Regulatory Reporting System

# Regulatory Reporting System (RRS)
# Manage Corporate Returns
# Private Pension Plan User Guide

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CDIC SADC
OSFI BSIF
BANK OF CANADA
BANQUE DU CANADA

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# 1.0 Introduction

The RRS Portal application (referred to as RRS or the RRS application from this point) provides access for Federally Regulated Private Pension Plans to submit regulatory return information. With RRS you can create, delete, complete and submit corporate returns, view your organization's profile, view documents and manage your user details.

To access RRS you will need a Bank of Canada's BoC Connect User account.

The first time you access RRS, you will set up your account, which involves setting your password and preferred language.

This guide details how to use RRS to complete and submit corporate returns. To complete and submit financial returns refer to the Manage Financial Returns User Guide.

## 1.1 Using this Document

This document uses the following conventions to increase clarity:

- **Bold text** indicates a selection or data field to be filled in.
- *Italics* indicate a reference to a section within this document or a page within the BoC Connect.

In addition, there are three types of sidebars, each identified by an icon:

| | |
|---|---|
| | Information – These sidebars contain extra detail, or describe optional steps. |
| | Caution – These sidebars point out a possibility that may cause unexpected behaviour and tell you how to correct the issue, if you encounter it. |
| | Warning – These sidebars alert you to something important that can affect your ability to use RRS. |

## 1.2 Technical Requirements

For best performance, the following technical requirements are recommended:

- Google Chrome 58
- Microsoft Internet Explorer version 11 or Edge
- Firefox ESR52

- Cookies enabled
- JavaScript enabled, and
- Microsoft Excel 2003 or higher (to download information into Excel format)

Note that the BoC Connect and RRS application have been tested and certified with the specified web browser.

## 1.3 Support

If you encounter an issue or problem with the RRS application that isn't covered by this Guide, you can:

- Contact your organization's LRA
- Contact the **Bank of Canada at 1-855-865-8636**
- Contact the Returns Administration group at **OSFI at (613) 991-0609** for issues related to corporate returns

# 2.0 Logging into RRS

To log into RRS, you need to be logged into the Bank of Canada's BoC Connect. Once logged into the BoC Connect the RRS login page displays.

- If you are logging into RRS for the first time, see 2.2*: Logging in for the First Time*.
- If you have forgotten your RRS password, see 2.3*: Resetting Your RRS* Password.

| | |
|---|---|
| | Refer to the BoC Connect User Guide for information on logging into the Bank of Canada's BoC Connect. |

## 2.1 Log into RRS

To log into RRS:

Begin at the RRS Login page.

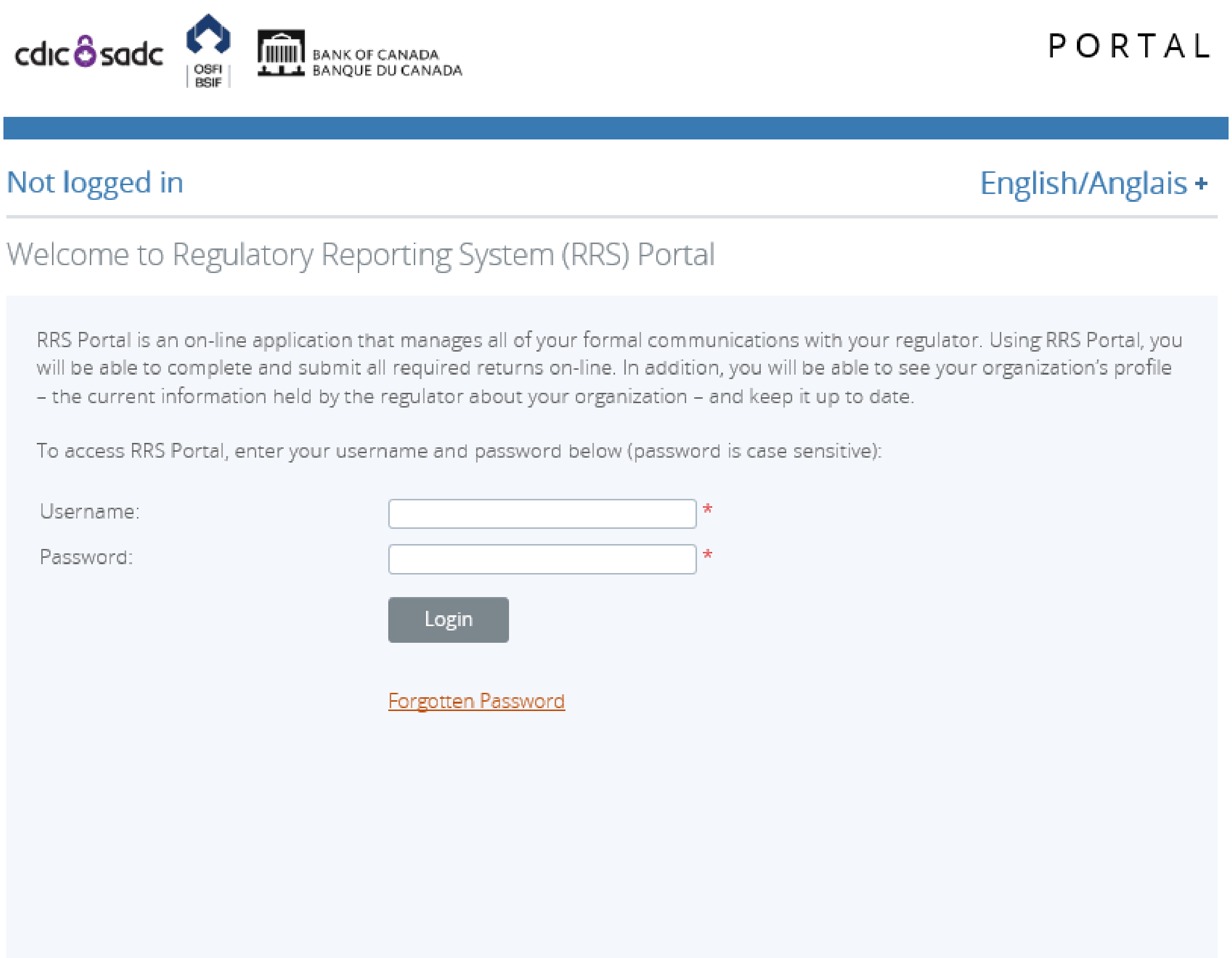


**Figure 2.1-1: Login Page**

1. In the **Username** field, enter your RRS Username.
2. In the **Password** field, enter your RRS Password.
3. Click **Login** to continue.

| | |
|---|---|
| | **Incorrect Login Attempts:** |
| | After five incorrect login attempts, your account will be locked out. If this happens, you can click the Forgotten Password link to reset your account. See 2.3: *Resetting Your RRS Password* for more information. |

| | |
|---|---|
| | **Organization Selection:** |
| | You can be associated with more than one organization in RRS. Follow the steps below to select the organization that you would like to work on. |

<u>If you have permission to access more than one organization:</u>

1. Follow the steps above to log in.

The Select organization page displays.

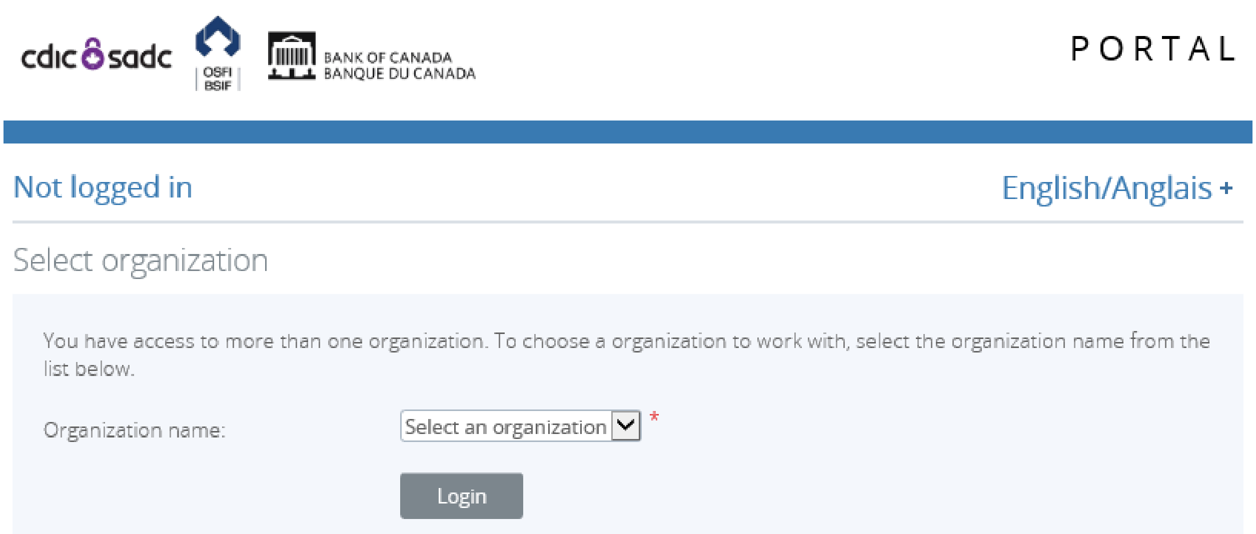



**Figure 2.1-2: Select Organization Page**

2. Click the drop-down menu.

3. Select the name of the organization you want to access.

4. Click **Login**.

The Welcome page displays with the word “Change” beside your username indicating that you belong to more than one organization.

To change the organization selection:

1. Click the **Change** link at the end of your username.

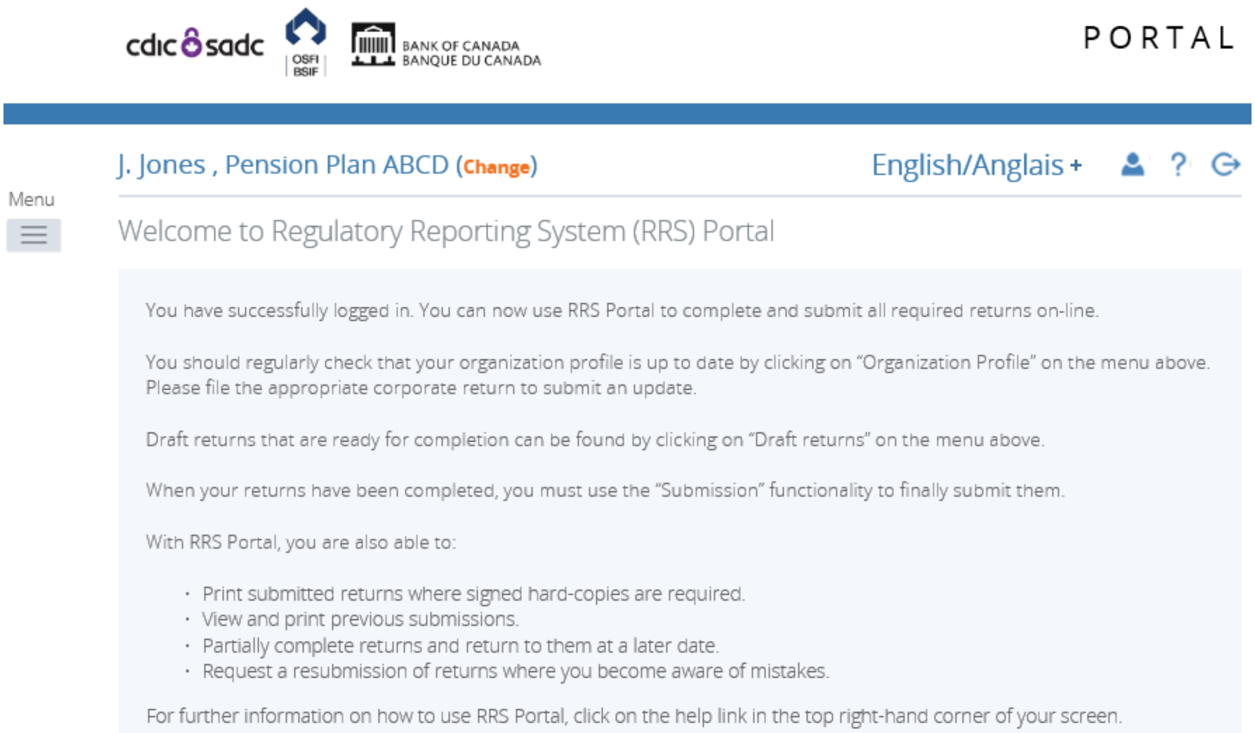



**Figure 2.1-3: Change Organization Page**

Follow the steps above to change the organization.

## 2.2 Logging in for the First Time

The first time you log into RRS, you’ll be asked to update your temporary password. This process involves entering a new password and setting your language preference.

To log into RRS for the first time:

Begin at the RRS Login page.

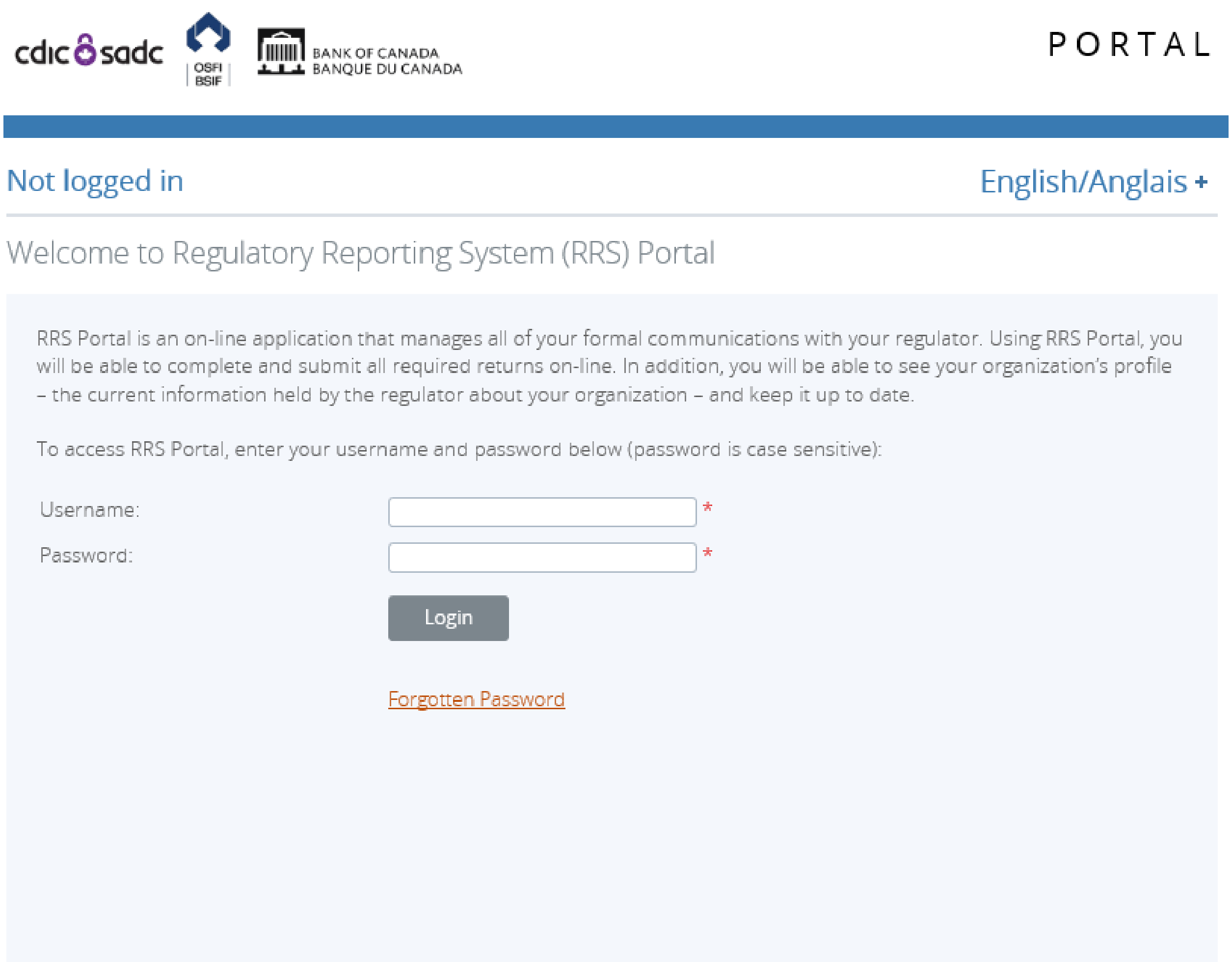



**Figure 2.2-1: Login Page**

1. In the **Username** field, enter your RRS Username.
2. In the **Password** field, enter the temporary RRS Password given to you in an email entitled "New Portal User Account".
3. Click **Login**.

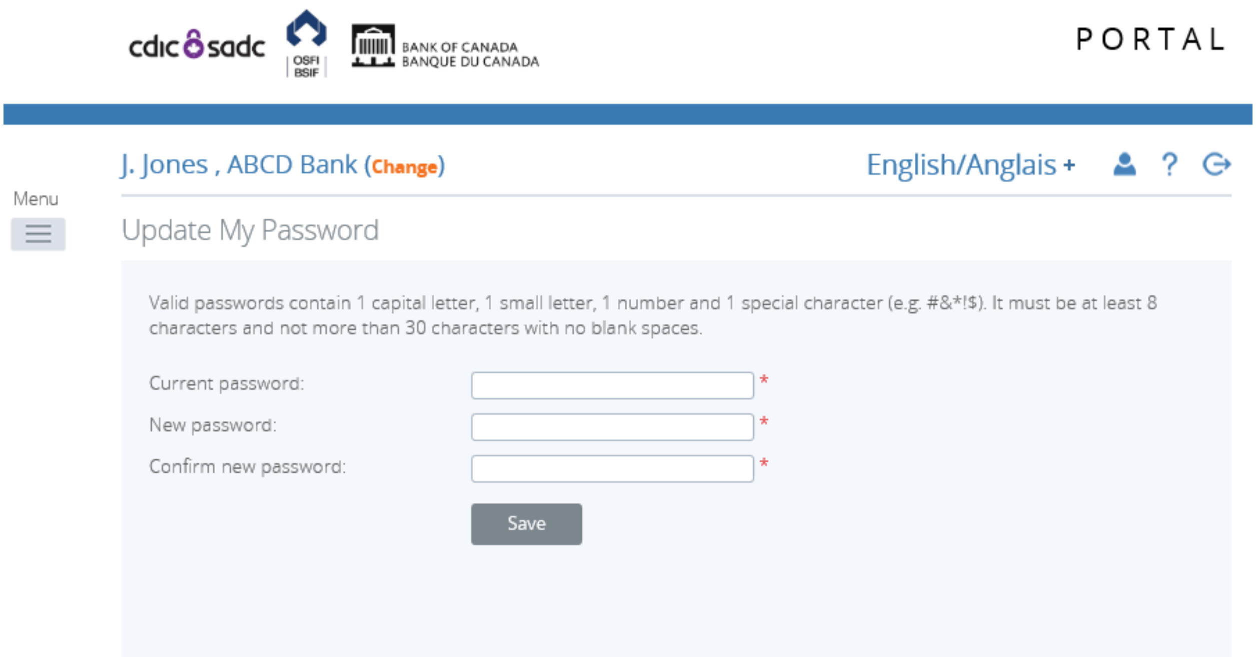



**Figure 2.2-2: Update My Password Page**

4. In the **Current password** field, enter your temporary RRS Password.
5. In the **New password** field, enter a new RRS Password.

| | **Passwords:** |
|---|---|
| | Ensure your new password meets the following valid password criteria: passwords must be between 8 and 30 characters and contain 1 uppercase letter, 1 lowercase letter, 1 number and one special character. |

6. In the **Confirm new password** field, re-enter your new RRS Password.
7. Click **Save** to set your RRS Password.

The My User Details page displays. From here you can set your preferred language.

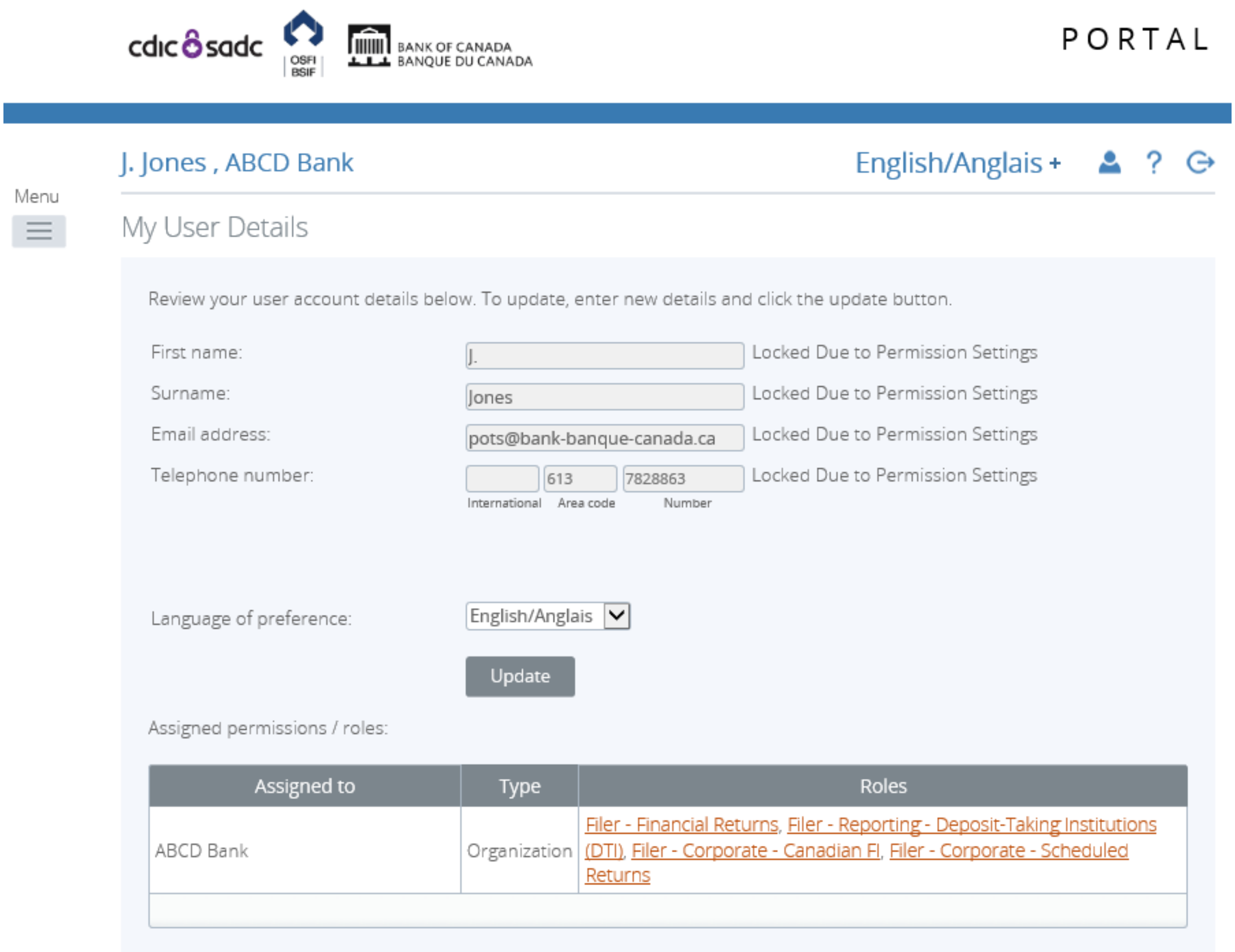



**Figure 2.2-3: Update My Password Page**

8. Click the drop-down menu in the **Language of preference** field.
9. Select your preferred language.
10. Click **Update**.

Your preferred language is now set. Each time you log in RRS will display in your preferred language.

| | **Language:** |
|---|---|
| | Although your preferred language is set, you can change the language during a session by clicking the drop-down menu on the language field below the **Logout** link on the top right of each page in the application. The language reverts back to the original setting when you logout. |

## 2.3 Resetting Your RRS Password

The RRS Password reset functionality allows you to reset your forgotten password.

To reset your password:

Begin at the Login page.

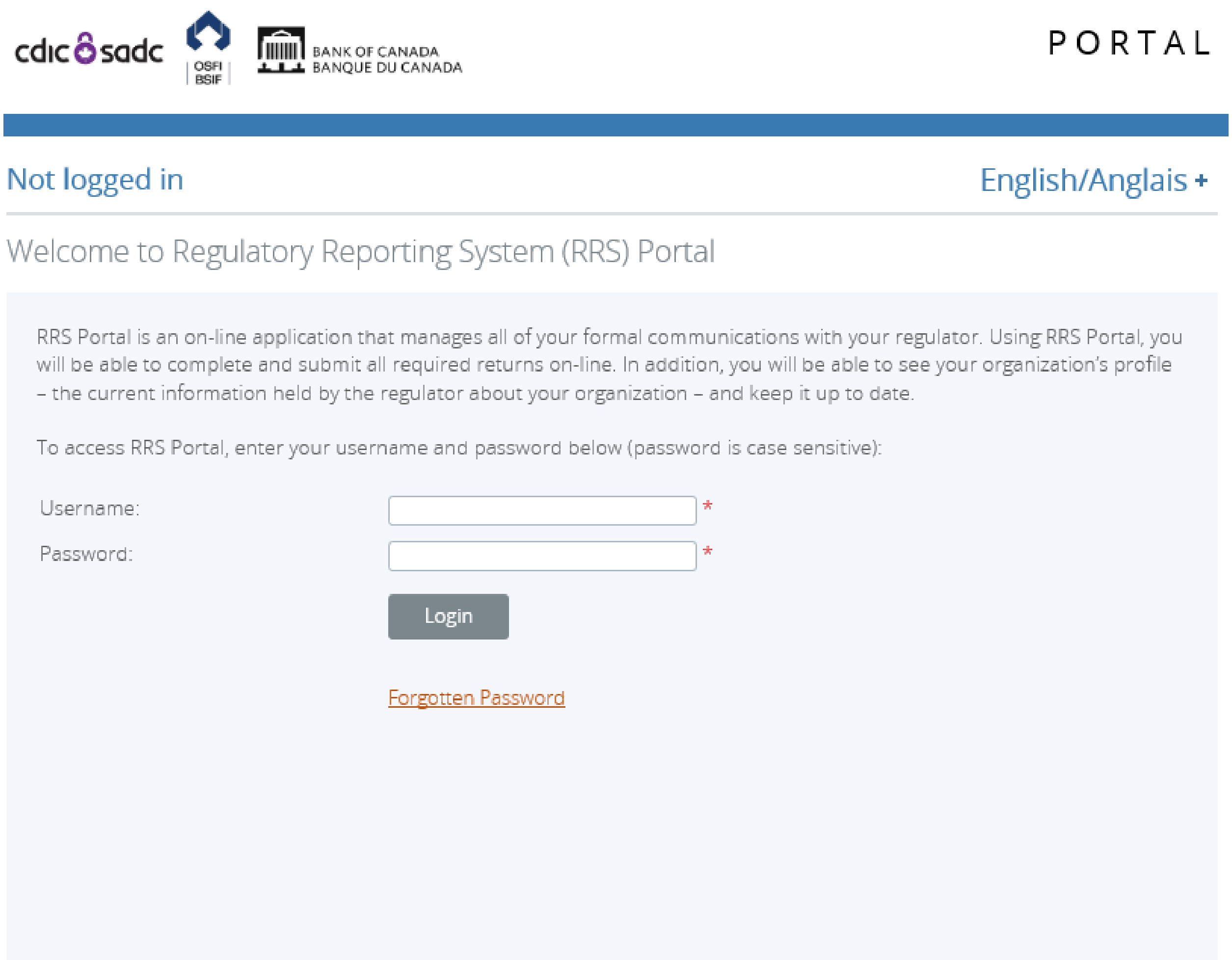



**Figure 2.3-1: Login Page**

1. From the Login page, click the **Forgotten Password** link.

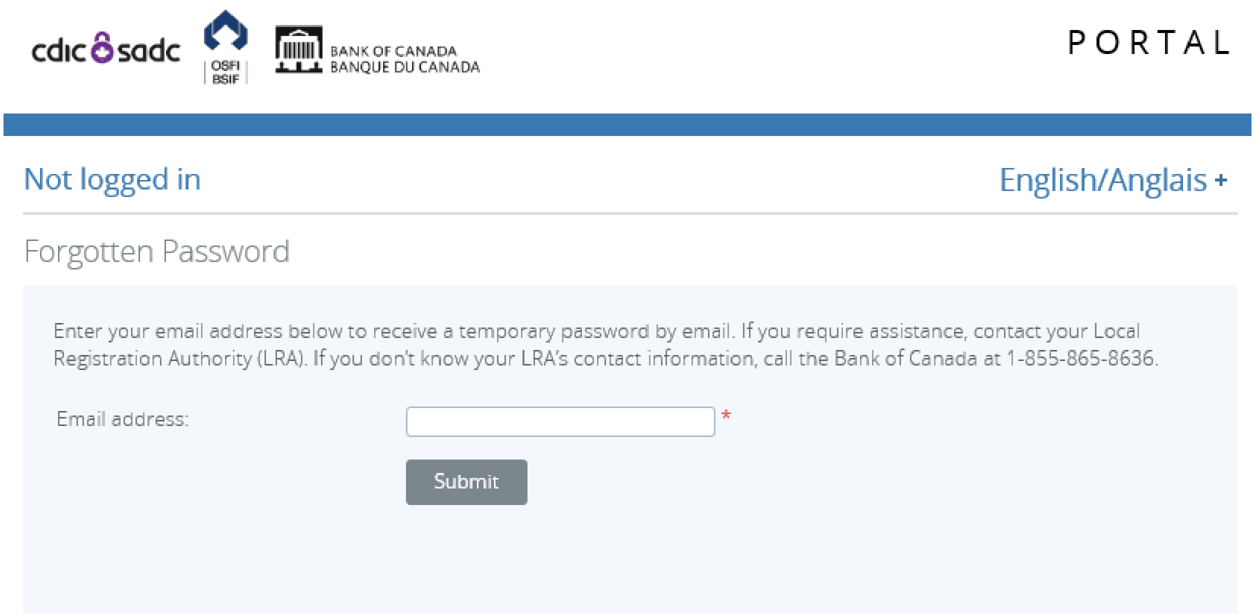



**Figure 2.3-2: Forgotten Password Page**

2. In the **Email address** field, enter your email address registered in RRS.
3. Click **Submit**. The Forgotten Password page informs you that a temporary password has been emailed to you.
4. Navigate to your email and search for an email entitled “Account Reactivation”.
5. Copy the link and navigate back to your active session and past the new link in your active session.
6. Create a new password.

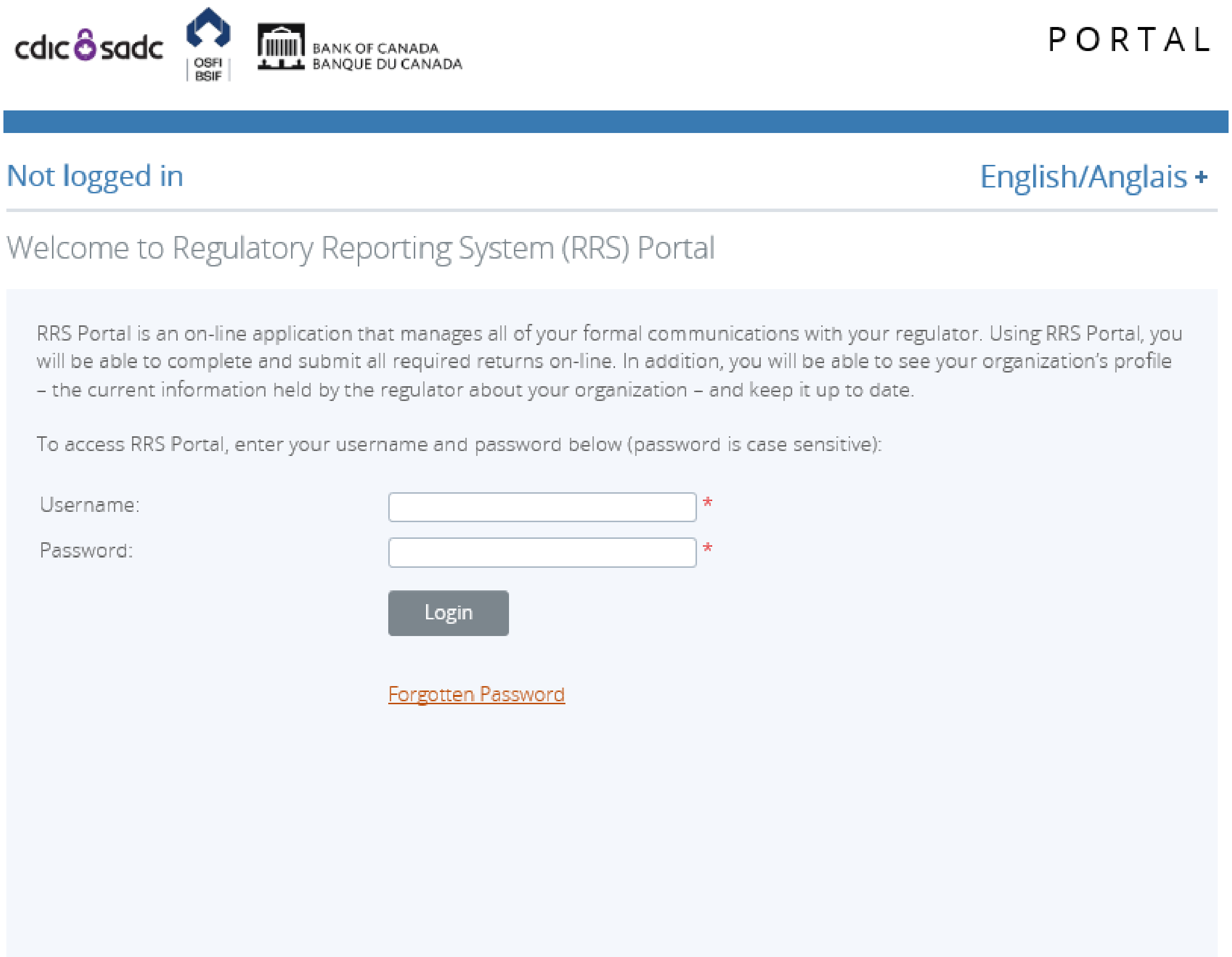



**Figure 2.3-3: Login Page**

7. Enter your username.

8. Enter your temporary password.

9. Click **Login**.

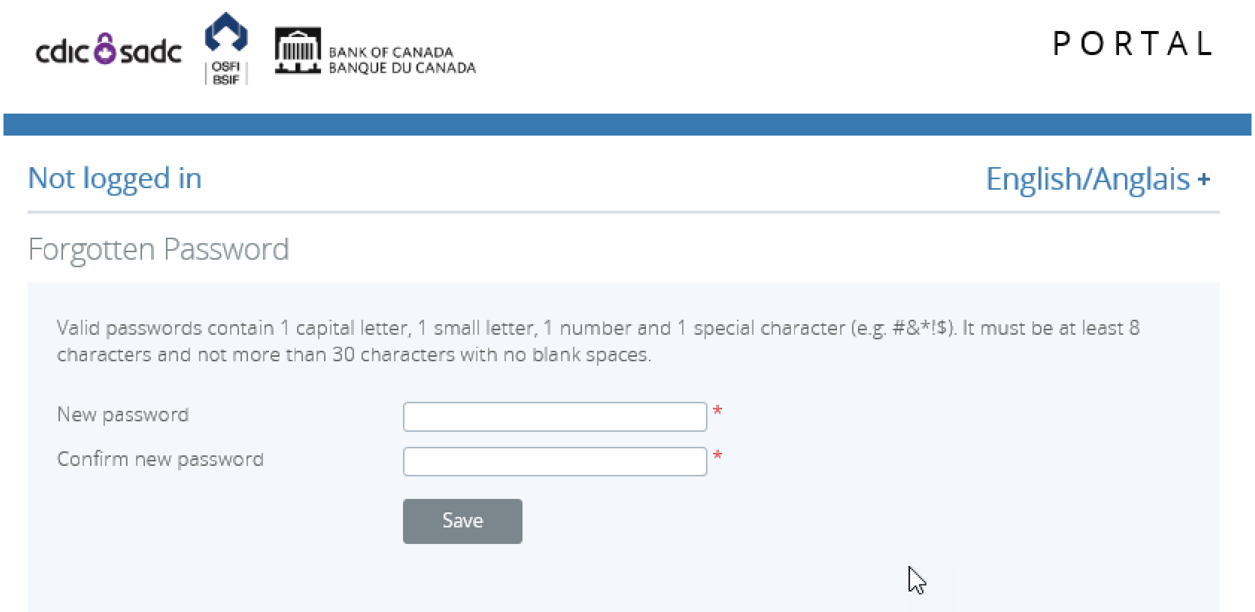



**Figure 2.3-4: Update My Password Page**

10. Enter your new password in the **New password** field. Ensure your new password meets the following valid password criteria: passwords must be between 8 and 30 characters and contain 1 uppercase letter, 1 lowercase letter, 1 number and one special character.
11. Re-enter your new password in the **Confirm new password** field.
12. Click **Save**.
13. If necessary, you can update your telephone number or language of preference.
14. Click **Update**.

# 3.0 General Instructions on Managing Corporate Returns

RRS provides functionality to create, complete and submit corporate returns to the Office of the Superintendent of Financial Institutions (OSFI). This section covers how to create and delete returns, complete and submit returns, view returns, and view and correct errors in a return.

| | **Corporate Return Support** |
|---|---|
| | If you encounter an issue or problem with completing and submitting a corporate return that isn't covered in this Guide, contact the Returns Administration group at **OSFI at (613) 991-0609**. |

Managing corporate returns involves submitting a regulatory return through the RRS application. There are three scenarios that involve managing corporate returns:

- Scenario #1: a corporate return (Pension Plan Annual Corporate Certification) can be scheduled by OSFI for submission, in which case the return would display automatically in the Draft Returns menu. Instructions on how to perform this function are detailed in Section 3.1.
- Scenario #2: a specific event such as a change to your plan's general contact information can trigger the need for a corporate return to be filed, in which case the return would need to be created through the Manage Returns menu. Instructions on how to perform this function are detailed in Section 3.5.
- Scenario #3: a review of your plan's profile could indicate the need for an update to specific information through the submission of a corporate return. Instructions on how to perform this function are detailed in Section 3.5.

**Rules and Errors**

When entering information manually into a return, the data is validated against rules that are set up within each return. Two separate sets of rules are used to validate returns: structural and validation. ***Structural rules*** validate the format and structure of the data being reported, such as entering numeric versus textual information as appropriate. ***Validation rules*** validate the accuracy of the data being reported, against what is located within the profile. Structural validation occurs when the Validate & Save button is clicked. When you attempt to submit a return, validation rules are applied. If a return fails validation you are presented with an error message. Returns with errors are displayed with an exclamation mark in a circle on the Draft Returns page. In the event of an error, you will need to correct the information to continue.

Validation rules can be applied to specific sections of a return, but if any section fails validation, the return cannot be processed as the entire return needs to be valid before it can be submitted. Validation rules are documented in the Return Rules report specific to each return type.

**Draft Return Key Icons**

The Draft Return page displays icons that are used to depict specific return information. The key icons are described as follows:

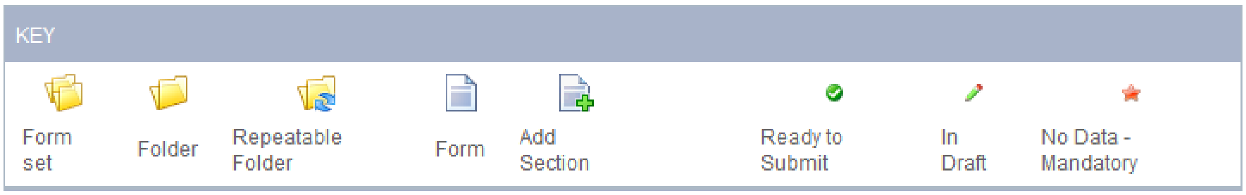



**Figure 3-1: Draft Return Key**

**Form Set:** a double set of folders represents an entire return which could consist of one or many forms, also known as sections.
**Folder**: a single folder represents a structural grouping of forms, also known as sections.
**Repeatable Folder:** a single folder with blue arrows indicates a folder that has repeatable sections.
**Form:** a page symbol indicates a section within a return.
**Add Section:** a page with a green plus sign allows forms, also known as sections, to be added to a return where applicable.
**Ready to Submit:** the white check mark in a green circle symbol indicates the return has been validated, meaning that it has passed structural rules and is ready to submit.
**In Draft:** the pencil symbol indicates this return has been saved as a draft and not yet validated
**No Data – Mandatory:** the red star symbol indicates there is no data in this return and that mandatory fields exist.

Note: the absence of a red star on a return or return section indicates there are no mandatory fields.

# 3.1 General Instructions on Completing and Submitting the Pension Plan Annual Corporate Certification

Begin at the RRS Welcome page.

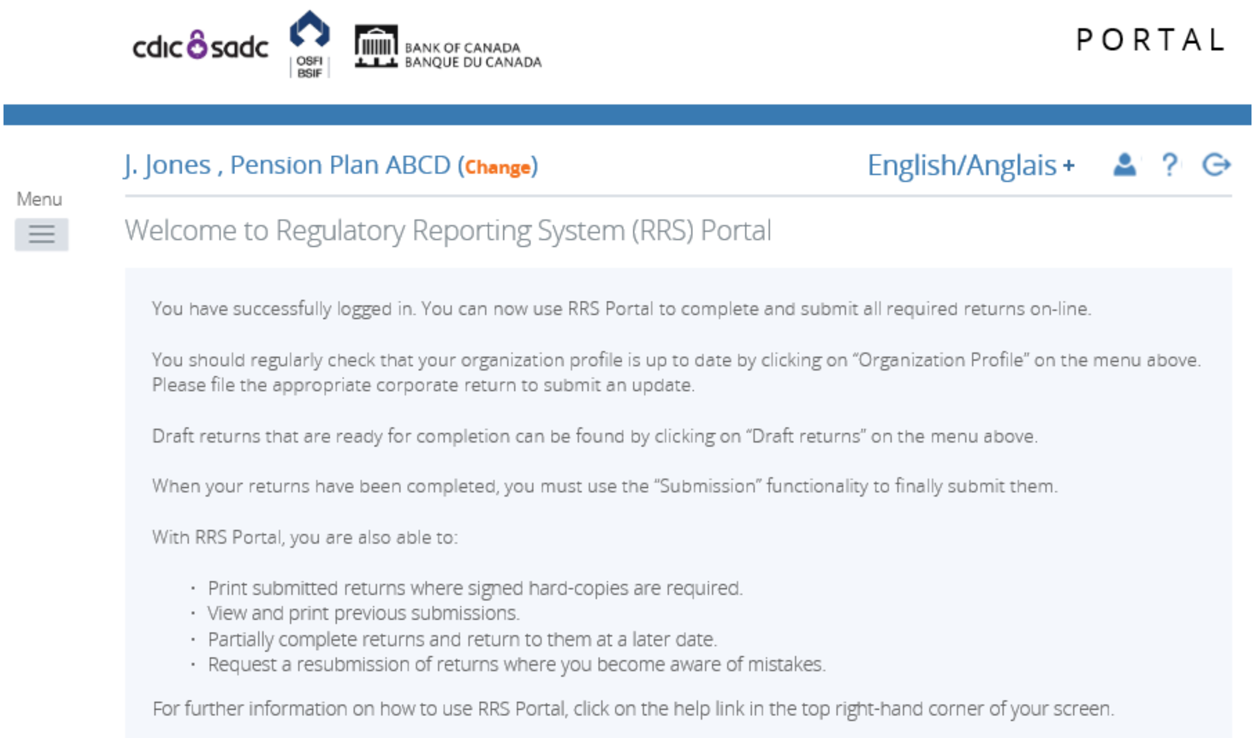



**Figure 3.1-1: Welcome Page**

1. Click the **Draft Returns** menu item.

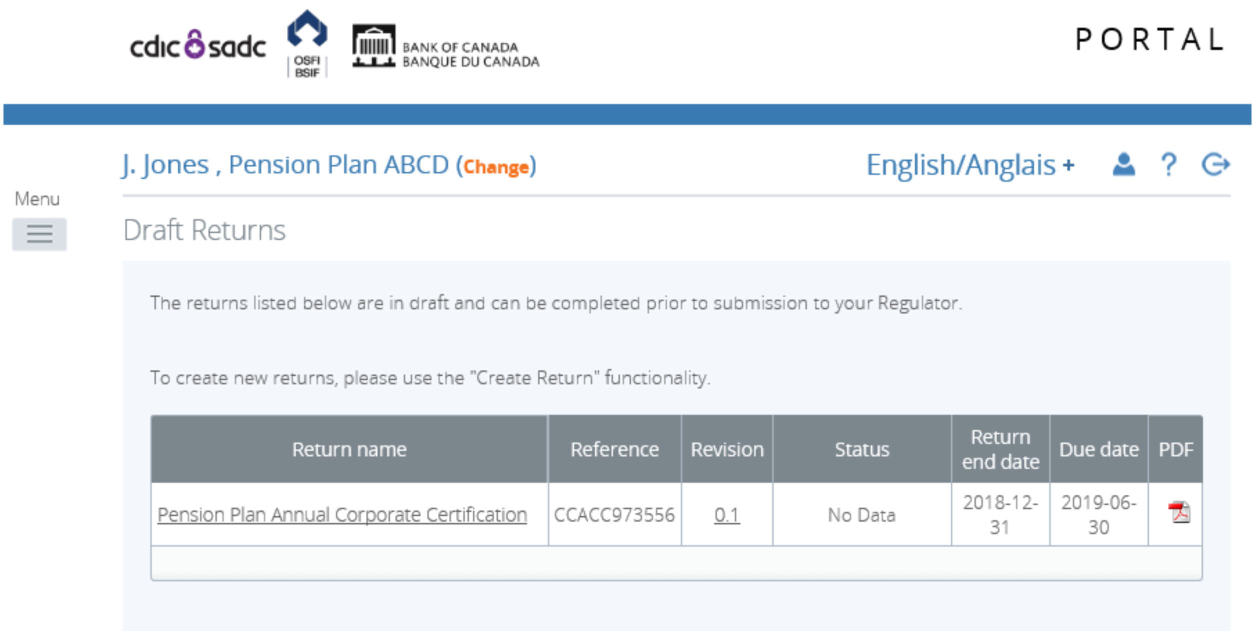



**Figure 3.1-2: Draft Returns Page**

2. Click the return name to open the return.

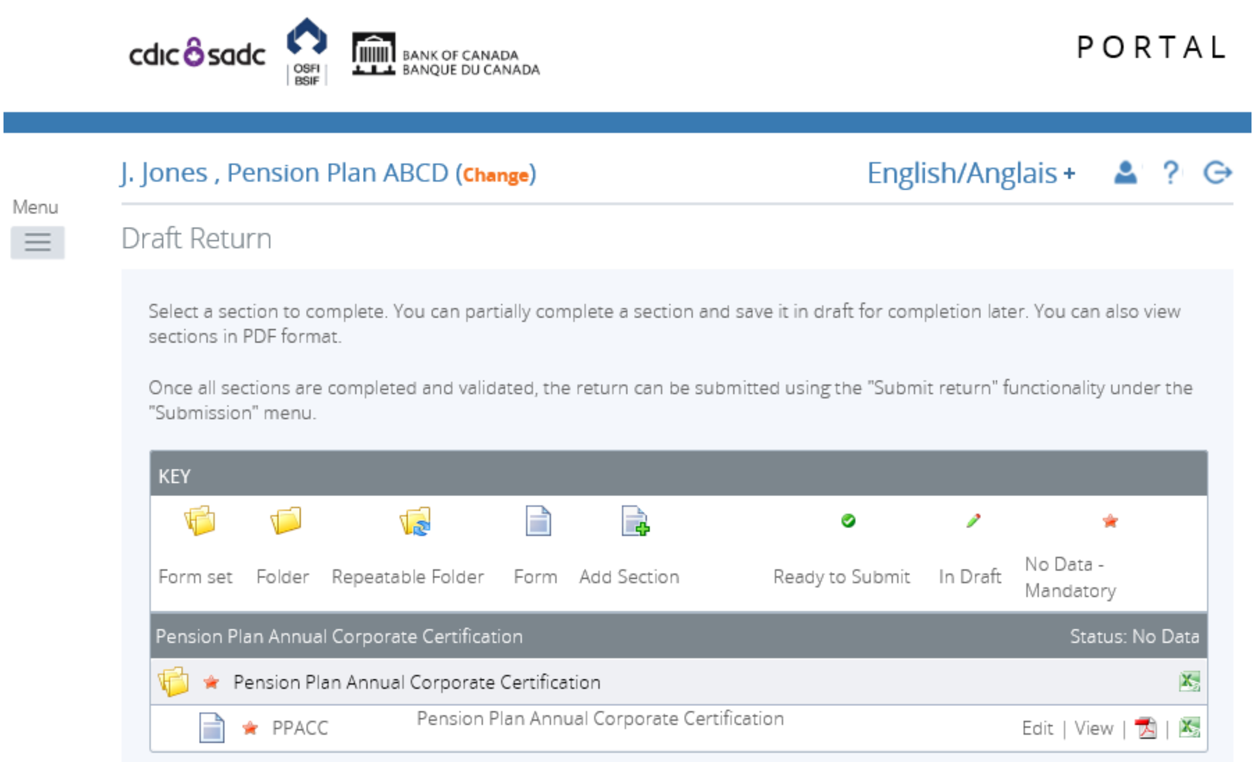



**Figure 3.1-3: Draft Return Page**

3. Click the **Edit** link.

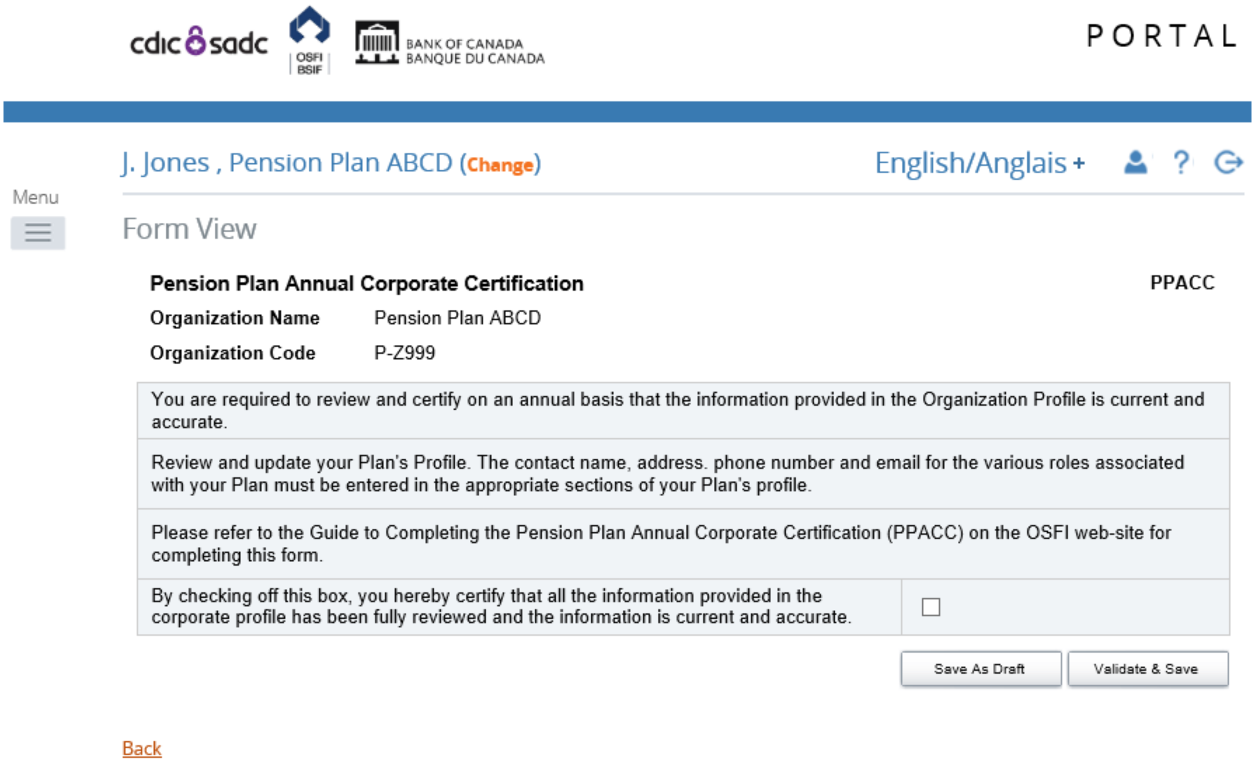



**Figure 3.1-4: Display of Return Page**

4. Check the box as indicated.

At this point the return can be either saved as a draft or validated and saved. Saving a return as a draft leaves it on the Draft Returns page with a status of *In Draft* meaning it has not been validated. Validating and saving the return indicates that the return is complete and ready for attempted submission.

5. Click the **Validate & Save** button.

6. Navigate your mouse over to the **Submission** menu item.

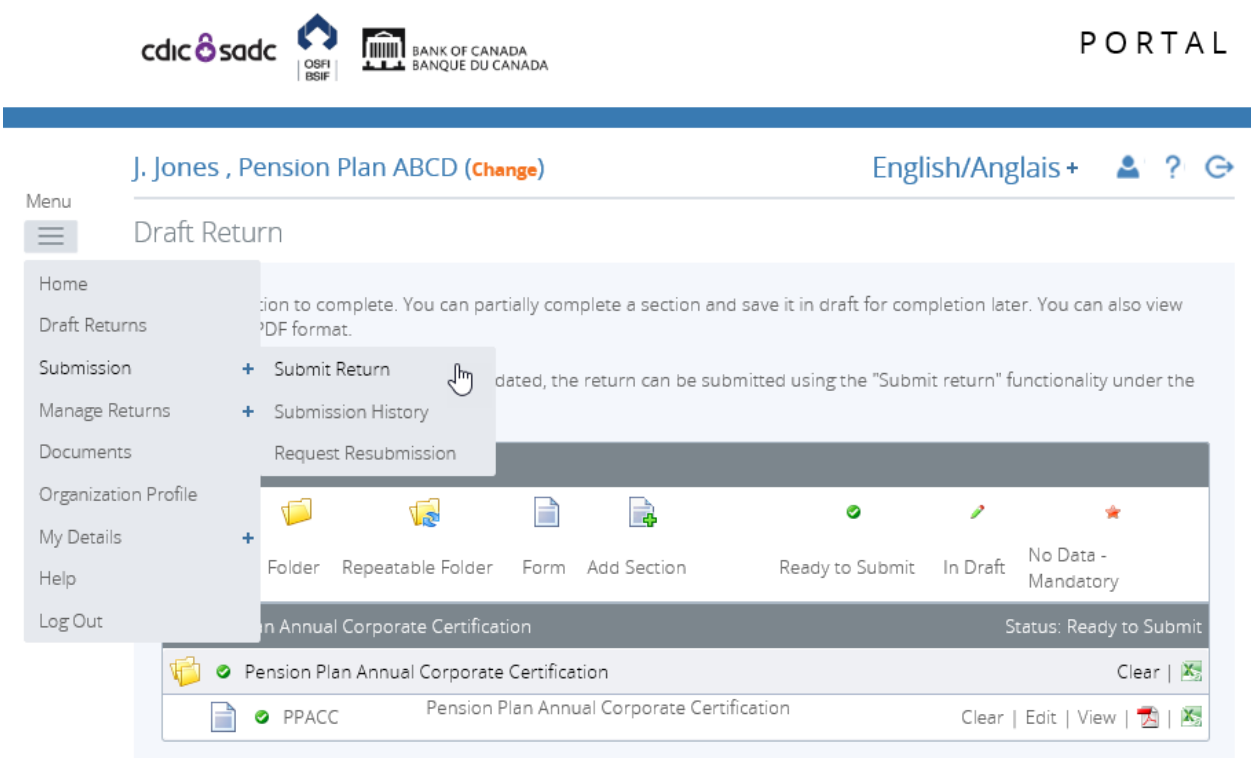



**Figure 3.1-5: Submission Menu Drop-Down Page**

7. Click the **Submit Return** sub-menu item.

   The Submit Return page displays a list of returns that are ready to be submitted.

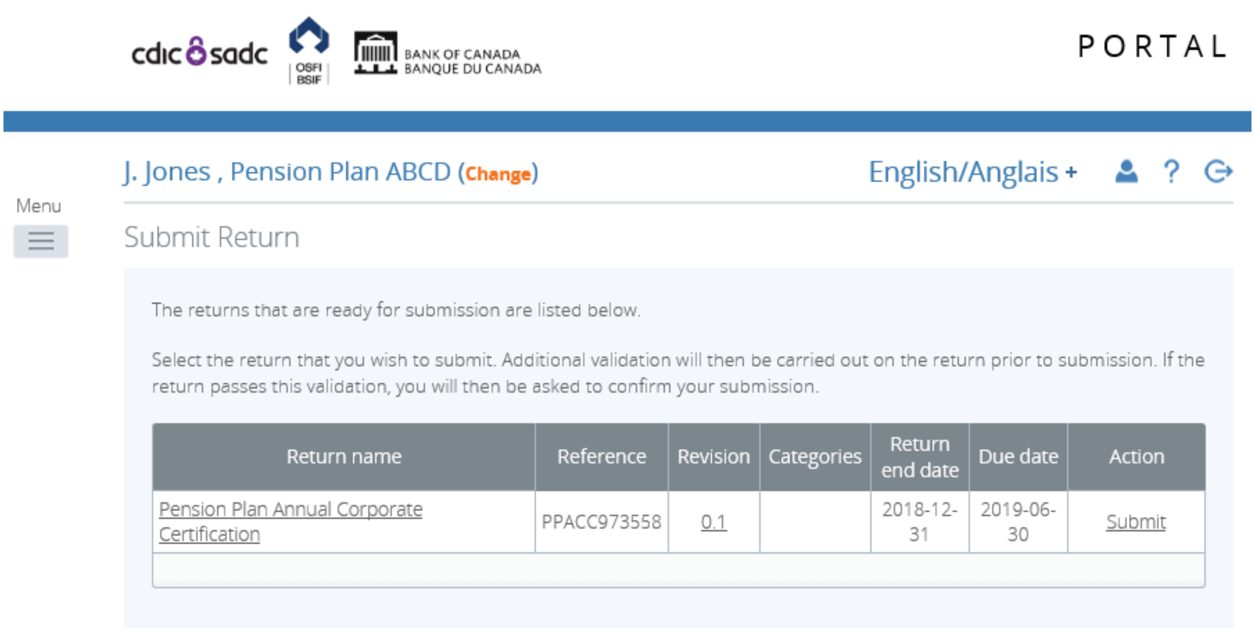



**Figure 3.1-6: Submit Return Page**

8. In the Action column, click the **Submit** link of the return to be submitted.

Click **Submit**.

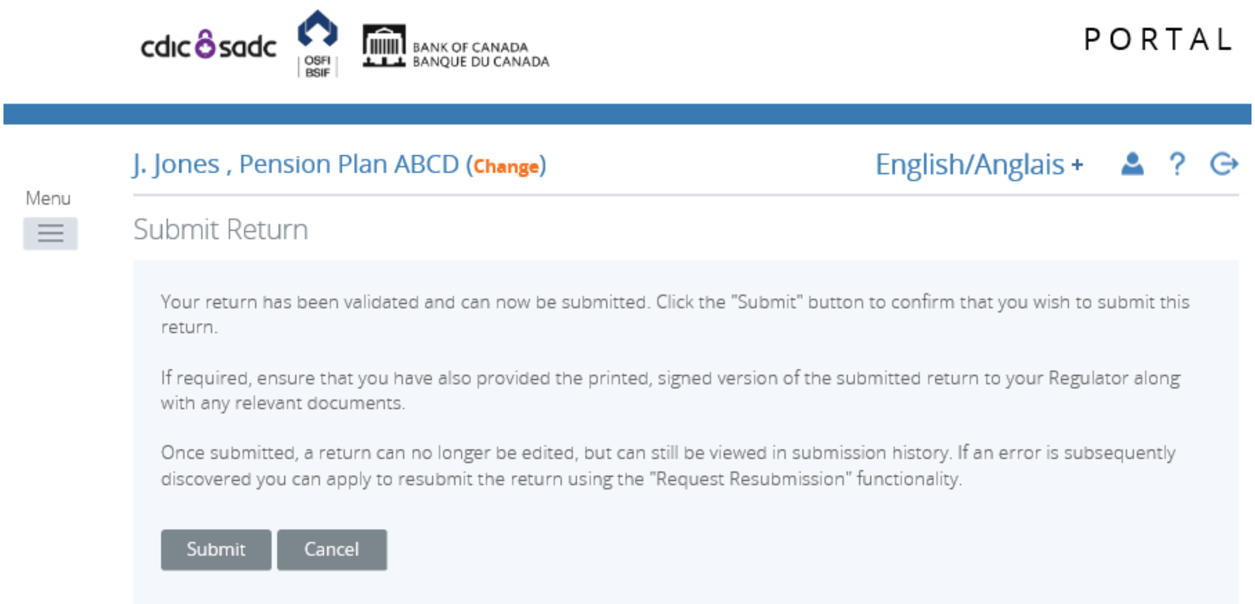



**Figure 3.1-7: Submit Return - Submit Button Page**

## 3.2 General Instructions on How to View a Return

Returns can be viewed prior to and after being submitted. Use the Draft Returns menu item to view returns that have not been submitted and use the Submission History sub-menu item to view returns that have been submitted. These menu items can also be used to view the Audit Log of a return which is a record of each revision of a completed or in-draft return.

<u>To view a draft return:</u>

Begin at the Welcome page.

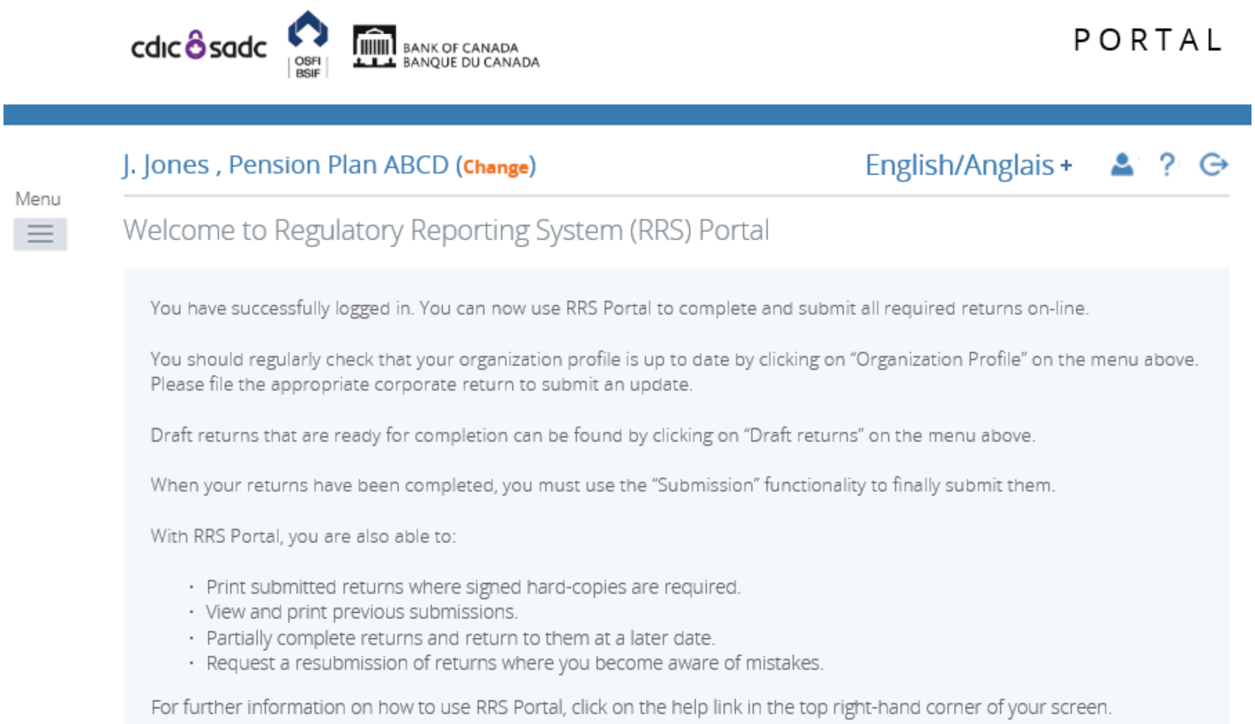



**Figure 3.2-1: Welcome Page**

1. Click the **Draft Returns** menu item.

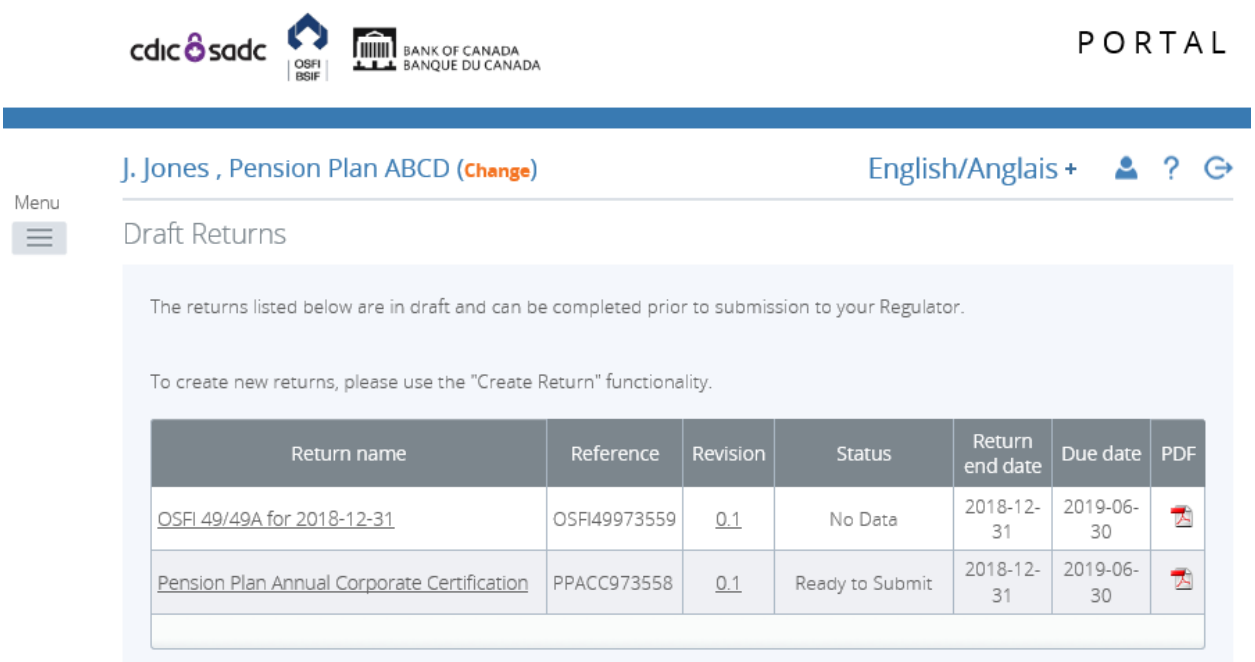



**Figure 3.2-2: Draft Returns Page**

2. Click the name of the return to be viewed.

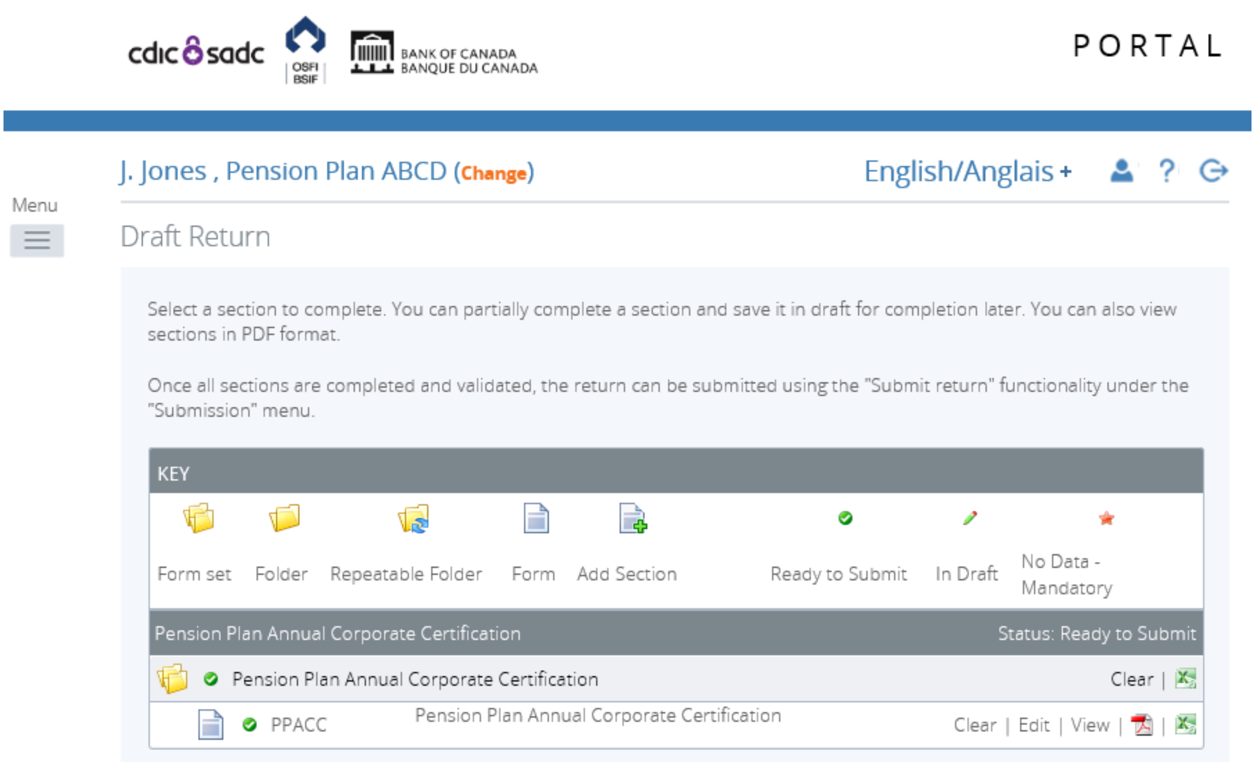



**Figure 3.2-3: Draft Return Page**

3. Click the **View** link to view the return, or, if there is more than one return section, click the **View** link for each section to be viewed.

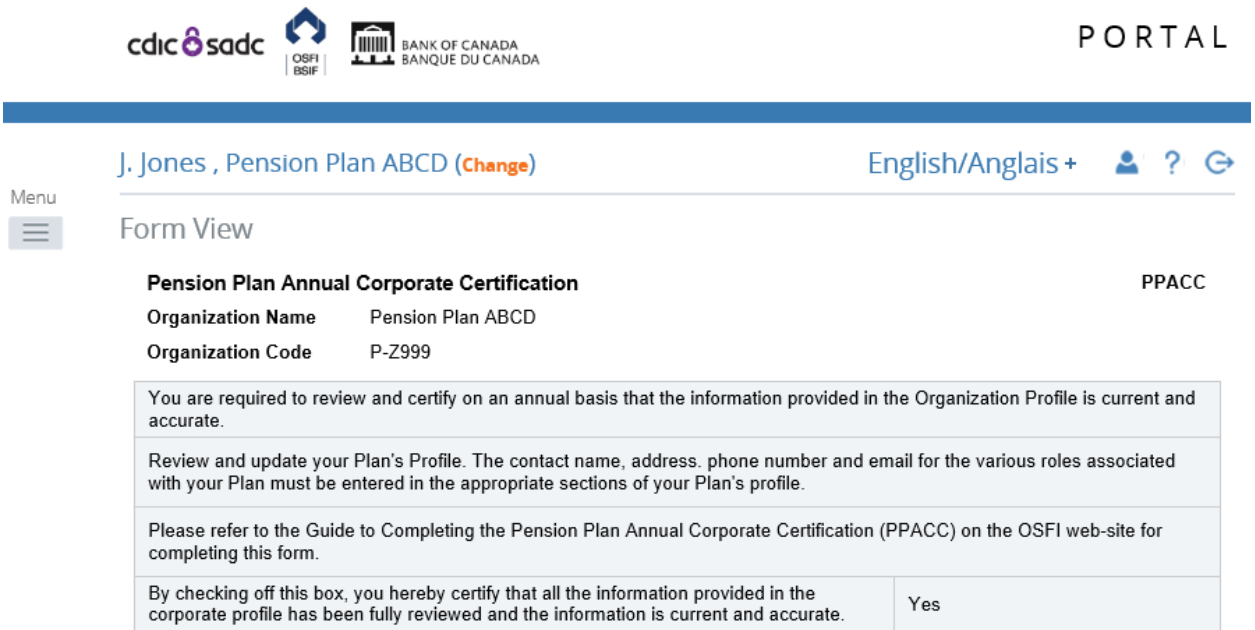
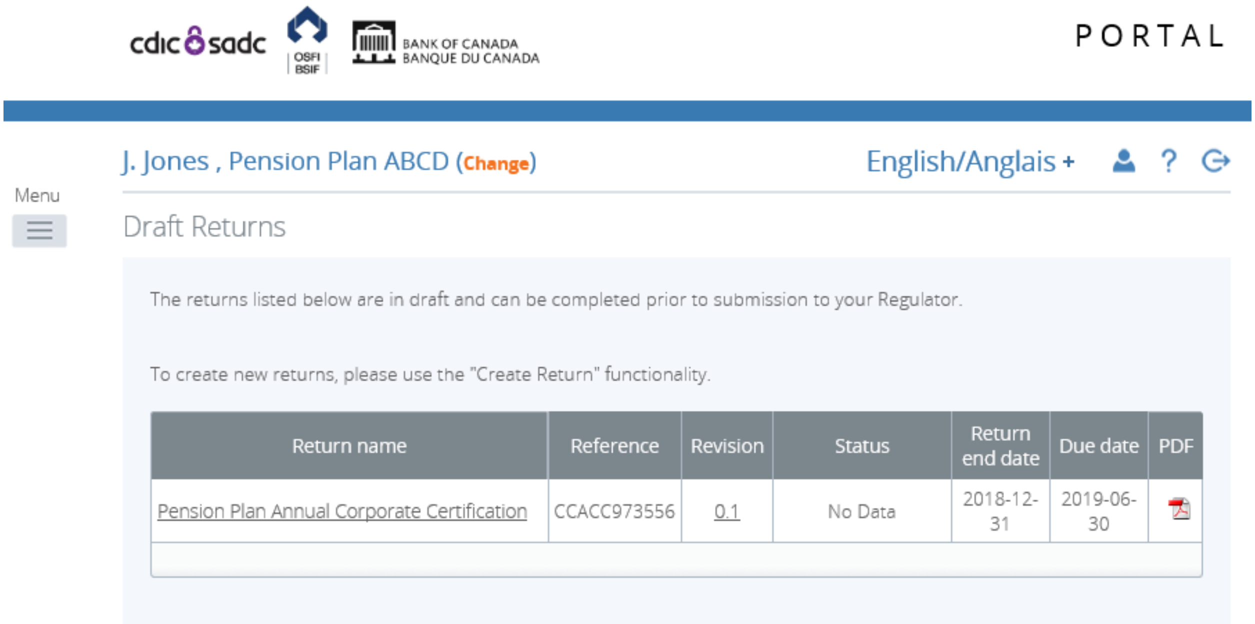



**Figure 3.2-4: Display of Return Page**

4. If necessary, use the scroll bars to view the draft return.

<u>To view the audit log of a draft return:</u>

Begin at the Draft Returns page.



cdic sadc OSFI BSIF BANK OF CANADA BANQUE DU CANADA PORTAL

J. Jones , Pension Plan ABCD (Change) English/Anglais +

Menu

Draft Returns

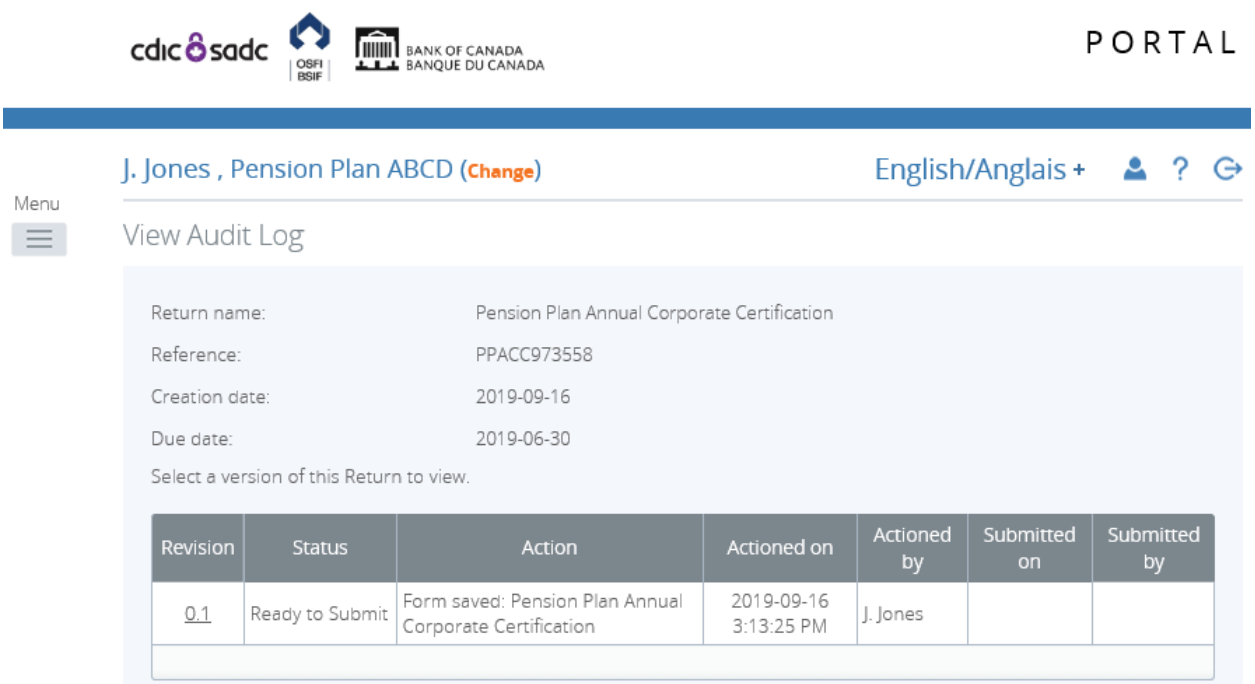
The returns listed below are in draft and can be completed prior to submission to your Regulator.

To create new returns, please use the "Create Return" functionality.

| Return name | Reference | Revision | Status | Return end date | Due date | PDF |
|---|---|---|---|---|---|---|
| Pension Plan Annual Corporate Certification | CCACC973556 | 0.1 | No Data | 2018-12-31 | 2019-06-30 | |

**Figure 3.2-5: Draft Returns Page**

1. Click the revision number of the return. The View Audit Log page opens displaying information such as what action was taken, who performed the action and when it was done.



cdic sadc OSFI BSIF BANK OF CANADA BANQUE DU CANADA PORTAL

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Menu

View Audit Log

Return name: Pension Plan Annual Corporate Certification

Reference: PPACC973558

Creation date: 2019-09-16

Due date: 2019-06-30

Select a version of this Return to view.

| Revision | Status | Action | Actioned on | Actioned by | Submitted on | Submitted by |
|---|---|---|---|---|---|---|
| 0.1 | Ready to Submit | Form saved: Pension Plan Annual Corporate Certification | 2019-09-16 3:13:25 PM | J. Jones | | |

**Figure 3.2-6: View Audit Log Draft Page**

<u>To view a submitted return:</u>

Begin at the Welcome page.


**Figure 3.2-7: Welcome Page**

1. Navigate your mouse over to the **Submission** menu item.
2. Click the **Submission History** sub-menu item.

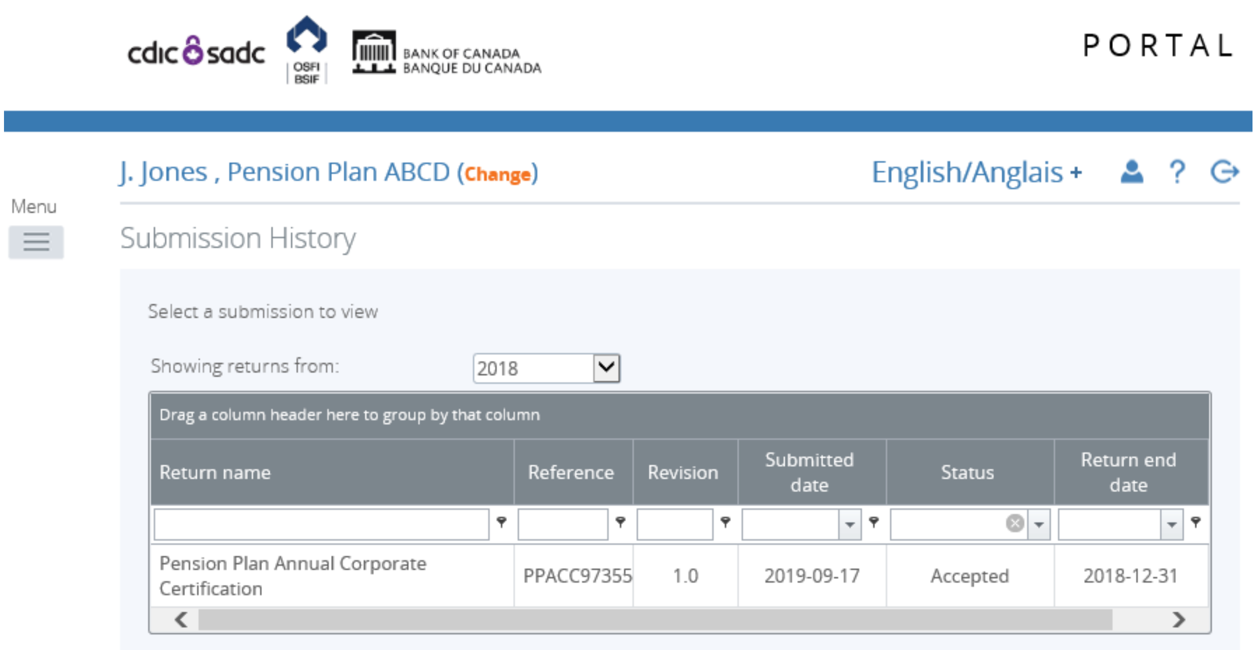



**Figure 3.2-8: Submission History Page**

**Return Revision**

The revision column of the Submission History page displays the current revision number of the return. Submitted returns display on this page as revision 1.0 for the first submission and each subsequent submission increases by a whole number such as 2.0, 3.0, etc. Some returns cannot be revised once submitted. For further details, please refer to the General Instructions for each return type located under Documents/Portal Documents/English/Return Instructions/Corporate Returns.

3. Click the name of the return to be viewed.

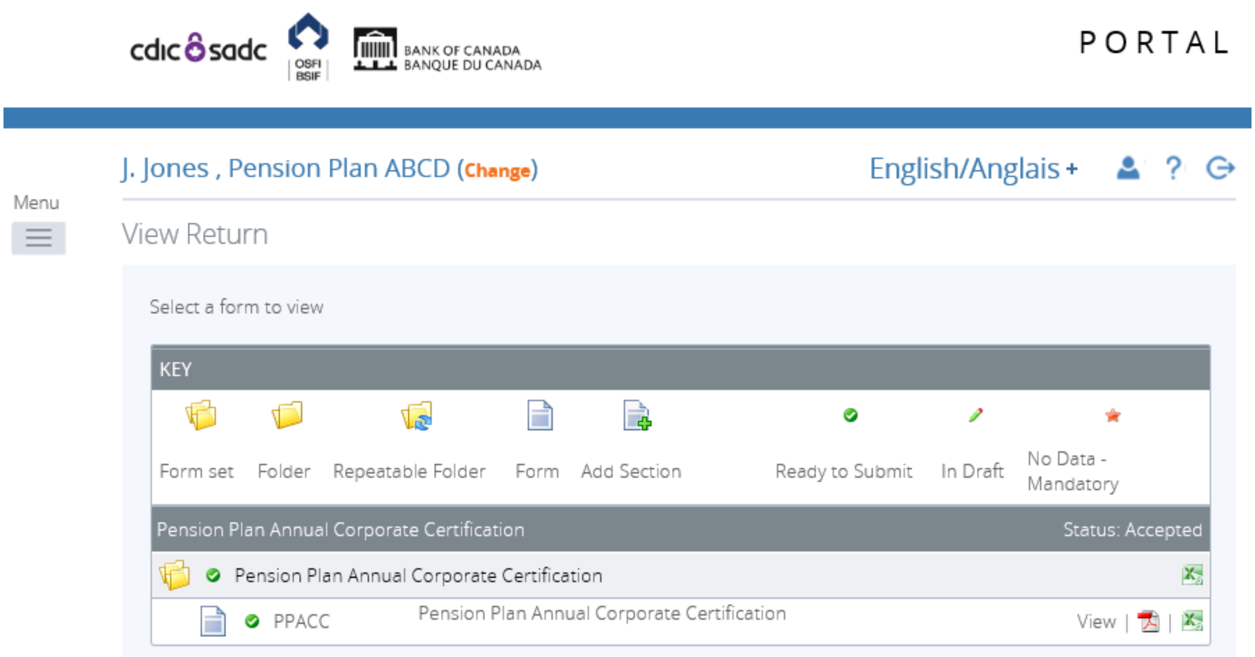



**Figure 3.2-9: View Return Page**

4. Click the **View** link to view the return, or, if there is more than one return section, click the **View** link for each section to be viewed.
5. If necessary, use the scroll bars to view the submitted return.

To view the audit log of a submitted return:

Begin at the Submission History page.

1. Click the revision number of the return. The Audit Log page opens displaying information such as what action was taken, who performed the action and when it was done.


**Figure 3.2-10: View Audit Log Submit Page**

## 3.3 General Instructions on How to View Errors

<u>To view errors:</u>

Begin at the Welcome page.

1. Click the **Draft Returns** menu item.

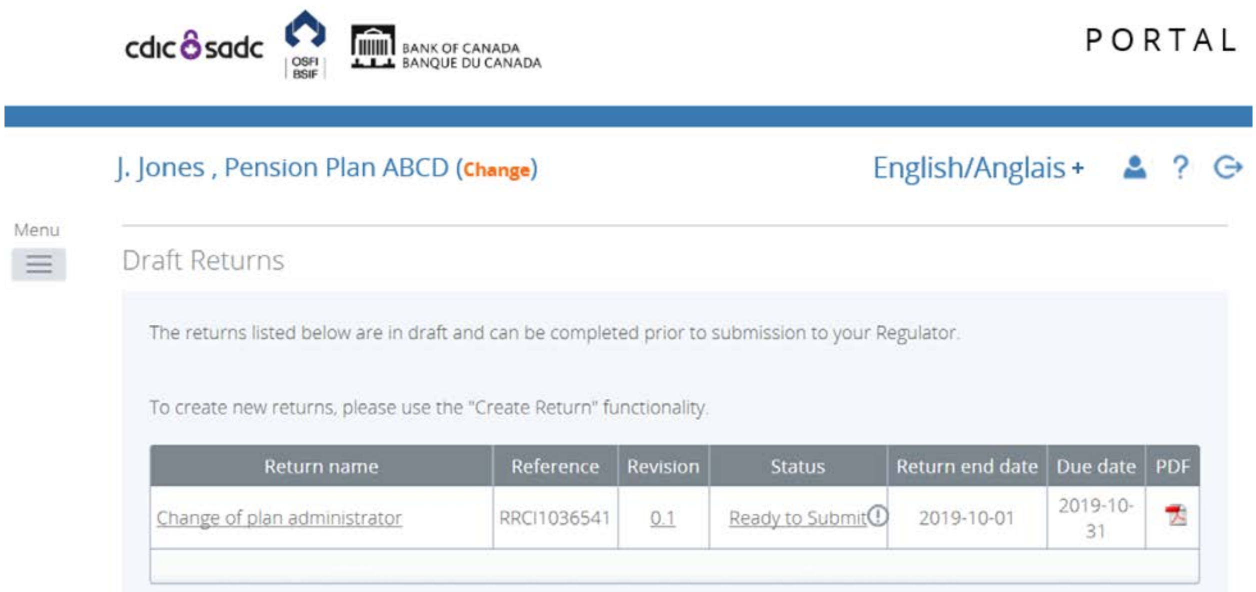
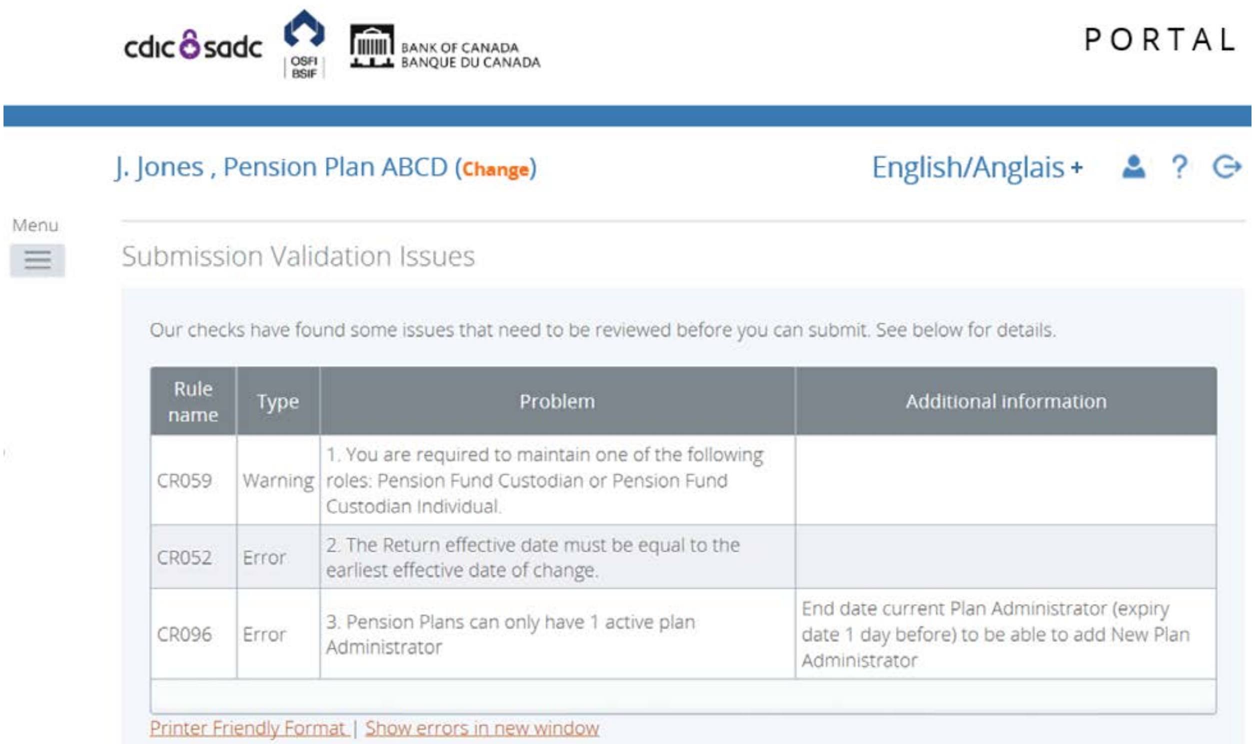



**Figure 3.3-1: Draft Returns Page**

2. Locate a return with an error icon next to the status (circle with an exclamation mark)
3. Click the error icon or the status to open the **Validation Issues** page.




| Rule name | Type | Problem | Additional information |
|---|---|---|---|
| CR059 | Warning | 1. You are required to maintain one of the following roles: Pension Fund Custodian or Pension Fund Custodian Individual. | |
| CR052 | Error | 2. The Return effective date must be equal to the earliest effective date of change. | |
| CR096 | Error | 3. Pension Plans can only have 1 active plan Administrator | End date current Plan Administrator (expiry date 1 day before) to be able to add New Plan Administrator |

**Figure 3.3-2: Validation Issues Page**

4. View the error message.

| | |
|---|---|
| | **Warnings** |
| | Warnings will not prevent you from submitting your return, it is simply a warning to advise you that you are either making a change to a mandatory role or that one of your mandatory roles is missing from your Organization Profile. |

## 3.4 General Instructions on How to Correct Validation Errors on a Return

If a return does not pass validation, you will be informed via an error message that displays on-screen. The error message specifies the rule, or rules, that have failed. You will need to correct the data in order to submit the return.

Begin at the Draft Returns page.

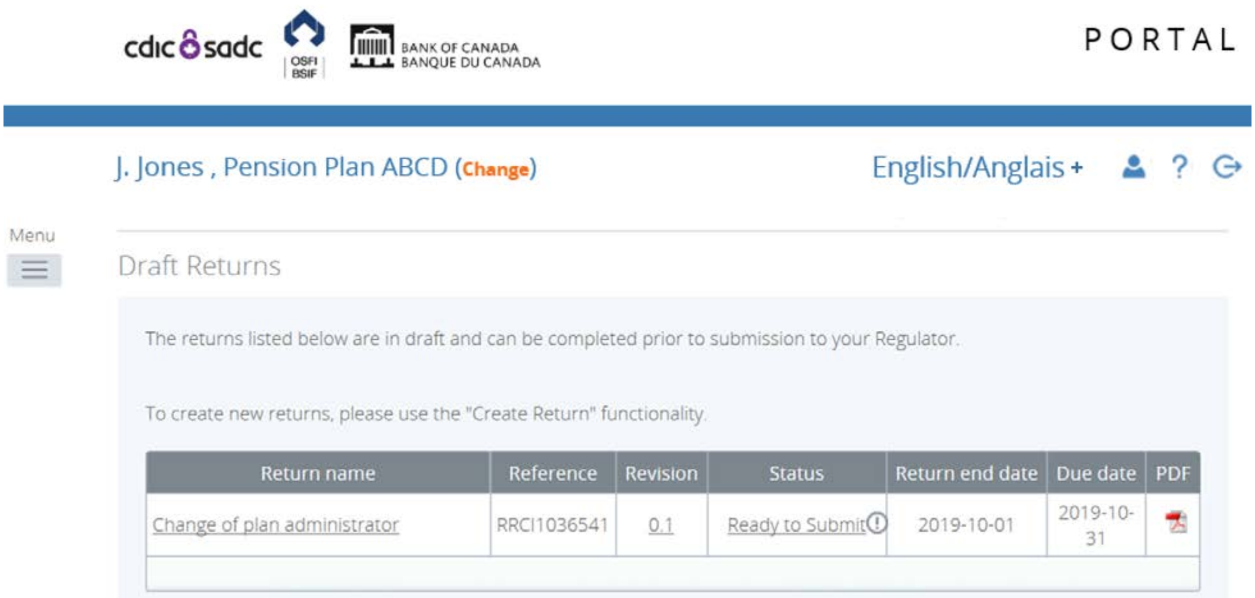



**Figure 3.4-1: Draft Returns Page**

1. Click the return name to open the return.
2. Click the **Edit** link.

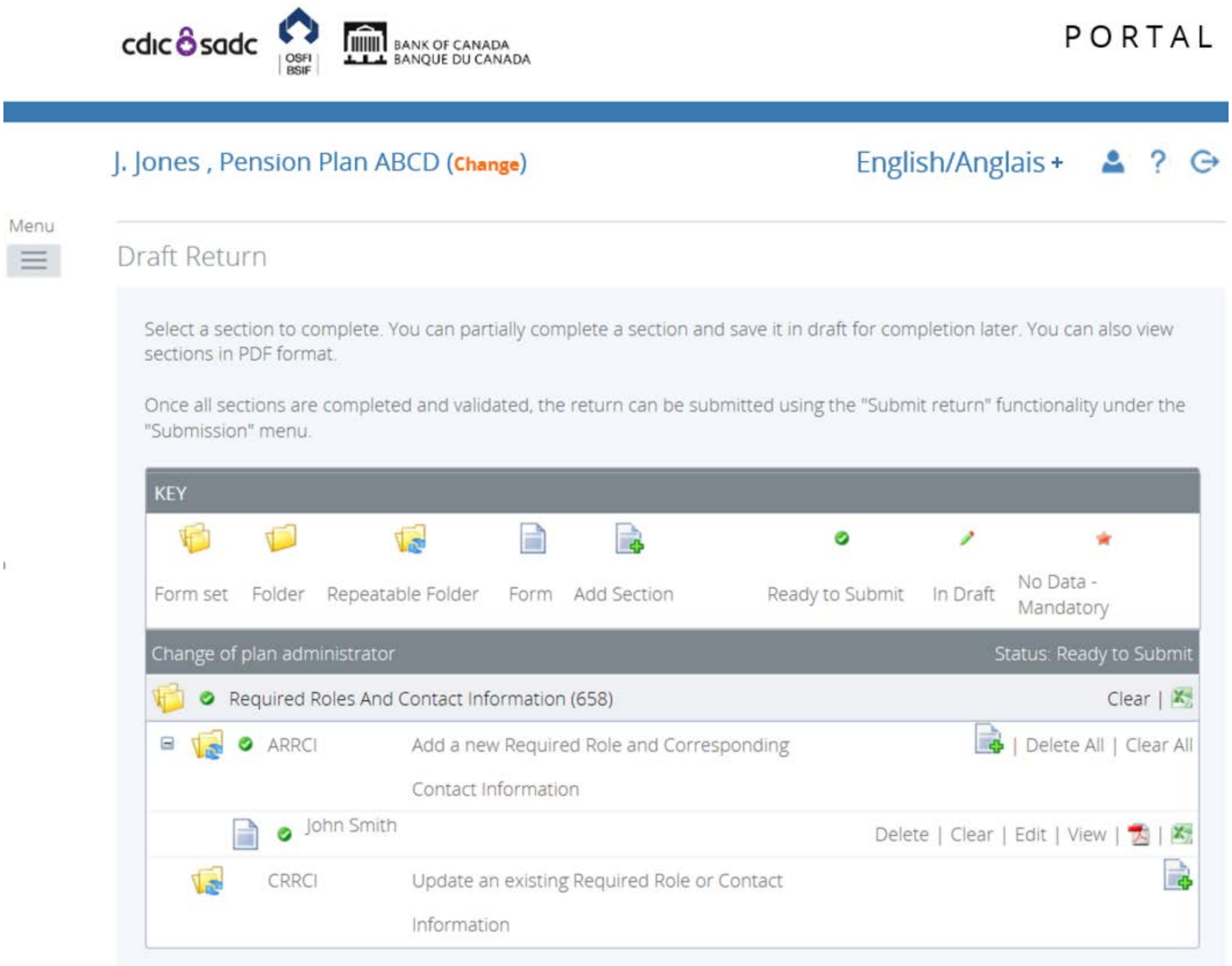



**Figure 3.4-2: Display of Return Page**

3. Correct the appropriate data.
4. Click **Validate & Save**. The return is updated and now ready to be re-submitted.
5. Follow the steps outlined in Section 3.1 General Instructions on Completing and Submitting a Corporate Return.

# 3.5 General Instructions on How to Create a Corporate Return

As described at the beginning of this section, Scenario #2 details an event that triggers the need for a corporate return to be created by your plan and submitted. An example of this type of event is a change in your plan's business mailing address.

<u>To create a corporate return:</u>

Begin at the Welcome page.

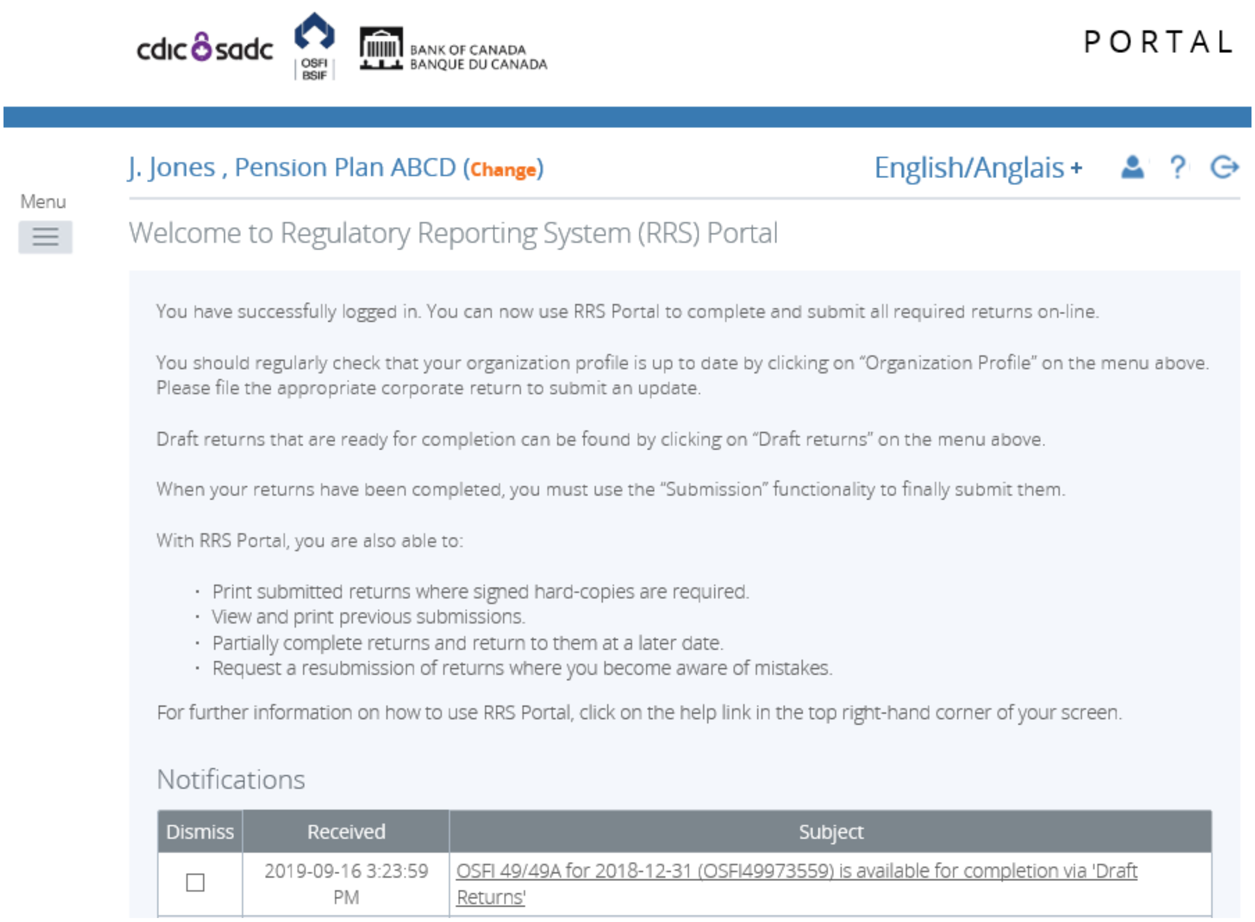



**Figure 3.5-1: Notifications Page**

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

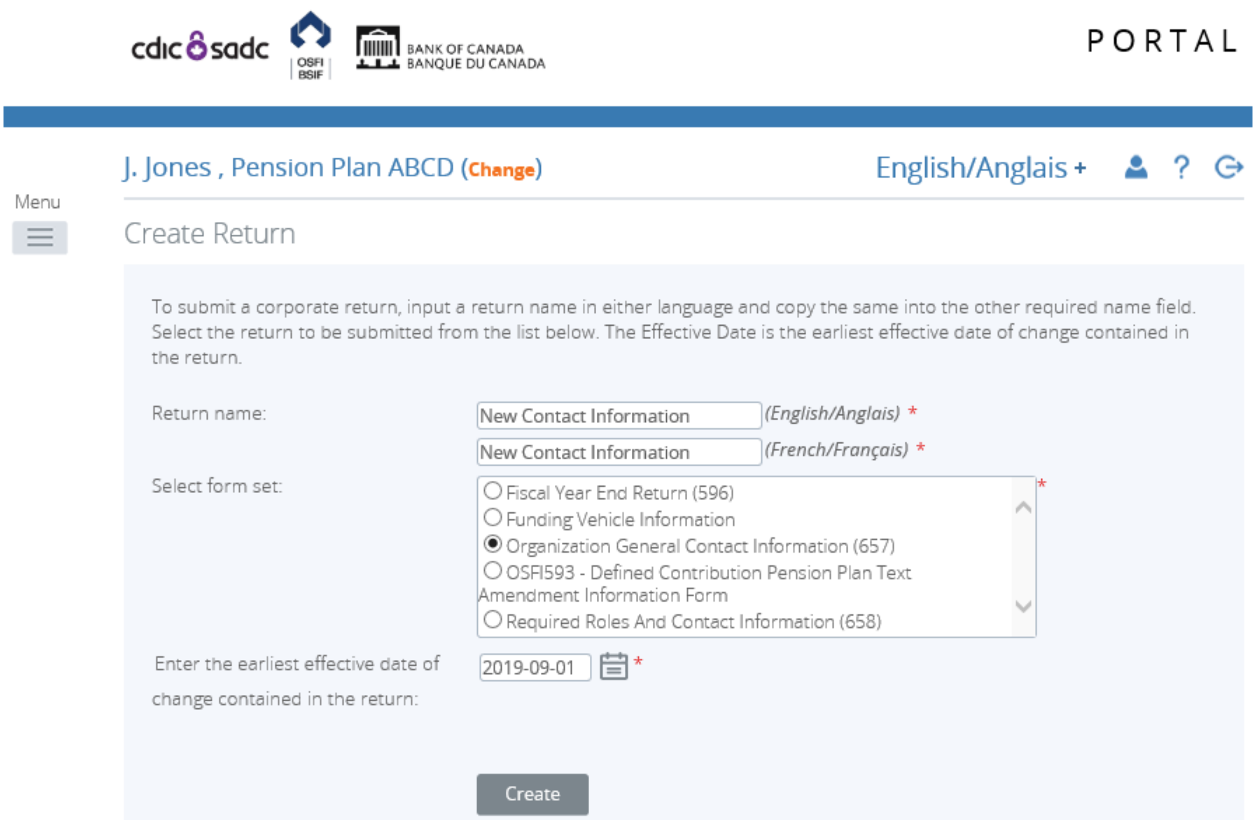



**Figure 3.5-2: Create Return Page**

| | **Return Name** |
|---|---|
| | You will want to choose a name that will be meaningful for you or your plan. The text does not need to be bilingual, but it does need to be entered in both the English and French text fields. This name will also be referred to when looking for returns under your submission history tab. |

3. Enter an English and French name for the return (see example above).

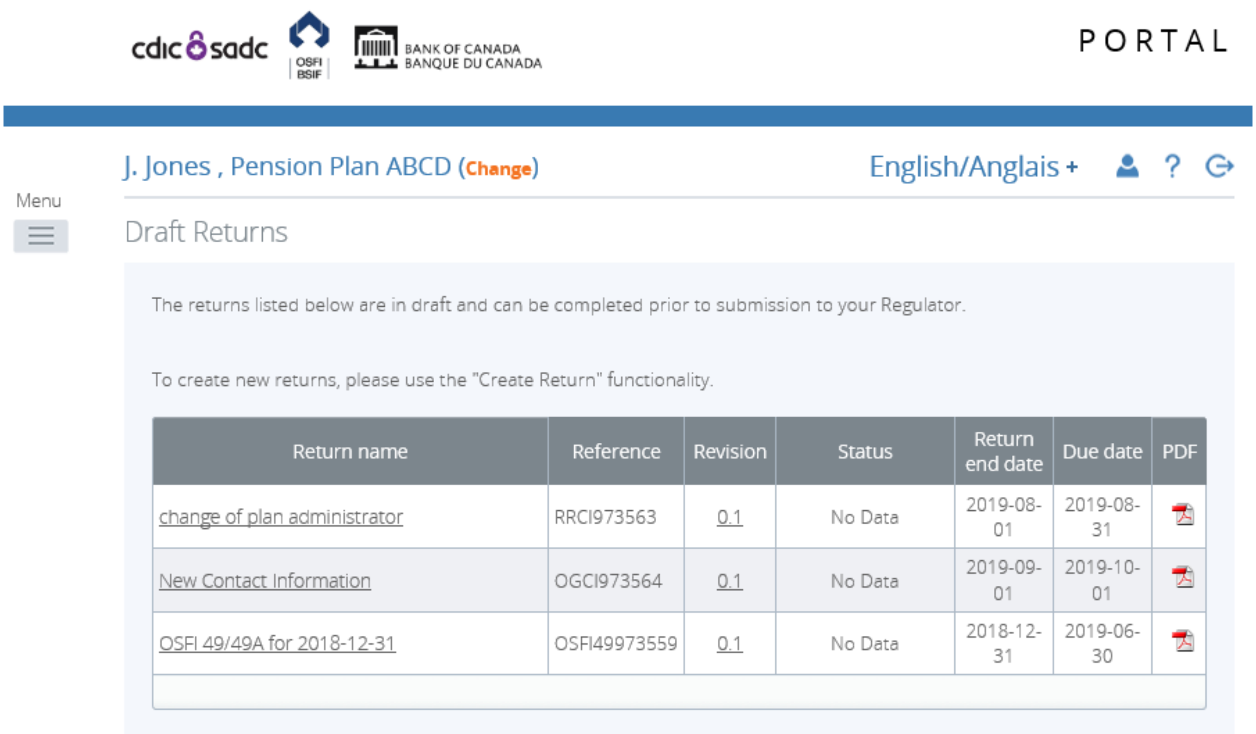
4. Select the appropriate corporate return that you want to create for your organization or plan.

5. Enter the earliest effective date of change.

6. Click the **Create** button.

| | |
|---|---|
| | **Earliest effective date of change** |
| | Where multiple changes are being made within the same return, **you must enter the earliest effective date of change of all of the changes being made**. The system will not accept earlier dates within the return than the date you entered when creating your return. |

Your corporate return is now ready for completion in the Draft Returns section of RRS.




| Return name | Reference | Revision | Status | Return end date | Due date | PDF |
|---|---|---|---|---|---|---|
| change of plan administrator | RRCI973563 | 0.1 | No Data | 2019-08-01 | 2019-08-31 | |
| New Contact Information | OGCI973564 | 0.1 | No Data | 2019-09-01 | 2019-10-01 | |
| OSFI 49/49A for 2018-12-31 | OSFI49973559 | 0.1 | No Data | 2018-12-31 | 2019-06-30 | |

**Figure 3.4-3: Draft Returns Page**

Follow the steps outlined in Section 3.1 to submit this return.

| | |
|---|---|
| | **Note:** |
| | For any changes to contact information, addresses must all be in uppercase letters and may not contain any special characters, telephone/fax numbers must not contain any dashes and email addresses must not contain any invalid characters, as per the Canada Post Guidelines. |

## 3.6 General Instructions on How to Delete a Corporate Return from your Draft Folder

Corporate returns that have been created in error can be deleted prior to submission.

**Note:**

Once a corporate return has been submitted and accepted, that return can no longer be deleted. In order to delete a submission, please contact the Returns Administration group at OSFI at 613-991-0609.

To delete a draft corporate return:

Begin at the Draft Return page.

1. From the main menu hover your mouse over to the Manage Returns menu item.

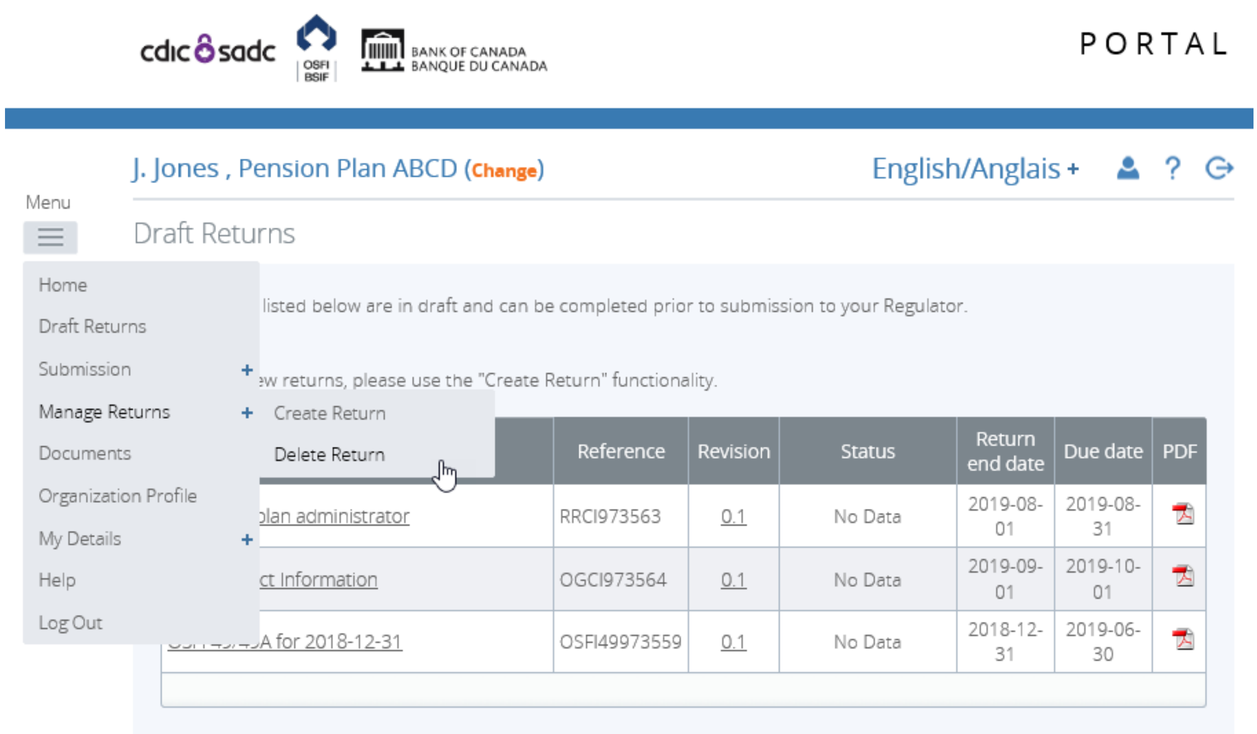



**Figure 3.6-1: Manage Returns Drop-Down Page**

2. Click **Delete Return**.

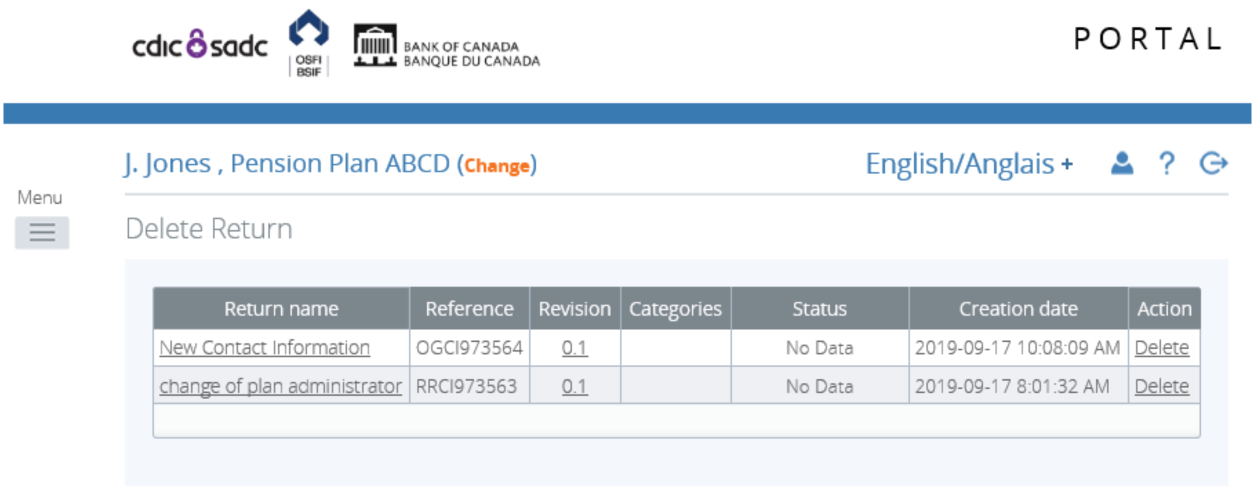



**Figure 3.6-2: Delete Return Page**

3. In the Action column, click the **Delete** link of the return to be deleted.

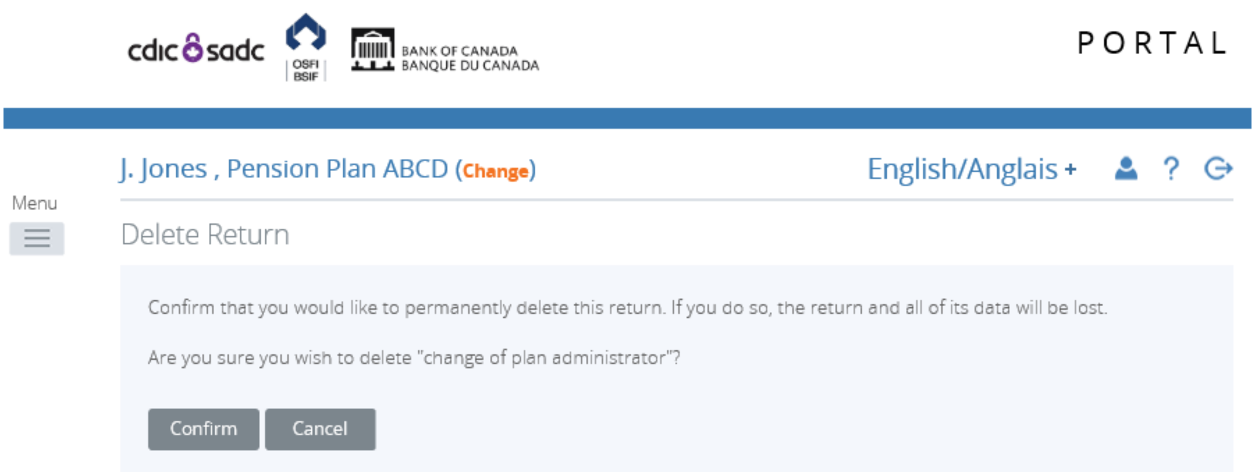



**Figure 3.6-3: Delete Return Confirm Page**

4. Click the **Confirm** button.

The return has now been deleted.

## 3.7 General Instructions on How to Request a Resubmission of a previously submitted Return

This scenario explains how to submit an amendment to an unstructured corporate return previously submitted by your organization or plan.

Request Resubmissions are only permitted with Corporate Returns that do not affect your Organization Profile. To correct any errors on a previously submitted corporate return, please contact the Returns Administration group at OSFI at (613) 991-0609 for assistance in correcting submitted corporate information.

<u>To request a resubmission of your return:</u>

Begin at the Welcome page.

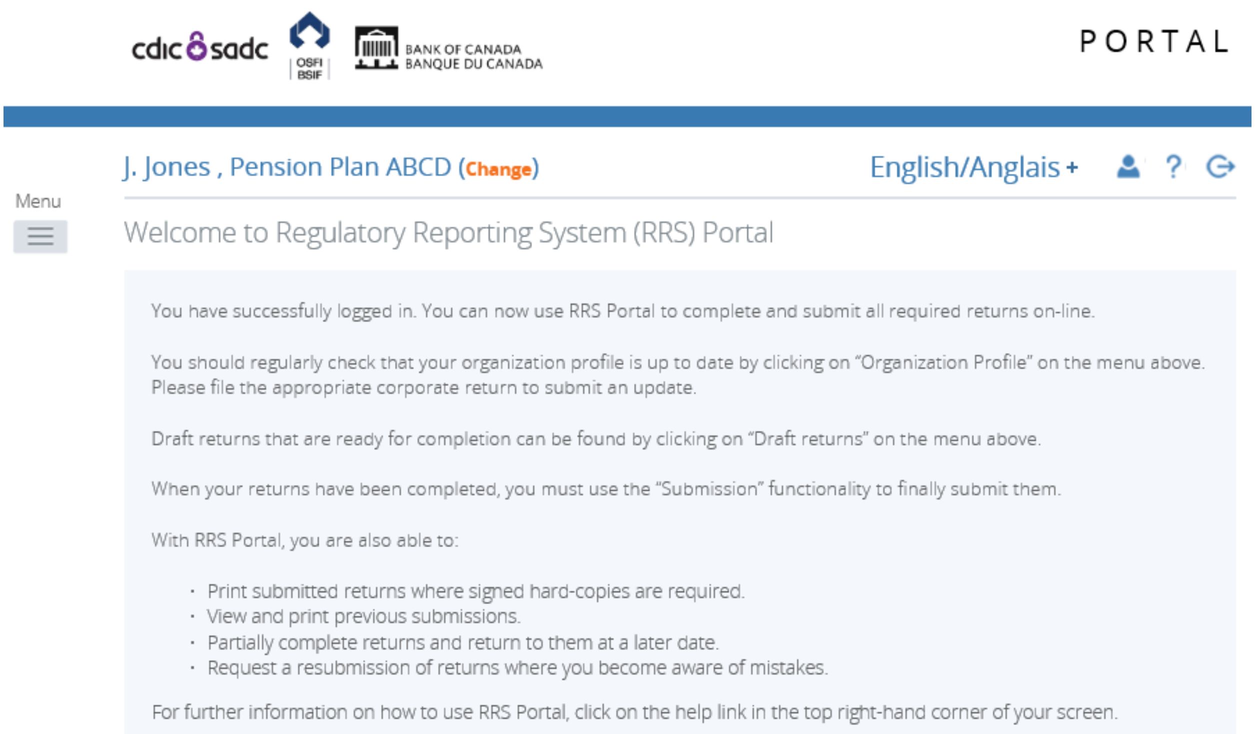



**Figure 3.7-1: Welcome Page**

1. Navigate your mouse over to Submission menu item.


**Figure 3.7-2: Welcome Page**

2. Click on Request Resubmission.
3. Search for the return you wish to resubmit.

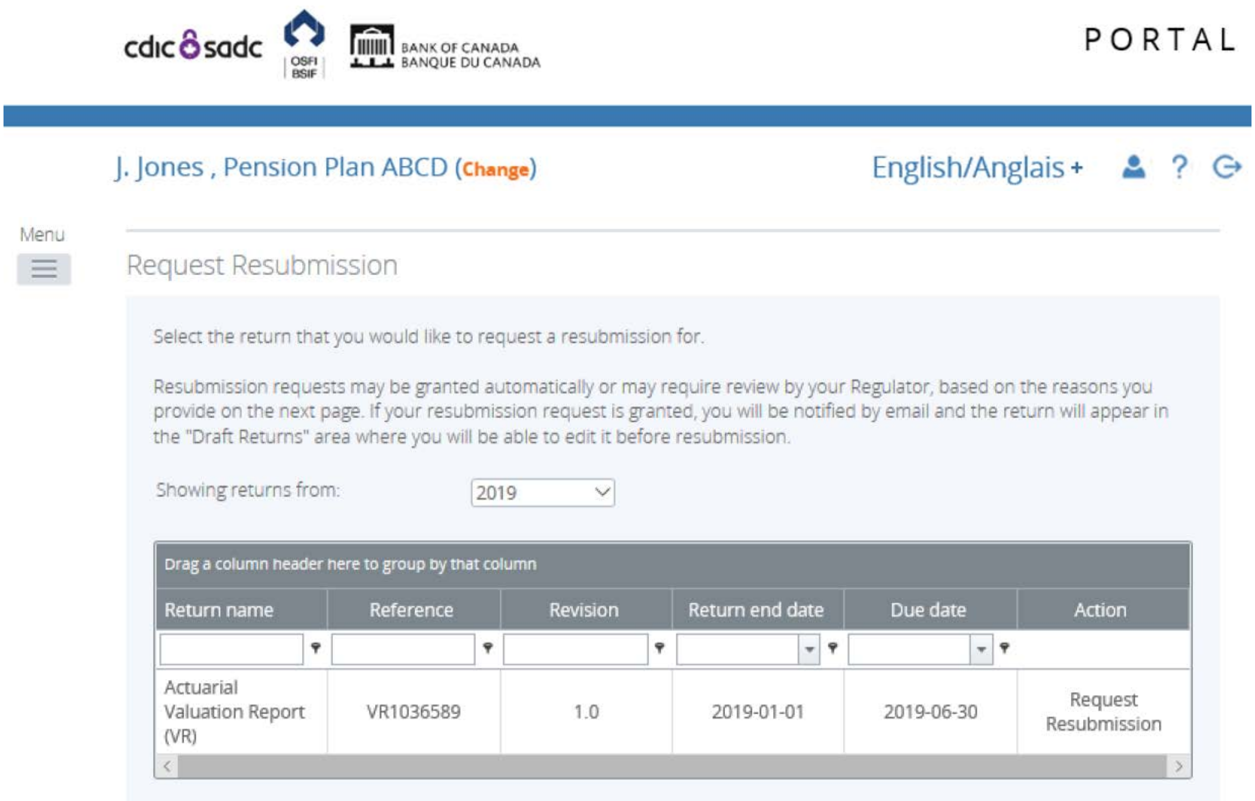



**Figure 3.7-3: Request Resubmission Page**

4. Click on Request Resubmission.

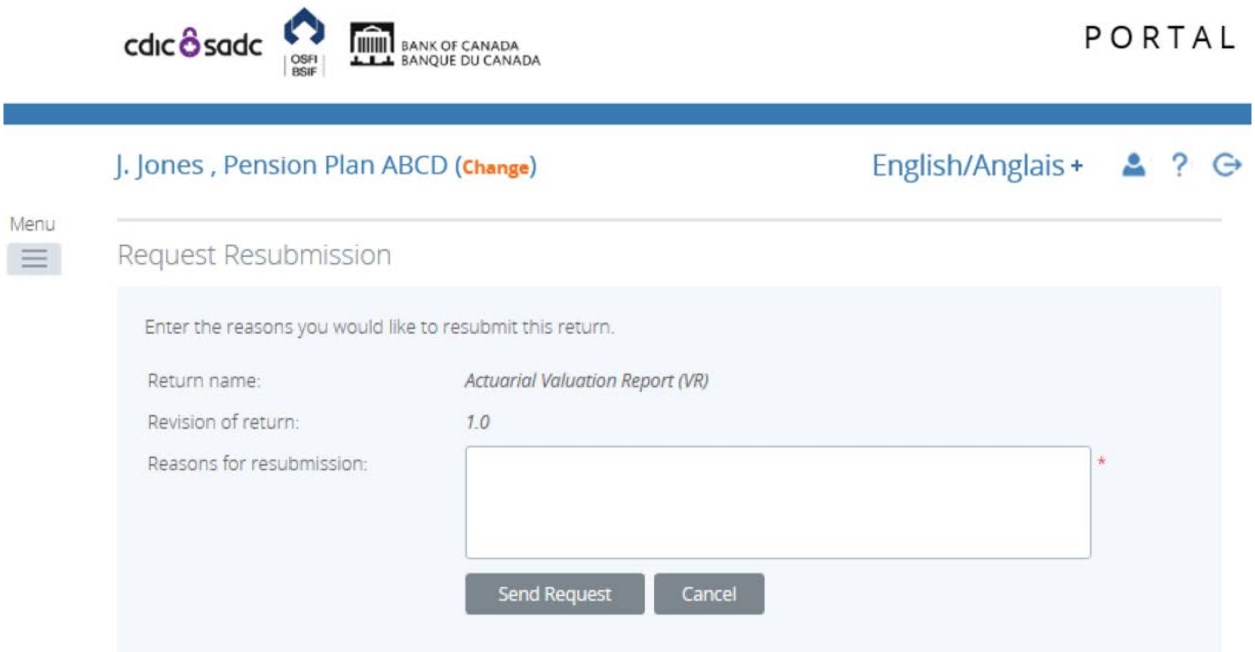



**Figure 3.7-3: Request Resubmission Page**

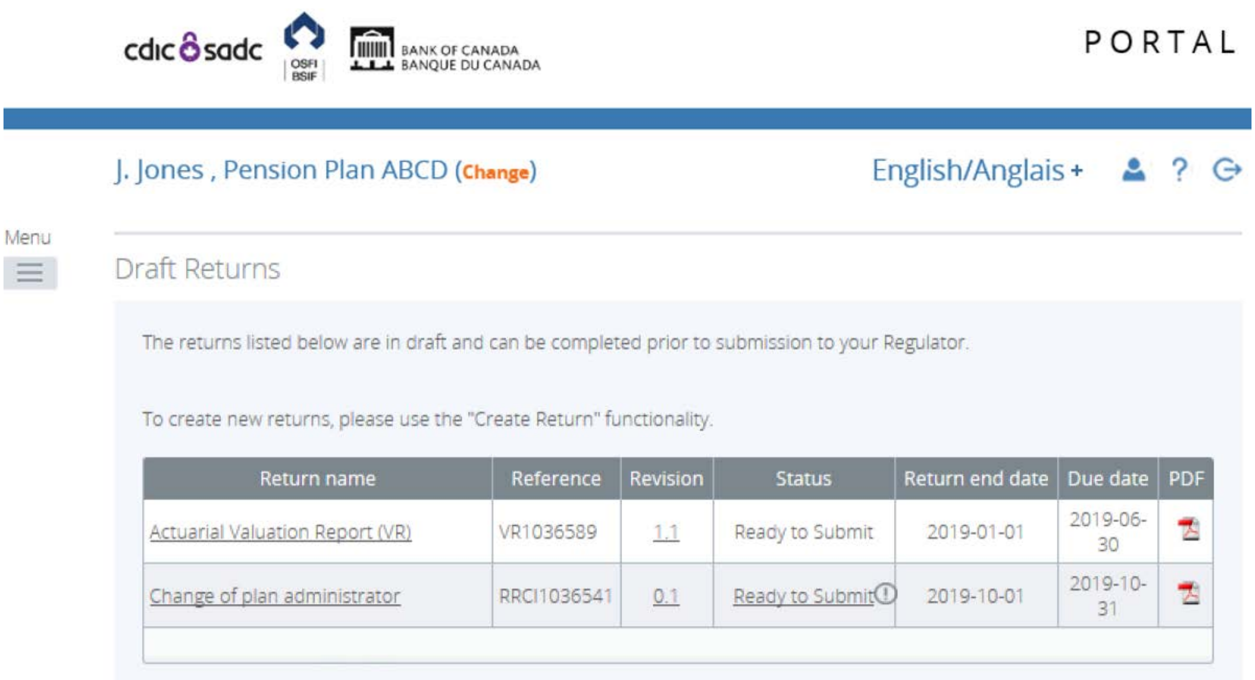
5. Provide a reason for the resubmission and click on Send Request button.


**Figure 3.7-4: Request Resubmission Page**

6. Click on Confirm button.


**Figure 3.7-5: Request Resubmission Page**

7. Click on the Draft Returns folder.




| Return name | Reference | Revision | Status | Return end date | Due date | PDF |
|---|---|---|---|---|---|---|
| Actuarial Valuation Report (VR) | VR1036589 | 1.1 | Ready to Submit | 2019-01-01 | 2019-06-30 | |
| Change of plan administrator | RRCI1036541 | 0.1 | Ready to Submit | 2019-10-01 | 2019-10-31 | |

**Figure 3.7-6: Draft Returns Page**

8. Click on the return you would like to update and resubmit.

9. Click on the return name to open the return.

10. Remove the previously submitted file attachment by clicking on the trash can icon next to name, then click on the OK button.

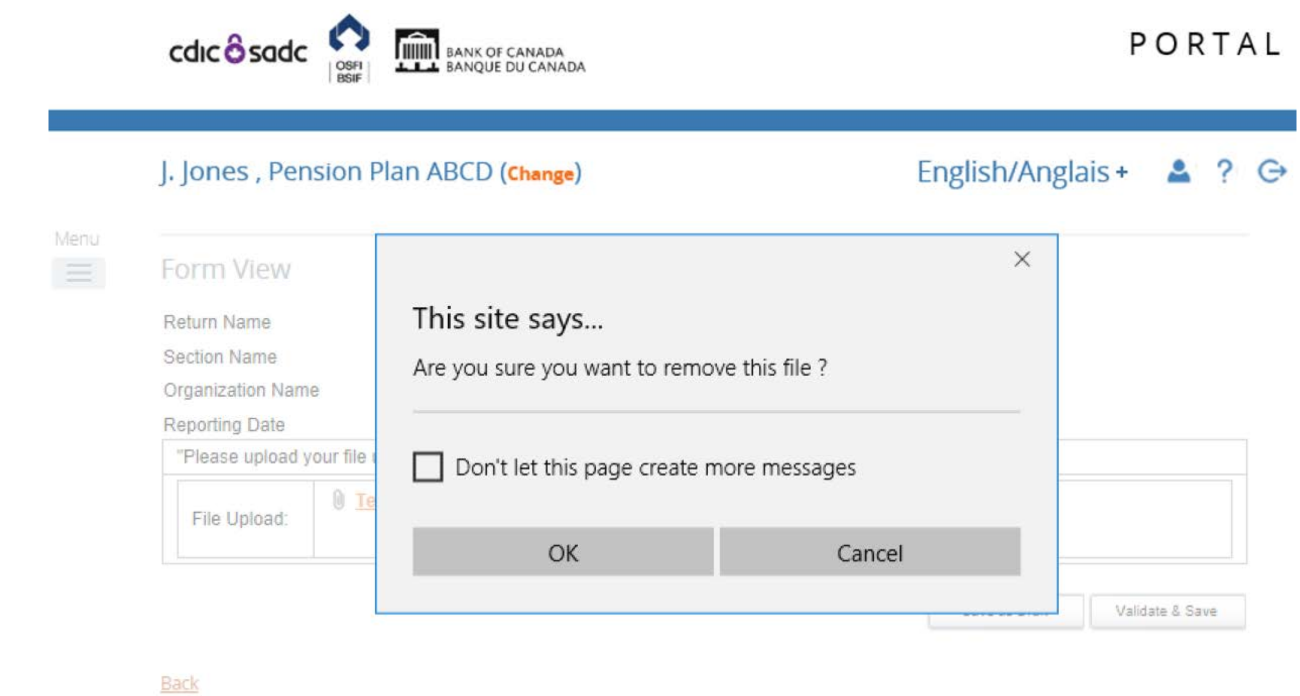



**Figure 3.7-7: Return Page**

11. Click on Browse button to retrieve and upload the revised file attachment.

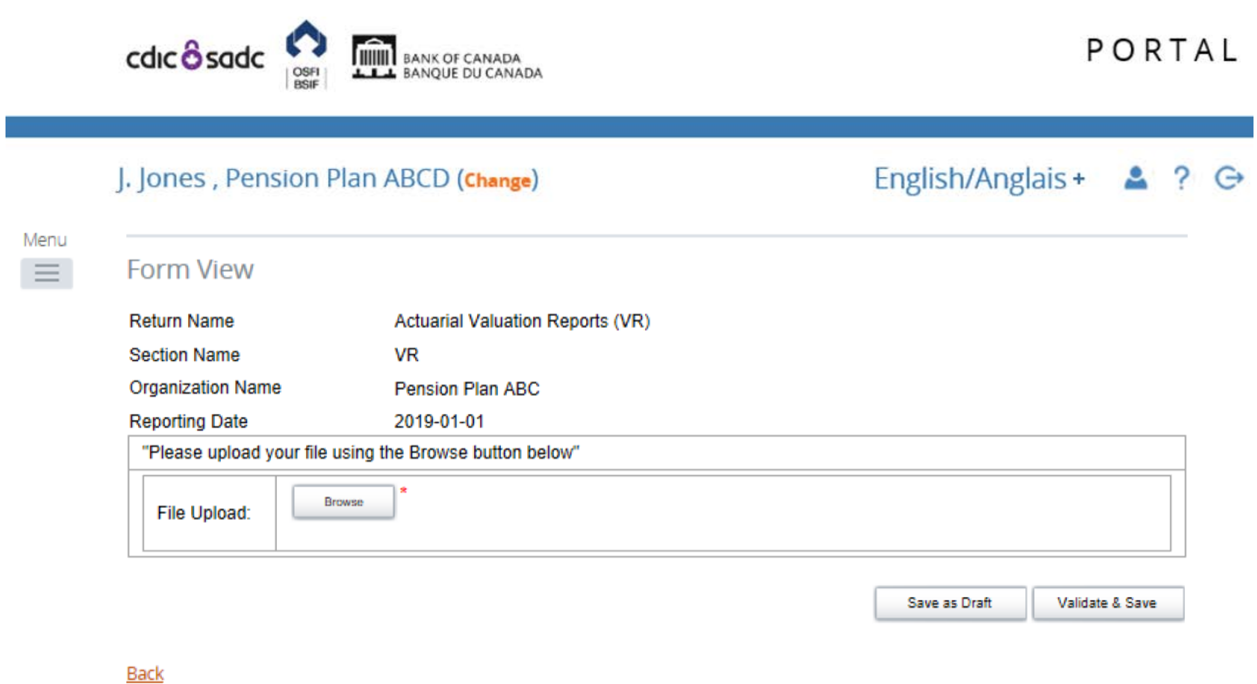



**Figure 3.7-8: Return Page**

12. Click on **Validate & Save**.

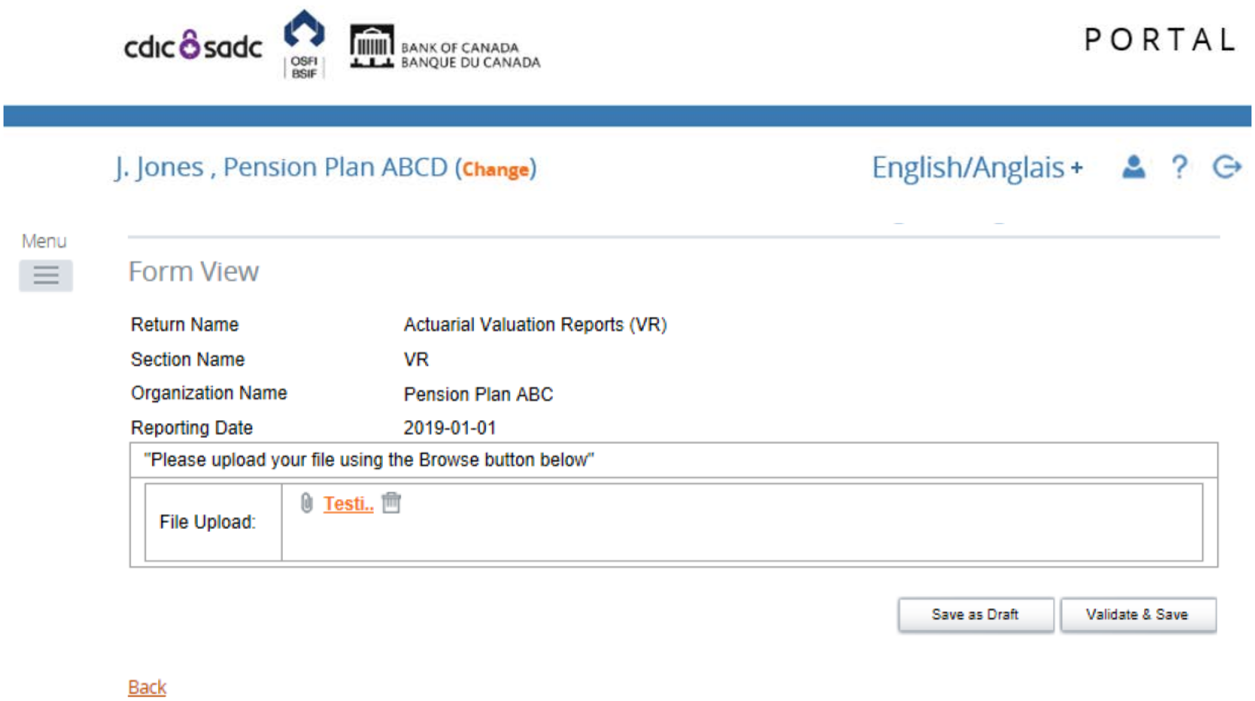



**Figure 3.7-9: Return Page**

13. The return is now ready for resubmission.

14. Follow the steps outlined in Section 3.1 General Instructions on Completing and Submitting a Corporate Return.

# 4.0 Specific Corporate Returns Instructions

This section will provide detailed instructions on the following subjects:

1) How to Add/Update your Organization's General Contact Information
2) How to Add an Individual/Related Organization to your Organization Profile
3) How to Delete an Individual/Related Organization to your Organization Profile
4) How to Add Multiple Roles to an Existing Individual within your Organization Profile
5) How to Update Information to an Existing Individual/Related Organization within your Organization Profile
6) How to make changes related to the External Auditor/External Actuary Roles.
7) How to make changes related to the Funding Vehicle and/or Fund Custodian

## 4.1 How to Add/Update your Organization's General Contact Information

Whether you are updating your organization's general contact information or adding new general contact information, you must use the Organization General Contact Information Return.

For all Private Pension Plans, a Business Mailing Address must be maintained at all times. This information is used to update OSFI's external website.

Other address types, such as Head Office Address, can be provided and maintained within your organization profile however it is not a mandatory requirement.

The "Location of Books and Records (CRA) Address" is specifically used by Private Pension Plans only.

All fields are required by OSFI and some fields have been made mandatory.

### 4.1.1 How to Add an Organization General Contact Information

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

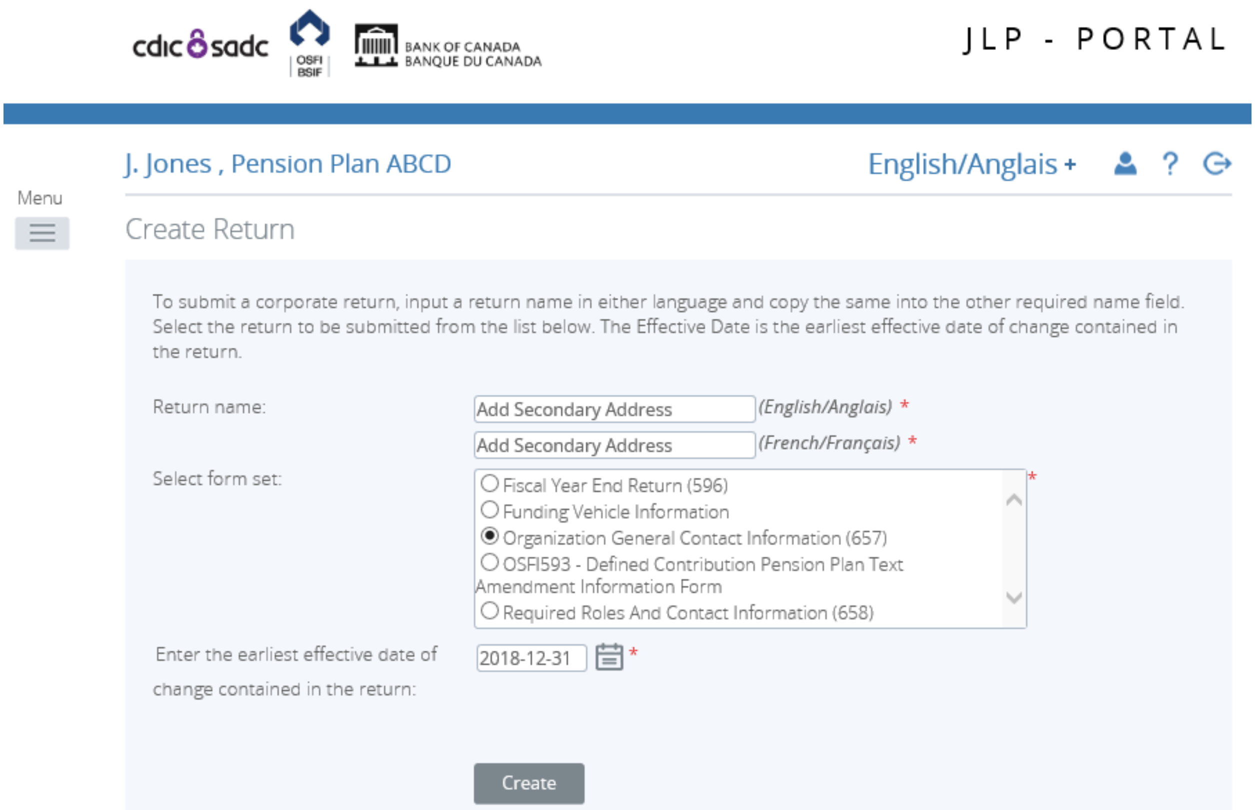



**Figure 4.1-1: Create Return Page**

3. Enter an English and French name for the return (see example above).
4. Select Organization General Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

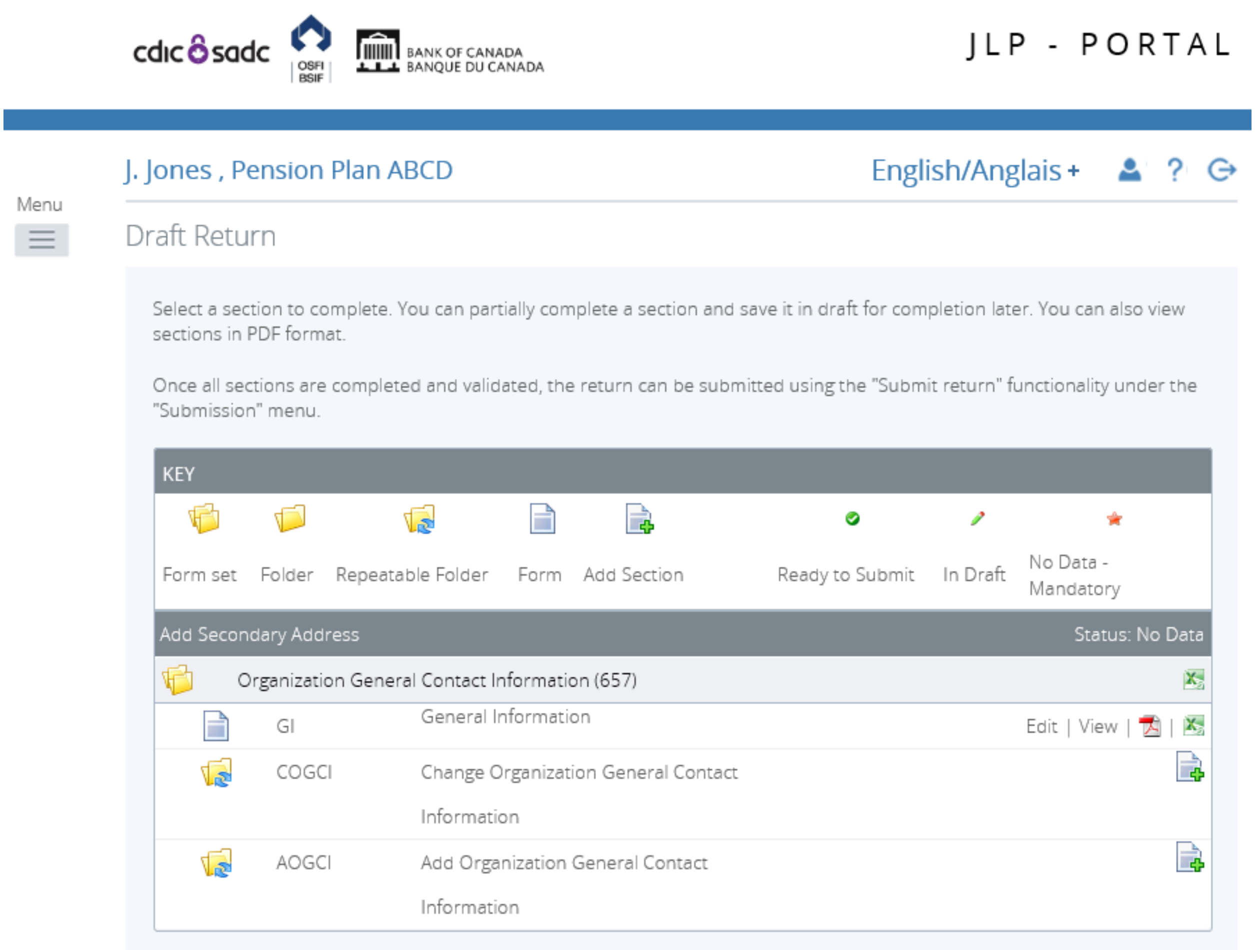



**Figure 4.1-2: Draft Return Page**

8. Click on the “Add Instance” button on the right hand side (green plus sign) next to “Add Organization General Contact Information”
9. This will open a new worksheet within this section of the return.

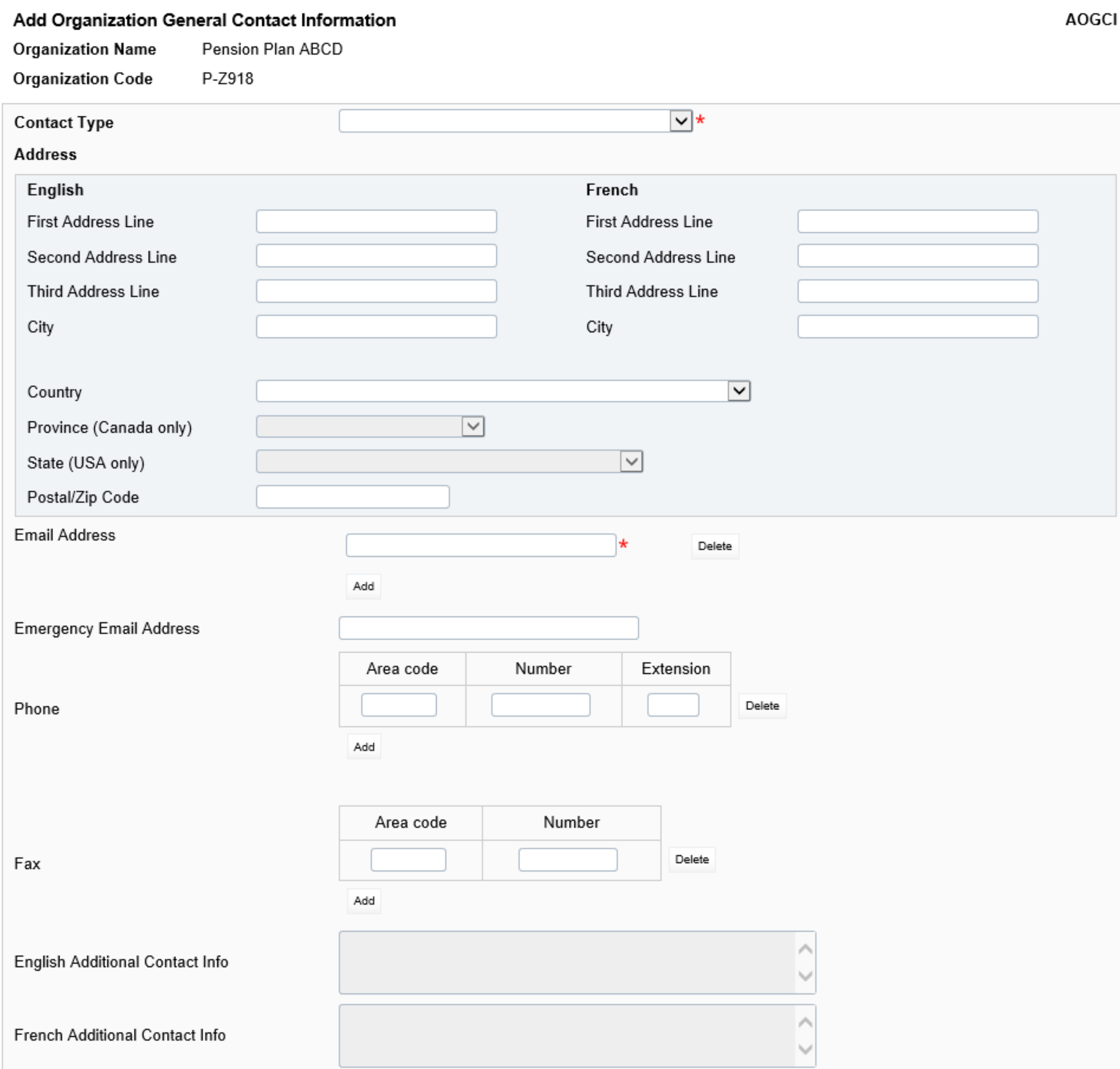



**Figure 4.1-3: Add Organization General Contact Information Page**

10. Under Contact Type, choose appropriate contact type you wish to Add.
11. Provide the complete mailing address. A province must be provided when “Canada” is chosen as the Country and a state must be provided when “USA” is chosen as the Country.
12. Provide a general email address for the organization.
13. Provide an emergency email address if one is available.
14. Provide a general Telephone and Fax Number for the organization.
15. You can now click on the **Validate & Save** button.

16. Your return is now ready to be submitted.

17. Follow instructions under 3.1 General Instructions on how to complete and submit a corporate return.

## 4.1.2 How to Update your Organization General Contact Information

When updating your general contact information, all related information must be provided as this return will replace all information located within your organization profile.

1. Navigate over to the Manage Returns menu item.

2. Click **Create Return**.

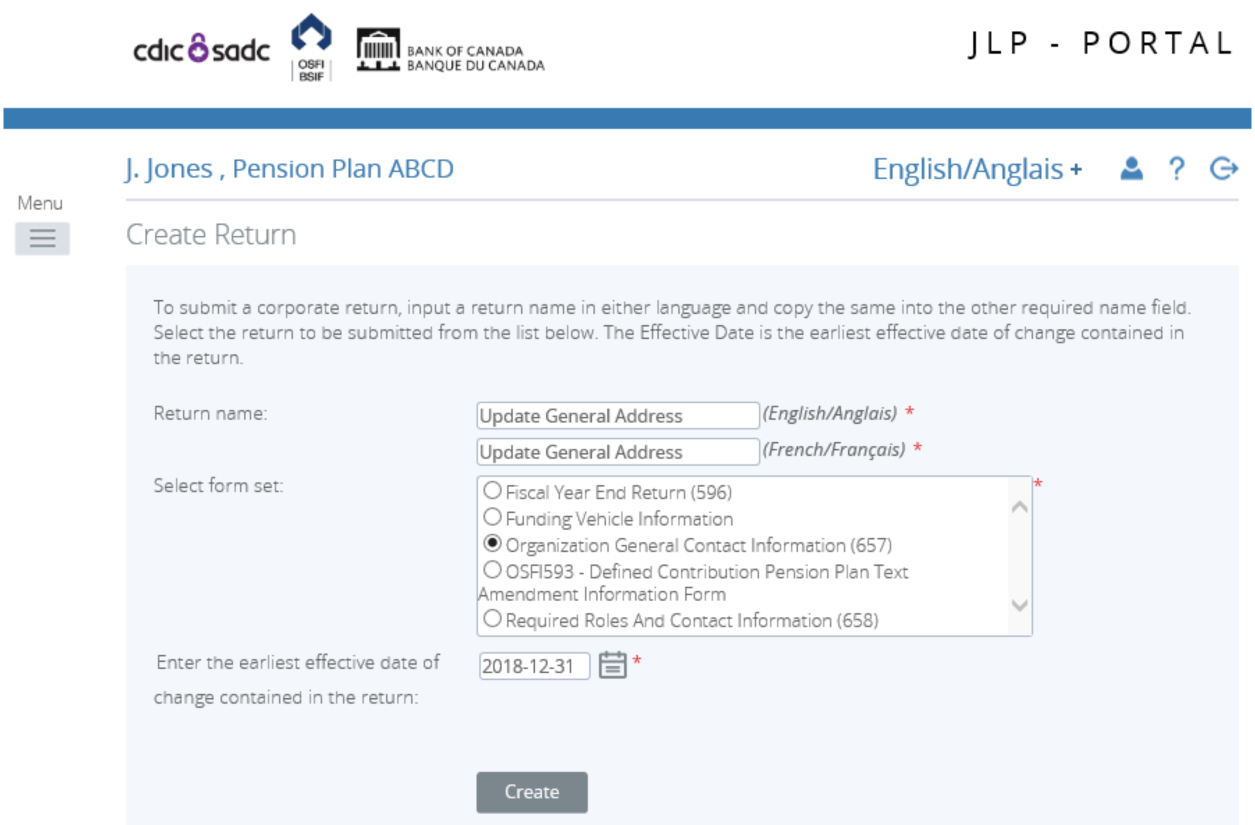



**Figure 4.1-4: Create Return Page**

3. Enter an English and French name for the return (see example above).

4. Select Organization General Contact Information.

5. Enter the Effective Date of change.

6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

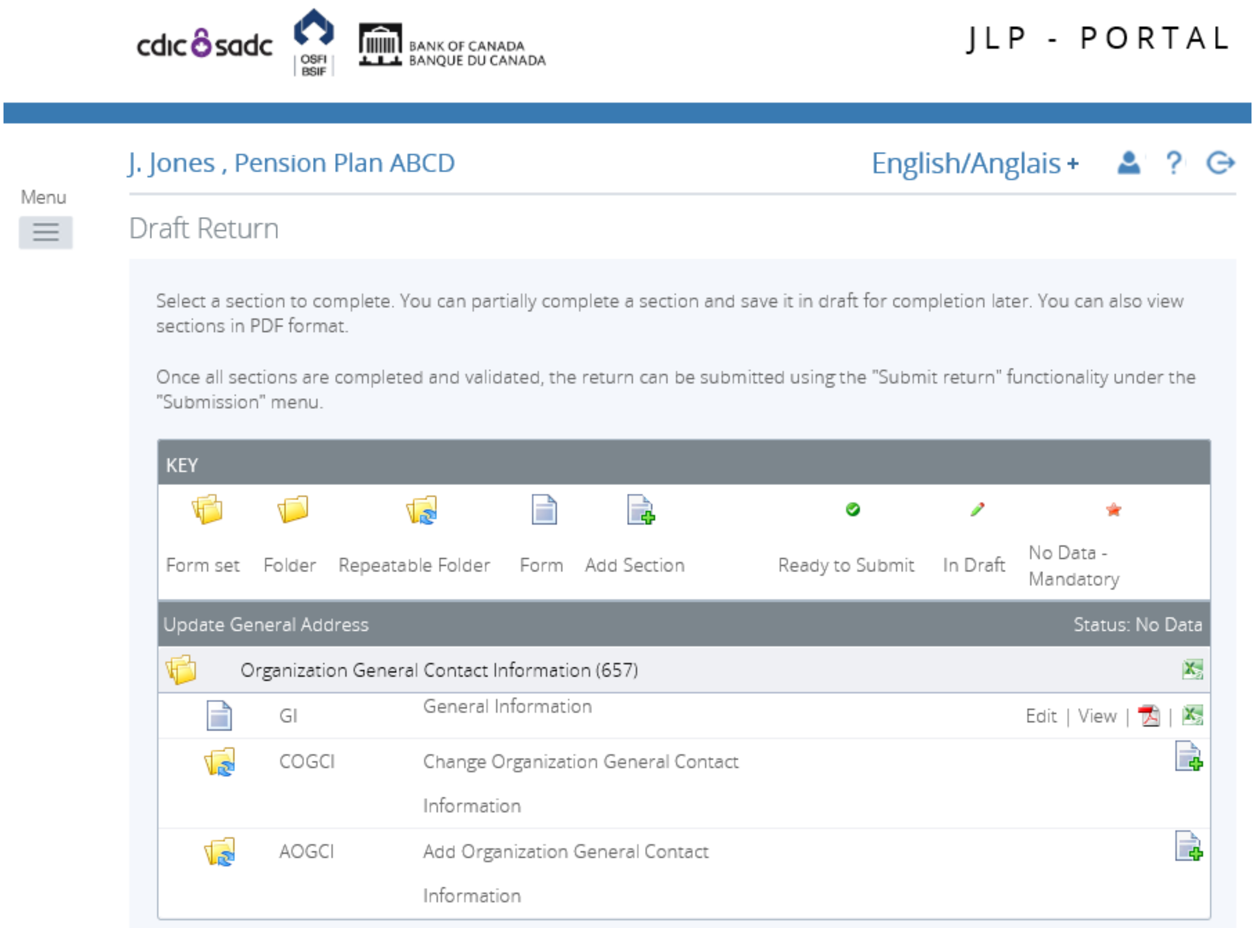
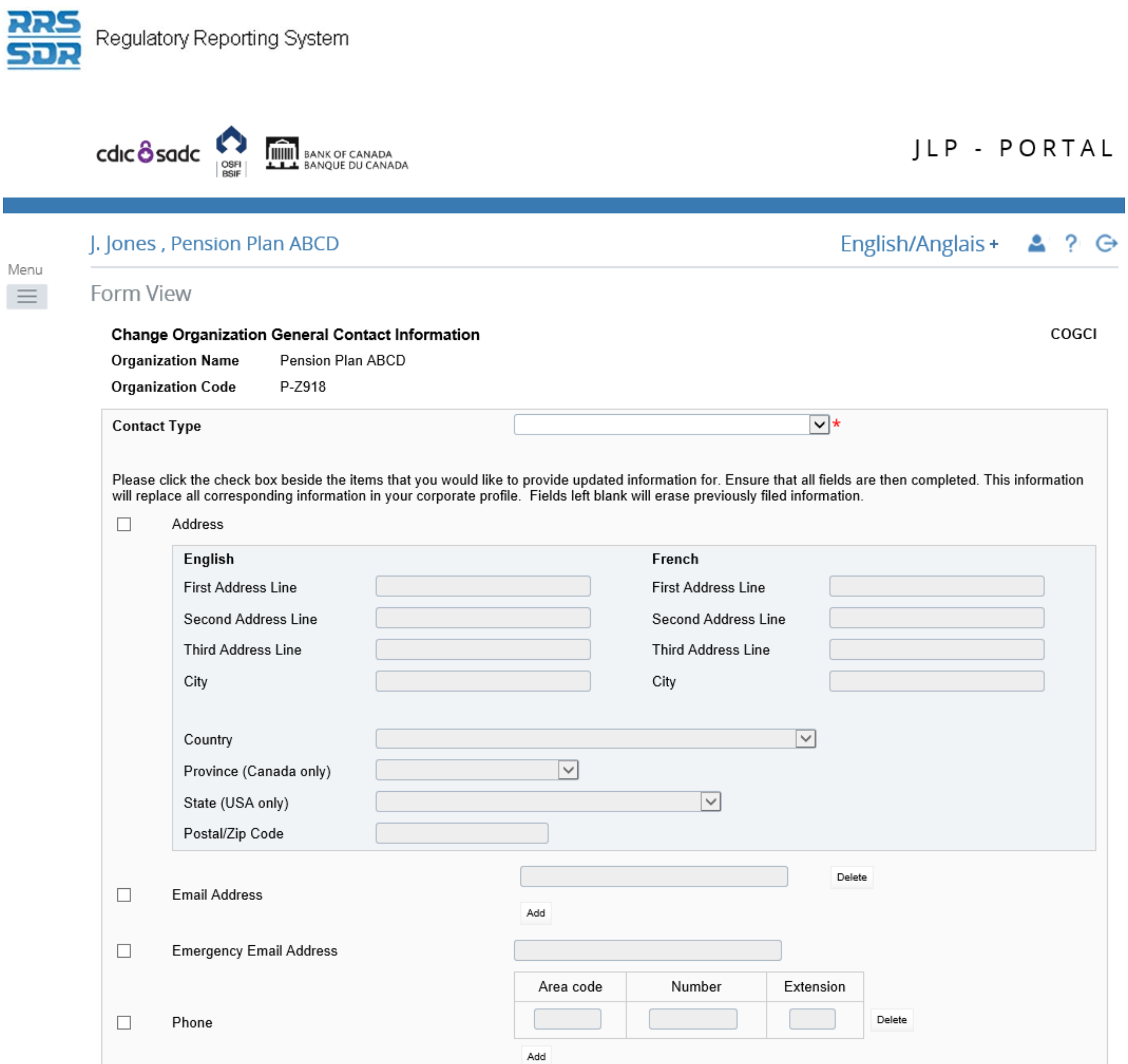



**Figure 4.1-5: Draft Return Page**

8. Click on the "Add Instance" button on the right hand side (green plus sign) next to "Change Organization General Contact Information"

9. This will open a new worksheet within this section of the return.



Regulatory Reporting System

JLP - PORTAL

J. Jones , Pension Plan ABCD English/Anglais +

Menu

Form View

**Change Organization General Contact Information** COGCI

**Organization Name** Pension Plan ABCD

**Organization Code** P-Z918

**Contact Type** *

Please click the check box beside the items that you would like to provide updated information for. Ensure that all fields are then completed. This information will replace all corresponding information in your corporate profile. Fields left blank will erase previously filed information.

☐ Address

| **English** | | **French** | |
|---|---|---|---|
| First Address Line | | First Address Line | |
| Second Address Line | | Second Address Line | |
| Third Address Line | | Third Address Line | |
| City | | City | |
| Country | | | |
| Province (Canada only) | | | |
| State (USA only) | | | |
| Postal/Zip Code | | | |

☐ Email Address Delete Add

☐ Emergency Email Address

| Area code | Number | Extension |
|---|---|---|
| | | |

☐ Phone Delete Add

**Figure 4.1-6: Change Organization General Contact Information Page**

10. Under Contact Type, choose appropriate contact type you wish to update (see example above).

11. Only check boxes on the left hand side that you wish to provide updated information for.

    a. If providing an address change, you must provide the complete mailing address (the system will not pre-populate that information from your profile).

    b. If providing any email, telephone or fax changes, check boxes as appropriate and provide all the required information as appropriate.

    c. If you already have an email address, telephone or fax number within your profile and you wish to add a second email or telephone/fax number, you must re-enter the current information from your profile, then add any additional information by clicking on the "Add" button.

12. The Additional Contact Info is meant to be used for any other general information not provided above.
13. You can now click on the **Validate & Save** button.
14. Your return is now ready to be submitted.
15. Follow instructions under 3.1 General Instructions on how to complete and submit a corporate return.

### 4.1.3 How to Update information located under General Information

Under the General Information section, this is where your preferred language and your organization's website URL can be found and maintained.

The preferred language is automatically defaulted to English. To change your preferred language to French, simply check off the box on the left hand side to enable that record. Once you have updated this information, you can now click on the "Validate & Save" button.

You can also maintain your organization's website URL however this information is not a mandatory requirement.

## 4.2 How to Add an Individual/Related Organization to your Organization Profile

To add an individual or a Related Organization to your organization profile, you must use the Required Roles and Contact Information Return.

For each individual or related organization, a Business Mailing Address must be maintained at all times.

Provide the full name and salutation of each new individual being added to the organization profile.

| | **Reminder** |
|---|---|
| | When adding a new individual or related organization to the Organization Profile, please ensure that the departing individual or related organization is removed from the profile by following steps under Section 4.3 How to Delete an Individual or a Related Organization from your Organization Profile. |

| | **Note** |
|---|---|
| | When you are removing and adding an individual on the same effective date (i.e. the Plan Administrator of your organization has resigned and you are adding a new Plan Administrator), you are required to use one return to make both changes. Additions and deletions can be made within the same return filing. |

### 4.2.1 How to Add an Individual to your Organization Profile

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

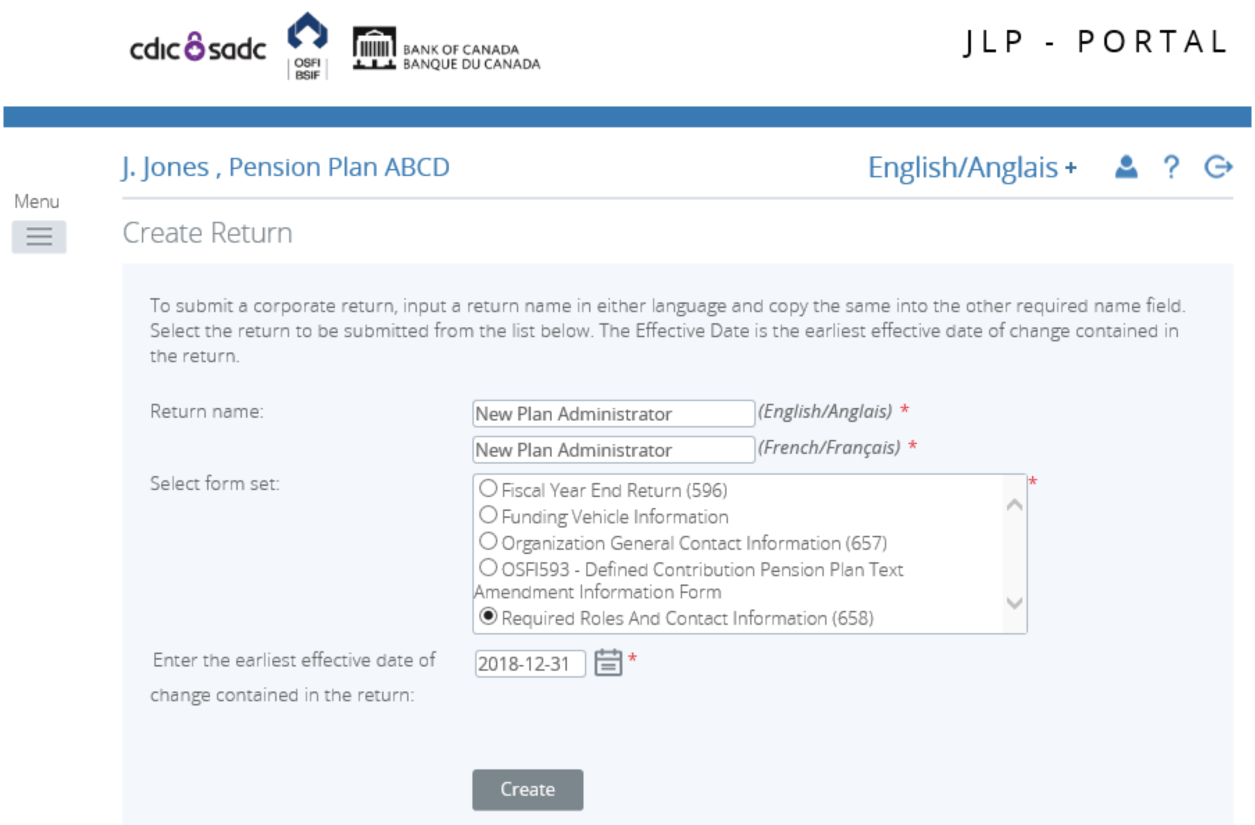



**Figure 4.2-1: Create Return Page**

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

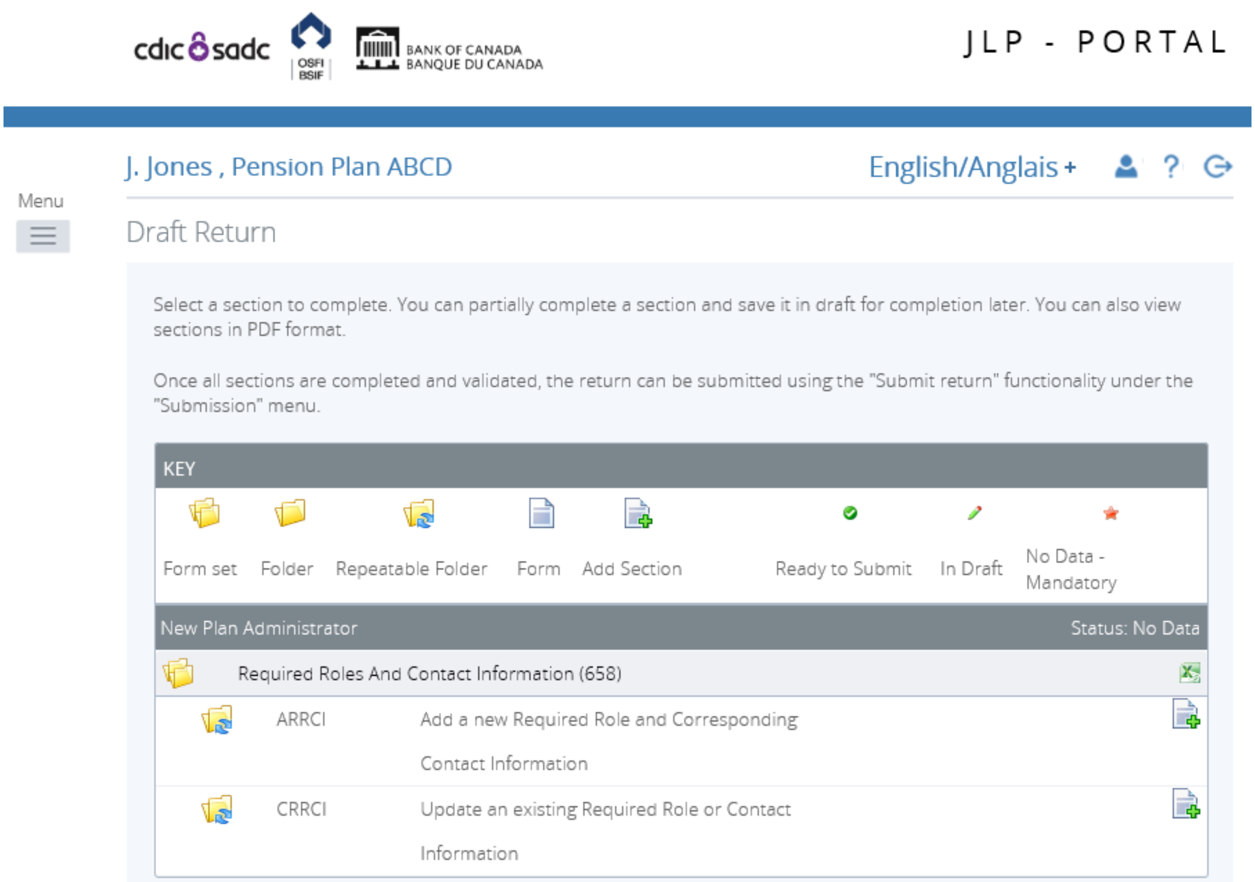



**Figure 4.2-2: Draft Return Page**

8. Click on the “Add Instance” button on the right hand side (green plus sign) next to “Add a new Required Role and Corresponding Contact Information”
9. This will open a new worksheet within this section of the return.

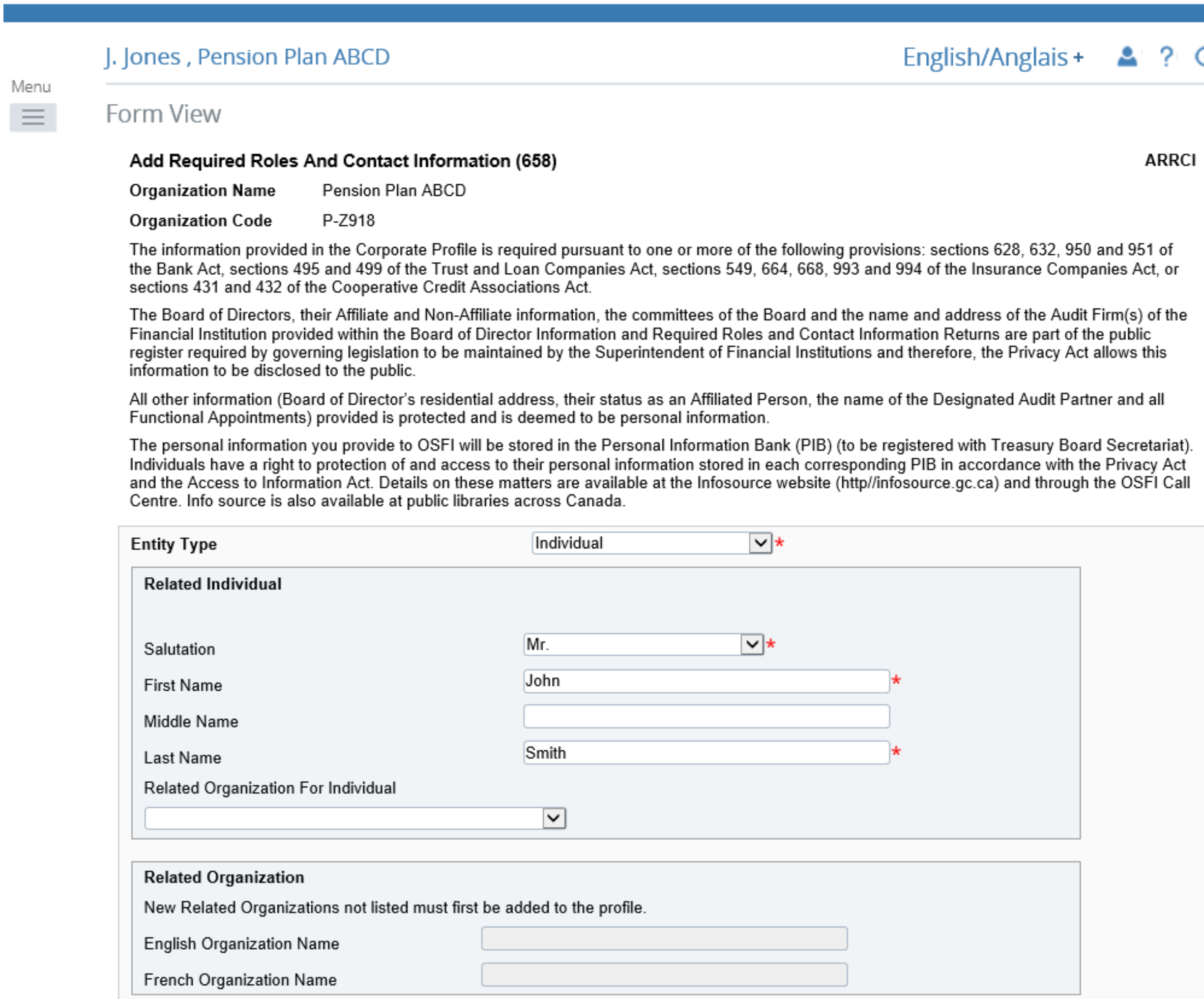



**Figure 4.2-3: Add Required Roles and Contact Information Page**

10. Under Entity Type, choose "Individual" (see example above).

11. Under Related Individual, enter appropriate information.

12. Under Related Organization Individual, select the appropriate organization to the individual

13. Under Roles, click on "Add" button to expand box (as shown below).

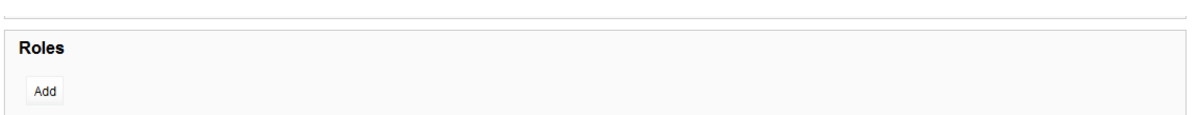



**Figure 4.2-4: Add Required Roles and Contact Information Page**

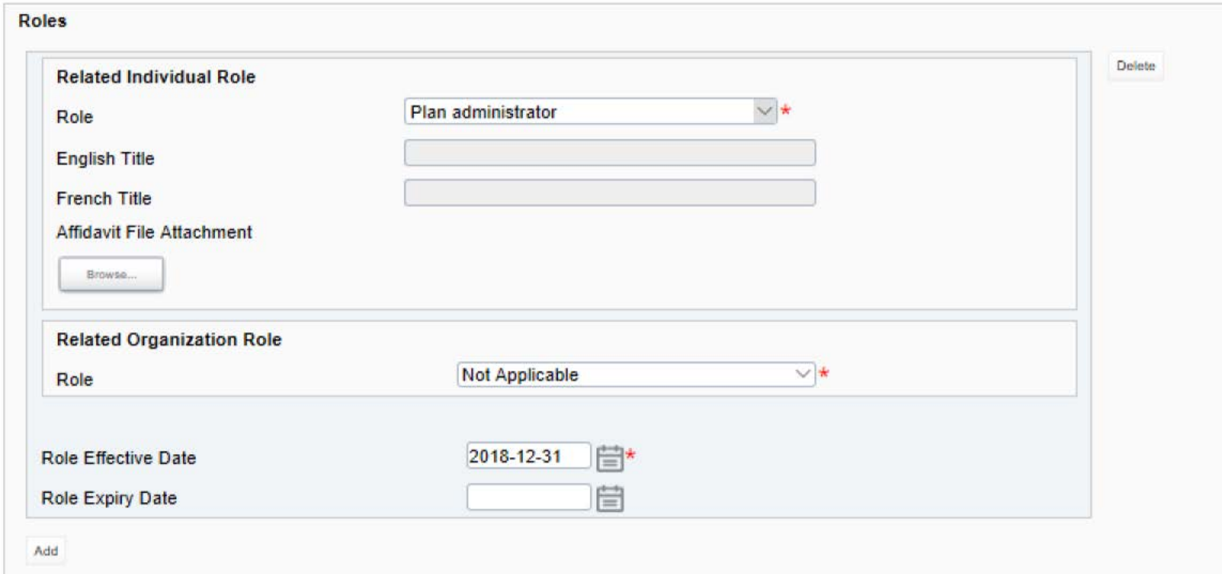



**Figure 4.2-5: Add Required Roles and Contact Information Page**

14. Under Related Individual Role, choose the appropriate role for the individual (as shown above)
15. Provide the title of the individual, only if different than the title of the role.
16. Under Related Organization Role, this field will remain as "Not Applicable".
17. Enter the role effective date.
18. Under Contact Information, click on "Add" button to expand box (as shown below)

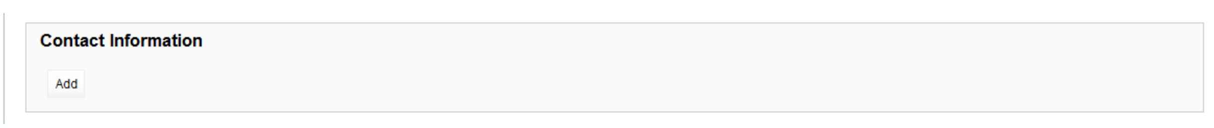



**Figure 4.2-6: Add Required Roles and Contact Information Page**

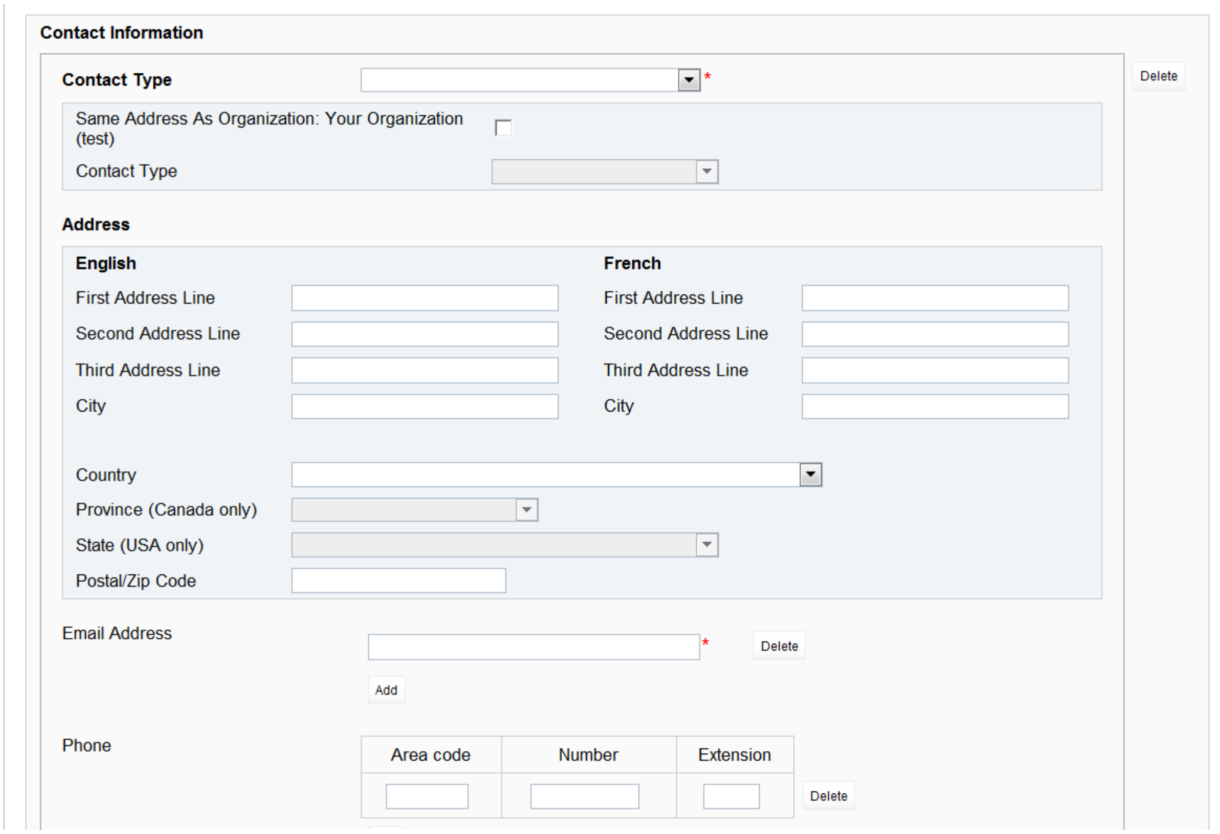



**Figure 4.2-7: Add Required Roles and Contact Information Page**

19. Under Contact Type, choose "Business Mailing Address".

| | **Note:** |
|---|---|
| | For an individual, their contact type must always be set as "Business Mailing Address".<br>If the business mailing address for an individual is the same as the address of your organization, simply check this box and choose the appropriate general contact type in your organization profile. |

20. You must then provide a business email address for the individual, including their telephone and fax numbers.

21. You can now click on the **Validate & Save** button.

22. Your return is now ready to be submitted.

23. Follow instructions under Section 3.1 General Instructions on Completing and Submitting a Corporate Return.

## 4.2.2 How to Add a Related Organization to your Organization Profile

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

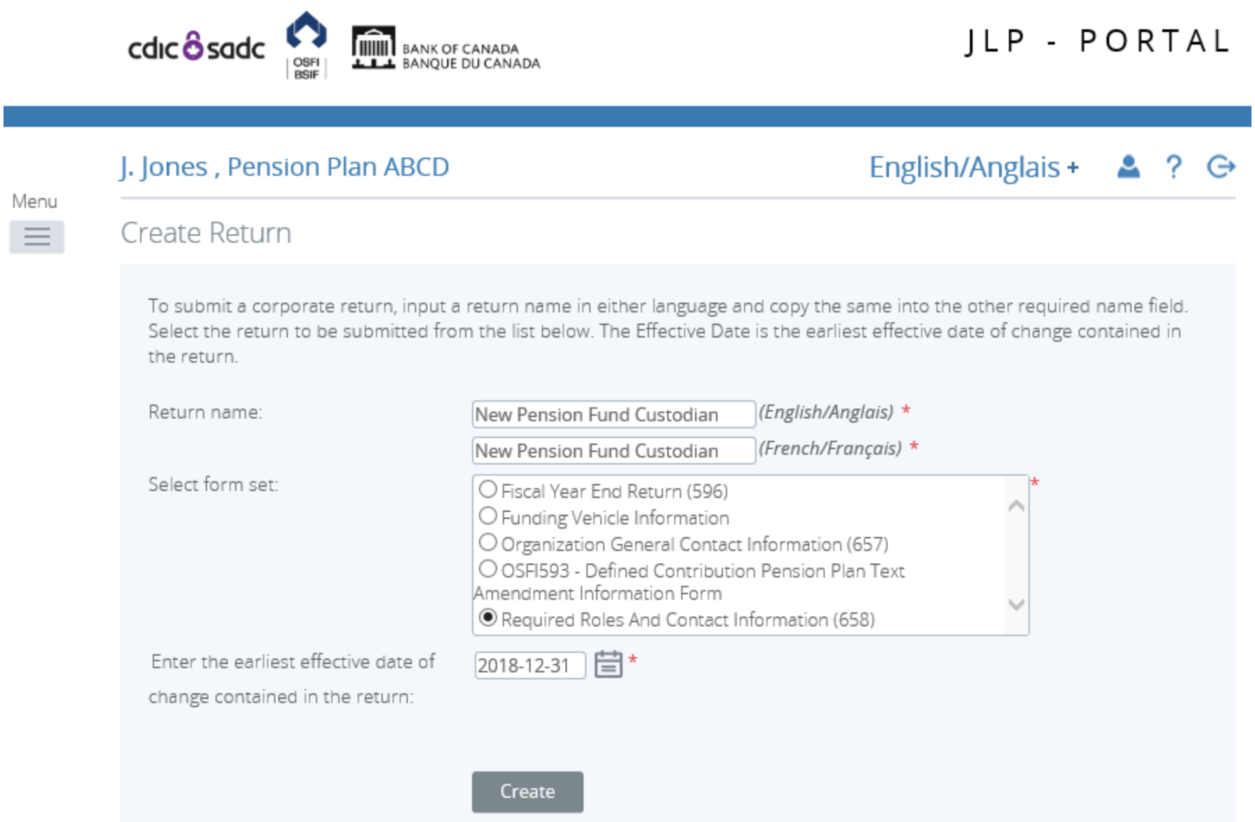



**Figure 4.2-8: Create Return Page**

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

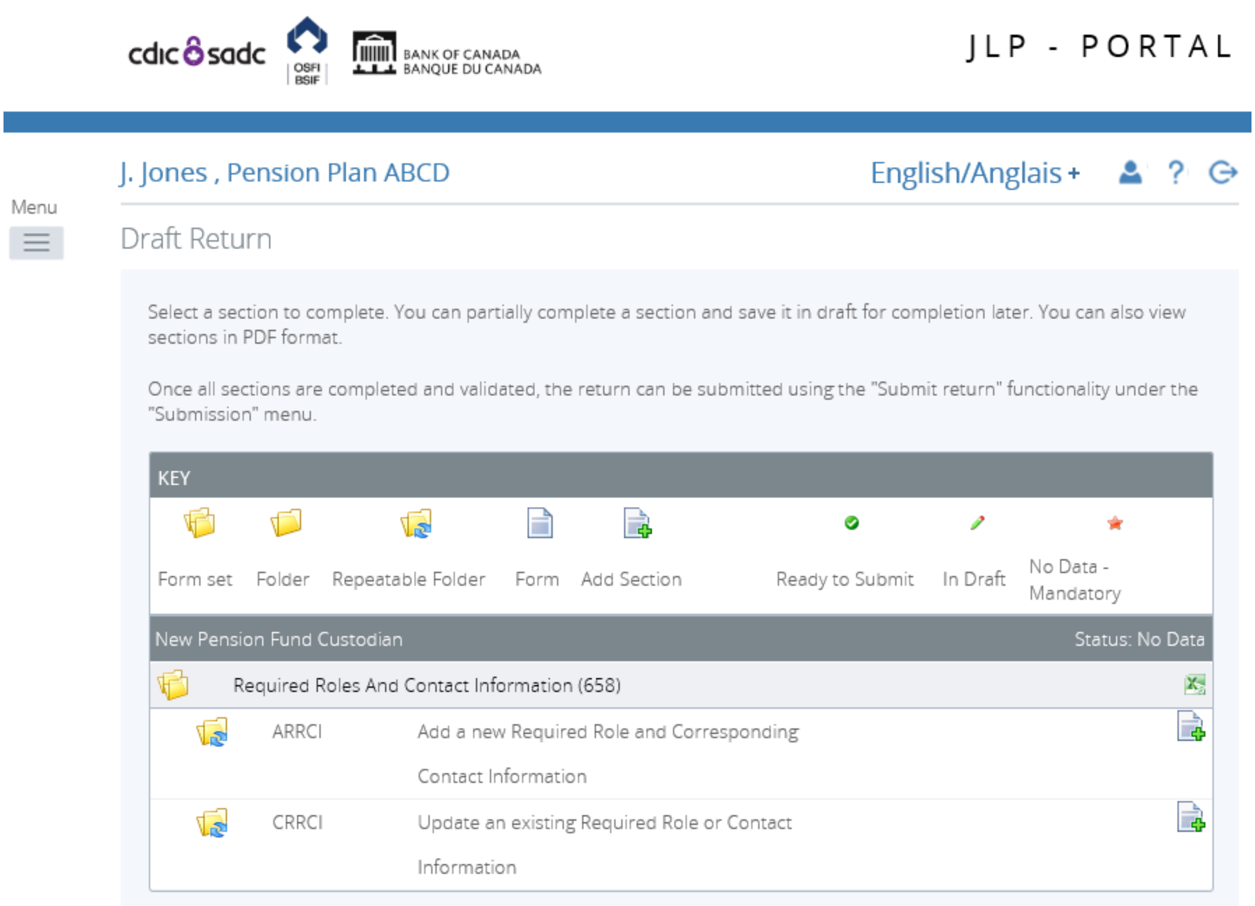
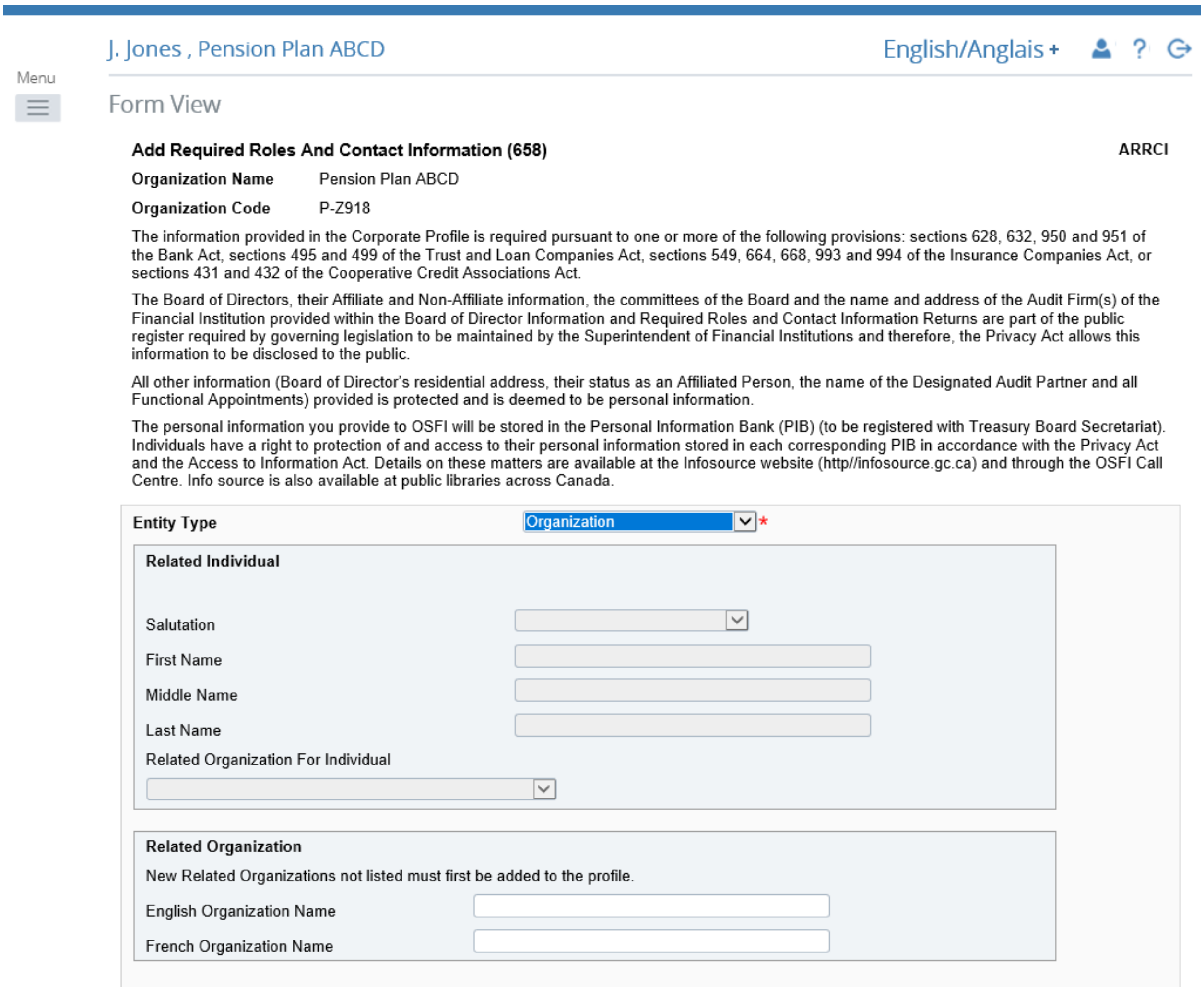



**Figure 4.2-9: Draft Return Page**

8. Click on the “Add Instance” button on the right hand side (green plus sign) next to “Add a new Required Role and Corresponding Contact Information”
9. This will open a new worksheet within this section of the return.



J. Jones , Pension Plan ABCD

English/Anglais +

Menu

Form View

**Add Required Roles And Contact Information (658)** ARRCI

**Organization Name** Pension Plan ABCD

**Organization Code** P-Z918

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

**Entity Type** Organization *

**Related Individual**

Salutation

First Name

Middle Name

Last Name

Related Organization For Individual

**Related Organization**

New Related Organizations not listed must first be added to the profile.

English Organization Name

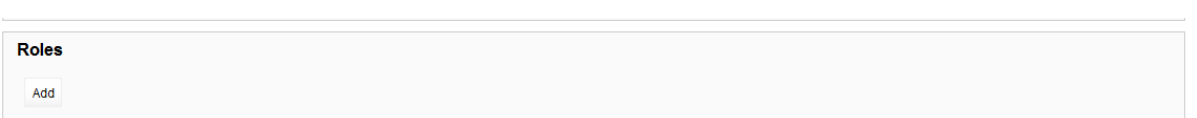
French Organization Name

**Figure 4.2-10: Add Required Roles and Contact Information Page**

10. Under Entity Type, choose "Organization" (see example above).

11. Under Related Organization, enter appropriate information in the language of your choice. (NOTE: The Related Individual section will remain blank.)

12. Under Roles, click on "Add" button to expand box (as shown below).



**Roles**

Add

**Figure 4.2-11: Add Required Roles and Contact Information Page**

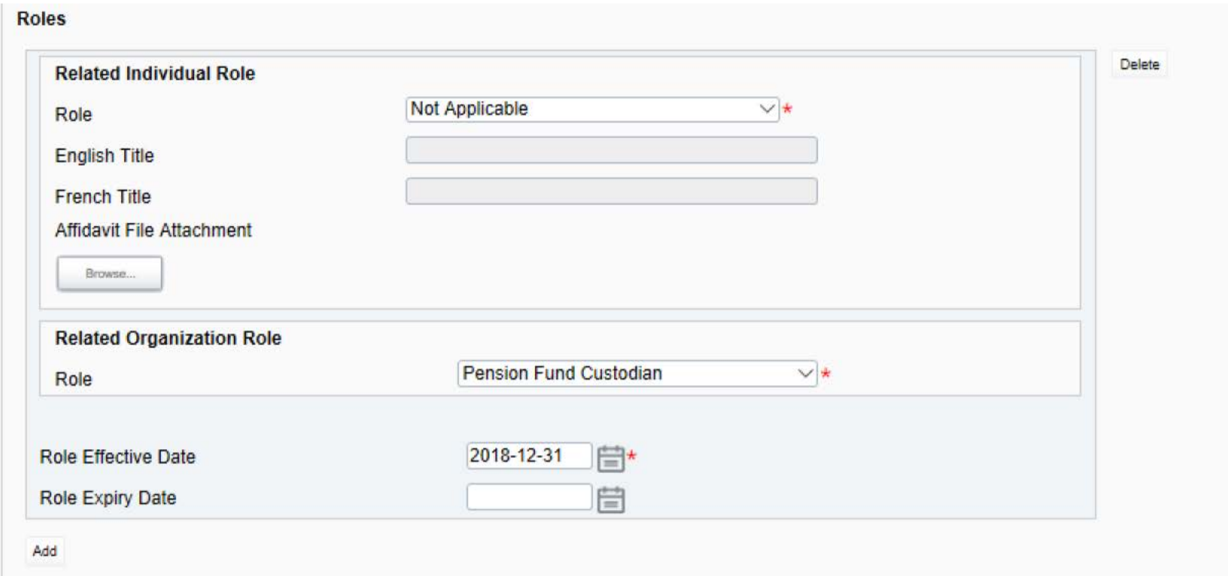



**Figure 4.2-12: Add Required Roles and Contact Information Page**

13. Under Related Organization Role, choose the appropriate role for the organization (as shown above)
14. Under Related Individual Role, this field will remain as “Not Applicable”.
15. Enter the role effective date.
16. Under Contact Information, click on “Add” button to expand box (as shown below)

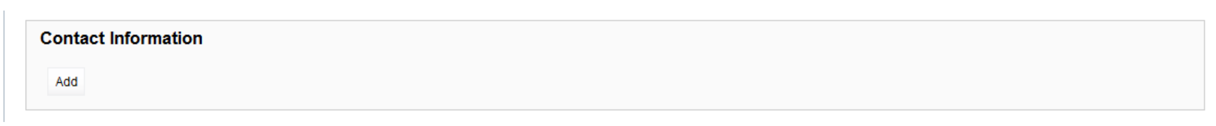



**Figure 4.2-13: Add Required Roles and Contact Information Page**

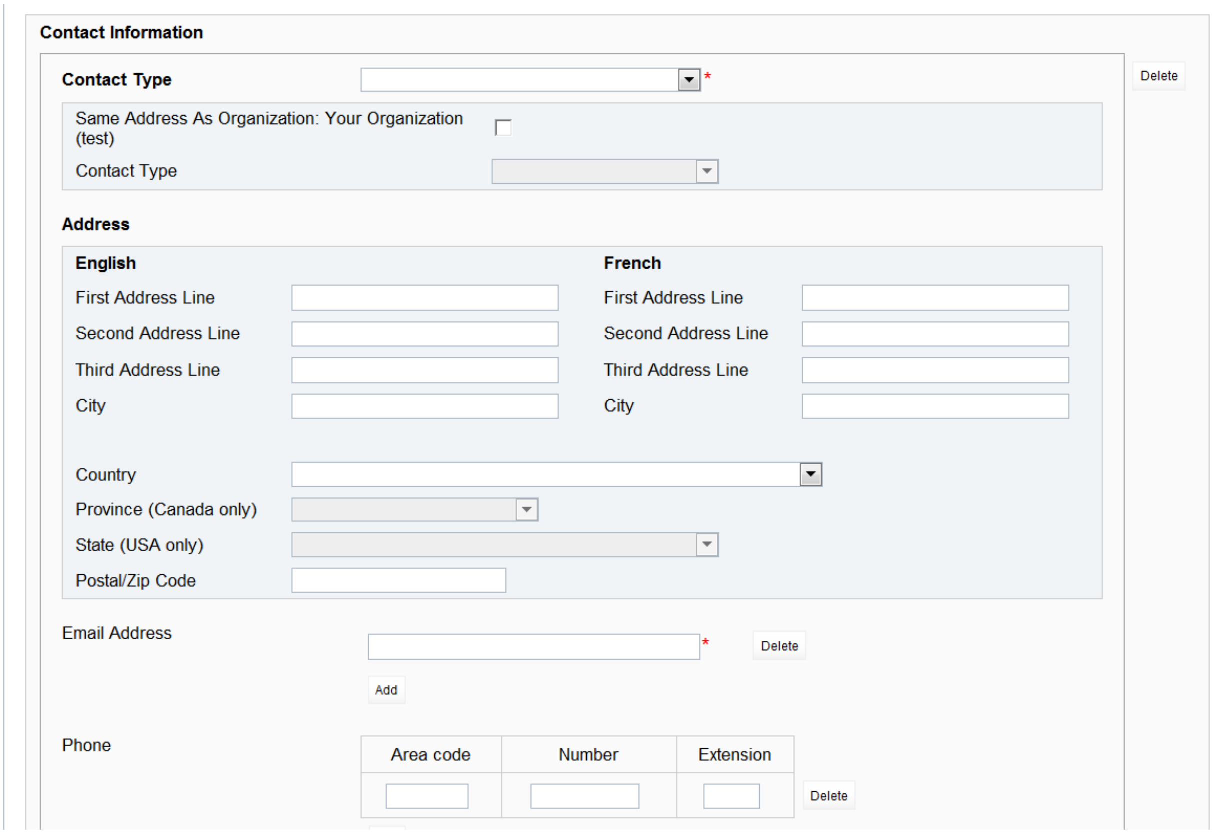



**Figure 4.2-14: Add Required Roles and Contact Information Page**

17. Under Contact Type, choose "Business Mailing Address".

| | **Note** |
|---|---|
| | For a related organization, their contact type must always be set as "Business Mailing Address". |

18. You must then provide a general business email address for the organization, including a general telephone and fax number. (If a general business email address is not available, please provide the email address for the individual related to this organization.)

19. You can now click on the **Validate & Save** button.

20. Your return is now ready to be submitted.

21. Follow instructions under [Section 3.1 General Instructions on Completing and Submitting a Corporate Return](#).

# 4.3 How to Delete an Individual or a Related Organization from your Organization Profile

To delete an individual or a Related Organization from your organization profile, you must use the Required Roles and Contact Information Return. The following are instructions on how to delete an individual.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

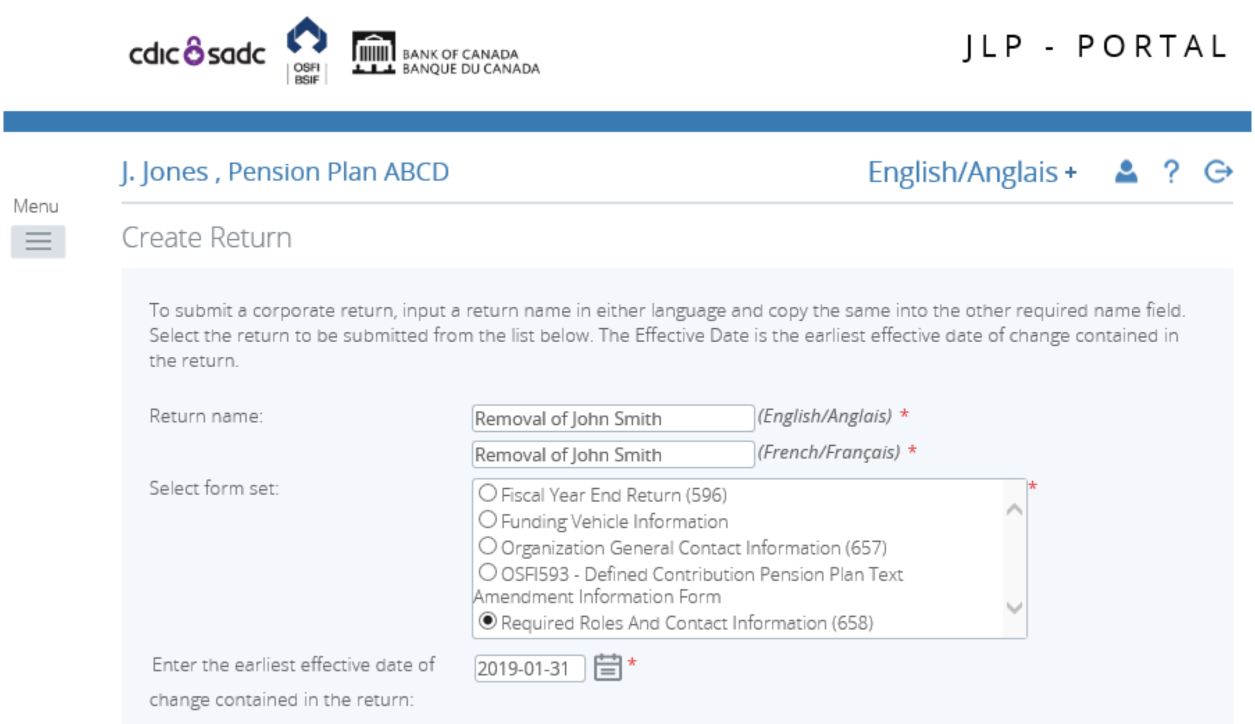



**Figure 4.3-1: Create Return Page**

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

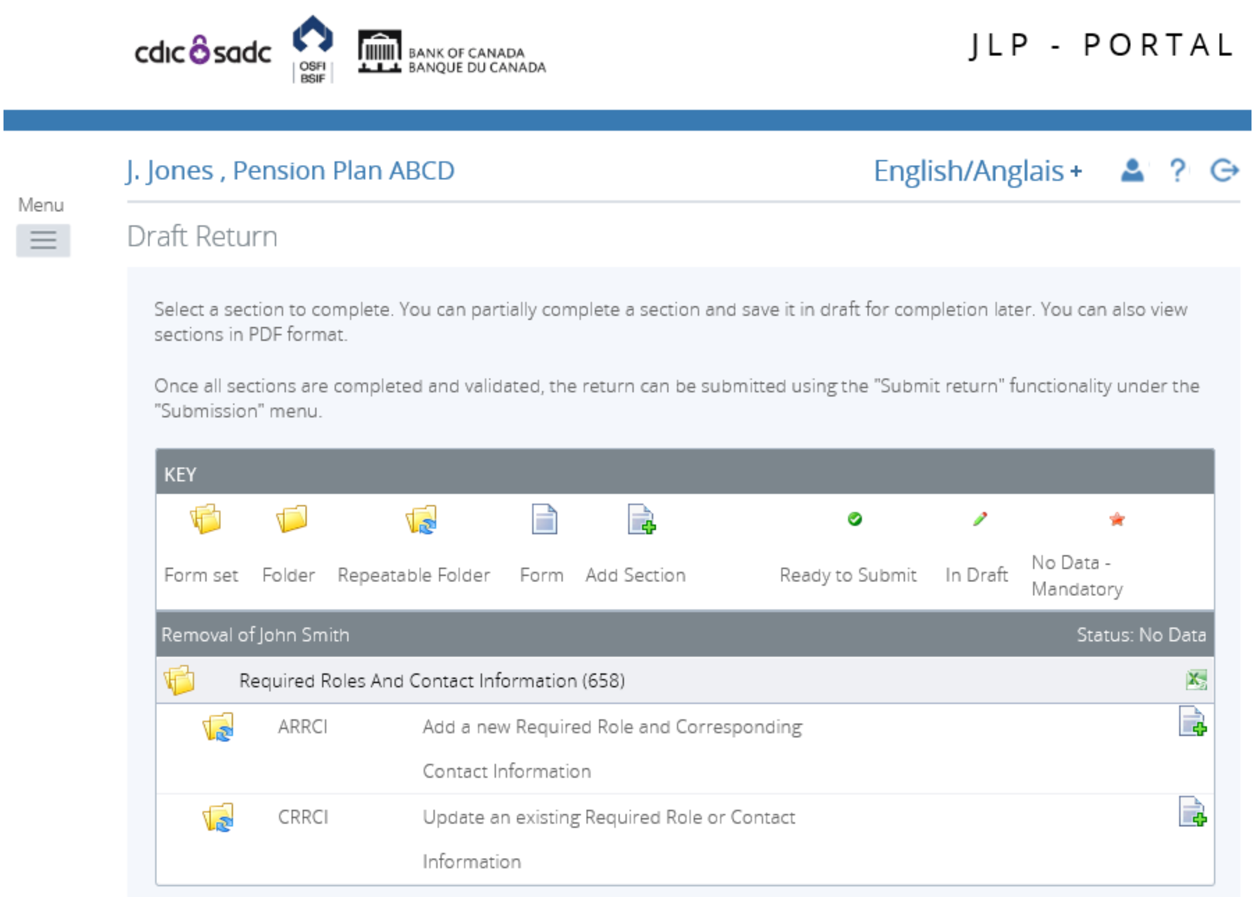



**Figure 4.3-2: Draft Return Page**

8. Click on the “Add Instance” button on the right hand side next to “Update an existing Required Role or Contact Information”
9. This will open a new worksheet within this section of the return.

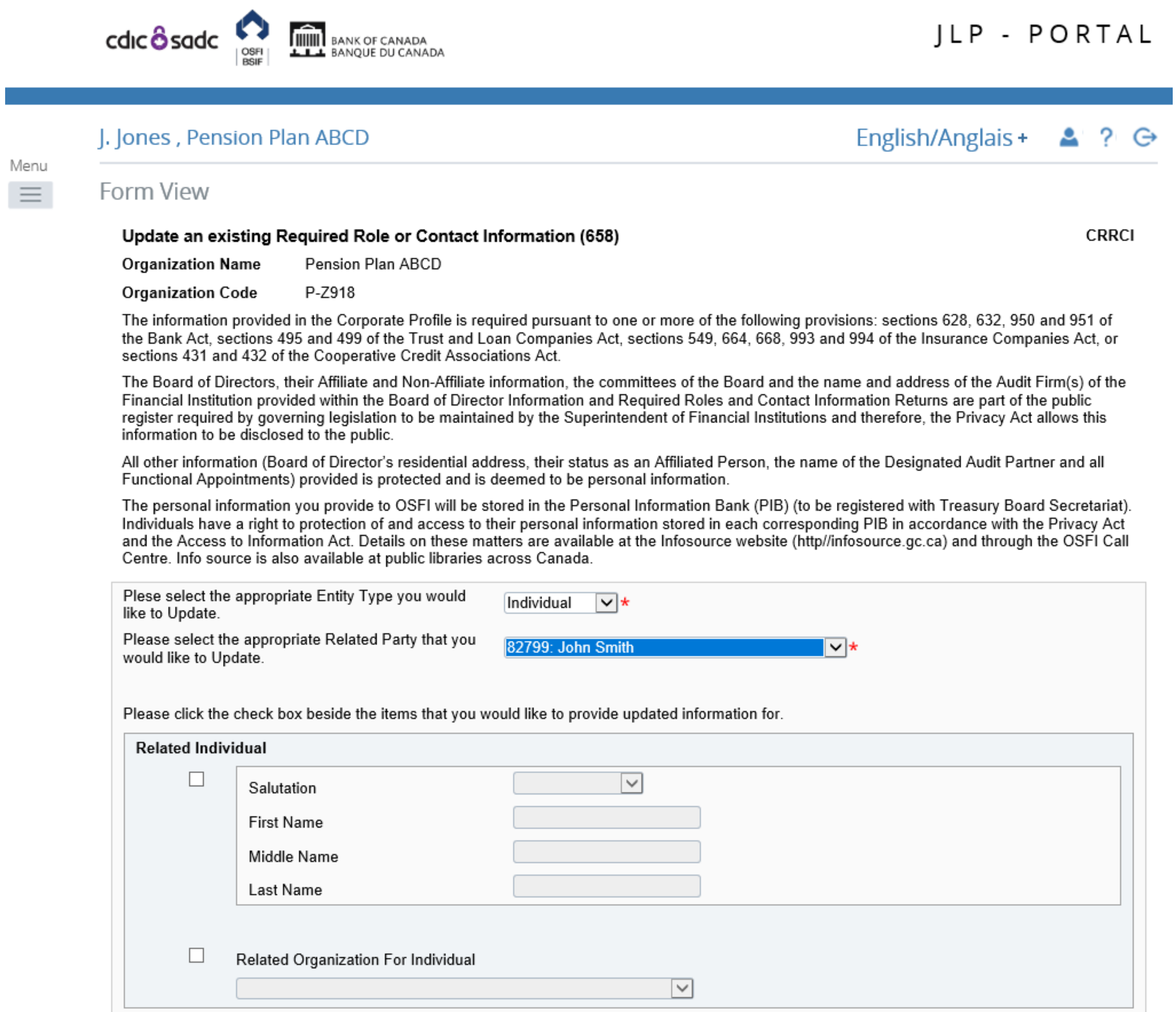



**Figure 4.3-3: Update an existing Required Roles or Contact Information Page**

10. Under Select the appropriate Entity Type you would like to Update, choose "Individual" (see example above).

11. Under Select the appropriate Related Party that you would like to Update, choose the name of the individual you would like to remove from the drop down menu.

| | |
|---|---|
| | **Note** |
| | The instructions are the same if you are updating a related organization. In this instance, you would choose “Organization” as your entity type and you would then select the name of the related organization from the drop down menu. |

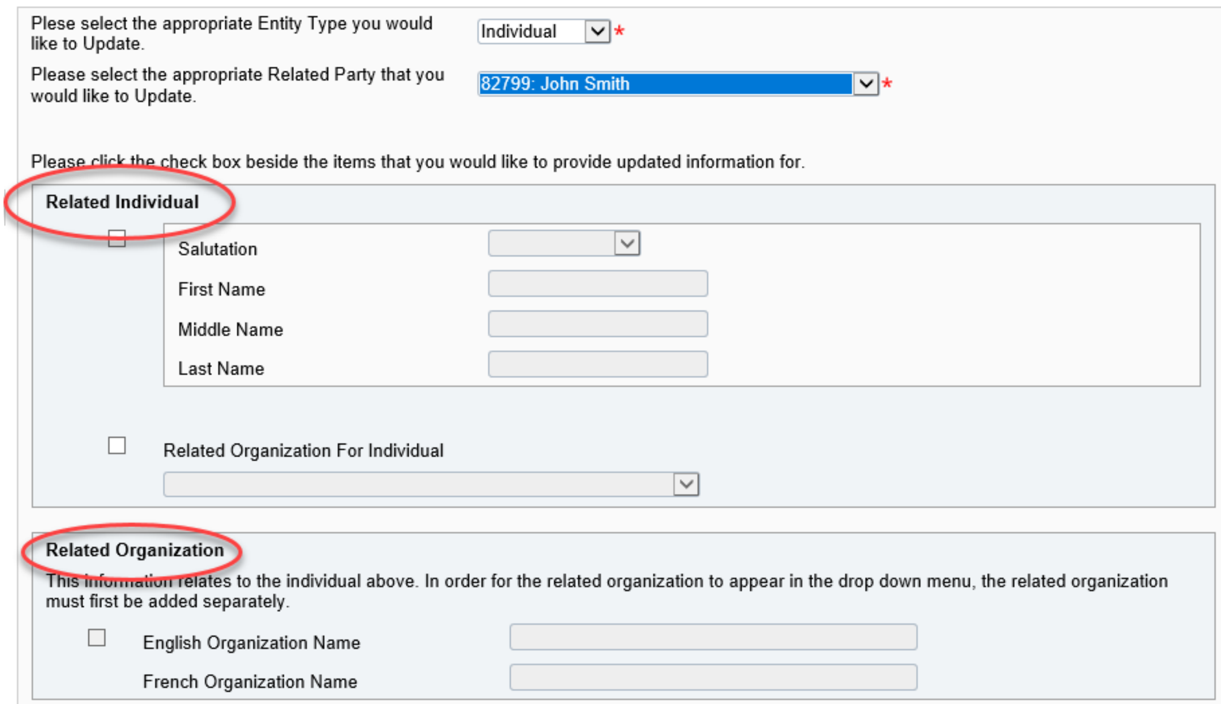



**Figure 4.3-4: Update an existing Required Roles or Contact Information Page**

| | |
|---|---|
| | **Note** |
| | On this page, when you are looking to delete an individual or a related organization, the Related Individual and Related Organization sections above will always remain blank. These two sections are only to be used when you wish to make a change to an individual’s name (i.e. Jane Smith changes to Jane O’Connor) or a related organization’s name (i.e. Price Waterhouse changes to PricewaterhouseCoopers). |

12. Under Roles, click on “Add” button to expand box (as shown below).

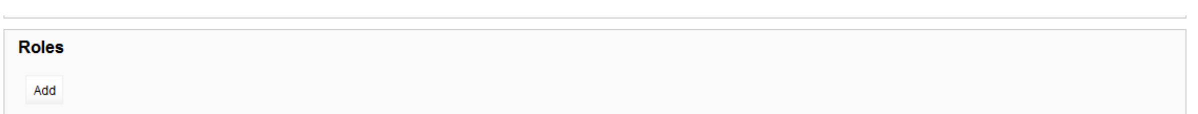



**Figure 4.3-5: Update an existing Required Roles or Contact Information Page**

13. Under Indicate whether you wish to add a new role or update an existing role, choose "Update".

14. Under Related Individual Role, choose the appropriate role for the individual (as shown below)

15. Under Related Organization Role, this field will remain as "Not Applicable".

16. Check box to the left of Role Expiry Date, this will enable to date field on the right hand side.

17. Select the appropriate Role Expiry Date.

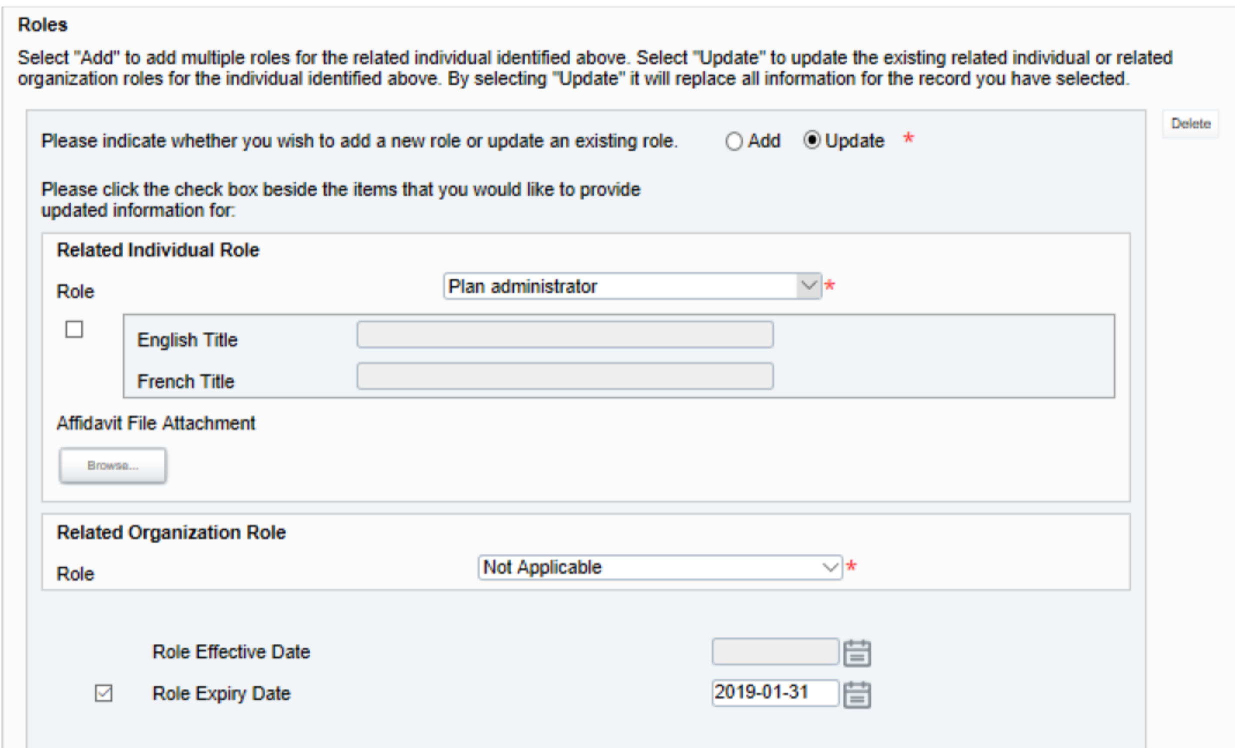



**Figure 4.3-6: Update an existing Required Roles or Contact Information Page**

| | |
|---|---|
| | **Note** |
| | If the individual you are looking to remove from your organization profile has multiple roles, a role expiry date is required for each role the individual holds by following steps 12 to 17 above for each unique role. |

18. You can now click on the **Validate & Save** button.

19. Your return is now ready to be submitted.

20. Follow instructions under Section 3.1 General Instructions on Completing and Submitting a Corporate Return.

| | **Reminder** |
|---|---|
| | The system will NOT allow you to create two identical returns with the same effective date. |

## 4.4 How to Add Multiple Roles to an Existing Individual within your Organization Profile

To add multiple roles to an existing individual within your Organization Profile, you must use the Required Roles and Contact Information Return. The following are instructions on how to add multiple roles to an existing individual.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

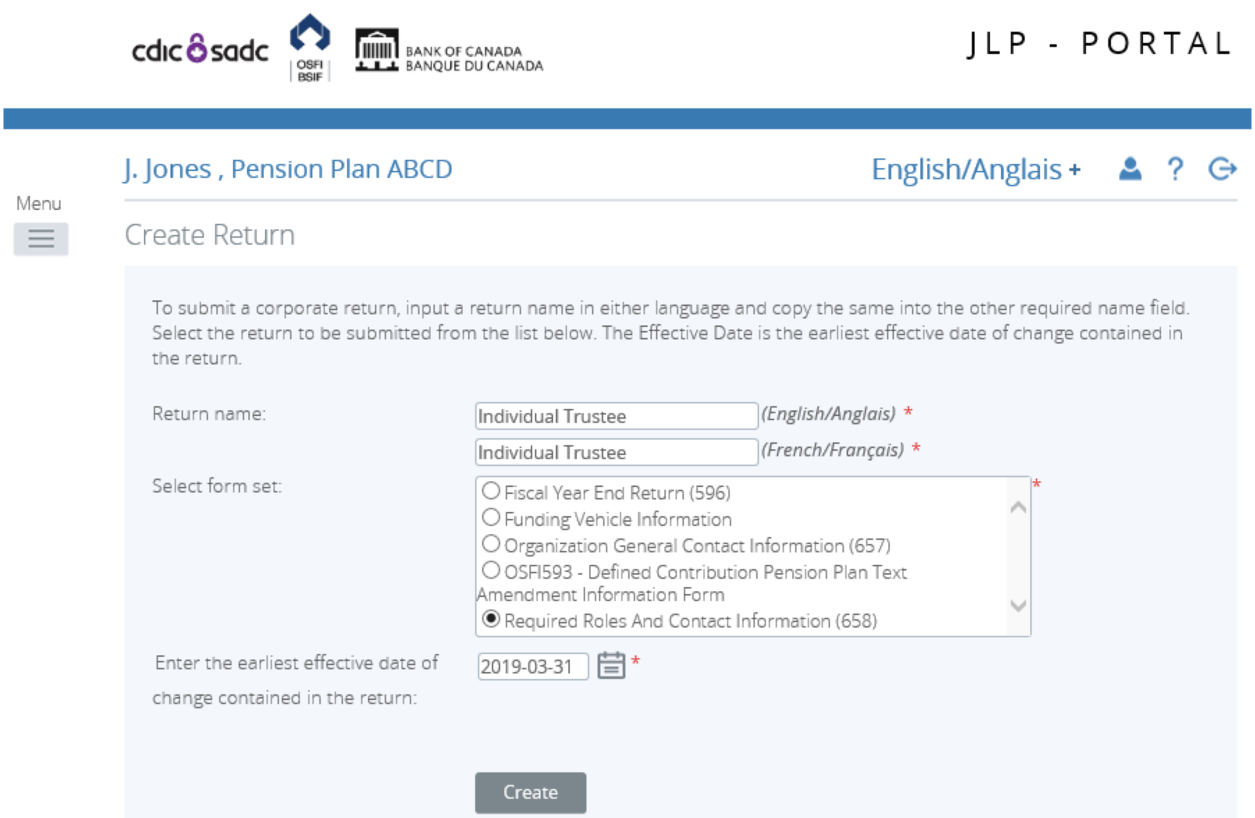



**Figure 4.4-1: Create Return Page**

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

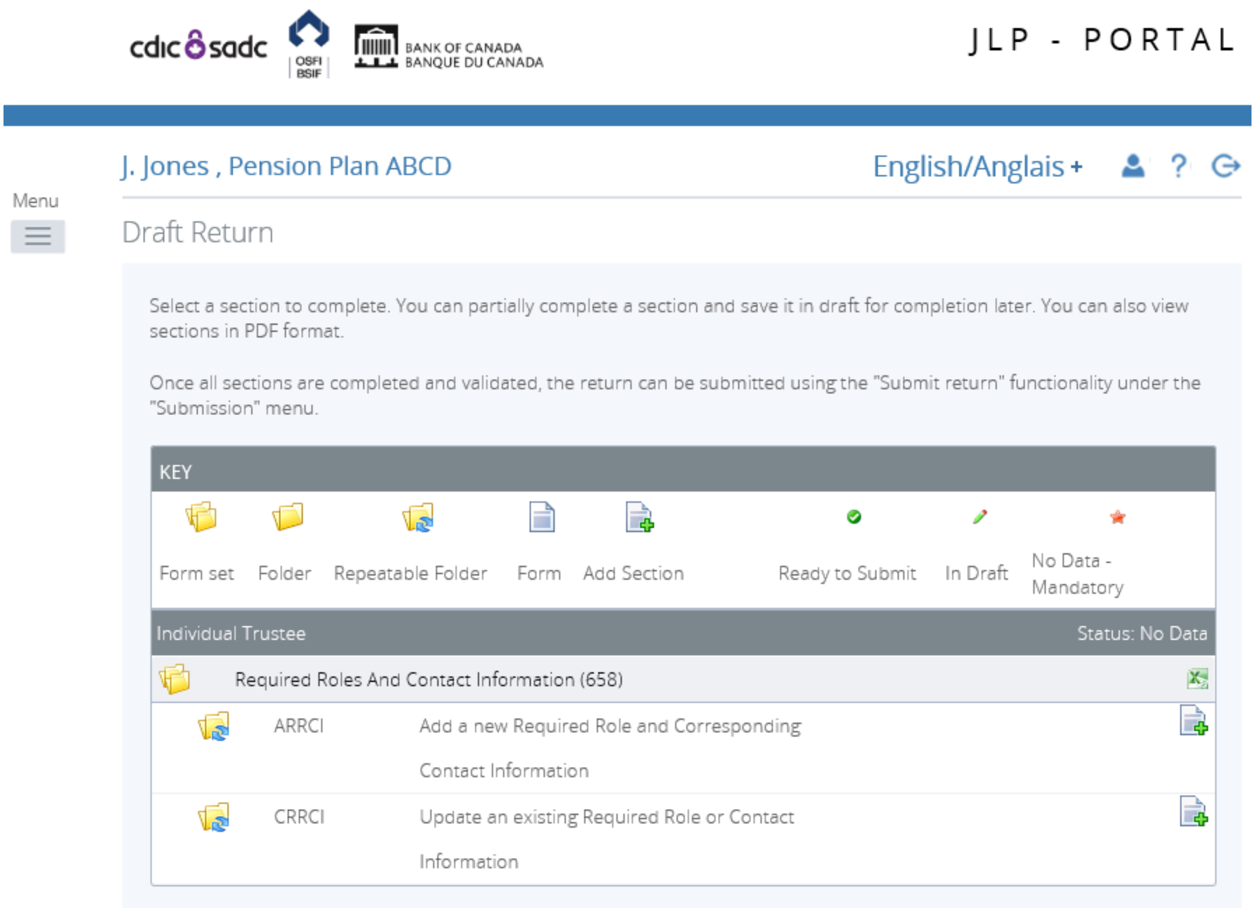
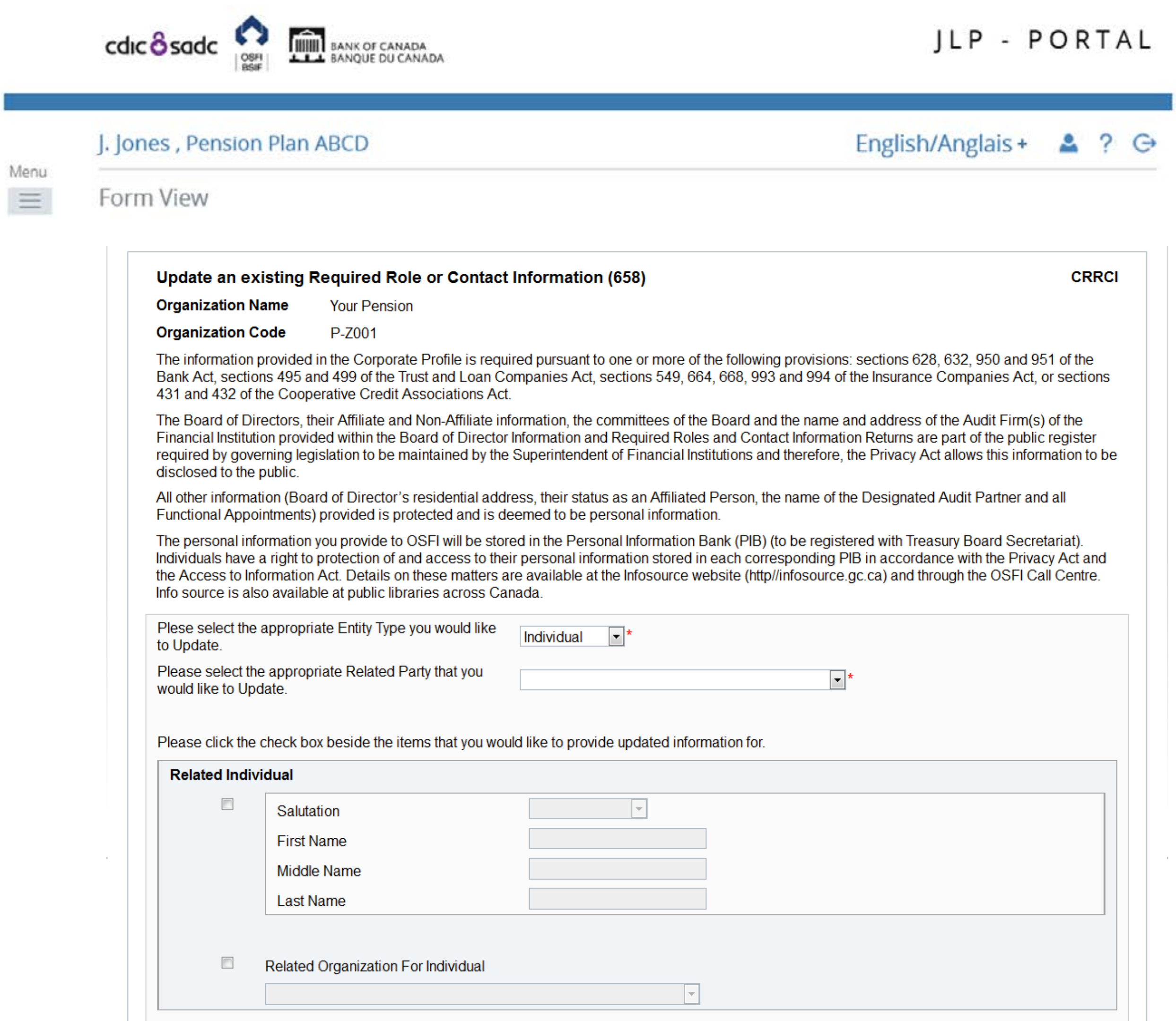



**Figure 4.4-2: Draft Return Page**

8. Click on the “Add Instance” button on the right hand side (green plus sign) next to “Update an existing Required Role or Contact Information”

9. This will open a new worksheet within this section of the return.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Menu

Form View

**Update an existing Required Role or Contact Information (658)** CRRCI

**Organization Name** Your Pension

**Organization Code** P-Z001

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

Plese select the appropriate Entity Type you would like to Update. Individual *

Please select the appropriate Related Party that you would like to Update. *

Please click the check box beside the items that you would like to provide updated information for.

**Related Individual**

Salutation

First Name

Middle Name

Last Name

Related Organization For Individual

**Figure 4.4-3: Update an existing Required Roles or Contact Information Page**

10. Under Select the appropriate Entity Type you would like to Update, choose "Individual" (see example above).

11. Under Select the appropriate Related Party that you would like to Update, choose the name of the individual you would like to add additional roles from the drop down menu.

12. Under Roles, click on "Add" button to expand box (as shown below).

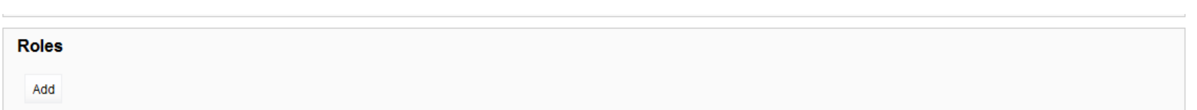



**Figure 4.4-4: Update an existing Required Roles or Contact Information Page**

13. Under Indicate whether you wish to add a new role or update an existing role, choose "Add".

14. Under Related Individual Role, choose the appropriate role for the individual (as shown above)
15. Add the individual's title, if different than the title of the role.
16. Under Related Organization Role, this field will remain as "Not Applicable".
17. Select the appropriate Role Effective Date.

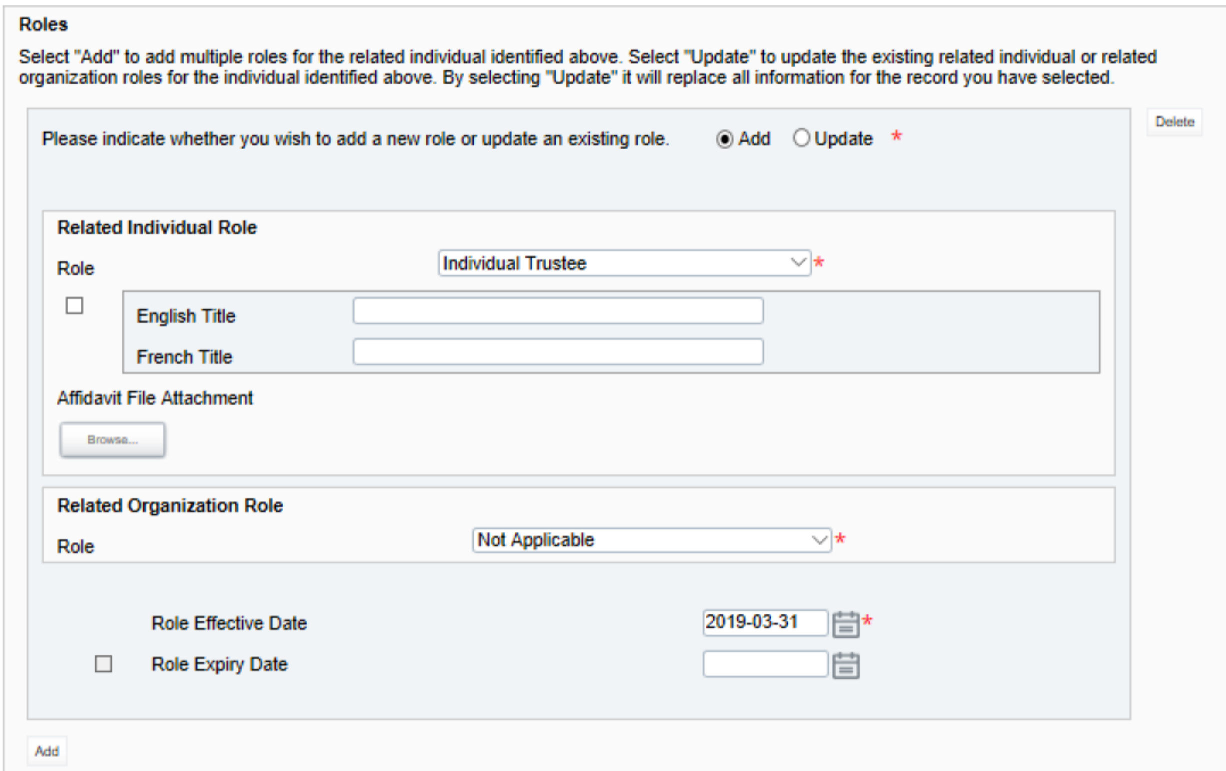



**Figure 4.4-5: Update an existing Required Roles or Contact Information Page**

18. You can now click on the **Validate & Save** button.
19. Your return is now ready to be submitted.
20. Follow instructions under Section 3.1 General Instructions on Completing and Submitting a Corporate Return.

# 4.5 How to Update Information to an Existing Individual/Related Organization within your Organization Profile

To update any information to an existing individual or related organization within your Organization Profile, such as their contact information, their name or their title, you must use the Required Roles and Contact Information Return. The following are instructions on how to update information to an existing individual or related organization.

## 4.5.1 How to Update Contact Information for an Existing Individual/Related Organization within your Organization Profile

The following instructions relate to when the contact information for an existing related individual or related organization within your organization profile has changed. This includes any changes to mailing addresses, email addresses, telephone or fax numbers.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

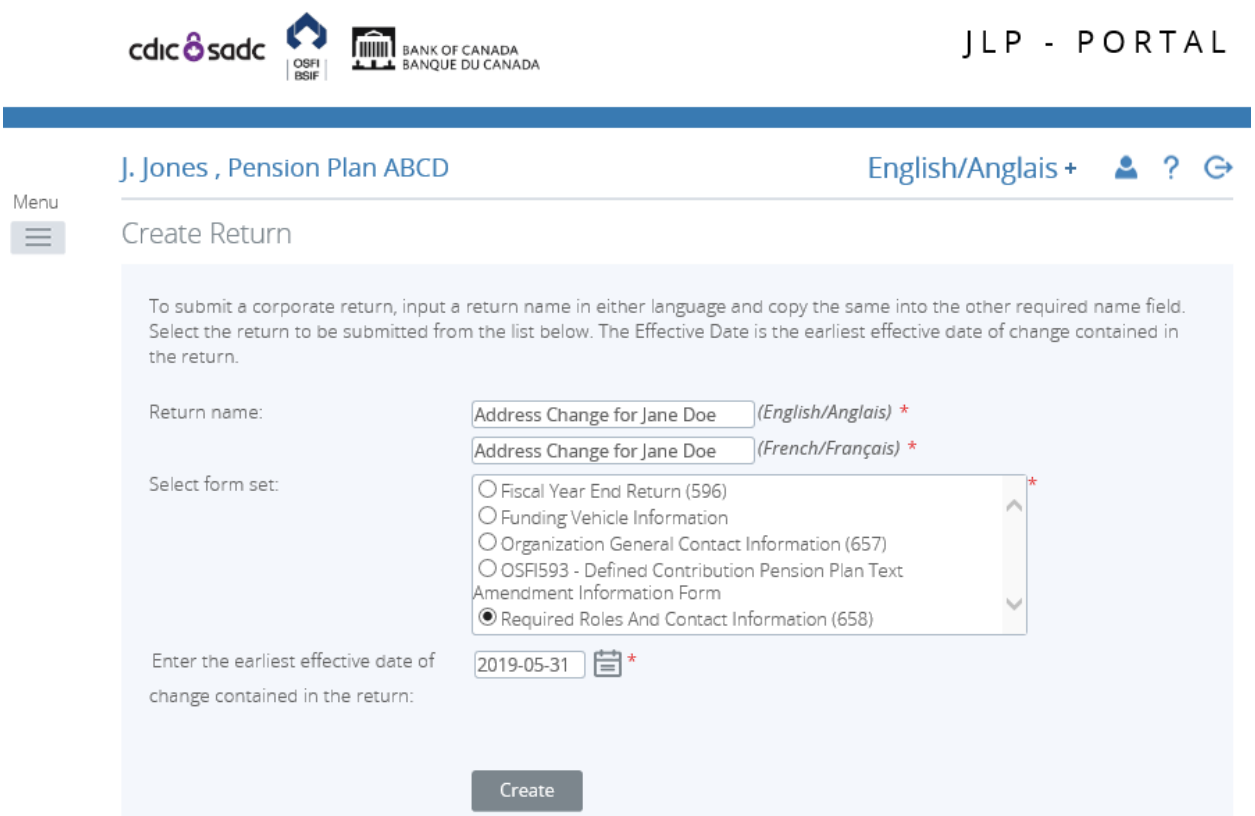



**Figure 4.5-1: Create Return Page**

3. Enter an English and French name for the return (see example above).

4. Select Required Roles And Contact Information.

5. Enter the Effective Date of change.

6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

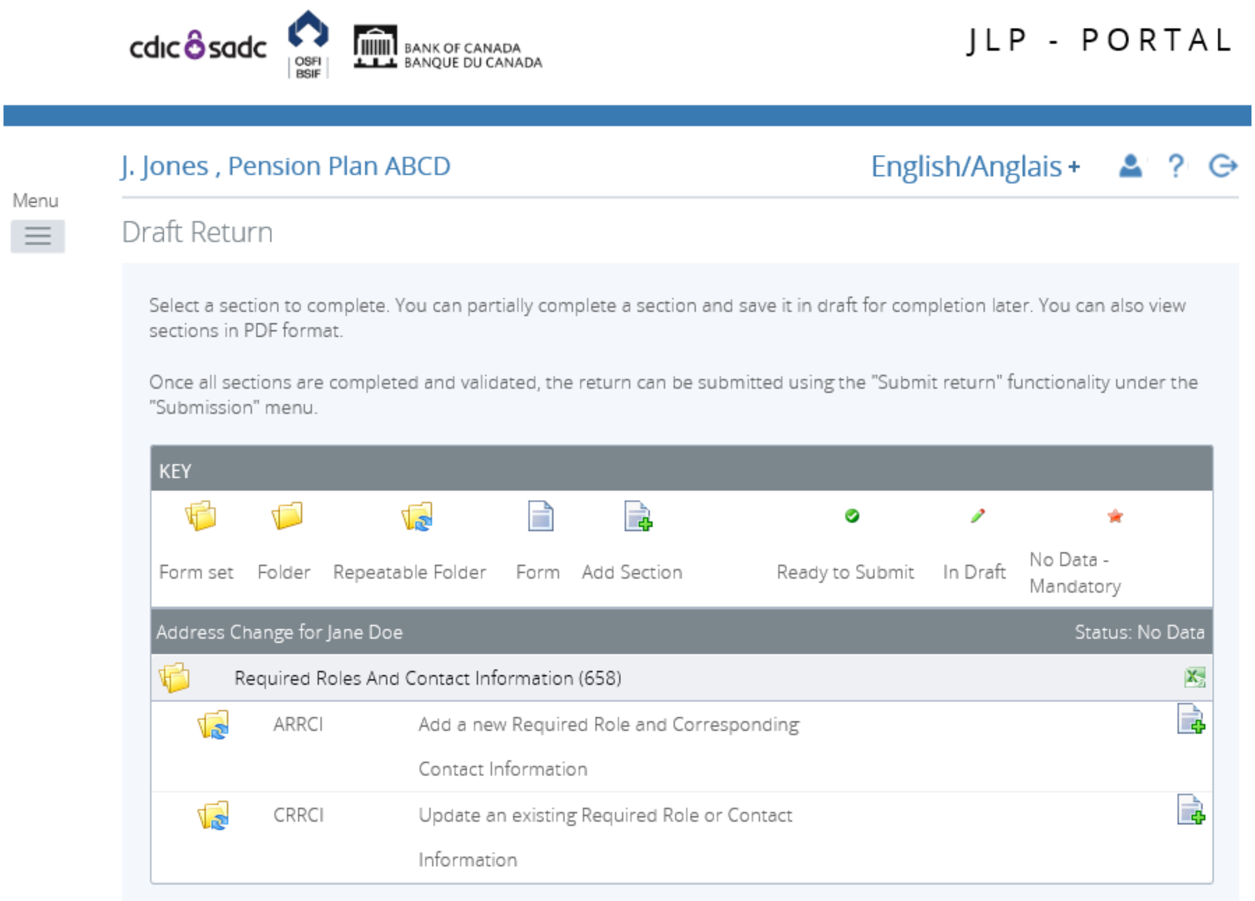
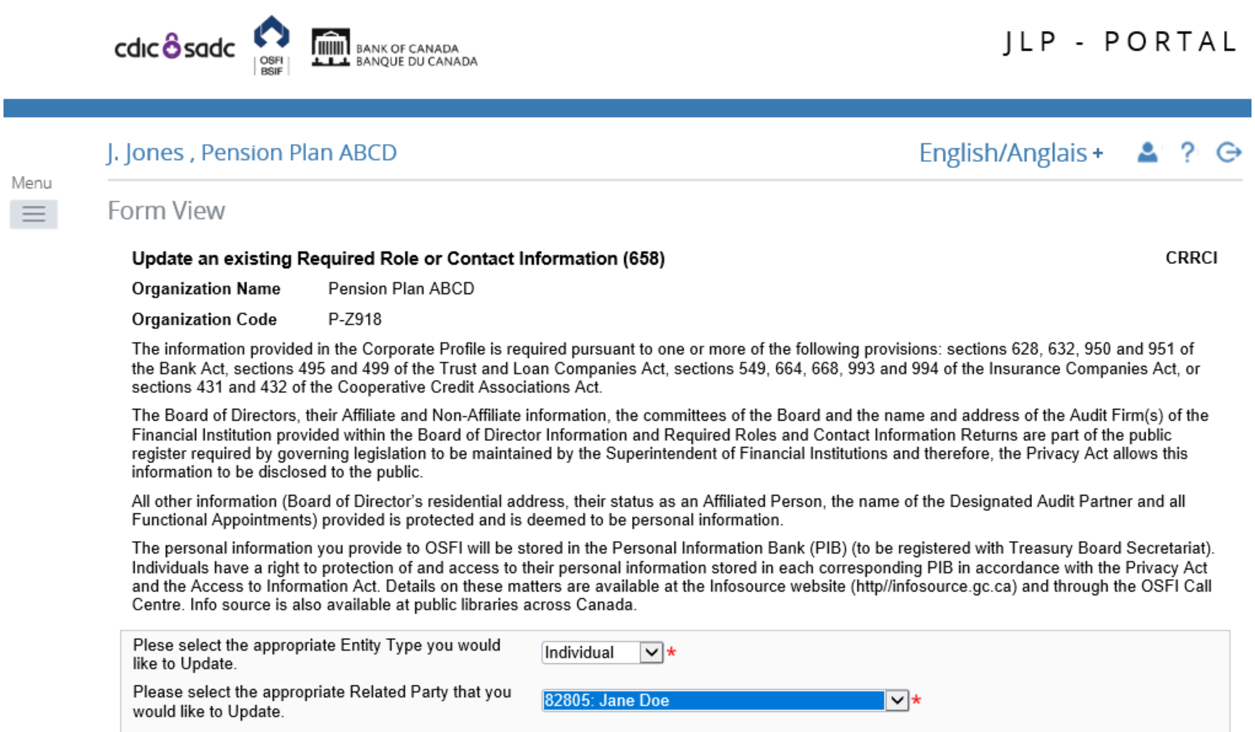



**Figure 4.5-2: Draft Return Page**

8. Click on the “Add Instance” button on the right hand side next to “Update an existing Required Role or Contact Information”.

9. This will open a new worksheet within this section of the return.


JLP - PORTAL

J. Jones , Pension Plan ABCD

English/Anglais +

Menu

Form View

**Update an existing Required Role or Contact Information (658)** CRRCI

**Organization Name** Pension Plan ABCD

**Organization Code** P-Z918

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

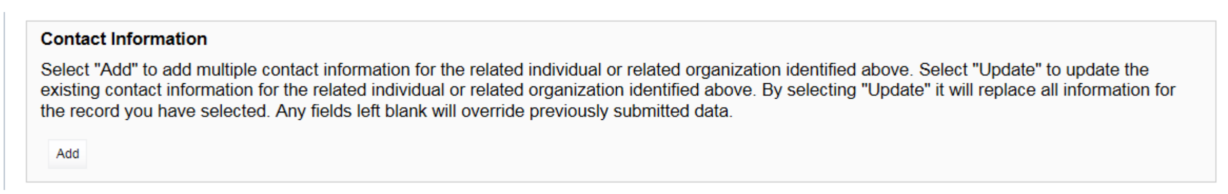
| | |
|---|---|
| Plese select the appropriate Entity Type you would like to Update. | Individual * |
| Please select the appropriate Related Party that you would like to Update. | 82805: Jane Doe * |

**Figure 4.5-3: Update an existing Required Role or Contact Information Page**

10. Under Select the appropriate Entity Type you would like to Update, choose "Individual" (see example above).

11. Under Select the appropriate Related Party that you would like to Update, choose the name of the individual you would like to update their contact information from the drop down menu.

12. Under Contact Information, click on "Add" button to expand box (as shown below).


**Contact Information**

Select "Add" to add multiple contact information for the related individual or related organization identified above. Select "Update" to update the existing contact information for the related individual or related organization identified above. By selecting "Update" it will replace all information for the record you have selected. Any fields left blank will override previously submitted data.

Add

**Figure 4.5-4: Update an existing Required Roles or Contact Information Page**

13. Under Select "Add" or "Update", click on "Update".

14. Under Select the Contact Type, choose the appropriate contact type you wish to update, as shown in your organization profile (see example below).

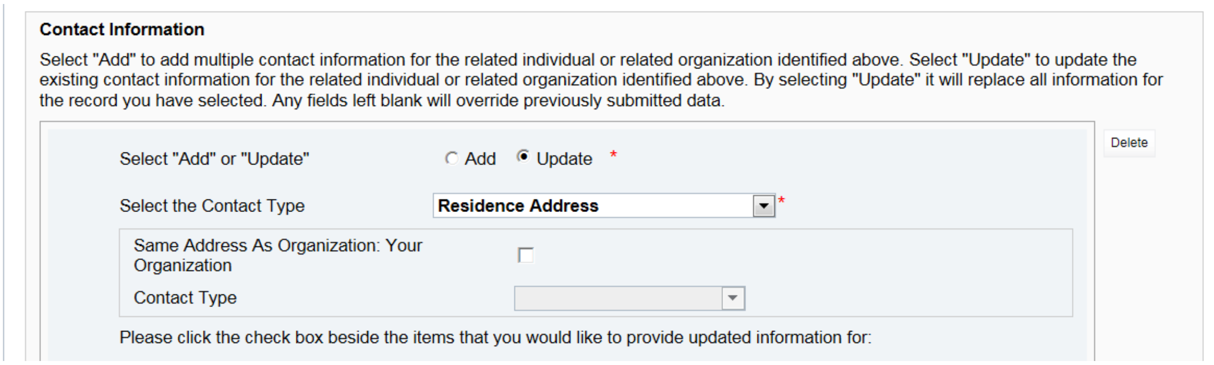



**Figure 4.5-5: Update an existing Required Roles or Contact Information Page**

15. Please click the check box beside the item(s) that you would like to provide updated information for. You can choose to only update the individual's address, or email address, or phone, or fax number. You can also choose to update multiple fields at one time.

16. If you need to update the individual's address, you must re-enter the complete address (even if, for example, the only change required is to the postal code) (see example below).

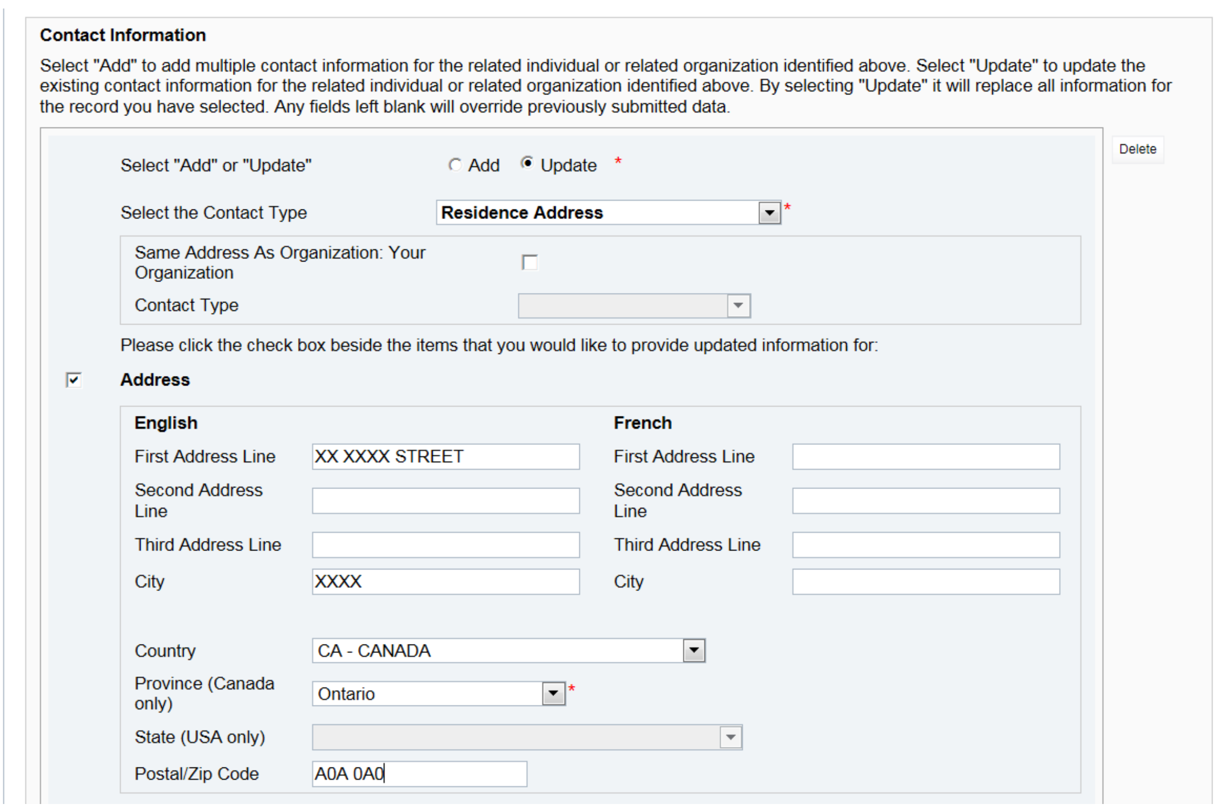



**Figure 4.5-6: Update an existing Required Roles or Contact Information Page**

| Reminder |
| --- |
| The address information only needs to be filled out in the language of your choice. You are not required to fill in both the English and the French fields. |

17. If, for example, you wish to add multiple email addresses for an individual, both the existing email address on file as well as the new email address needs to be provided (see example below). Otherwise, you simply enter the updated email address in this field and this will update the existing email address on your profile.

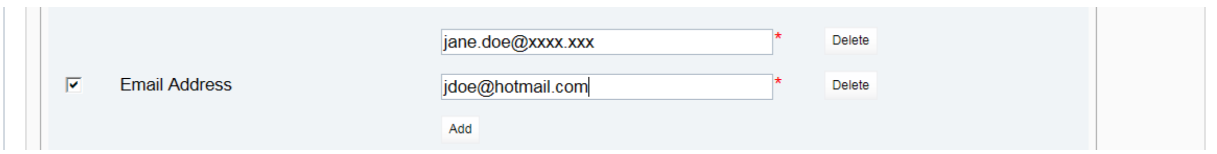



**Figure 4.5-7: Update an existing Required Roles or Contact Information Page**

18. If, for example, you wish to add multiple telephone or fax numbers for an individual, both the existing number on file as well as the new number needs to be provided (see example below). Otherwise, you simply enter the updated telephone or fax number in this field and this will update the existing email address on your profile.

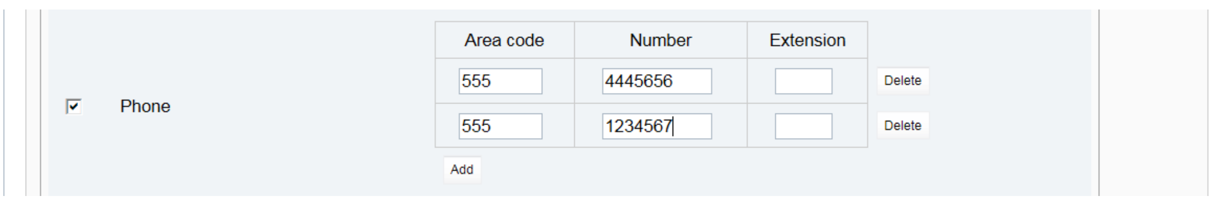



**Figure 4.5-8: Update an existing Required Roles or Contact Information Page**

19. Once you have completed your updates, you can now click on the **Validate & Save** button.

20. Your return is now ready to be submitted.

21. Follow instructions under Section 3.1 General Instructions on Completing and Submitting a Corporate Return.

## 4.5.2 How to Update an Existing Individual's Name within your Organization Profile

The following instructions relate to when the name of an existing related individual within your organization profile has changed. This type of change normally only occurs after a marriage or divorce has taken place.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

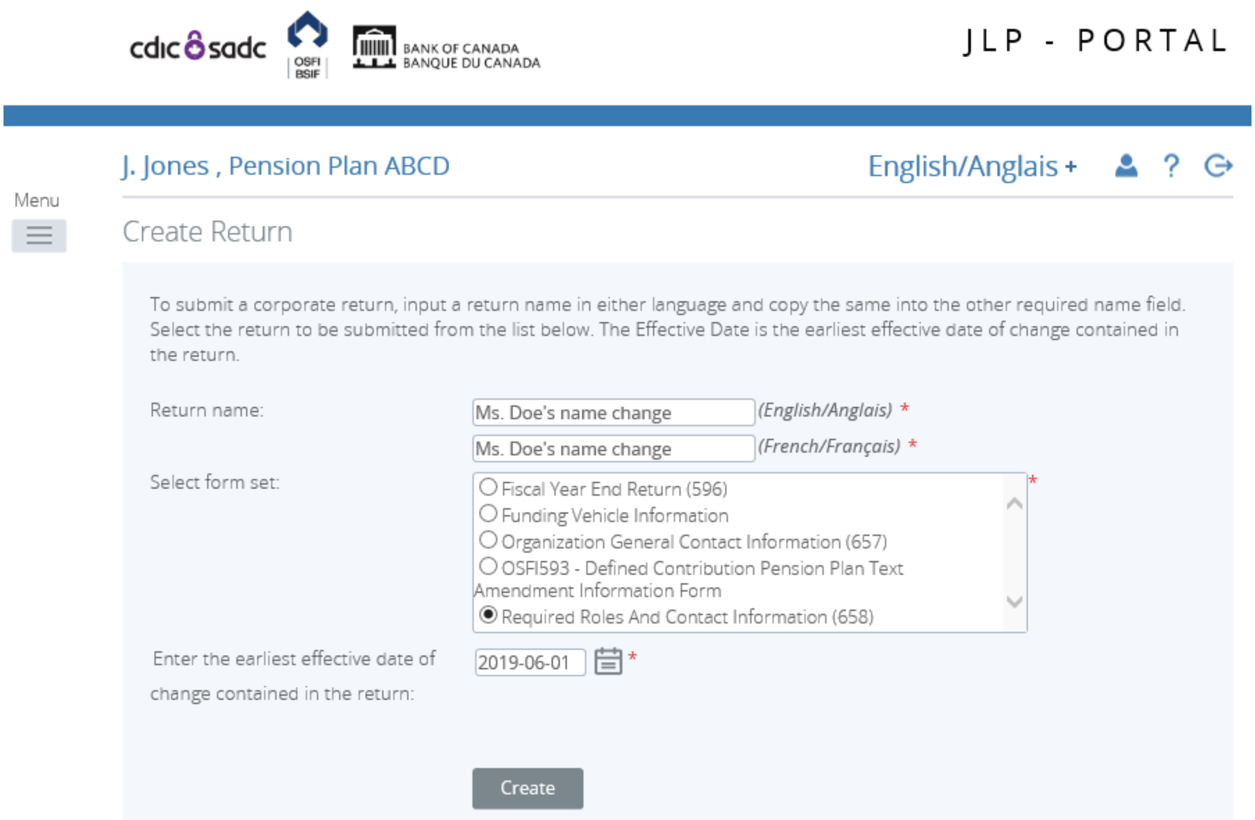



**Figure 4.5-14: Create Return Page**

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

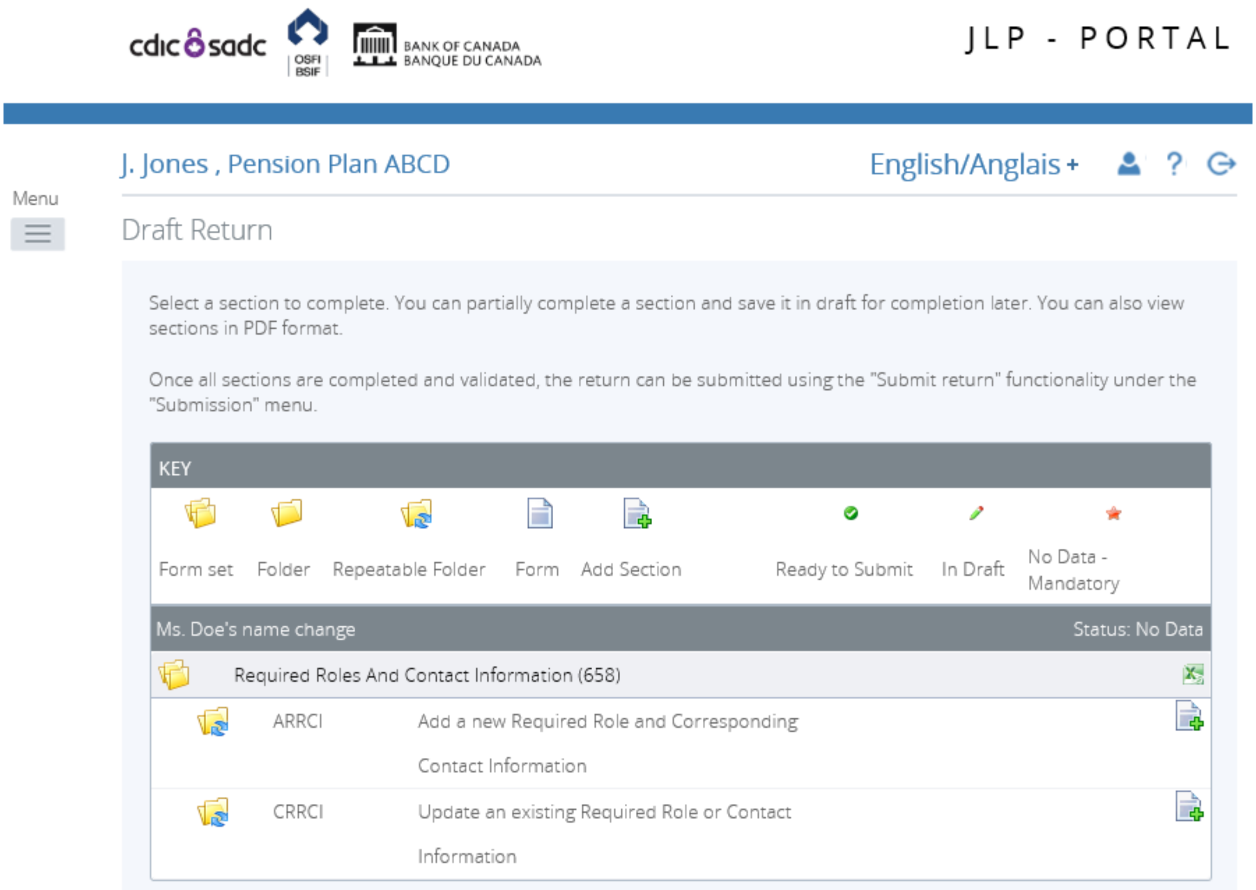



**Figure 4.5-15: Draft Return Page**

8. Click on the “Add Instance” button on the right hand side next to “Update an existing Required Role or Contact Information”.
9. This will open a new worksheet within this section of the return.

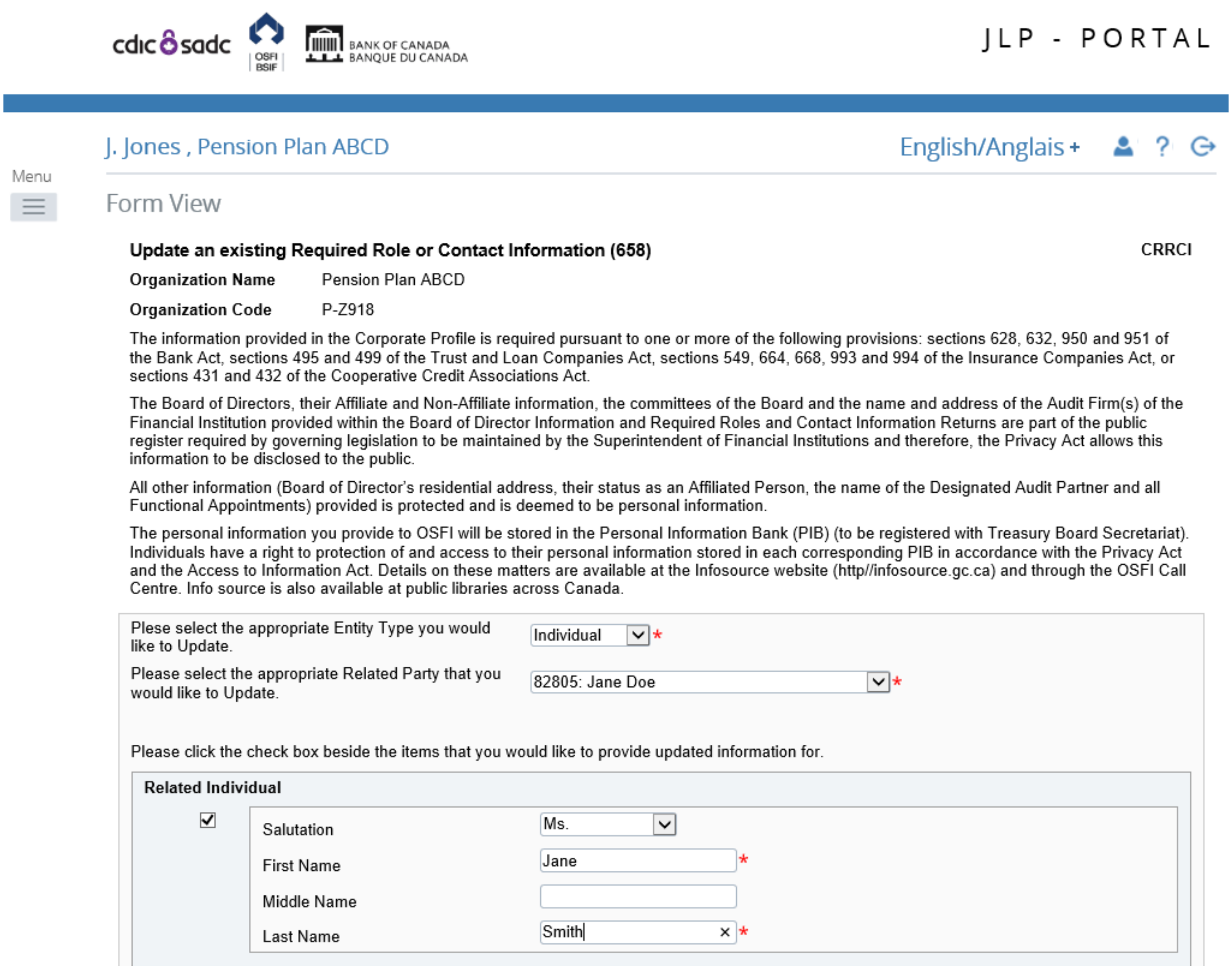



**Figure 4.5-16: Update an existing Required Roles or Contact Information Page**

10. Under Select the appropriate Entity Type you would like to Update, choose "Individual".
11. Under Select the appropriate Related Party that you would like to Update, choose the name of the individual you would like to update their role title from the drop down menu.
12. Check the box on the left hand side below Related Individual; this will enable the name field.
13. Enter the revised full name of the individual (see example above).
14. You can now click on the **Validate & Save** button.
15. Your return is now ready to be submitted.
16. Follow instructions under Section 3.1 General Instructions on Completing and Submitting a Corporate Return

## 4.5.3 How to Update an Existing Related Organization's Name within your Organization Profile

The following instructions relate to when the name of an existing related organization within your organization profile has changed. Related Organizations may include anything from Audit Firms, Actuarial Firms, Third Party Companies, Consulting Firms, etc. The following example shows a name change in an Audit Firm.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

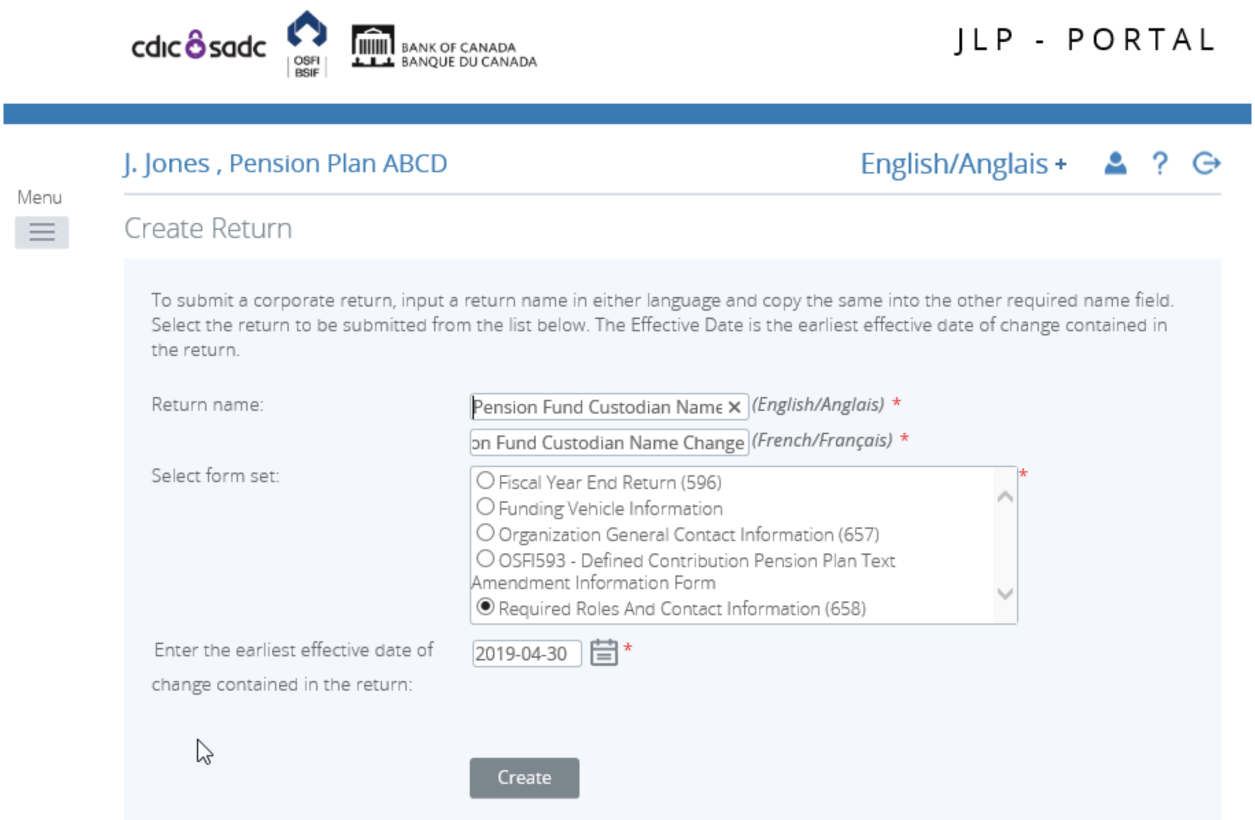



**Figure 4.5-17: Create Return Page**

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

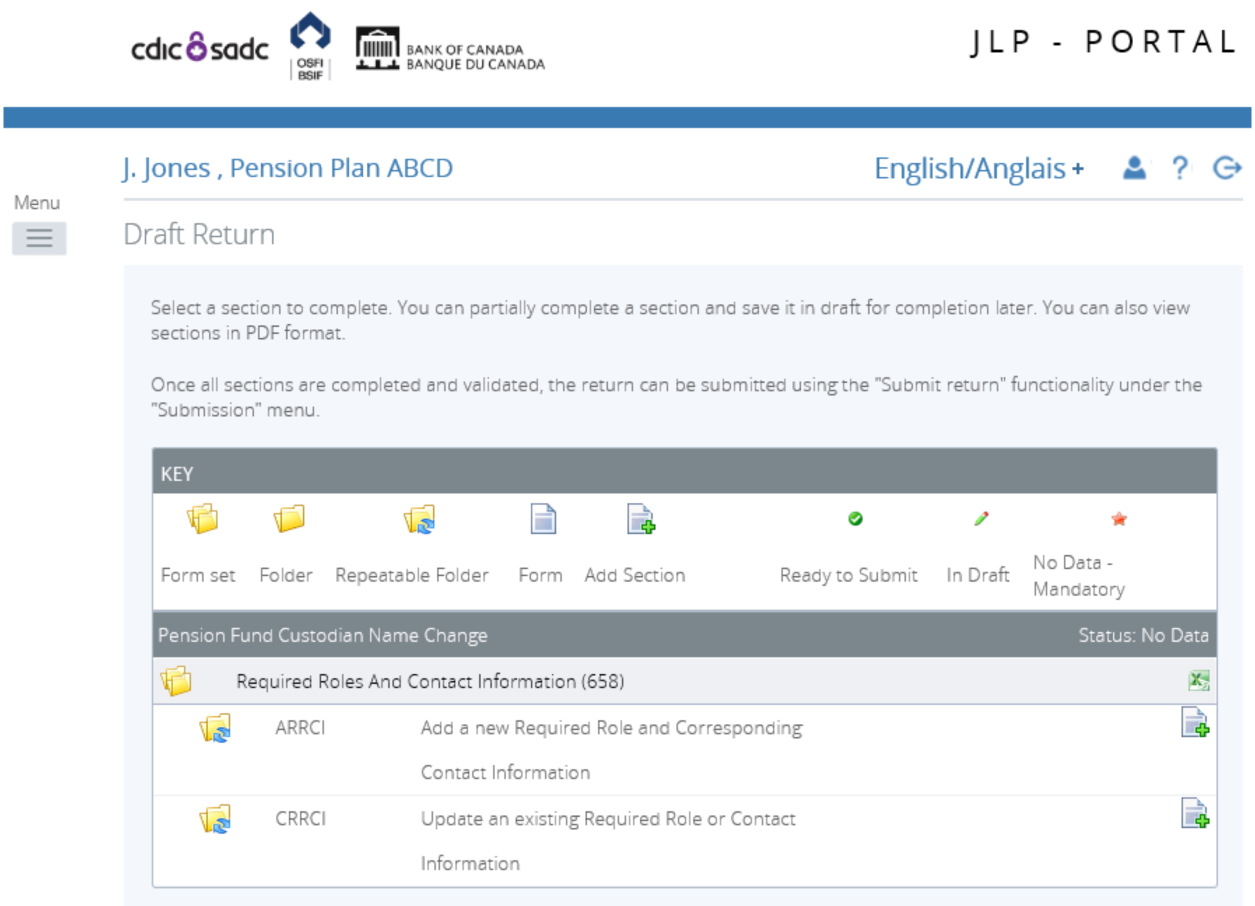



**Figure 4.5-18: Draft Return Page**

8. Click on the “Add Instance” button on the right hand side (green plus sign) next to “Update an existing Required Role and Contact Information”

9. This will open a new worksheet within this section of the return.

10. Under Entity Type, choose “Organization” (see example below).

11. Under Related Party, choose the appropriate organization name you wish to update.

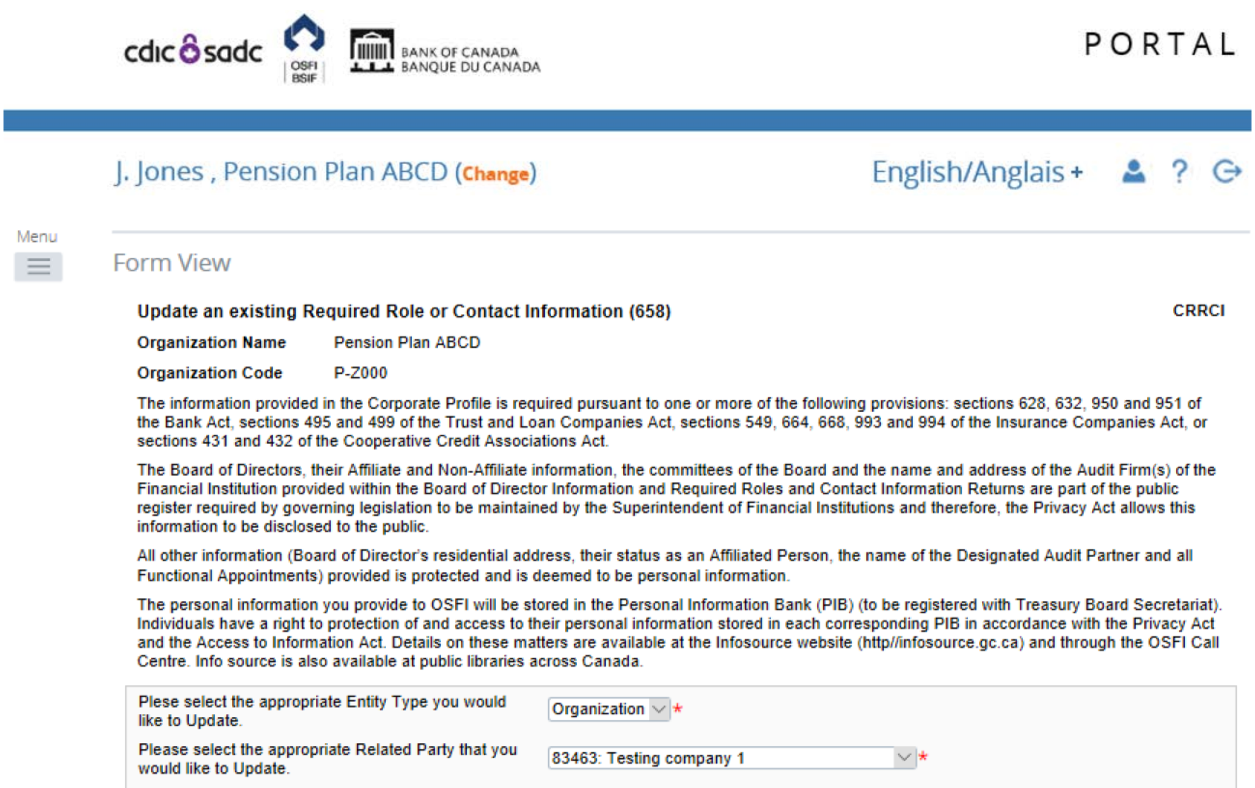



**Figure 4.5-19: Update an existing Required Roles and Contact Information Page**

12. Under Related Organization, click the check box on the left hand side. This will enable the Organization Name field.

13. Enter the updated name of the Related Organization (in the language of your choice).

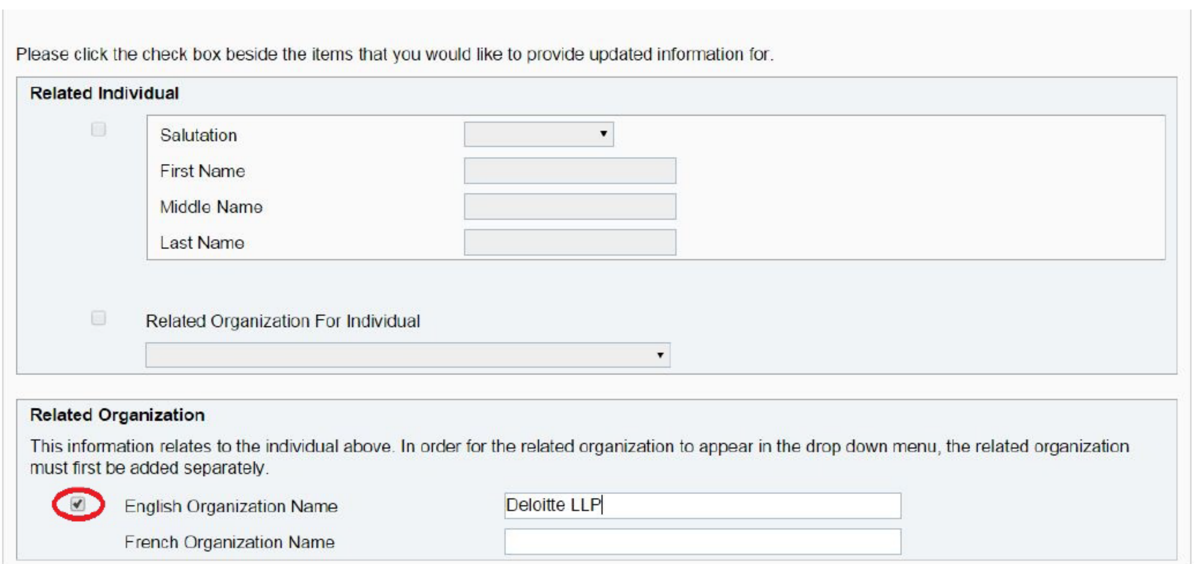



**Figure 4.5-20: Update an existing Required Roles and Contact Information Page**

14. You can now click on the **Validate & Save** button.
15. Your return is now ready to be submitted.
16. Follow instructions under Section 3.1 General Instructions on Completing and Submitting a Corporate Return.

## 4.5.4 How to Delete a Specific Role from an Existing Individual within your Organization Profile

To delete a specific role from an existing related individual from your organization profile, you must use the Required Roles and Contact Information Return. The following are instructions on how to delete a specific role without deleting the related individual.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

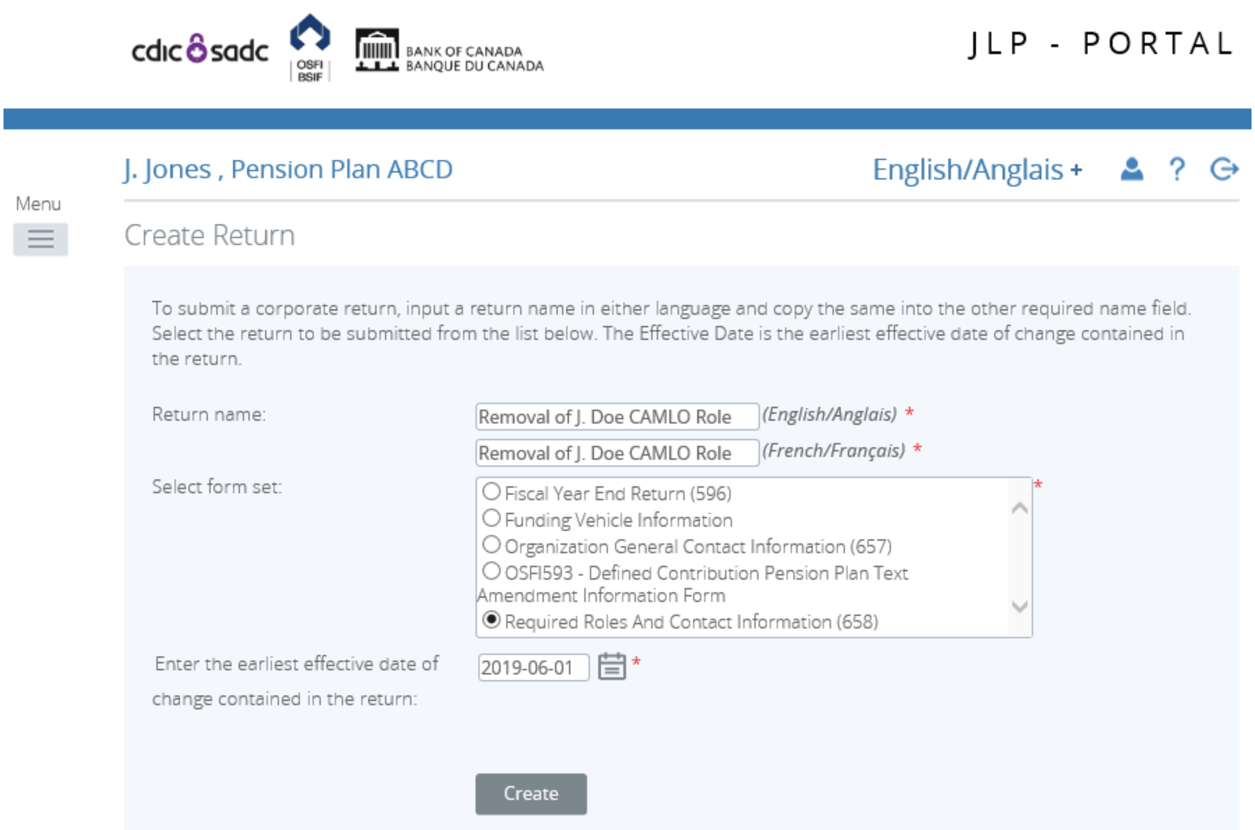



**Figure 4.5-26: Create Return Page**

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

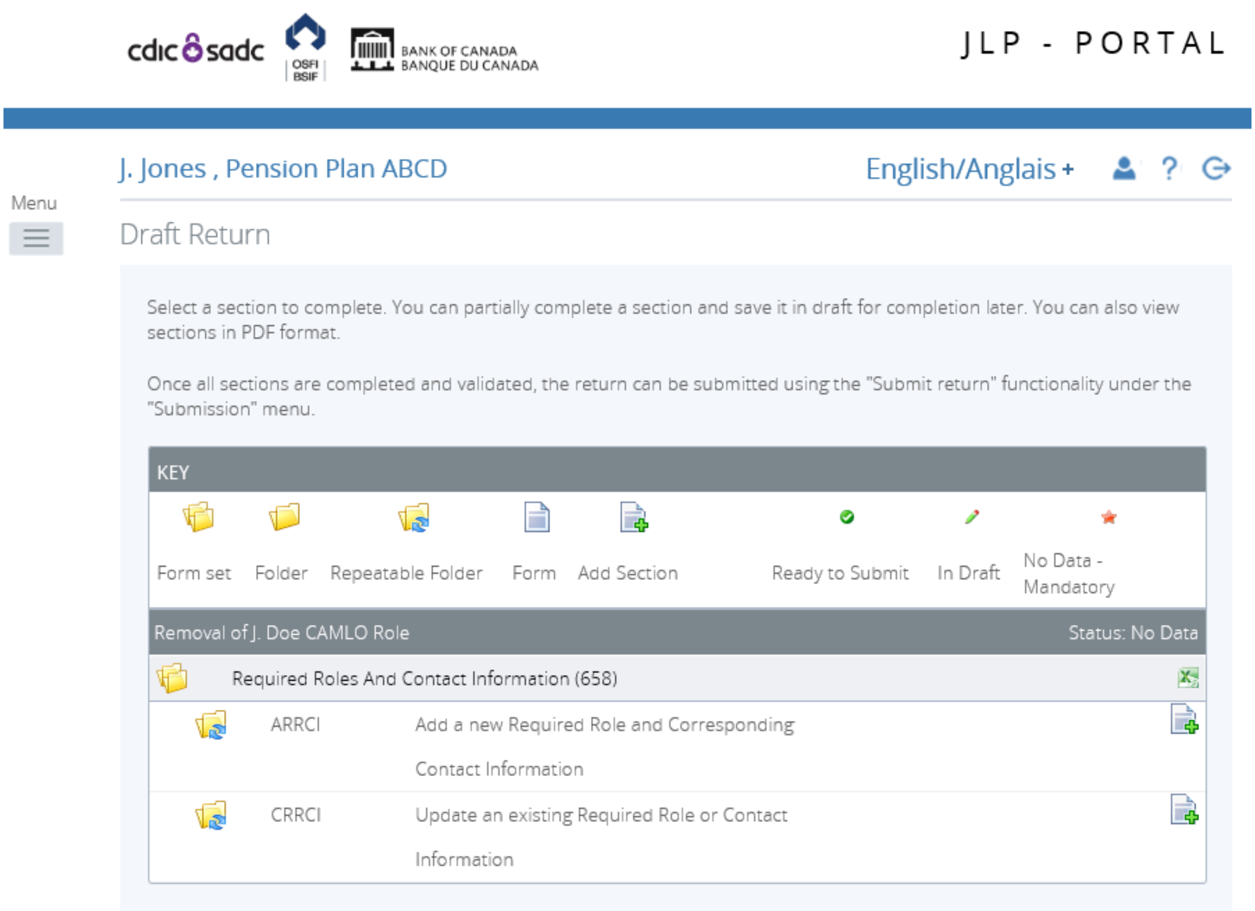
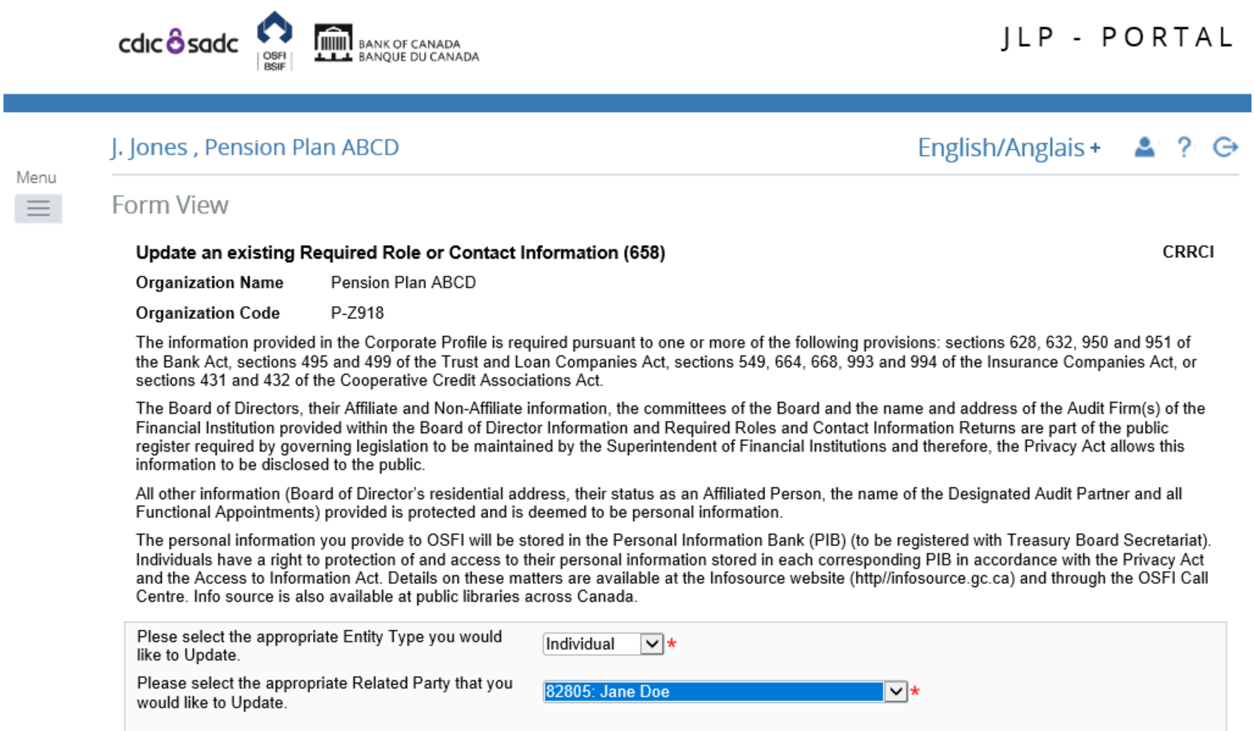



**Figure 4.5-27: Draft Return Page**

8. Click on the “Add Instance” button on the right hand side next to “Update an existing Required Role and Contact Information”
9. This will open a new worksheet within this section of the return.
10. Under Entity Type, choose “Individual” (see example below).
11. Under Select the appropriate Related Party that you would like to Update, choose the name of the individual you would like to update their role title from the drop down menu.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J. Jones , Pension Plan ABCD

English/Anglais +

Menu

Form View

**Update an existing Required Role or Contact Information (658)** CRRCI

**Organization Name** Pension Plan ABCD

**Organization Code** P-Z918

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

Plese select the appropriate Entity Type you would like to Update. Individual *

Please select the appropriate Related Party that you would like to Update. 82805: Jane Doe *

**Figure 4.5-28: Update an existing Required Roles or Contact Information Page**

12. Under Roles, click on “Add” button to expand box (as shown below).


**Roles**

Select "Add" to add multiple roles for the related individual identified above. Select "Update" to update the existing related individual or related organization roles for the individual identified above. By selecting "Update" it will replace all information for the record you have selected.

Add

**Figure 4.5-29: Update an existing Required Roles or Contact Information Page**

13. Under Please indicate whether you wish to add a new role or update an existing role, click on “Update”.
14. Under Related Individual Role, choose the appropriate role for the individual (as shown below)
15. Under Related Organization Role, this field will remain as “Not Applicable”.
16. Check box to the left of Role Expiry Date, this will enable to date field on the right hand side.
17. Select the appropriate Role Expiry Date.

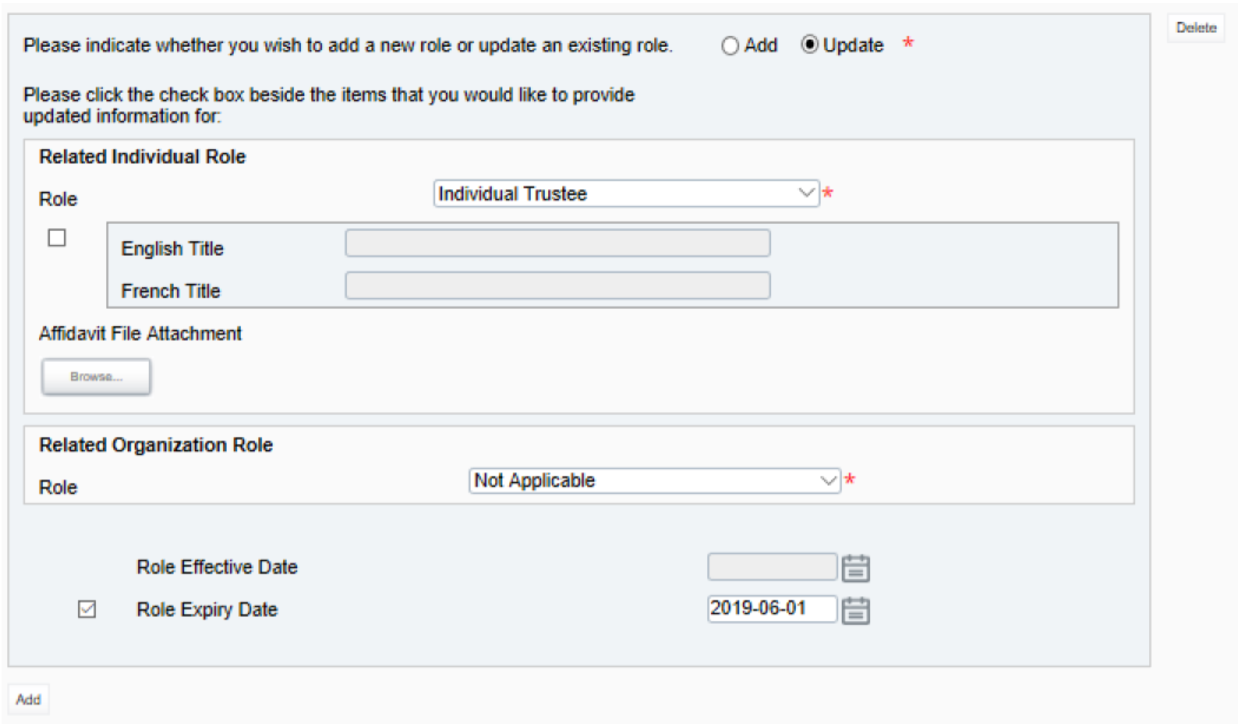


**Figure 4.5-30: Update an existing Required Roles or Contact Information Page**

18. You can now click on the **Validate & Save** button.

19. Your return is now ready to be submitted.

20. Follow instructions under [Section 3.1 General Instructions on Completing and Submitting a Corporate Return.]

## 4.6 How to Make a Change to Both a Pension Plan's Funding Vehicle and Fund Custodian

In this instance, two corporate returns will need to be created, the first being the Required Role and Contact Information Return and the second being the Funding Vehicle Information Return. You must first complete and submit the Required Role and Contact Information Return to add the related individual and related organization of the fund custodian.

Once the first return has been successfully submitted, you must then complete and submit the Funding Vehicle Information Return. This return adds the funding vehicle information as well as relates it to the appropriate fund custodian previously submitted.

| **Reminder** |
|---|
| When replacing existing information within the Organization Profile with new information, you must also update the existing information by adding a role expiry date to each affected individuals and/or related organizations. |

To create a corporate return using the two-return process:

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.


**Figure 4.7-1 Create Return Page**

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.
7. Click on **Draft Returns** to view the return in your draft folder.

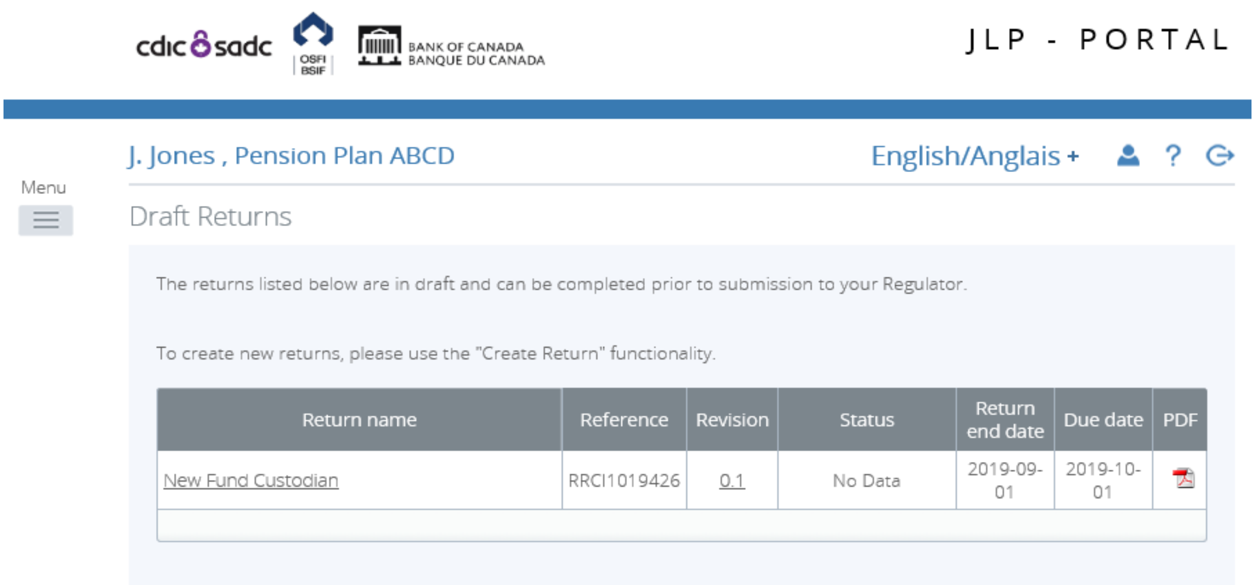


**Figure 4.7-2 Draft Returns Page**

8. Click on **New Fund Custodian** to open the return.

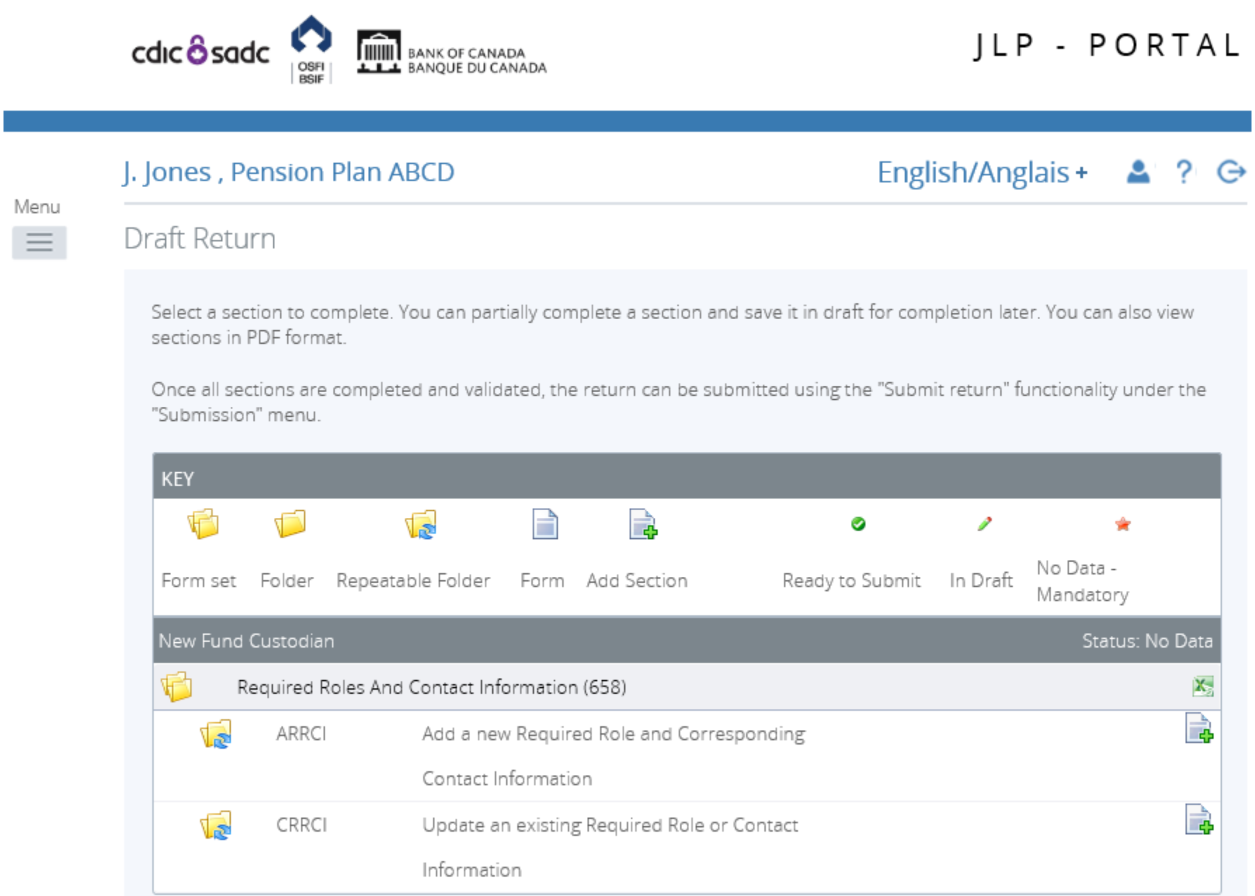


**Figure 4.7-3 Draft Return Page**

In order to add the related individual as well as the related organization information for the Fund Custodian, follow the steps outlined in Section 4.2 How to Add an Individual/Related Organization to your Organization Profile to add both roles within the same return.

9. Once the appropriate information has been added, click the **Validate & Save** button.

Follow the steps outlined in Section 3.1 General Instructions on Completing and Submitting a Corporate Return to submit this return.

**To update Funding Vehicle Information follow the steps below:**

1. Hover your mouse over the Manage Returns menu item.

2. Click **Create Return**.

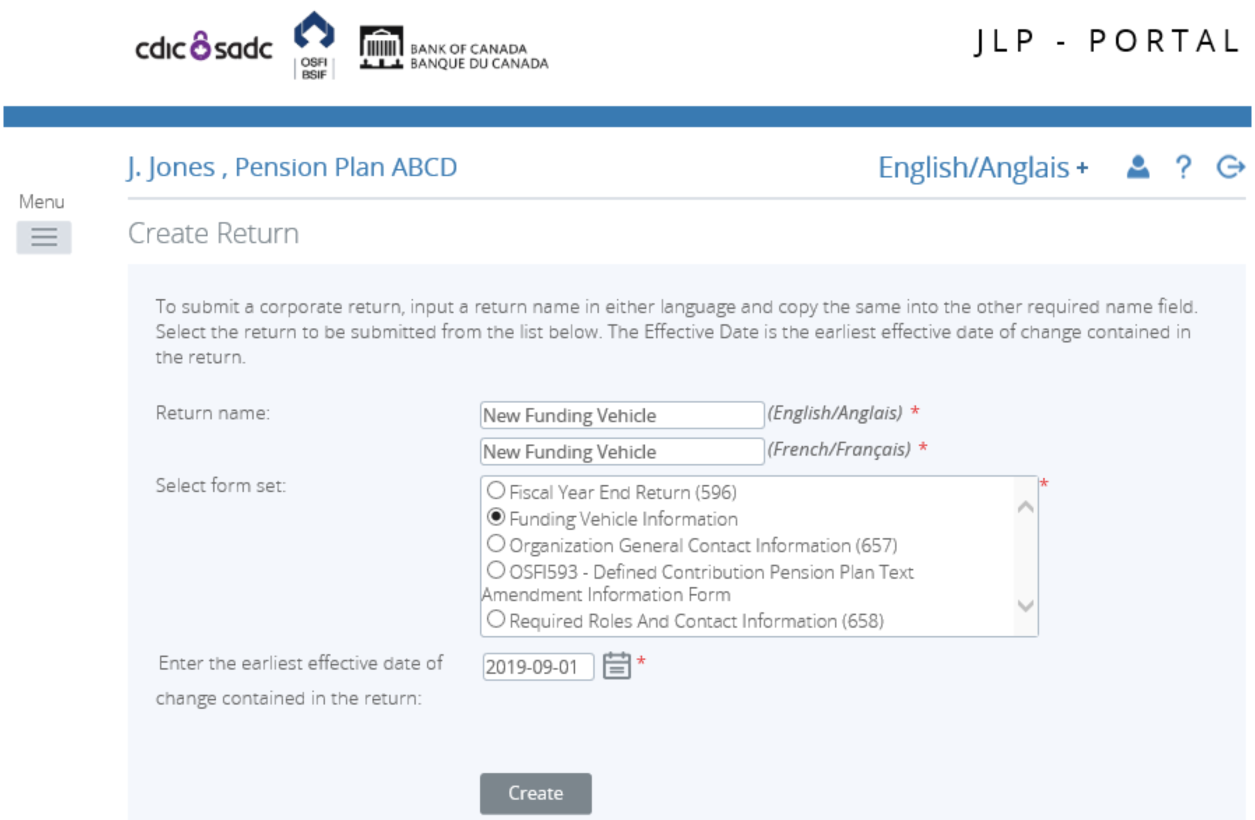


**Figure 4.7-4 Create Return Page**

3. Enter an English and French name for the return (see example above).

4. Select Funding Vehicle Information.

5. Enter the Effective Date of change.

6. Click the **Create** button.

7. Click on **Draft Returns** to view the return in your draft folder.

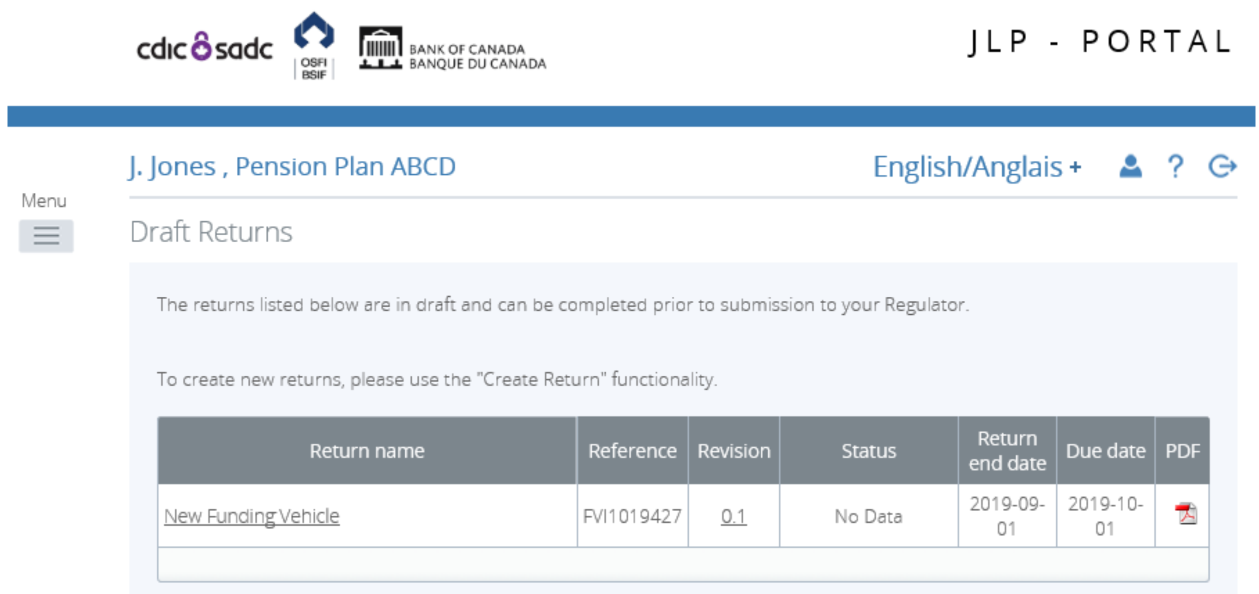


**Figure 4.7-5 Draft Returns Page**

8. Click on **New Funding Vehicle** to open the return.

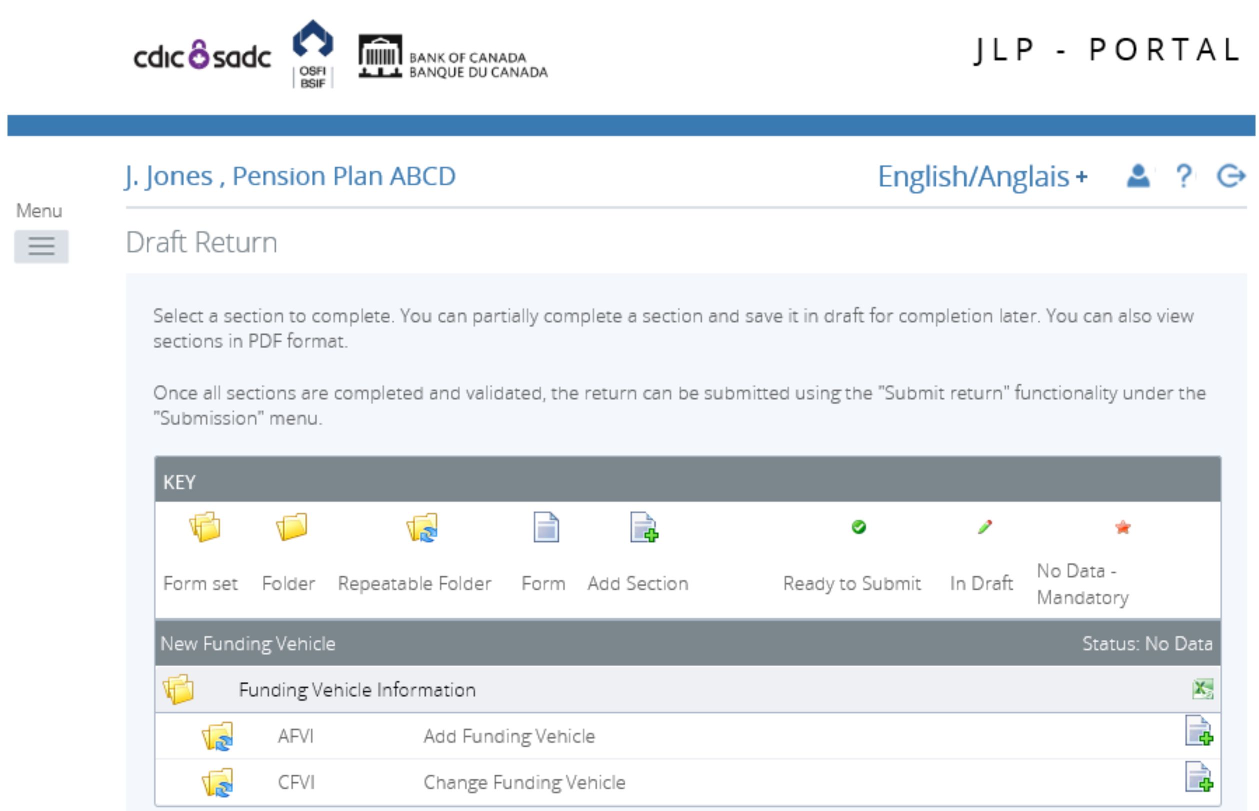


**Figure 4.7-6 Draft Return Page**

9. Click the page with a green plus sign symbol associated with the section to be added or changed.

10. Enter the appropriate funding vehicle information into the return.

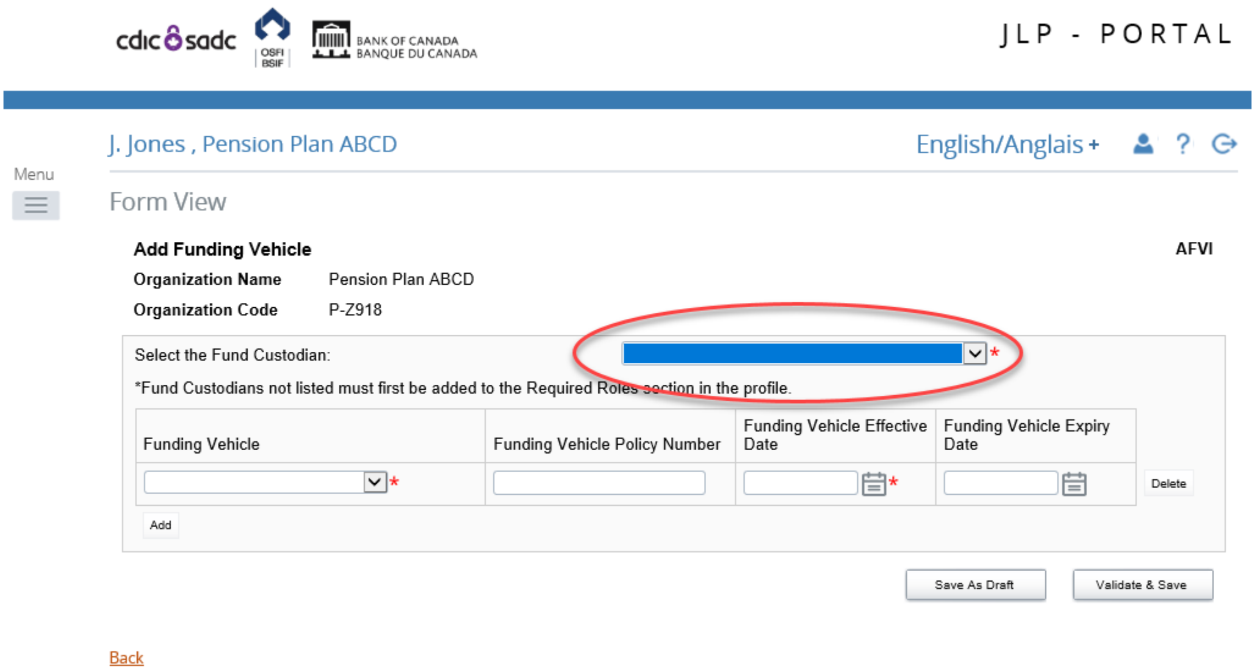


**Figure 4.7-7 Draft Return Page**

11. Select the Fund Custodian from the drop down menu. (This information will be based on the information submitted on the previously submitted return).

12. Click the **Validate & Save** button.

13. Follow instructions under Section 3.1 General Instructions on Completing and Submitting a Corporate Return.

# 5.0 Viewing Documents

The Documents menu item provides the ability to view reference documents in the Portal Documents folder.

To view documents:

Begin at the RRS Welcome page.


**Figure 5-1: Welcome Page**

1. Navigate to the **Documents** menu item.

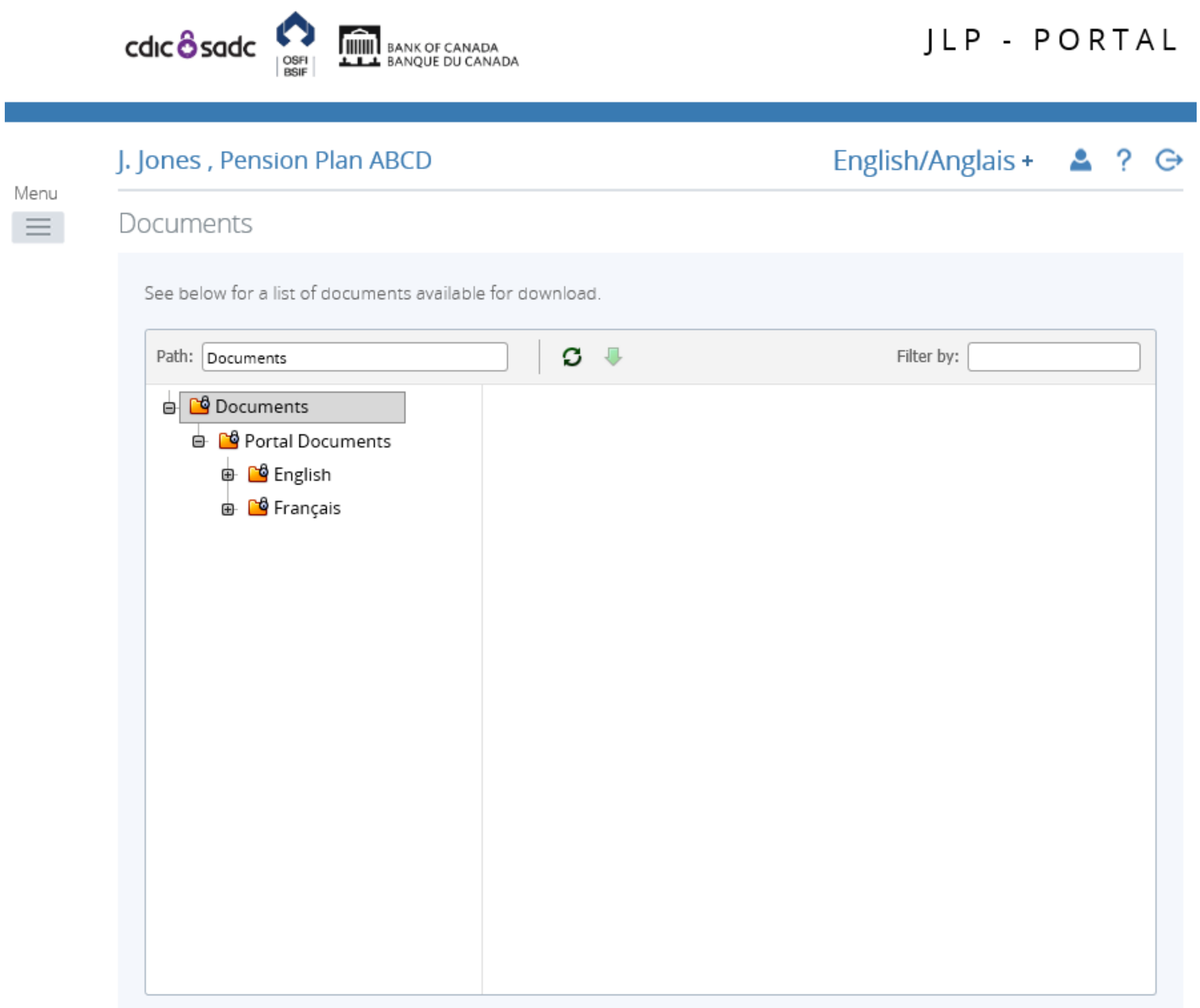


**Figure 5-2: Documents Page**

2. Double-click the Documents folder.
3. Double-click the Portal Documents folder.
4. Double-click the specific folder to be viewed.
5. Select the document to be viewed.
6. Click the green down arrow. A message displays prompting you to open or save the document.
7. Click the **Open** button. The document opens for viewing.

# 6.0 Organization Profile

The Organization Profile menu item can only be used to view the profile of your organization in RRS. This profile consists of information such as your organization's general contact information, its preferred language, general details of the organization, all required roles and their contact information, etc. This section provides instruction on how to view your organization profile and how to change profile information if required.

As described in Section 3.0, Scenario #3 is triggered when a review of your organization's profile indicates the need for an update to specific corporate information. This update is performed through the submission of a corporate return using the Manage Returns menu item.

<u>To view your organization's profile:</u>

Begin at the Welcome page.

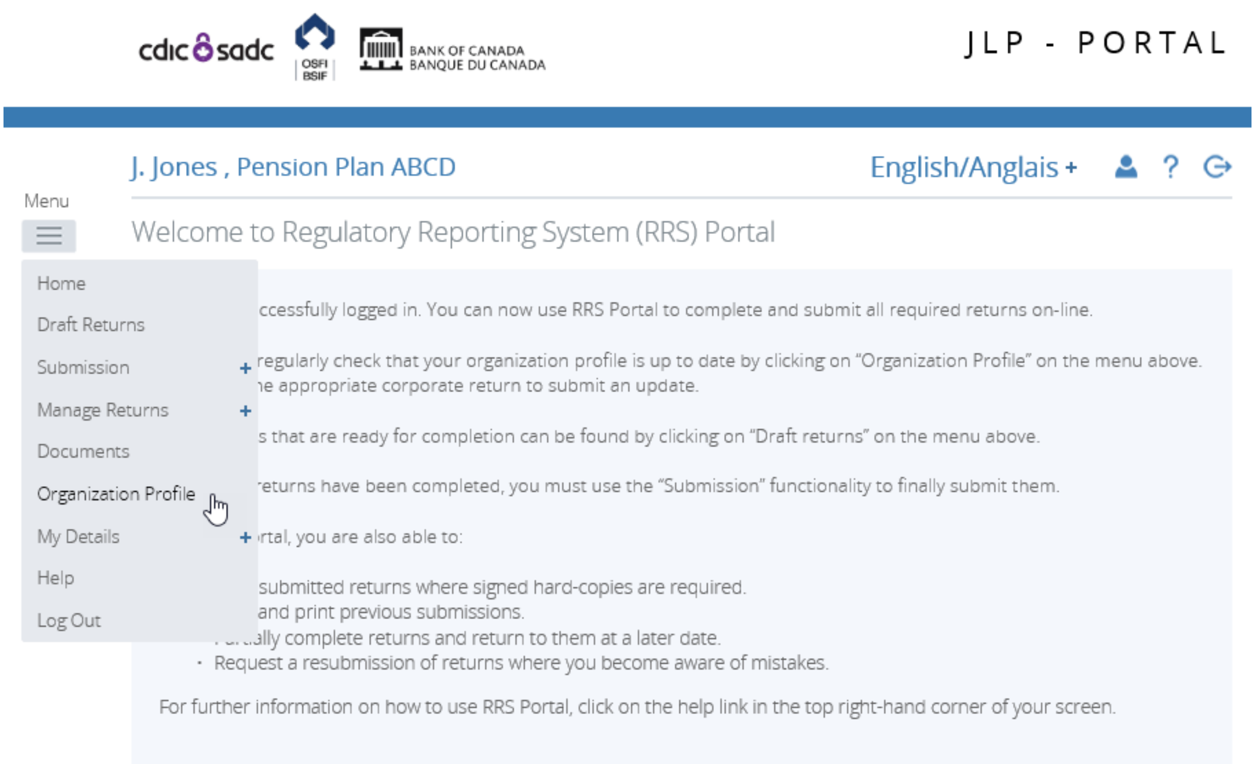


**Figure 6-1: Welcome Page**

1. Navigate to the Organization Profile menu item.

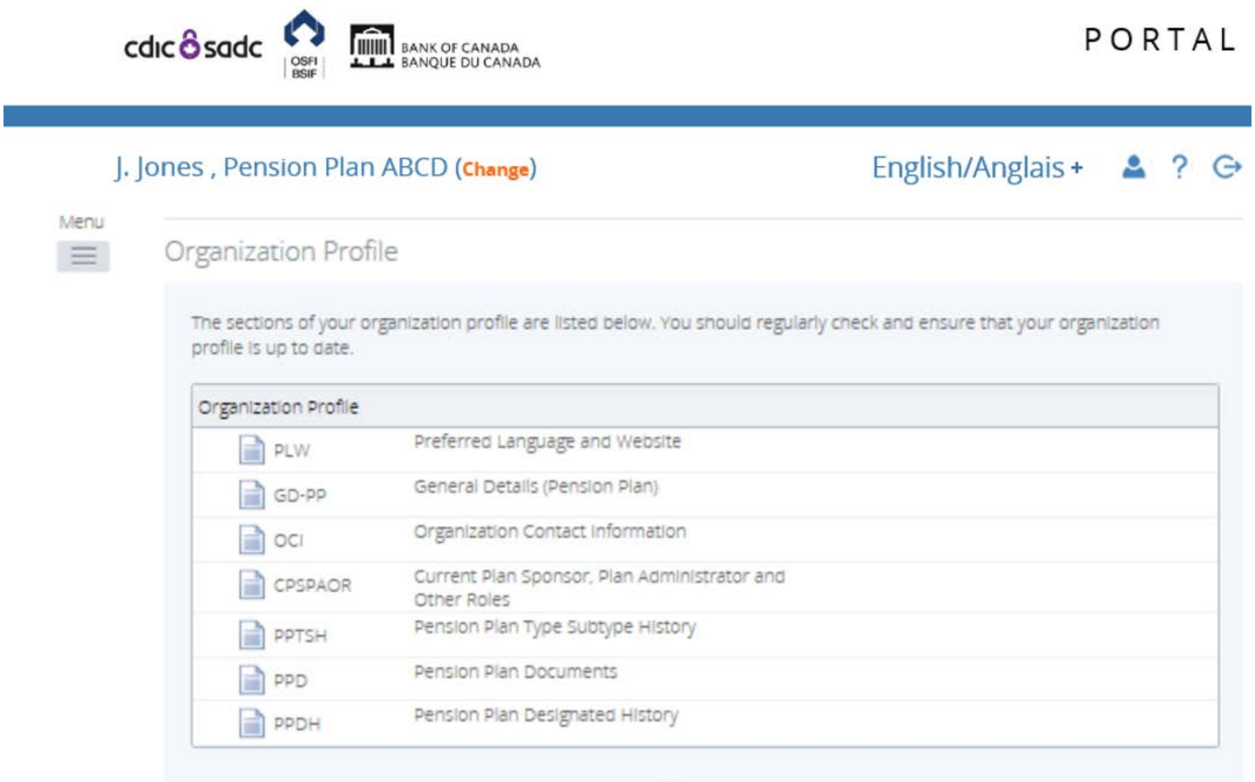


**Figure 6-2: Organization Profile Page**

2. Select a section of the organization profile to view.

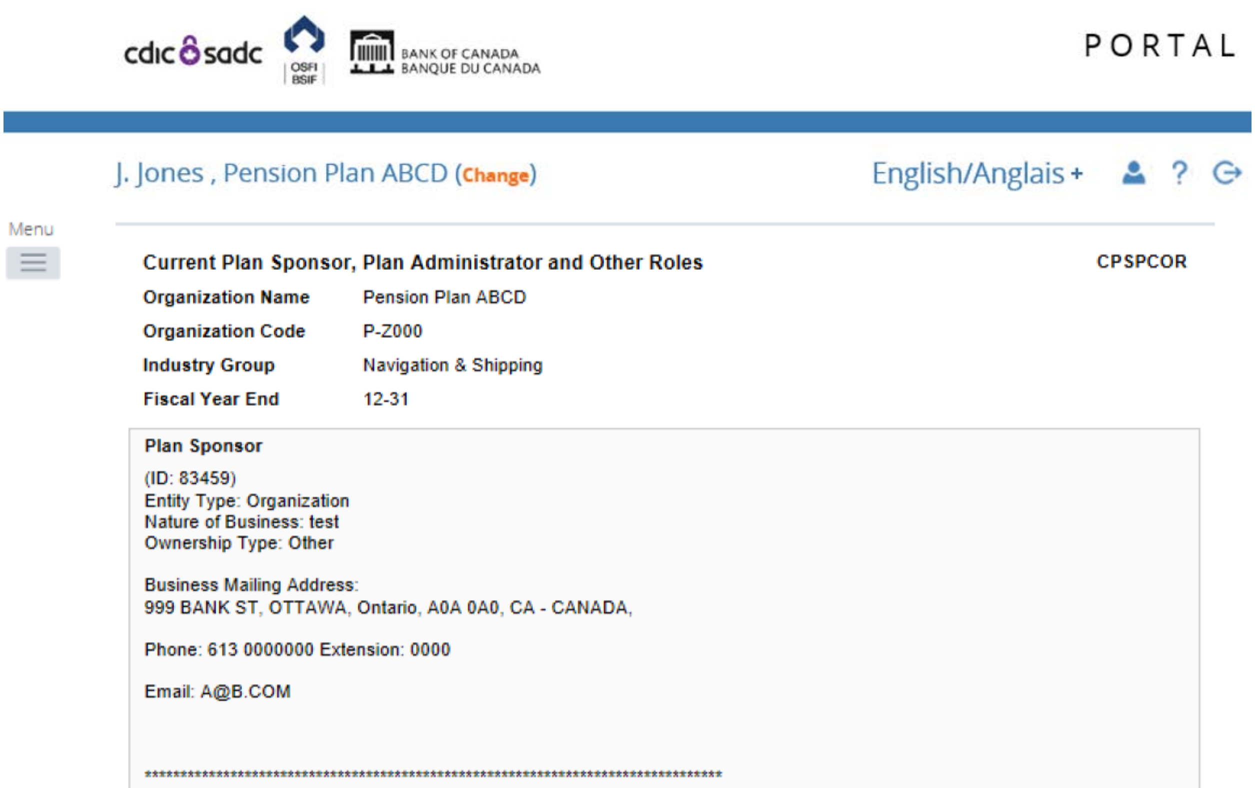

**Figure 6-3: Current Plan Sponsor, Plan Administrator and Other Roles Section Page**

3. Review the listed information.

To change organization profile information:

Begin at the Create Return page.

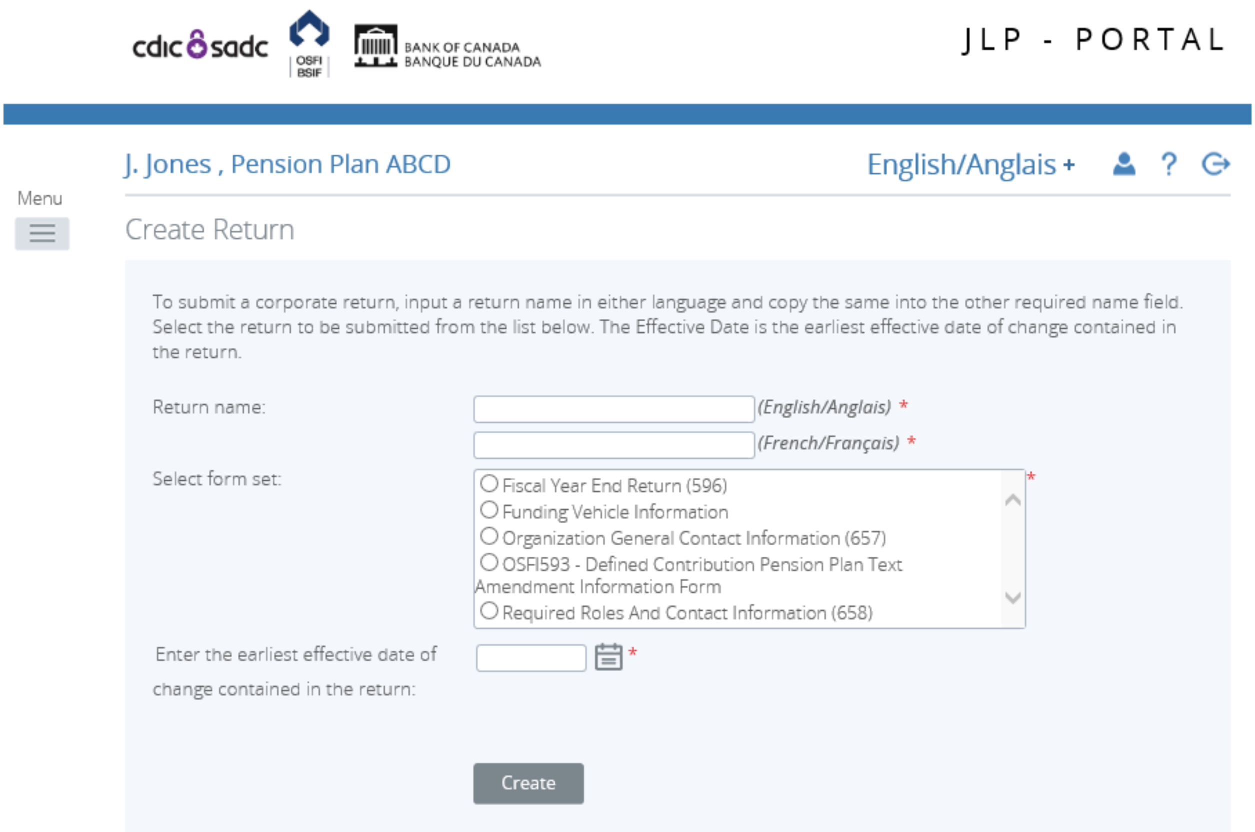


**Figure 6-4: Create Return Page**

Follow the steps outlined in Section 3.5 to 3.7 depending on the profile section that needs to be updated.

# 7.0 Managing Your Details

From the My Details menu item you can view and/or edit your user details and change your password. Although you have the ability to change your personal information ***it is strongly recommended that changes to your first and last name and email address be changed by your Local Registration Authority (LRA) to ensure that these user details are updated in both RRS and the BoC Connect.***

Information that can be edited includes your first and last name, email address, telephone number and your language of preference. Information that can be viewed is your assigned permissions. Information that you can edit directly includes your telephone number and your language of preference.

To edit your user details:

1. Hover your mouse over the **My Details** menu item.
2. Click the **View/Edit My Details** sub-menu item.

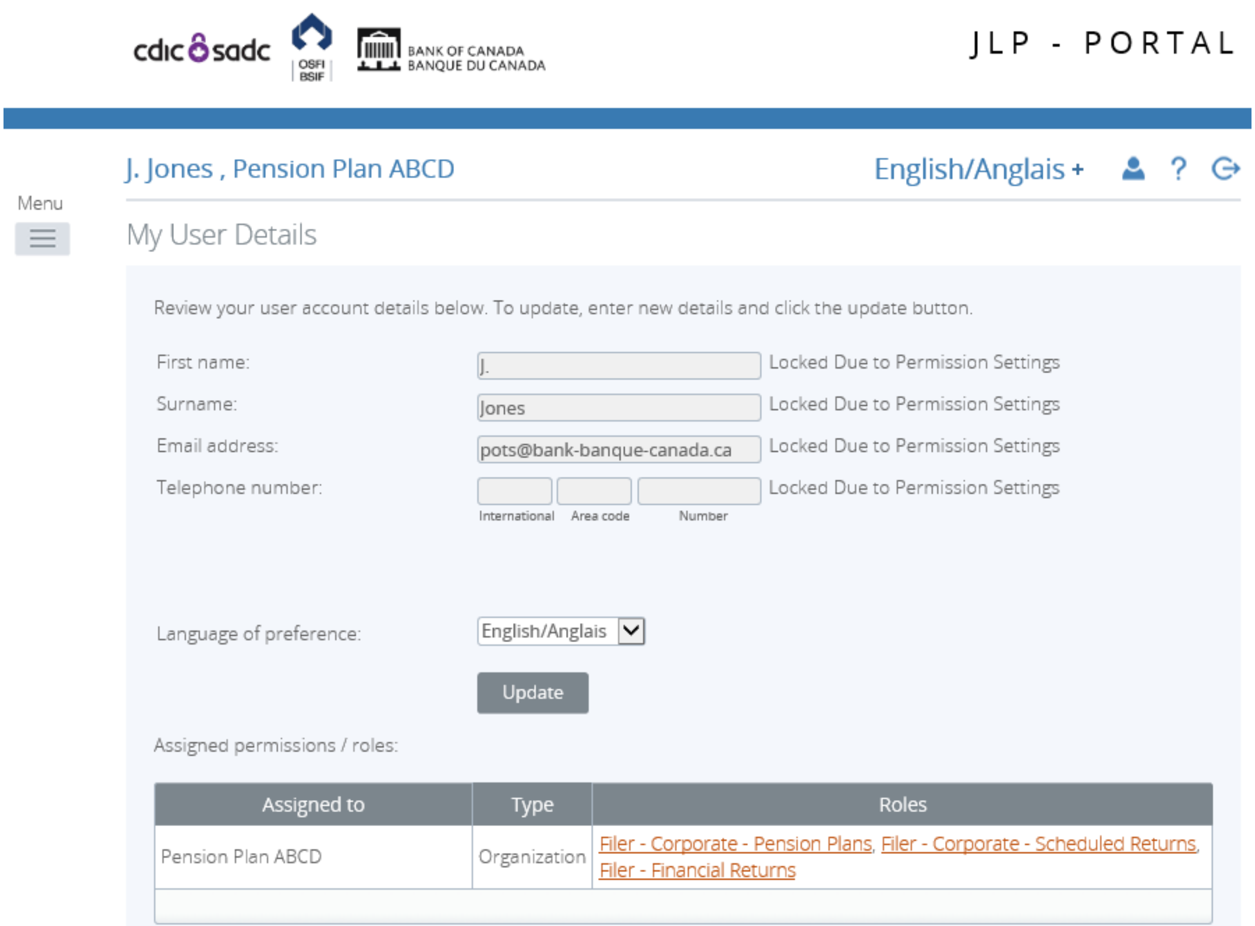


**Figure 7-1: My Details Page**

| | |
|---|---|
| | **If your first and/or last name or email address need to be updated:** |
| | Please contact your LRA to update your first and/or last name. |

3. Enter your new telephone number in the **Telephone number** field.

4. Click the drop-down arrow on the **Language of preference** field to change your language. This will set the language that displays when you log into RRS.

   **Note:** you can change your language within a session by selecting the language drop-down from the top right of the application.

5. Click the **Update** button.

To view assigned permissions:

1. Click the name of a role in the **Roles** column within the **Assigned permissions** section.

2. Click each tab to view information about the permissions assigned to your role.

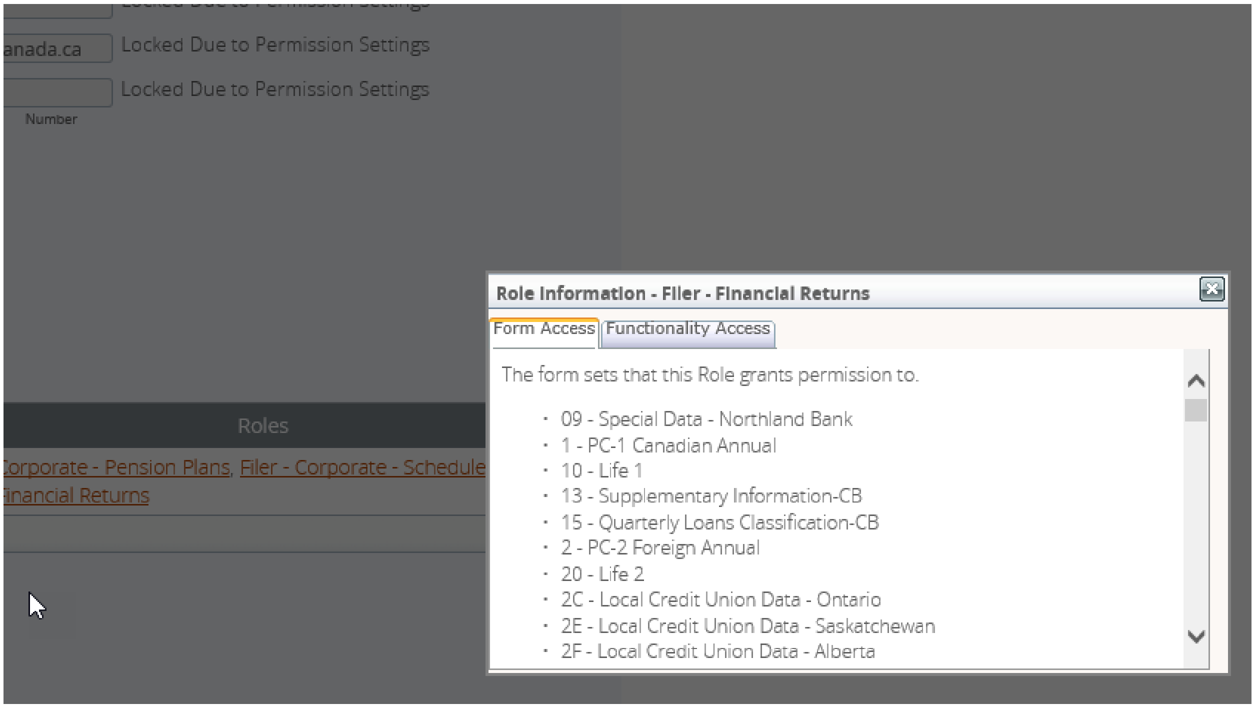


**Figure 7-2: My Details Tabs Page**

To change your password:

1. Hover your mouse over the **My Details** menu item.
2. Click the **Update My Password** sub-menu item.

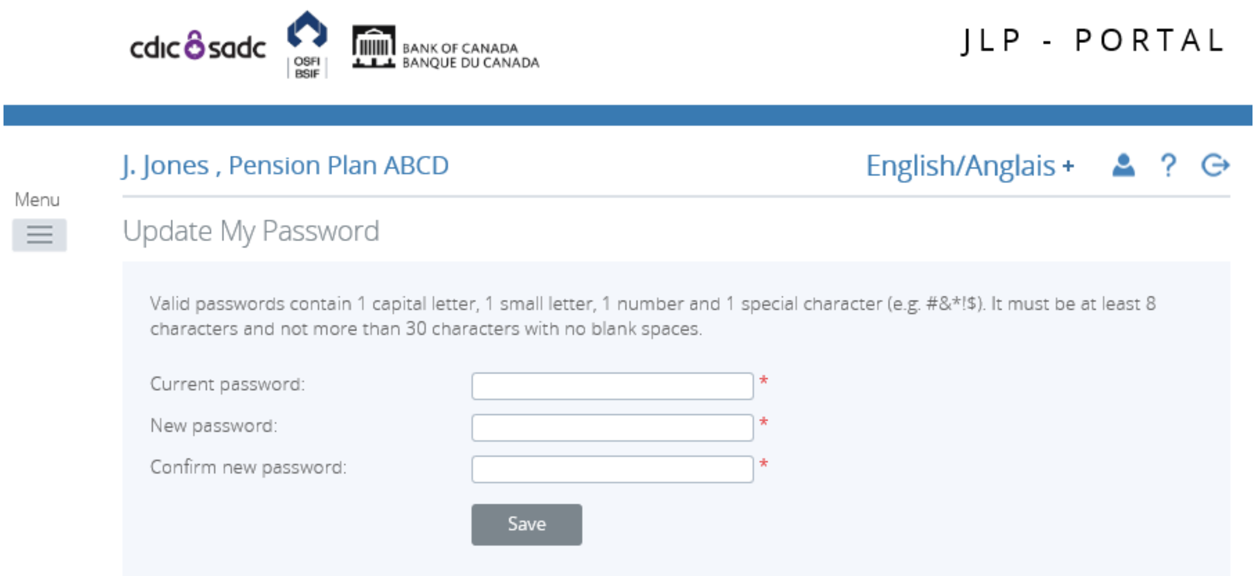


**Figure 7-3: Update My Password Page**

3. In the **Current password** field, enter your current password.
4. In the **New password** field, enter a new password.

| | **Valid passwords:** |
|---|---|
| | Ensure your new password meets the following valid password criteria: passwords must be between 8 and 30 characters and contain 1 uppercase letter, 1 lowercase letter, 1 number and one special character. |

5. In the **Confirm new password** field, re-enter your new password.
6. Click **Save**.

# 8.0 Managing Notifications

Notifications provide information such as when a return is ready to be completed as well as when a return presents an error. Notifications can be viewed and deleted from the Welcome page accessed through the Home menu item.

To view a notification:

1. Click the **Home** menu item. The notifications display.

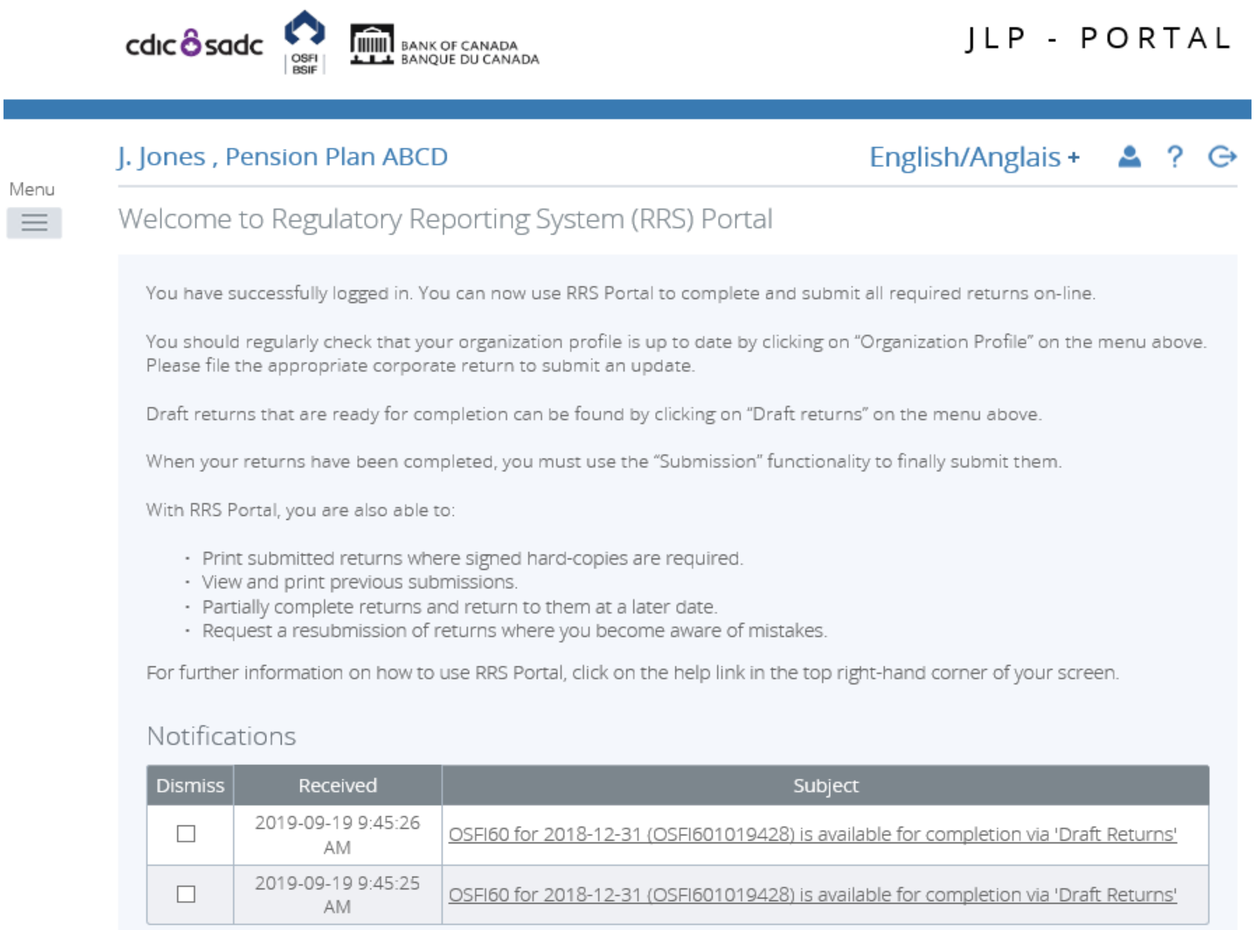


**Figure 8-1: Help Page**

2. In the **Subject** column, view the notification information.

To delete a notification:

1. In the **Dismiss** column, click the check box associated with the notification to be deleted. The notification is deleted.

# 9.0 Accessing Help

Help text is available on all topics within RRS.

To access RRS Help:

1. Click the **Help** link located on the top right of the application. The Help text displays.

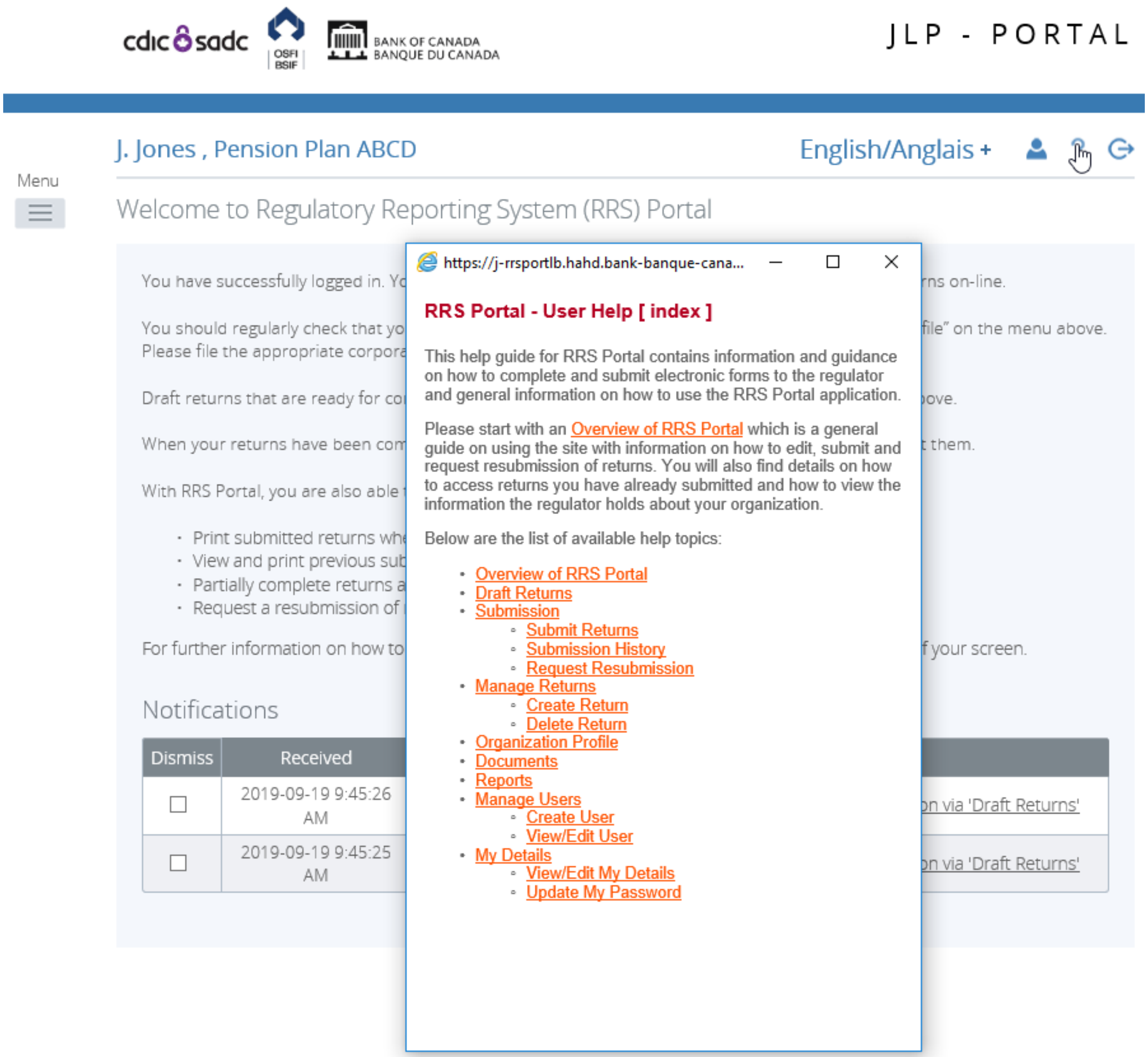


**Figure 9-1: Help Page**

| | **Other help options:** |
|---|---|
| | 1. The Documents menu item provides additional reference and training documents.<br><br>2. To receive more help with RRS you can contact your organization's LRA or contact the Bank of Canada at 1-855-865-8636. |

# 10.0 Logout

RRS provides the ability to logout of your current session.

To logout of RRS:

1. Click the **Logout** link located on the top right of the application. A window displays asking if you are sure you want to logout.
2. Click **OK**. The login page displays.

## 10.1 Inactivity Logout

Each RRS session is set to logout automatically after two hours of inactivity.

| | **If you are logged out due to inactivity:** |
|---|---|
| | RRS does not automatically save your work. It also does not return you to what you were working on when the forced logout occurred. It is important to save your work often. |

# 11.0 Tips, Tricks and Troubleshooting

## 11.1 Saving Your Work

It is important to remember to save your work often. As stated in *Section 11.1 Inactivity Logout*, each RRS session is set to logout automatically after two hours of inactivity. If you are logged out due to inactivity, RRS does not return you to what you were working on prior to the forced logout.

## 11.2 Microsoft Excel

You can save a return in Microsoft Excel format by using the Excel button on the Draft Return page. This button enables a return to be saved to a specified area outside of RRS.

## 11.3 Two Users Working on the Same Return

It is possible to have more than one user working on the same return within RRS. Note that RRS does not inform you when another user is working on the same return. Two separate scenarios are described below; both scenarios involve two users, User 1 and User 2, accessing the same return at the same time.

**Scenario 1 – Validate & Save:** User 1 clicks the Validate & Save button on the return and the data is saved at version 1.1. Then User 2 clicks the Validate & Save button and also saves the return, overwriting the data saved by User 1 and updating the revision of the return to 2.1. In this circumstance, the data in the return saved last is the return data RRS displays as the most current.

**Scenario 2 - Submit:** User 1 successfully submits the return. User 2 attempts to submit the return but receives an access denied message as this return has already been submitted by User 1.

| | |
|---|---|
| | **View Audit Log:** |
| | To determine who worked on a specific revision of a return, use the View Audit Log feature as described in *Section 3.2 How to View a Return*. |

## 11.4 Printing Returns

To print a return, use the Excel icon on the Draft Return page to open the return in Microsoft Excel format then use the print feature in Microsoft Excel.

# 12.0 Glossary

| Term/Acronym | Definition/Description |
|---|---|
| BoC | Bank of Canada |
| CDIC | Canada Deposit Insurance Corporation |
| CY | Calendar Year |
| Enhanced Authentication | A security requirement that applies to accessing RRS through the BoC Connect |
| Filer | A user associated with a financial institution who files returns. |
| FY | Fiscal Year |
| FYE | Fiscal Year End |
| LRA | Local Registration Authority |
| Organization | An element describing financial institutions or partner agencies. |
| OSFI | Office of the Superintendent of Financial Institutions |
| PDF | Portable Document Format |
| Portal | *See* RRS Portal |
| Return | A collection of information that Filers or their representatives are required to submit to one or more Tri-agency partners |
| Return schedule | The calendar of return submissions which can or must be filed, specifying the filing periods and frequency of submissions. |
| RRS | Regulatory Reporting System |
| RRS Portal | A web application used to submit and view returns |
| Status | Indicates the state a return is in, e.g., "In Draft" |
| Structural rule | The formatting and layout of a return submission |
| Tri-agency | A group made up of the Bank of Canada, the Office of the Superintendent of Financial Institutions and the Canada Deposit Insurance Corporation. |
| User | Any person who uses RRS with any level of privileges |
| User role | Gives a user access to specific features and functions. |
| Validation error | A message that displays the error that caused the validation process to fail. Users must correct the error to continue. |
| Validation rule | A rule used during the validation process, expressed as an equation. |
| Web form | An on-screen or online display of a return. |
| Workstation | A computer used to access the BoC Connect and the RRS application. |
| YE | Year End |

| Term/Acronym | Definition/Description |
| --- | --- |
| | |