CDs. All commercially marketed diskette filing software packages must receive OSFI's approval prior to being used to file the annual returns. The software must meet all the specifications; otherwise, the annual filing submitted on the diskette will not be accepted as a filed return.

The specifications have been designed for electronic filing by diskette/CD; however, they may be expanded at a later date to permit electronic filing through communication networks. Please note that e-mail attachments are not accepted by OSFI at this time.

The specifications define the characteristics of the data to be submitted; they are designed to be as generic as possible. The specifications also define the number of physical files to be included on the diskette/CD. Each OSFI 49 will consist of two files (one for the main return and one for Schedule "A"). Each OSFI 60 will consist of one file.

UTF-8 is to be used as the data representation standard. UTF-8 is a variable-width encoding of UNICODE characters. UTF-8 represents ASCII as ASCII characters (i.e. it does no encoding.) ASCII can be generated by spreadsheet-based systems and by systems developed in more traditional mainframe or microcomputer-based programming environments.

Guidelines on how to transmit diskettes to OSFI are also included in the specifications.

The specifications refer to a detailed set of validation rules. These rules contain the minimum number of tests required in the OSFI 49 and OSFI 60 preparation software to pre-validate data before the diskette is submitted.

A diskette/CD may contain more than one Financial Statement and/or one Annual Information Return per pension plan as long as each annual return or statement is properly identified using the file naming convention later.

The specifications are subject to revision and improvement. Any queries or suggestions should be addressed to Bruce Martin, RID at (613) 990-8160 or Bruce.Martin@osfi-bsif.gc.ca.

3.2 Defining Various Forms of Data

The OSFI 49 consists of numeric data formated as whole numbers; amounts rounded to dollars; and percentages with two decimal places. The current OSFI 60 consists of numeric data formated as whole numbers, and amounts rounded to thousands. In both returns, a leading minus sign should designate negative amounts and "0" should be used to represent a zero value.

In addition, there are text data and Yes/No answers to questions that are applicable to OSFI 49 and OSFI 60 forms. At this time, diskette filing of data is intended to be a supplement to the complete hard copy of the annual returns.

The specifications require that:

(a) the data reporting file (the complete set of data recorded on the diskette) consist of XML tag pairs enclosing the data value being provided;

(b) the file be given a unique file name, as described under File Naming and Record Layout (see next page), to identify the pension plan and the year of reporting;

(c) each record, consisting of XML tag pairs and an amount, follow the record layout described under File Naming and Record Layout; and

(d) each data point address contained in a record be defined using the XML schema provided . Generally, the tags conform to the following format:

<Appppp (page)lll (line)ccc (column)>
i.e. <A20010001001>
(See further examples under File Naming and Record Layout)

As illustrated under File Naming and Record Layout, all data will be represented in the file in the same numeric format as prescribed in the instructions for completing the forms (i.e., figures rounded to thousands should be represented in thousands). Negative figures in the data will be represented in the file with a leading minus sign.

3.3 File Naming and Record Layout

3.3.1 File Naming

The file containing the data points to be reported will have a file name unique to the pension plan, type of return and the period reported on, as follows:

- First to fifth digit – PBSA Registration number. This unique number is assigned by the Private Pension Plans Division and identifies the pension plan. The first digit must be "5".
- Sixth and seventh digits – the return form number (e.g., for Financial Statements and General Interrogatories: "60"; for Annual Information Return: "49").
- Eighth to eleventh digits – the filing year (e.g., in the "1999").
- The twelfth digit can be the letter "A" and will be used only for the submission of Schedule "A" for Annual Information Returns (e.g. 51233492002A.xml will indicate PBSA registration 51233 submitting Schedule "A" for Annual Information Return for year 2002).

Example (i) "51234601998.XML"

The unique PBSA Registration number, assigned by PPPD is "51234"; the return is the "Financial Statements and Interrogatories – OSFI 60"; and the filing year is "1998".

Example (ii) "55555492002.XML"

The unique PBSA Registration number, assigned by PPPD is "55555"; the return is the "Annual Information Return – OSFI 49"; and the filing year is "2002".

3.3.2 Record Layout for Annual Information and Financial Statement Information Data

The XML file will contain the indicated XML tag pairs enclosing the value to be submitted. These tags are defined in the included XSD (schema) file. The following is a sample:

```
<?xml version="1.0" encoding="utf-8"?>
 <x:Return49 xmlns:x="urn:myspace">
      <A20010001001>52345</A20010001001>
      <A20010001002>1234566</A20010001002>
      <A20010003001>2</A20010003001>
      <A20010007001>This is the title of the pension plan.  The title
   spans multiple lines.  XML will scan for the end
   tag.</A20010007001>
    <A20010011001>
        <Salutation>Mr</Salutation>
        <Firstname>Mark</Firstname>
        <Initials>P.J.</Initials>
        <Surname>Smith</Surname>
```

```
        </A20010011001>
        ...
    </x:Return49>
```

3.3.3 Yes/No Replies Data

All Yes/No questions will have a page, line, and column number in the same manner as the financial data.

Each "Yes" answer will be reported as "1." Each "No" answer will be reported as "0". Each "N/A" answer will be reported as "2."

3.3.4 Date Fields

All date fields will have a page, line, and column number in the same manner as the financial data.

Dates will be transmitted as "YYYY-MM-DD" according to the ISO 8601 standard.

3.3.5 First Time / New Plans

Pension Plans filing electronically for the first time are required to complete the Title of Plan, and contact information for the plan administer. Subsequent filings require only changes to the original information.

3.4 Validation Rules

To maximize the benefits of receiving data on diskettes/CDs, OSFI must be assured that the data is tested by a set of validation rules. It is important that all data be free of errors before the diskette/CD is filed; otherwise the diskette/CD will be returned for correction and the return will be considered un-filed until an error-free diskette/CD is received by OSFI.

These rules should be designed to ensure that, as a minimum, the relationships of the data points provided are tested.

Plan administrators who generate financial statement returns from internal systems or purchased commercial software should ensure that these validation rules are included as an integral part of the return generation programs.

3.4.1 Canada Customs and Revenue Agency (CCRA) – Registration Number

To verify that the CCRA registration number is a valid number, the Mode10 test must be performed on that number. The calculation is performed sequentially on 6 digits of the 7-digit plan registration number, starting with the sixth and moving to the left by one to the first. (Note that the check is valid only on numerics.) Please see calculation below:

3.4.1.1 Mode10 Test Calculation:

- the sixth number is multiplied by 2. If the result is a 2-digit number, the 2 digits are added together to give A. If the result is a single digit then that digit is = A.
- the fifth number is multiplied by 1. The result is = B.
- the fourth number is multiplied by 2. If the result is a 2-digit number, the 2 digits are added together to give C. If the result is a single digit, then that digit is = C.
- the third number is multiplied by 1. The result is = D
- the second number is multiplied by 2. If the result is a 2-digit number, the 2 digits are added together to give E. If the result is a single digit, then that digit is = E.
- the first number is multiplied by 1. The result is = F.
- Add together the results (i.e. A+B+C+D+E+F)
- Subtract the second digit of the result (i.e., the ones column) from the number 10 to give the seventh digit. If there is a zero in the ones column then the seventh digit will be a zero.
- If the result matches the seventh digit, the number is valid.

Example: CCRA number entered is 1234567
6X2=12, A=3; 5x1=5, B=5; 4x2=8, C=8; 3x1=3, D=3; 2x2=4, E=4; 1x1=1, F=1
3 + 5 + 8 + 3 + 4 + 1 = 24; 10 – 4 = 6.
The result 6 does not match the seventh digit; therefore, the CCRA registration number entered is not a valid number.

3.5 Physical Characteristics of Diskette

3.5.1 Size

The size of the diskette should be 1.44 MB - 3.5- inch high density or a CD-ROM.

3.5.2 Compatibility

The diskette must be formated for use in IBM computers using DOS.3 (or higher version) or Microsoft Windows-based systems.

3.5.3 Labelling

The diskette must be clearly labelled with the name of the pension plan, the year being reported on, the name of the file, the date the file was created, and the name and telephone number of a contact person.

Suggested label: ABC Pension Plan for Executives - 2002
Files: 55555492002.xml, 55555602002.xml, 55555492002A.xml
Date: 02/29/02 Phone: (416) 737-1110

Contact: John Smith

3.5.4 Contents

All data relating to a pension plan return will be contained in a single file for a return type 60 and two files (one for the main return and one for Schedule "A") for a return type 49.

3.6 Submission Procedures

The procedures for submitting a diskette to the Private Pension Plans Division are outlined in this section. The CD or diskette is to be sent on or before the due date prescribed for the filing of OSFI 49 or OSFI 60. The diskette should be well protected in a special-purpose shipping package. "FRAGILE" should be marked on the outside of the package. The complete package should include a correctly labelled (section 3.5.3) diskette or CD (more than one if filing for multiple plans), a Diskette Transmittal Form for each return (section 3.8) and a Certification Form for each return (section 3.9 for OSFI 49 and section 3.10 for OSFI 60).

3.6.1 Diskette Transmittal Form

A Diskette Transmittal Form (section 3.8) is to be completed and submitted with the diskette.

The form has two purposes. First, it expands on some of the information contained on the diskette label. Second, it provides certification that the filed diskette was generated using software that has been tested, approved and produced in accordance with OSFI specifications.

The form is self-explanatory, with the possible exception of the following terms:

- Software Vendor – if you are using a commercially marketed package, provide the name of the vendor.
- Version Number – refers to the version number of the commercial software used. This will normally be indicated on distribution diskettes or copyright screens.
- Diskette Size and Format – see Physical Characteristics of Diskette. (3.5)
- Microsoft Windows/DOS Version – refers to the version of Microsoft Windows/DOS used to format the diskette i.e. WIN 95/98 or WIN NT or DOS 5.0.
- Signature – signature of an authorized officer of the administrator of the pension plan verifying that the filed diskette was generated using software that has been tested, approved, and developed in accordance with OSFI specifications.

3.6.2 Certification Form

The certification forms for OSFI 49 (section 3.9) and OSFI 60 (section 3.10) are to be completed and submitted with the diskette.

An authorized officer of the plan administrator must sign the OSFI 49 and OSFI 60 certification forms. The administrator is certifying that information provided is true, correct and complete. This certification applies to both OSFI and CCRA information.

Note: The diskette filing of Form OSFI 60 does not affect the filing requirements of an Auditor's Report. Pension plans that are required to file an Auditor's Report must continue to do so.

3.7 Diskette Validation Report

A Diskette Validation Report containing a pre-selected sample of data points must be generated for each return on the diskette/CD, printed at or about the same time that the diskette/CD is produced. This report must be included in the package.

The purpose of the report is to give PPPD initial assurance that the diskette has been produced from the same data used to generate the hard copy.

Pension plan administrators are to ensure that the printing of this report is incorporated into the programs written to generate the diskette.

The diskette validation report for OSFI 49 return must contain all of the following:

DISKETTE VALIDATION REPORT – OSFI 49
ABC Pension Plan for Executives

This report has been generated from the following data file:
Data file name----»51234**49**2002
Data created ----»YYYY-MM-DD

Data point	Value or Amount
<20010001001>	**Registration Number**
<20010001002>	**CCRA Registration Number**
<20010003001>	**Type of Pension Plan**
<20010012001>	**Name of Company/Plan Administrator**
<20010045002>	**Plan Year Under Review (To YYYY-MM-DD)**
<20010012001>	**Number of Members at Previous Year End**
<20012011001>	**Number of Members at Plans Year End**

The diskette validation report for the OSFI 60 return must contain all of the following:

DISKETTE VALIDATION REPORT – OSFI 60
ABC Pension Plan for Executives

This report has been generated from the following data file:
Data file name----»51234**60**2002
Data created ----» YYYY-MM-DD

Data point	Value or Amount
<30005001001>	**Name of Plan**
<30005002001>	**registration number**
<30005002002>	**Type of Plan**
<30005003001>	**Year Ending**
<30010199001>	**Net Assets Current Year**
<30010199002>	**Net Assets Previous Year**
<30020199001>	**Net Assets Current Year**
<30020199002>	**Net Assets Previous Year**

3.8 Diskette/CD Transmittal Form

Name of Pension Plan ____

PBSA Registration No.___________ CCRA Registration No. ________

Return Type: OSFI49 ______ OSFI60 ______ Plan Year Ending _____________

For OSFI 60 or OSFI 49, if this is not the first time that a diskette is being filed for this return period, indicate "B" for the first Revision, "C," for the second Revision, "D," for the third Revision, etc.

Original ________ Revision ________

Contact Person _______________________________ Telephone # (__) ____________Ext ____

Title _______________________________________ Facsimile # (___) ___________________

E-Mail _____________________________________

Software Vendor _____________________________ Version Number _____

CD/ Diskette Size _________ Microsoft Windows/DOS Version _____ (N/A if pre-formated)

Note: As mentioned in section 3.6.2, pension plans that are required to file an Auditor's Report must continue to do so.

Is a hard copy of the Auditor's Report attached? (Y/N) ____ (If no, explain below).

Is the Diskette Validation Report attached? (Y/N)____ (If no, explain below).

Explanation ____
____
____

VERIFICATION

The undersigned hereby verifies that the filed diskette was generated using software that has been tested, approved and developed in accordance with OSFI specifications.

Name____________________________ Signature ______________________
(Please Print)

Title ___________________________ Phone Number __________Ext. ____ Date ___________

3.9 Annual Information Return (OSFI 49) Certification Form

ANNUAL INFORMATION RETURN (OSFI 49)

CERTIFICATION

As an authorized officer of the administrator of the pension plan, I hereby certify that, to the best of my knowledge and belief:

(a) the contributions paid to the fund have been at least equal to those required by the terms of the pension plan and, if applicable, the most recent actuarial report filed with OSFI;

(b) the plan and the fund were administered in accordance with the PBSA, and the Regulations thereto and the terms and conditions of the plan documents;

(c) the pension plan complies with and is being administered in accordance with sections 147.1, 147.2, 147.3 and 147.4 of the *Income Tax Act* and the Regulations for the reporting period covered by this return; and

(d) the information entered in this return, including Canada Customs and Revenue Agency Schedule A, is true, correct and complete.

____
Name (USE BLOCK LETTERS)

____
Signature of Administrator

____
Title or Position

____
Date

3.10 Financial Statements and General Interrogatories (OSFI 60) Certification Form

FINANCIAL STATEMENTS

AND GENERAL INTERROGATORIES (OSFI 60)

CERTIFICATION

The plan administrator must certify all financial statements whether or not an auditor's report is required.

PLAN ADMINISTRATOR

If the administrator is a board of trustees or other similar body, two of its authorized members must sign.
If the administrator is the employer, one signature is sufficient.

I hereby certify that, to the best of my knowledge:

(a) these financial statements are a complete and accurate representation, in all material respects, of the financial position and changes in the net assets of the pension fund; and

(b) the assets of the pension fund have been invested in accordance with the PBSA, the PBSR and the plan's written Statement of Investment Policies and Procedures.

______________________________	______________________________
Signatory's full name (please print)	Signatory's full name (please print)
______________________________	______________________________
Title or Position (please print)	Title or Position (please print)
______________________________	______________________________
Telephone Number	Telephone Number
______________________________	______________________________
Signature	Signature
______________________________	______________________________
Date	Date

Appendix 1 - Annual Information Return (OSFI 49) – Data Point Details

Annual Information Return (OSFI 49) – Data Point Details **Appendix 1**

XML Tag (<APage.Line.Column>)	Description	Field Size	Mandatory /Optional	USER Data Entry and Validation Checks
<A20010001001>	PBSA Registration Number	5	Optional	Numeric field. 5 digits. Blank if unavailable.
<A20010001002>	Canada Customs & Revenue Agency Registration Number	12	Mandatory	Must Enter field. Numeric field. Leading zeros. 7 digits and pass Mod10 test. Carry forward to page <A20018001001>
<A20010003001>	Type of Pension Plan	1	Mandatory	Drop down list. Must Enter Field, 1 for Defined Benefit, 2 for Money Purchase (Defined Contribution), 3 for Combination.
<A20010004001>	Indicate if the Company is private or publicly traded.	1	Optional	Drop down list. 1 for Private or 2 for Public
<A20010007001>	Title of Pension Plan	255	Mandatory/ Optional	Mandatory first time/new plan. Text field. If the plan name has not changed, leave blank.
	Employer/Plan Administrator			
<A20010011001>	Name of Contact Complex tag made up of <Salutation\> <FirstName\><Initials\> <Surname\>	120	Mandatory/ Optional	VarChar fields. Salutation (3 char) First Name (30 char.) Initials (5 char) Surname (80 char). Mandatory first time/new plan. If the contact name has not changed, leave blank.
<A20010012001>	Name of Company/Plan Administrator	255	Mandatory/ Optional	Mandatory first time/new plan. VarChar field. If plan administrator has not changed, leave blank.

<A20010013001>	Address	255	Mandatory/ Optional	Mandatory first time/new plan. Text field. Include P.O. Box, station, R.R.#, suite #, apt#, deliverable street names. If any lines from <A20010013001> to <A20010017002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)
<A20010014001>	City	30	Mandatory/ Optional	Mandatory first time/new plan. VarChar. If any lines from <A20010013001> to <A20010017002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)
<A20010014002>	Province Country	5	Mandatory/ Optional	Mandatory first time/new plan. Use drop down selection. If any lines <A20010013001> to <A20010017002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.) Note: Country code has been included in with provincial code.
<A20010015001>	Postal Code	10	Mandatory/ Optional	Mandatory first time/new plan.'VarChar. Stored as 10 characters. If zip code enter here. If any lines <A20010013001> to <A20010017002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)
<A20010015002>	Telephone	10	Mandatory/ Optional	Mandatory first time/new plan.Char. Stored as 10 chars. Format to ##########. If any lines <A20010013001> to <A20010017002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)

<A20010015003>	Extension	8	Optional	If any lines <A20010013001> to <A20010017002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)
<A20010017001>	Fax	10	Optional	VarChar. Format to ##########If any lines <A20010013001> to <A20010017002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)
<A20010017002>	E-Mail	50	Optional	VarChar. If any lines <A20010013001> to <A20010017002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)
	Third Party Administrator			
<A20010021001>	Name of Contact Complex tag made up of <Salutation\> <Firstname\> <Initials\> <Surname\>	120	Optional	VarChar field. . Salutation (3 char) First Name (30 char.) Initials (5 char) Surname (80 char). If the contact name has not changed, do not include in XML file - (no tags.) Name should not be the same as <A20010011001>.
<A20010022001>	Name of Company	255	Optional	VarChar field. If company name has not changed, do not include in XML file - (no tags.)

<A20010023001>	Address	255	Optional	Text field. Include P.O. box, station, R.R.#, suite #, apt#, deliverable street names. If any lines from <A20010023001> to <A20010027002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)
<A20010024001>	City	30	Optional	VarChar. If any lines from <A20010023001> to <A20010027002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)
<A20010024002>	Province Country	5	Optional	Use drop down selection. If any lines from <A20010023001> to <A20010027002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.) Note: Country code has been included in with provincial code.
<A20010025001>	Postal Code	10	Optional	VarChar. If zip code enters here If any lines from <A20010023001> to <A20010027002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)
<A20010025002>	Telephone	10	Optional	Char. Format to ##########. If any lines from <A20010023001> to <A20010027002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)
<A20010025003>	Extension	8	Optional	If any lines from <A20010023001> to <A20010027002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)

<A20010027001>	Fax	10	Optional	VarChar. Format to ##########. If any lines <A20010023001> to <A20010027002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)
<A20010027002>	E-Mail	50	Optional	VarChar. If any lines <A20010023001> to <A20010027002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)

	Location of Books and Records			
<A20010031001>	Employer/Plan Administrator	1	Optional	Check Box. If <A20010031001> is selected, lines <A2001001101> to <A20010017002> must be completed. Disable lines <A20010031002>, <A20010032002> to <A20010037002>.
<A20010031002>	Third Party Administrator	1	Optional	Check Box. If <A20010031002> is selected, lines <A20010021001> to <A20010027002> must be completed. Disable lines <A20010031001>, <A20010032001> to <A20010037002>.
<A20010032001>	Name of Contact Complex tag made up of <Salutation\> <FirstName\><Initials\> <Surname\>	120	Optional	Enter into sub-elements of this element Salutation (3 char); First Name (30 char.); Initials (5 char); Name (80 char). If <A20010032001> is selected, force entry for <A20010033001> to <A20010037001>. Disable lines <A20010031001> & <A20010031002>.

<A20010033001>	Address	255	Optional	Text field. Include P.O. Box, station, R.R.#, suite #, apt#, deliverable street names. If any <A20010033001> to <A20010037002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)
<A20010034001>	City	30	Optional	VarChar. If any lines from <A20010033001> to <A20010037002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)
<A20010034002>	Province Country	5	Optional	Use drop down selection. If any lines from <A20010033001> to <A20010037002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.) Note: Country code has been included in with provincial code.
<A20010035001>	Postal Code	10	Optional	VarChar. If zip code, enter here If any lines from <A20010033001> to <A20010037002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)
<A20010035002>	Telephone	10	Optional	Char. Format to ########## If any lines from <A20010033001> to <A20010037002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)
<A20010035003>	Extension	8	Optional	If any lines from <A20010033001> to <A20010037002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)

<A20010037001>	Fax	10	Optional	If any lines from <A20010033001> to <A20010037002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.) Format to ######-####
<A20010037002>	E-Mail	50	Optional	If any lines from <A20010033001> to <A20010037002> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)
	Pension Fund Custodian(s)			The tag <A20010038000> starts this section. The following four tags <A20010038001> through <A20010038004> are repeated as a set as required and then the end tag </A20010038000> is entered.
<A20010038001>	Company	80	Optional	Text
<A20010038002>	Policy or Account Number	80	Optional	VarChar.
<A20010038003>	Contact Complex tag made up of <Salutation\> <Firstname\> <Initials\> <Surname\>	120	Optional	Text . Salutation (3 char) First Name (30 char.) Initials (5 char) Surname (80 char).
<A20010038004>	Telephone	10	Optional	Char. Format to ##########
<A20010038005>	Extension	8	Optional	If any lines from <A20010038001> to <A20010038004> have changed, all lines must be completed; if none of them has changed, do not include in XML file - (no tags.)

	Plan Year Under Review			
<A20010045001>	From - day/month/year	10	Mandatory	Date format = YYYY-MM-DD. Where DD>00 <32, MM >00 <13, YYYY >1900
<A20010045002>	To - day/month/year	10	Mandatory	Date format = YYYY-MM-DD. Where DD>00 <32, MM >00 <13, YYYY >1900
<A20010045003>	Number of Months	2	Mandatory	Calculated field. Subtract <A20010040002> from <A20010040001>. Numeric. > 0 & <= 12. If less than 12, then lines <A20018010001> and <A20018013001> must be entered.
	Membership			
<A20012002001>	Number of member at plan's previous year end	9	Mandatory	Numeric, positive numbers only. If second year, must equal previous plan year end indicated on <A20012011001>. If blank, default to zero.
<A20012003001>	Entrants	9	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012005001>	Total of <A20012002001> + <A20012003001>	9	Mandatory	Calculated Field =Total of <A20012002001> + <A20012003001>. Numeric, positive numbers only. If blank, default to zero
<A20012006001>	Exit: Retirement or death	9	Optional	Numeric, positive number only. If blank, default to zero. This value is subtracted from the total.
<A20012008001>	Termination of membership	9	Optional	Numeric, positive number only. If blank, default to zero. This value is subtracted from the total.
<A20012009001>	Total of <A20012006001> plus (+) <A20012008001>	9	Mandatory	Calculated Field = Total of <A20012006001> + <A20012008001>. Numeric, positive number only. If blank, default to zero. This value is subtracted from the total.

<A20012011001>	Number of members at plan year end (<A20012005001> minus (-) <A20012.009001>)	9	Mandatory	Calculated Field = <A20012005001> - <A20012009001>. Numeric, positive numbers only. If blank, default to zero.
<A20012013001>	Inactive Members	9	Optional	Numeric, positive numbers only. If blank, default to zero.
	Membership by Location			
<A20012015001>	Newfoundland - male	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012015002>	Newfoundland - female	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012015003>	Newfoundland - included employment	6	Optional	Validation is < = <A20012015001> + <A20012015002>. If blank, default to zero
<A20012016001>	Prince Edward Island - male	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012016002>	Prince Edward Island - female	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012016003>	Prince Edward Island - included employment	6	Optional	Validation is < = <A20012016001> + <A20012016002> If blank, default to zero.
<A20012017001>	Nova Scotia – male	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012017002>	Nova Scotia - female	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012017003>	Nova Scotia - included employment	6	Optional	Validation is < = <A20012017001> + <A20012017002> If blank, default to zero
<A20012018001>	New Brunswick - male	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012018002>	New Brunswick - female	6	Optional	Numeric, positive numbers only. If blank, default to zero

<A20012018003>	New Brunswick - included employment	6	Optional	Validation is < = <A20012018001> + <A20012018002>. If blank, default to zero
<A20012019001>	Quebec – male	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012019002>	Quebec – female	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012019003>	Quebec - included employment	6	Optional	Validation is < = <A20012019001> + <A20012019002>. If blank, default to zero.
<A20012020001>	Ontario – male	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012020002>	Ontario – female	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012020003>	Ontario - included employment	6	Optional	Validation is < = <A20012020001> + <A20012020002>. If blank, default to zero
<A20012021001>	Manitoba – male	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012021002>	Manitoba - female	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012021003>	Manitoba - included employment	6	Optional	Validation is < = <A20012021001> + <A20012021002>. If blank, default to zero.
<A20012022001>	Saskatchewan - male	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012022002>	Saskatchewan - female	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012022003>	Saskatchewan - included employment	6	Optional	Validation is < = <A20012022001> + <A20012022002>. If blank, default to zero.
<A20012023001>	Alberta – male	6	Optional	Numeric, positive numbers only. If blank, default to zero

<A20012023002>	Alberta – female	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012023003>	Alberta - included employment	6	Optional	Validation is < = <A20012023001> + <A20012023002>. If blank, default to zero.
<A20012024001>	British Columbia - male	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012024002>	British Columbia - female	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012024003>	British Columbia - included employment	6	Optional	Validation is < = <A20012024001> + <A20012.024002>. If blank, default to zero
<A20012025001>	Yukon Territory - male	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012025002>	Yukon Territory - female	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012025003>	Yukon Territory - included employment	6	Optional	Validation is < = <A20012025001> + <A20012025002>. If blank, default to zero.
<A20012028001>	Northwest Territories - male	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012028002>	Northwest Territories - female	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012028003>	Northwest Territories - included employment	6	Optional	Validation is < = <A20012028001> + <A20012028002> If blank, default to zero.
<A20012029001>	Nunavut – male	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012029002>	Nunavut - female	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012029003>	Nunavut - included employment	6	Optional	Validation is < = <A20012029001> + <A20012.029002>. If blank, default to zero.

<A20012030001>	Outside Canada - male	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012030002>	Outside Canada - female	6	Optional	Numeric, positive numbers only. If blank, default to zero
<A20012030003>	Outside Canada included employment	6	Optional	Validation is < = <A20012030001> + <A20012 030002> If blank, default to zero.
<A20012034001>	Total - male	6	Mandatory	Calculated Field = Total of <A20012015001> to <A20012030001> Numeric, positive numbers only.
<A20012034002>	Total - female	6	Mandatory	Calculated Field = Total of <A20012015002> to <A20012030002> Numeric, positive numbers only.
<A20012034003>	Total - Included employment	6	Mandatory	Calculated Field = Total of <A20012 015 003> to <A20012030003> Numeric, positive numbers only. Validation: is < = <A20012034001> + <A20012034002>
<A20012035001>	Grand Total	6	Mandatory	Calculated Field: Total of <A20012034001> + <A20012034002> Validation: Must equal <A20012011001>. Numeric, positive numbers only.
	Current Service Payment			
<A20012040001>	Member contributions	15	Optional	Numeric, No blanks, zero or positive numbers only. In dollars.
<A20012042001>	Additional voluntary contributions	15	Optional	Numeric, No blanks, zero or positive numbers only. In dollars.
<A20012044001>	Total Member contributions <A20012040001> + <A20012042001>	15	Mandatory Optional	Calculated Field = Total of <A20012040001> + <A20012042001> Numeric, zero or positive numbers only. In dollars.

<A20012045001>	Required employer current service contributions	15	Mandatory	Numeric, No blanks, zero or positive numbers only. In dollars.
<A20012047001>	Amount credited from surplus/forfeitures	15	Optional	Numeric, No blanks, zero or positive numbers only. In dollars.
<A20012049001>	Net employer current service contributions <A20012045001> minus <A20012047001>	15	Optional Mandatory	Calculated Field = <A20012045001> minus <A20012047001> Numeric, zero or positive numbers only. In dollars.
	Contribution Base			
<A20012050001>	Total payroll of members - class	50	Optional	Text
<A20012050002>	Total payroll of members - payroll	15	Optional	Numeric, positive numbers only. In dollars
<A20012051001>	Total payroll of members - class	50	Optional	Text
<A20012051002>	Total payroll of members - payroll	15	Optional	Numeric, positive numbers only. In dollars
<A20012054001>	Describe base if other than payroll	28	Optional	Text
<A20012055001>	Yes/No – Were employer contributions the result of collective agreement?	1	Optional	Drop down. 1 for Yes, 0 for No.
<A20012056001>	Collective bargaining agent representing the largest number of pension plan members, if applicable	80	Optional	Text field
<A20012056002>	Expiry date of collective agreement	10	Optional	Date format = YYYY-MM-DD. Where DD>00 <32, MM >00 <13, YYYY >1900
	Amount of Special Payments paid			

<A20014001001>	Total annual unfunded liability payments	15	Optional	Validation: if Plan Type = <A20010003001> = 2 (DC), disable <A20014001001> to <A20014044001> Numeric field, dollar amounts. Positive numbers
<A20014002001>	Total annual solvency deficiency payments	15	Optional	Validation: if Plan Type = <A20010003001> = 2 (DC), disable <A20014 001 to <A20014044001> Numeric field, dollar amounts. Positive numbers
<A20014003001>	Other special payments	15	Optional	Validation: if Plan Type = <A20010003001> = 2 (DC), disable <A20014001001> to <A20014044001> Numeric field, dollar amounts. Positive numbers
<A20014005001>	Total of all special payments	15	Optional	Validation: if Plan Type = <A20010003001> = 2 (DC),disable <A20014001001> to <A20014044001>. Calculated field: Total of <A20014001001> + <A20014002001> + <A20014003 001>. Numeric field

	Adjustments made to pensions during year			
<A20014006001>	Deferred pension benefits	1	Optional	Check box. Validation: if Plan Type = <A20010003001> = 2 (DC), disable lines <A20014001001> to <A20014044001>. If checked, lines <A20014007001>and <A20014008001> and <A20014015001> to <A20014043001> must be entered.

<A20014006002>	Pensions in pay	1	Optional	Check box. Validation: if Plan Type = <A20010003001> = 2 (DC), DISABLE lines <A20014001001 to <A20014044001>. If checked, lines <A20014007001> and <A20014008 001> and <A20014015001> to <A20014043001> must be entered.
<A20014007001>	Effective date of adjustment	10	Optional	Validation: if Plan Type = <A20010003001> = 2 (DC), DISABLE <A20014001001> to <A20014044001>. Date format must be YYYY-MM-DD. Where DD>00 <32, MM >00 <13, YYYY >1900. YYYY must be equal to plan year + 1 day.
	To which groups do adjustments apply			
<A20014008001>	Former Members	1	Optional	Check box. Validation: if Plan Type = <A20010003001> = 2 (DC), DISABLE <A20014001001> to <A20014044001>
<A20014008002>	Retirement Year of Former Members	4	Optional	Format = YYYY >1900
<A20014009001>	Retirees	1	Optional	Check Box. Validation: if Plan Type = <A20010003001> = 2 (DC), DISABLE <A20014001001> to <A20014044001>
<A20014009002>	Retirement Year of Retirees	4	Optional	Format = YYYY >1900

<A20014010001>	Surviving Spouses	1	Optional	Check Box. Validation: if Plan Type = <A20010003001> = 2 (DC), DISABLE <A20014001001> to <A20014044001>
<A20014010002>	Retirement Year of Surviving Spouses	4	Optional	Format = YYYY >1900
	Reason for Adjustment			
<A20014015001>	Regular inflation adjustment	1	Optional	Check Box. Validation: if Plan Type = <A20010003001> = 2 (DC), DISABLE <A20014001001> to <A20014044001>
<A20014016001>	Pursuant to collective agreement	1	Optional	Check Box. Validation: if Plan Type = <A20010003001> = 2 (DC), DISABLE <A20014001001> to <A20014044001>
<A20014017001>	Voluntarily by the employer	1	Optional	Check Box. Validation: if Plan Type = <A20010003001> = 2 (DC), DISABLE <A20014001001> to <A20014044001>
<A20014018001>	Other (explain below)	1	Optional	Check Box. Validation: if Plan Type = <A20010003001 = 2 (DC)), DISABLE <A20014001001> to <A20014044001>. If <A20014018001> is selected, <A20014019001> must be entered.
<A20014019001>	Explanation of <A20014018001>	1000	Optional	Validation: if Plan Type = <A20010003001> = 2 (DC), DISABLE <A20014001001> to <A20014044001>.

	Basis for adjustment			
<A20014020001>	Full consumer price index	1	Optional	Check Box. Validation: if Plan Type = <A20010003001> = 2 (DC) DISABLE <A20014001001> to <A20014044001>

<A20014022001>	Partial consumer price index	1	Optional	Check Box. Validation: if Plan Type = <A20010003001> = 2 (DC) DISABLE <A20014001001> to <A20014044001>.
<A20014027001>	Excess interest formula (adjustments based on excess earnings in the plan fund)	1	Optional	Check Box. 'Validation: if Plan Type = <A20010003001> = 2 (DC) DISABLE <A20014001001> to <A20014044001>
<A20014028001>	Percentage increase (not based on CPI)	1	Optional	Check Box. 'Validation: if Plan Type = <A20010003001> = 2 (DC) DISABLE <A20014001001> to <A20014044001>
<A20014028002>	Percentage (value)	5	Optional	Numeric field. Format with 2 decimals places. Eg. 23.50 'Validation: if Plan Type = <A20010003001> = 2 (DC) DISABLE <A20014001001> to <A20014044001>.
<A20014030001>	Flat dollar amount	1	Optional	Check Box. Validation: if Plan Type = <A20010003001> = 2 (DC) DISABLE <A20014001001> to <A20014044001>
<A20014030002>	Flat dollar amount (annually)	6	Optional	Numeric field. Dollar value, no cents. Eg. 105,050 'Validation: if Plan Type = <A20010003001> = 2 (DC) DISABLE <A20014001001> to <A20014044001>
<A20014033001>	Other (explain below)	1	Optional	Check Box. 'Validation: if Plan Type = <A20010003001> = 2 (DC) DISABLE <A20014001001> to <A20014044001>. If <A20014033001> is selected, <A20014035001> must be entered.
<A20014035001>	Explanation of <A20014033001	1000	Optional	Validation: if Plan Type = <A20010003001> = 2 (DC) DISABLE <A20014001001> to <A20014044001>. If <A20014033001> is selected, <A20014035001> must be entered.

	Source of Funds			
<A20014040001>	Actuarial gains or surplus	1	Optional	Check Box. Validation: if Plan Type = <A20010003001> = 2 (DC) DISABLE <A20014001001> to <A20014044001>.
<A20014041001>	Corporate sources	1	Optional	Check Box. Validation: if Plan Type = <A20010003001> = 2 (DC) DISABLE <A20014001001> to <A20014044001>.
<A20014042001>	Unfunded liability to created to fund increase	1	Optional	Check Box. Validation: if Plan Type = <A20010003001> = 2 (DC) DISABLE <A20014001001> to <A20014044001>.
<A20014043001>	Other (explain)	1	Optional	Check Box. Validation: if Plan Type = <A20010003001> = 2 (DC) DISABLE <A20014001001> to <A20014044001>. If <A20014043001> is selected, <A20014044001> must be entered.
<A20014044001>	Explanation of <A20014044001	1000	Optional	Validation: if Plan Type = <A20010003001> = 2 (DC) DISABLE <A20014001001> to <A20014044001>.
<A20016001001>	Participating employers	80	Optional	Maximum of 1,000 participants.
<A20016002001>	Name of Trustees Complex tag made up of <Salutation\> <Firstname\> <Initials\> <Surname\>	120	Optional	Name of Trustee. Maximum of 100 trustees. Text . Salutation (3 char) First Name (30 char.) Initials (5 char) Surname (80 char). XML note. This construct should have <A20016002002> as part of it. So that the structure <A20016002001> <A20016002002> may occur multiple times together; i.e.,. Trustee and phone number pairs make up the datapoint.

<A20016002002>	Telephone	10	Optional	Telephone of Trustee. Maximum of 100 trustees. XML note. This construct should have <A20016002001> as part of it. So that the structure <A20016002001> <A20016002002> may occur multiple times together; i.e., Trustee and phone number pairs make up the datapoint

	Amendments			
<A20016003001>	Yes - amendments made	1	Optional	Check Box. If <A20016003001> is selected; lines <A20016003002> must be disabled. And lines <A20016003003>or <A20016003004> must be selected.
<A20016003002>	No - amendments not made	1	Optional	Check Box. If <A20016003002> is selected; lines <A20016003001>, <A20016003003> & <A20016003004> must be disabled.
<A20016003003>	If "Yes" have amendments been submitted to OSFI? "Yes"	1	Optional	Check Box. If <A20016003003> is selected, line <A20016003001> must be selected and lines <A20016003002> and <A20016003004> must be disabled.
<A20016003004>	If "Yes" have amendments been submitted to OSFI? "No"	1	Optional	Check Box. If <A20016003004> is selected, line <A20016003001> must be selected and lines <A20016003002> and <A20016003003> must be disabled.
<A20016010001>	Comments	1000	Optional	Text field

	Certification			
<A20016015001>	Name	120	Mandatory	Text.
<A20016015002>	Signature of Administrator	N/A	Mandatory on certification form.	Sign hardcopy of certification form. Not captured in XML file
<A20016016001>	Title or Position	30	Mandatory	Text. Enter information on hardcopy of certification form (section 3.9)
<A20016017001>	Date	10	Mandatory	Date field must be YYYY-MM-DD Where DD>00 <32, MM >00 <13, YYYY >1900 Enter information on hardcopy of certification form (section 3.9)

Appendix 2 - Annual Information Return (OSFI 49) – XML Schema

Annual Information Return (OSFI 49) – XML Schema **Appendix 2**

```
  &lt;?xml version="1.0" encoding="utf-8" ?&gt;
- &lt;xs:schema id="Return49" xmlns:xs="http://www.w3.org/2001/XMLSchema" xmlns:msdata="urn:schemas-microsoft-com:xml-msdata" targetNamespace="urn:myspace" xmlns:osfi="urn:myspace"&gt;
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  &lt;xs:element name="Initials" type="xs:string" minOccurs="0" /&gt;
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- &lt;xs:sequence&gt;
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Appendix 3 - Annual Information Return (OSFI 49) – XML Sample File

Annual Information Return (OSFI 49) – XML Sample File **Appendix 3**


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- <x:Return49 xmlns:x="urn:myspace">
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  <A20010007001>Test A149 Pension Plan</A20010007001>
- <A20010011001>
  <Salutation>Mr.</Salutation>
  <Firstname>Bob</Firstname>
  <Initials>A</Initials>
  <Surname>Roberts</Surname>
  </A20010011001>
  <A20010012001>Sample A149 Plan Sponsor</A20010012001>
- <A20010013000>
  <A20010013001>123 1st Street</A20010013001>
  <A20010014001>Vancouver</A20010014001>
  <A20010014002>BC</A20010014002>
  <A20010015001>v1r 1r5</A20010015001>
  <A20010015002>9021231245</A20010015002>
  <A20010015003>45678</A20010015003>
  <A20010017001>9024351234</A20010017001>
  <A20010017002>bob.roberts@a149sampleplan.com</A20010017002>
  </A20010013000>
- <A20010021001>
  <Salutation>Miss</Salutation>
  <Firstname>Jane</Firstname>
```

```
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  <A20010024001>Sydney</A20010024001>
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  <A20010027001>5551235000</A20010027001>
  </A20010023000>
  <A20010031001>0</A20010031001>
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- <A20010038000>
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- <A20010038003>
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  <Surname>James</Surname>
  </A20010038003>
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  <A20010038005>550</A20010038005>
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  </A20014000000>
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  <A20016001001>Other participating employers 2</A20016001001>
- <A20016002000>
- <A20016002001>
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  <Surname>Goode</Surname>
  </A20016002001>
  <A20016002002>9991234567</A20016002002>
  </A20016002000>
- <A20016002000>
- <A20016002001>
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  <Initials>F</Initials>
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</A20016002000>
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<A20016015001>BOB ROBERTS</A20016015001>
<A20016016001>Senior Vice president</A20016016001>
<A20016017001>2007-02-05</A20016017001>
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Appendix 4 - Annual Information Return (OSFI 49) Schedule “A” – Data Point Details

Annual Information Return (OSFI 49) Schedule "A" – Data Point Details				**Appendix 4**
	Schedule A - Canada Customs and Revenue Agency (must be separate) nnnnn49yyA.XML			
<A20018001001>	CCRA Registration No.	12	Mandatory	To be picked up from <A20010001002>. .Must equal <A20010001002>
<A20018001002>	Plan Year	10	Mandatory	To be picked up from <A20010041002>. Date field must be YYYY-MM-DD Where DD>00 <32, MM >00 <13, YYYY >1900
<A20018002001>	Payment of benefits	15	Optional	Numeric field. Amounts to the nearest dollar. If Plan Type = <A20010003001> = 2 (DC) disable. If blank, default to 0.
<A20018005001>	Transfer of benefits to other plans	15	Optional	Numeric field. Amounts to the nearest dollar. If blank, default to 0
<A20018007001>	Amounts transferred from other plans during the year	15	Optional	Numeric field. Amounts to the nearest dollar. If blank, default to 0
<A20018010001>	Did the pension plan terminate or become inactive before or in this plan year? Yes/No	1	Optional	If <A20018010001> is Yes, <A20018013001> must be entered.
<A20018013001>	Date of termination (DDMMYYYY)	10	Optional	If <A20018013001> is Yes, <A20018010001> must be selected. Date field must be YYYY-MM-DD Where DD>00 <32, MM >00 <13, YYYY >1900
<A20018020001>	No. of active members were connected with the employer	12	Optional	If <A20018010001> is Yes, disable <A20018020001> to <A20018055002>. If blank, default to zero.

<A20018025001>	No. of employers who participated in the plan at end of year	4	Optional	If <A20018010001> is selected, disable <A20018020001> to <A20018055002>. If blank, default to 0.
<A20018030001>	Did any member participate in any other registered plan or deferred profit sharing plan provided by this plan sponsor? Yes/No/N/A	1	Mandatory	If <A20018010001> is Yes, disable <A20018020001> to <A20018055001>
<A20018035001>	Did any member of this plan participate in any other registered plan or deferred profit sharing plan of any other sponsor who does not deal at arm's length with this plan sponsor? Yes/No/N/A	1	Mandatory	If <A20018010001> is Yes, disable <A20018020001> to <A20018055001>
<A20018040001>	Have any connected persons joined or left the plan in this plan year? Yes/No/N/A	1	Mandatory	If <A20018010001> is Yes, disable <A20018020001> to <A20018055001>
<A20018045001>	Has a person or group acquired control of the corporation that is sponsoring the pension plan in this plan year? Yes/No/N/A	1	Mandatory	If <A20018010001> is Yes, disable <A20018020001 to <A20018055001>
<A20018050001>	Were any plan members provided with post -1989 past service benefits? Yes/No/N/A	1	Mandatory	If <A20018010001> is Yes, disable <A20018020001> to <A20018055002> If Plan Type = <A20010003001> = 2 (DC) is selected, DISABLE.

<A20018055001>	Have any plan members who are connected persons been provided with pre-1992 past service benefits in this plan year? Yes/No/N/A	1	Mandatory	If <A20018010001> is Yes, disable <A20018020001> to <A20018055002>. If Plan Type = <A20010003001> = 2 (DC) disable.

Appendix 5 - Annual Information Return (OSFI 49) Schedule “A” – XML Schema

Annual Information Return (OSFI 49) Schedule "A" – XML Schema — Appendix 5


```
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- <xs:element name="Return49A" msdata:IsDataSet="true" msdata:Locale="en-CA">
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Appendix 6 - Annual Information Return (OSFI 49) Schedule “A” - XML Sample File

Annual Information Return (OSFI 49) Schedule “A” XML Sample File **Appendix 6**


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- <x:Return49A xmlns:x="urn:myspace">
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Appendix 7 - Financial Statements and General Interrogatories (OSFI 60) – Data Point Details

Financial Statements and General Interrogatories (OSFI 60) – Data Point Details **Appendix 7**

XML Tag (<Apage.Line.Column>)	Description	Field Size	Opt/Mandatory	USER Data Entry and Validation Checks
	Cover Page			
<A30005001001>	Name of Pension Plan	256	Mandatory/Optional	Mandatory first time/new plan. Text field
<A30005002001>	PBSA Registration Number	5	Mandatory	Numeric field. 5 digits. Blank if unavailable. Must equal <A20010001001>
<A30005002002>	Type of Pension Plan	1	Mandatory	Drop down list. Must Enter Field, 1 for Defined Benefit, 2 for Money Purchase (Defined Contribution), 3 for Combination. Must equal <A20010003001>
< A30005002003>	Canada Customs & Revenue Agency Registration Number	12	Mandatory	Must Enter field. Numeric field. Leading zeros. 7 digits and pass Mod10 test. Must equal <A20010001002>
<A30005003001>	For Plan Year Ending	10	Mandatory	Date format = YYYY-MM-DD. Where DD>00 <32, MM > 00 < 13, YYYY > 1900
<A30005003002>	Number of Months Covered	2	Mandatory	Numeric field MM >00 <13
	STATEMENT OF CHANGES IN NET ASSETS			
	INCREASE IN ASSETS. Increase due to investments			

<A30010010001>	Investment Income	15	Optional	
<A30010010002>	Investment Income	15	Optional	
	Net Gains (or Losses) on Investments			
<A30010015001>	Realized	15	Optional	
<A30010015002>	Realized	15	Optional	
<A30010016001>	Unrealized	15	Optional	
<A30010016002>	Unrealized	15	Optional	
<A30010019001>	**Total Increase due to Investments**	15	Optional	Calculated field. <A30010010001> + <A30010015001> + <A30010016001>.
<A30010019002>	**Total Increase due to Investments**	15	Optional	Calculated field. <A30010010002> + <A30010015002> + <A30010016002>.
	Contributions			
<A30010020001>	Member Contributions	15	Optional	
<A30010020002>	Member Contributions	15	Optional	
<A30010021001>	Additional Voluntary Contributions	15	Optional	
<A30010021002>	Additional Voluntary Contributions	15	Optional	

<A30010025001>	Employer Contributions	15	Optional	
<A30010025002>	Employer Contributions	15	Optional	
<A30010029001>	**Total Contributions**	15	Optional	Calculated field: <A30010020001> + <A30010021001> + <A30010025001>.
<A30010029002>	**Total Contributions**	15	Optional	Calculated field: <A30010020002> + <A30010021002> + <A30010025002>.
<A30010039001>	Transfers to the Pension Fund	15	Optional	
<A30010039002>	Transfers to the Pension Fund	15	Optional	
<A30010049001>	**Other Sources of Increase**	15	Optional	
<A30010049002>	**Other Sources of Increase**	15	Optional	
<A30010059001>	**TOTAL INCREASE IN ASSETS**	15	Optional	Calculated Field: <A30010019001> + <A30010029001> + <A30010039001> + <A30010049001>.
<A30010059002>	**TOTAL INCREASE IN ASSETS**	15	Optional	Calculated Field: <A30010019002> + <A30010029002> + <A30010039002> + <A30010049002>.
	Decrease in Assets			
	Plan Expenses			

<A30010060001>	Expenses Related to Managing Investments	15	Optional	Negative
<A30010060002>	Expenses Related to Managing Investments	15	Optional	Negative

	Administration Costs			
<A30010070001>	Professional Fees	15	Optional	Negative
<A30010070002>	Professional Fees	15	Optional	Negative
<A30010075001>	Other	15	Optional	Negative
<A30010075002>	Other	15	Optional	Negative
<A30010079001>	Total Plan Expenses	15	Optional	Calculated field: <A30010060001> + <A30010070001> + <A30010075001>. Negative
<A30010079002>	Total Plan Expenses	15	Optional	Calculated field: <A30010060002> + <A30010070002> + <A30010075002>. Negative
	Benefits and Transfers			
<A30010080001>	Benefits Paid Directly by the Plan	15	Optional	Negative. If <A30005002002> = 2(DC) plan type, disable
<A30010080002>	Benefits Paid Directly by the Plan	15	Optional	Negative. If <A30005002002> = 2(DC) plan type, disable

	Transfers from the Pension Fund to:			
<A30010085001>	Other Registered Pension Plans	15	Optional	Negative
<A30010085002>	Other Registered Pension Plans	15	Optional	Negative
<A30010087001>	Other Transfers	15	Optional	Negative
<A30010087002>	Other Transfers	15	Optional	Negative
<A30010089001>	**Total Benefits and Transfers**	15	Optional	Calculated field: <A30010080001> + <A30010085001> + <A30010087001>. Negative
<A30010089002>	**Total Benefits and Transfers**	15	Optional	Calculated field: <A30010080002> + <A30010085002> + <A30010087002>. Negative
<A30010109001>	**Other Sources of Decrease (specify)**	15	Optional	Negative
<A30010109002>	**Other Sources of Decrease (specify)**	15	Optional	Negative
<A30010119001>	**TOTAL DECREASE IN ASSETS**	15	Optional	Calculated field: <A30010079001> + <A30010089001> + <A30010109001>. Negative
<A30010119002>	**TOTAL DECREASE IN ASSETS**	15	Optional	Calculated field: <A30010079002> + <A30010089002> + <A30010109002>. Negative

<A30010129001>	**CHANGE IN NET ASSETS**	15	Optional	Calculated field: <A30010059001> + <A30010119001>.
<A30010129002>	**CHANGE IN NET ASSETS**	15	Optional	Calculated field: <A30010059002> + <A30010119002>.
<A30010159001>	**NET ASSETS AT BEGINNING OF PLAN YEAR (Previous YearEnd)**	15	Optional	Validation: Should equal <A30010199002>.
<A30010159002>	**NET ASSETS AT BEGINNING OF PLAN YEAR (Previous YearEnd)**	15	Optional	
<A30010199001>	**NET ASSETS AT PLAN YEAR END**	15	Optional	Calculated field. <A30010129001> + <A30010159001>. Validation: Should equal <A30020199001>.
<A30010199002>	**NET ASSETS AT PLAN YEAR END**	15	Optional	Calculated field. <A30010129002> + <A30010159002>. Validation: Should equal <A30020199002>.

	STATEMENT OF NET ASSETS			
	ASSETS			
<A30020009001>	Cash on Hand	15	Optional	
<A30020009002>	Cash on Hand	15	Optional	
	Investments at Fair Value			
	Debt Securities (Canadian and Foreign)			

<A30020010001>	Short Term Notes, Securities and Other Term Deposits	15	Optional	
<A30020010002>	Short Term Notes, Securities and Other Term Deposits	15	Optional	
<A30020011001>	Bonds and Other Debt Securities Guaranteed by a Government	15	Optional	
<A30020011002>	Bonds and Other Debt Securities Guaranteed by a Government	15	Optional	
<A30020012001>	Corporate Bonds and Other Corporate Debt Securities	15	Optional	
<A30020012002>	Corporate Bonds and Other Corporate Debt Securities	15	Optional	
<A30020017001>	Mutual Funds - Bonds, Cash Equivalent, and Mortgage	15	Optional	
<A30020017002>	Mutual Funds - Bonds, Cash Equivalent, and Mortgage	15	Optional	
<A30020019001>	Mortgage Loans	15	Optional	
<A30020019002>	Mortgage Loans	15	Optional	
<A30020024001>	Amounts Deposited in the General Fund of an Insurer	15	Optional	
<A30020024002>	Amounts Deposited in the General Fund of an Insurer	15	Optional	

<A30020029001>	**Total Debt Securities**	15	Optional	Calculated field: <A30020010001> + <A30020011001> + <A30020012001> + <A30020017001> + <A30020019001> + <A30020024001>
<A30020029002>	**Total Debt Securities**	15	Optional	Calculated field: <A30020010002> + <A30020011002> + <A30020012002> + <A30020017002> + <A30020019002> + <A30020024002>
	Equity (Canadian and Foreign)			
<A30020030001>	Shares in Investment, Real Estate or Resource Corporations	15	Optional	
<A30020030002>	Shares in Investment, Real Estate or Resource Corporations	15	Optional	
<A30020033001>	Common and Preferred Shares	15	Optional	
<A30020033002>	Common and Preferred Shares	15	Optional	
<A30020034001>	Stock Mutual Funds	15	Optional	
<A30020034002>	Stock Mutual Funds	15	Optional	
<A30020036001>	Real Estate Mutual Funds	15	Optional	
<A30020036002>	Real Estate Mutual Funds	15	Optional	

<A30020037001>	Real Estate	15	Optional	
<A30020037002>	Real Estate	15	Optional	
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<A30020039002>	**Total Equity**	15	Optional	Calculated field: <A30020030002> + <A30020033002> + <A30020034002> + <A30020036002> + <A30020037002>.
	Diversified and Other Investments (Canadian and Foreign)			
<A30020040001>	Balanced Mutual Funds	15	Optional	
<A30020040002>	Balanced Mutual Funds	15	Optional	
<A30020042001>	Segregated Funds	15	Optional	
<A30020042002>	Segregated Funds	15	Optional	
<A30020048001>	Miscellaneous Investments	15	Optional	
<A30020048002>	Miscellaneous Investments	15	Optional	
<A30020059001>	**Total Other Investments**	15	Optional	Calculated field: <A30020040001> + <A30020042001> + <A30020048001>.

<A30020059002>	**Total Other Investments**	15	Optional	Calculated field: <A30020040002> + <A30020042002> + <A30020048002>.
<A30020069001>	**Total Investments at Fair Value**	15	Optional	Calculated field: <A30020029001> + <A30020039001> + <A30020059001>.
<A30020069002>	**Total Investments at Fair Value**	15	Optional	Calculated field: <A30020029002> + <A30020039002> + <A30020059002>.
	Accounts Receivable			
<A30020070001>	Member and Additional Voluntary Contributions	15	Optional	
<A30020070002>	Member and Additional Voluntary Contributions	15	Optional	
<A30020071001>	Employer Contributions	15	Optional	
<A30020071002>	Employer Contributions	15	Optional	
<A30020073001>	Investment Income Receivable	15	Optional	
<A30020073002>	Investment Income Receivable	15	Optional	
<A30020078001>	Other Amounts Receivable	15	Optional	
<A30020078002>	Other Amounts Receivable	15	Optional	
<A30020089001>	**Total Accounts Receivable**	15	Optional	Calculated field: <A30020070001> + <A30020071001> + <A30020073001> + <A30020078001>.

<A30020089002>	**Total Accounts Receivable**	15	Optional	Calculated field: <A30020070002> + <A30020071002> + <A30020073002> + <A30020078002>.
<A30020119001>	**TOTAL ASSETS**	15	Optional	Calculated field: <A30020009001> + <A30020069001> + <A30020089001>.
<A30020119002>	**TOTAL ASSETS**	15	Optional	Calculated field: <A30020009002> + <A30020069002> + <A30020089002>.
	LIABILITIES			
<A30020125001>	Mortgage Borrowings	15	Optional	Negative
<A30020125002>	Mortgage Borrowings	15	Optional	Negative
<A30020135001>	Pension Benefits, Refunds and Transfers Payable	15	Optional	Negative
<A30020135002>	Pension Benefits, Refunds and Transfers Payable	15	Optional	Negative
<A30020140001>	Expenses Payable	15	Optional	Negative
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<A30020148001>	Other Amounts Payable	15	Optional	Negative
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<A30020159001>	**TOTAL LIABILITIES**	15	Optional	Calculated field; <A30020125001> + <A30020135001> + <A30020140001> + <A30020148001>. Negative

<A30020159002>	**TOTAL LIABILITIES**	15	Optional	Calculated field; <A30020125002> + <A30020135002> + <A30020140002> + <A30020148002>. Negative
<A30020199001>	**NET ASSETS AT PLAN YEAR END**	15	Optional	Calculated field: <A30020119001> + <A30020159001>.
<A30020199002>	**NET ASSETS AT PLAN YEAR END**	15	Optional	Calculated field: <A30020119002> + <A30020159002>.
	NOTES TO THE FINANCIAL STATEMENTS			
<A30030001001>	Notes:	1000	Optional	Text Field
	GENERAL INTERROGATORIES			
	a. Statement of Investment Policies and Procedures			
	Has the Statement of Investment Policies and Procedures been reviewed or amended during the year?			
<A30035001001>	Reviewed - Yes/No	1	Mandatory	Drop down menu. Only one selection. Yes=1, No=0
<A30035002001>	Amended - Yes/No	1	Mandatory	Drop down menu. Only one selection. Yes=1, No=0
	b. 10% Rule			
	Does the plan comply with the 10% rule described in subsection 9(1) of Schedule III of the Regulations?			

<A30035010001>	Yes/No/NA	1	Mandatory	Drop down menu. Only one selection. Yes=1, No=0, NA=2
	c. Securities Lending			
	Has the Plan abided by the February 1992 OSFI Guideline on Securities Lending for Pension Plans?			
<A30035020001>	Yes/No/NA	1	Mandatory	Drop down menu. Only one selection. Yes=1, No=0, NA=2
	d. Derivatives - Best Practices			
	Has the plan abided by the May 1997 OSFI Guideline on Derivatives Best Practices			
<A30035030001>	Yes/No/NA	1	Mandatory	Drop down menu. Only one selection. Yes=1, No=0, NA=2
	e. Foreign Investments			
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<A30035040002>	Debt Securities - Europe	15	Optional	
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<A30035040004>	Debt Securities - Other	15	Optional	
<A30035040005>	Debt Securities - Total	15	Optional	Calculated field: Sum of <A30035040001> to <A30035040004>
<A30035042001>	Equity Securities - US	15	Optional	

<A30035042002>	Equity Securities - Europe	15	Optional	
<A30035042003>	Equity Securities - Asia	15	Optional	
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<A30035044002>	Other Investments - Europe	15	Optional	
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<A30035044004>	Other Investments Other	15	Optional	
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<A30035049003>	Total Asia	15	Optional	Calculated field. Sum of <A30035040003> + <A30035042003> + <A30035044003>.

<A30035049004>	Total – Other	15	Optional	Calculated field. Sum of <A30035040004> + <A30035042004> + <A30035044004>.
<A30035049005>	Grand Total	15	Optional	Calculated field. Sum of <A30035040005> + <A30035042005> + <A30035044005>.
	CERTIFICATION			
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<A30040002001>	Title or Position	30	Mandatory	Text. Enter information on hardcopy of certification form. See section 3.10
<A30040003001>	Telephone	10	Optional	Stored as 10 chars. Format to ##########.
<A30040011001>	Signature	N/A	Mandatory on certification form	Sign hardcopy of certification form. Not captured in xml file.
<A30040012001>	Date	10	Mandatory	Date Field Format YYYY-MM-DD. Where DD >00 < 32, MM >00 <13. YYYY > 1900. Enter information on hardcopy of certification form. See section 3.10
<A30040001002>	Signatory's full name	120	Optional	Text .
<A30040002002>	Title or Position	30	Optional	Text
<A30040003002>	Telephone	10	Optional	Stored as 10 chars. Format to ##########.
<A30040011002>	Signature	N/A	Optional	Sign hardcopy of certification form. Not captured in xml file.
<A30040012002>	Date	10	Optional	Date Field Format YYYY-MM-DD. Where DD >00 < 32, MM >00 <13. YYYY > 1900

Appendix 8 - Financial Statements and General Interrogatories (OSFI 60) – XML Schema

Financial Statements and General Interrogatories (OSFI 60) – XML Schema **Appendix 8**


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Appendix 9 - Financial Statements and General Interrogatories (OSFI 60) – XML Sample File

Financial Statements and General Interrogatories (OSFI 60) – XML Sample File **Appendix 9**


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Appendix 10 – Province Country Codes

Province Name	Province Code	CRA Province Code
Alaska, U.S.A.	AK	AK
Alabama, U.S.A.	AL	AL
Alberta	ALTA	AB
Arkansas, U.S.A.	AR	AR
American Samoa	AS	AS
Arizona, U.S.A.	AZ	AZ
British Columbia	BC	BC
California, U.S.A.	CA	CA
Colorado, U.S.A.	CO	CO
Connecticut, U.S.A.	CT	CT
District of Columbia, U.S.A.	DC	DC
Delaware, U.S.A.	DE	DE
Florida, U.S.A.	FL	FL
Federated States of Micronesia	FM	FM
Georgia, U.S.A.	GA	GA
Germany	GER	
Guam	GU	GU
Hawaii, U.S.A.	HI	HI
Iowa, U.S.A.	IA	IA
Idaho, U.S.A.	ID	ID
Illinois, U.S.A.	IL	IL
Indiana, U.S.A.	IN	IN
Kansas, U.S.A.	KS	KS
Kentucky, U.S.A.	KY	KY
Louisiana, U.S.A.	LA	LA
Massachusetts, U.S.A.	MA	MA
zzzManitoba	MAN	MB
Manitoba	MB	MB
Maryland, U.S.A.	MD	MD
Maine, U.S.A.	ME	ME

Province Name	**Province Code**	**CRA Province Code**
Marshall Islands	MH	MH
Michigan, U.S.A.	MI	MI
Minnesota, U.S.A.	MN	MN
Missouri, U.S.A.	MO	MO
Northern Mariana Islands	MP	MP
Mississippi, U.S.A.	MS	MS
Montana, U.S.A.	MT	MT
New Brunswick	NB	NB
North Carolina, U.S.A.	NC	NC
North Dakota, U.S.A.	ND	ND
Nebraska, U.S.A.	NE	NE
Newfoundland	NFLD	NF
New Hampshire, U.S.A.	NH	NH
New Jersey, U.S.A.	NJ	NJ
New Mexico, U.S.A.	NM	NM
Nova Scotia	NS	NS
Nunavut	NU	NT
Nevada, U.S.A.	NV	NV
Northwest Territories	NWT	NT
New York, U.S.A.	NY	NY
Ohio, U.S.A.	OH	OH
Oklahoma, U.S.A.	OK	OK
Ontario	ON	ON
Oregon, U.S.A.	OR	OR
Pennsylvania, U.S.A.	PA	PA
Prince Edward Island	PEI	PE
Québec	PQ	QC
Puerto Rico	PR	PR
Palau	PW	PW
Rhode Island, U.S.A.	RI	RI
South Australia	SA	SA

Province Name	Province Code	CRA Province Code
Saskatchewan	SASK	SK
South Carolina, U.S.A.	SC	SC
South Dakota, U.S.A.	SD	SD
Tennessee, U.S.A	TN	TN
Texas, U.S.A.	TX	TX
United Kingdom	UK	UK
United States	USA	US
Utah, U.S.A.	UT	UT
Virginia, U.S.A.	VA	VA
Virgin Island	VI	VI
Vermont, U.S.A.	VT	VT
Washington, U.S.A.	WA	WA
Wisconsin, U.S.A.	WI	WI
Wyoming, U.S.A.	WY	WY
Yukon Territories	YK	YT