

## Standard Contracts - Before you Begin Guide

This guide contains information to help you prepare to use the Commission's Portal to register a standard contract or submit a related filing. Before you enter the Portal for standard contracts, please note the following information:

**Portal functionality** Please take a moment and review the Portal Basics User Guide to learn how to create an account and how the portal works. It is available on the portal FAQ page at <http://fcnb.ca/portalfaq.html>.

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### STANDARD CONTRACT REGISTRATION

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**Contract type** You will be required to specify the type of Standard Contract (LIF, LIRA or Annuity), indicate if the standard contract will be offered in both English and French, and provide the primary language of the standard contract.

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**Financial institution details** You will be required to provide the name of the financial institution. You will also be required to provide the address of the financial institution, the name of the authorized officer and their position or office.

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**Standard contract identification number and name** You will be required to provide the CRA number of the contract and the name of the Registered savings arrangement in the primary language and if applicable, in the alternate language.

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**Broker/agent details** If there is a broker/agent, you will need the broker/agent name in the primary language and if applicable, in the alternate language, and the address and telephone number of the broker/agent as well as the name of a contact person for the broker/agent.

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**Upload documents** You will be required to upload the following documents: Declaration of trust and/or addendum, CRA letter identifying the identification number, application forms, and the financial institution declaration. For an Annuity you will also be required to upload the Annuity/Policy contract. For any type, you will also need to upload the Information folder, or other supporting documents, if applicable.

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**AMENDMENT TO  
STANDARD CONTRACT**

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<b>Amendment details</b>	You will be required to provide details of the specific changes to the standard contract. If there are documents which will help us review the amendment, please reference them here.
<b>Upload documents</b>	You will have an opportunity to upload any documents which will help us review the amendment.

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**STANDARD CONTRACT  
CLOSURE**

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<b>Closure request details</b>	You will be required to provide details of the request to close the standard contract to new clients.
<b>Upload documents</b>	You will have an opportunity to upload any documents which will help us review the closure request.

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**DISCONTINUE  
STANDARD CONTRACT**

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<b>Active contracts</b>	You will be required to indicate if the standard contract has active contracts, and provide details relating to the discontinuance which you wish staff to consider, or be aware of.
<b>Upload documents</b>	If there are active contracts, you will be required to upload the following documents: CRA approval letter, a Discontinuance letter from the transferring trustee which includes a reference to the number of contracts transferred and the contract name and registration numbers to which the contracts were transferred to, and an Acceptance letter from the successor trustee which includes a reference to the number of contracts transferred and the contract name and registration numbers to which the contracts were transferred to. If there are no active contracts, you will be required to upload the following documents: CRA approval letter and a letter from the contract provider confirming that there are no active contracts.

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