

**REQUEST FOR REGISTRATION  
OF A  
PROTOTYPICAL DEFERRED COMPENSATION PLAN  
AND  
PROTOTYPICAL SERVICE AGREEMENT**

Forward Completed Form to:

NJ Department of Community Affairs  
Division of Local Government Services  
Deferred Compensation Program  
PO Box 803  
Trenton NJ 08625-0803

E-Mail: [Tiziana.Johnston@dca.nj.gov](mailto:Tiziana.Johnston@dca.nj.gov)

FOR USE BY THE DIVISION OF LOCAL GOVERNMENT SERVICES

APPLICANT:

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LOCAL ENTITY

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RECEIVED:

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REVISED:

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APPROVED:

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DCP ID:

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SA ID:

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## I. APPLICANT INFORMATION

APPLICANT:	_____	
CONTACT:	_____	
POSITION:	_____	
PHONE:	_____	FAX: _____
E-MAIL:	_____	
ADDRESS:	_____	
	_____	
	_____	
	_____	
SIGNATURE:	_____	DATE: _____

## II. APPLICANT TYPOLOGY

The provider of deferred compensation services is an:

Insurance Company       Mutual Fund Company       Banking Institution

Other: Please Specify: \_\_\_\_\_

\_\_\_\_\_

## III. ACTION REQUESTED

This is a request for the registration of a:

Plan Document       Service Agreement

#### IV. INVESTMENTS

Identify the type(s) of investment options identified in *N.J.S.A. 43:15b-3c* and *N.J.A.C. 5:37-9.1*, which will be offered to units of local government.

- Individual or group annuity contracts, whether fixed or variable
- Mutual fund shares
- Life insurance contracts, whether fixed or variable
- Interest bearing accounts or securities, in which savings banks of New Jersey are authorized to invest their funds
- State of New Jersey Cash Management Fund

#### V. IRS COMPLIANCE

Attach a copy of the request submitted to the Internal Revenue Service for a Private Letter Ruling. A copy of the Ruling must be submitted to the Division when it is received.

The request for a Private Letter Ruling is based upon a plan with:

\_\_\_\_\_.

#### VI. BONDING AND INSURANCE

*N.J.A.C. 5:37-7.9* requires that a contractor providing a Prototypical Service Agreement post a bond obtained from an organization authorized and licensed to provide such bond in the State of New Jersey to protect the plan and the employees from any loss resulting from fraud or dishonesty by the contractor. The contractor also must provide evidence of appropriate liability insurance and errors and omission insurance.

Evidence of appropriate insurance coverage must be submitted herewith.

## **VII. PROMOTIONAL MATERIAL**

Submit a copy of all promotional material that will be provided to perspective employers and employees. This should also include a statement of applicable fees and charges.

## **VIII. PARTICIPANT/JOINDER AGREEMENT**

Submit a copy of the Participant/Joinder Agreement to be executed by the employee in order to participate in the Deferred Compensation Program.

## **IX. PLAN INVESTMENT CERTIFICATON**

Complete the PLAN INVESTMENT CERTIFICATION Form.

## **X. RULE COMPLIANCE REFERENCE**

The Rule Compliance Location Reference portion of the registration form identifies the subchapters of the *Deferred Compensation Rules*. Under the heading of PLAN DOCUMENT REFERENCE or SERVICE AGREEMENT REFERENCE, identify, as appropriate, the page and section number where the referenced information may be found in the proposed Plan Document and Service Agreement.

## RULE COMPLIANCE LOCATION REFERENCE

RULE REFERENCE N.J.A.C. 5:37-	SUBJECT	PLAN DOCUMENT	SERVICE AGREEMENT
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<b>DEFINITIONS</b>			
1.1	Definitions		
<b>THE DIRECTOR</b>			
2.1	Approving Plan		
2.1	Approving Service Agreement		
2.2	Review Investments		
<b>DEFERRED COMPENSATION PLAN</b>			
3.1	Prototypical Plan		
3.1	Prototypical Service Agreement		
3.3	Uniform System of Accounting		
3.4	Certification of IRS Compliance		
3.5	Alternative Certification of IRS Compliance		
<b>AMENDMENT OF PLAN</b>			
4.1	Reason for Amendment		
4.2	Notification of Amendment		
4.3	Plan Amendment		
<b>THE EMPLOYER</b>			
5.1	Institution of Plan		
5.2	Plan and Service Agreement Adoption		
5.3	Additional Service Agreement(s)		
5.4	Responsible for Administration		
5.5	Exclusive Benefit		
5.6	Conflict of Interest		
5.7	Non-Collusion		
5.8	No Personal Liability		
5.9	Administrative Expenses		
5.10	Minimum Amounts		
5.11	Terminated Plan or Service Agreement		
<b>THE LOCAL PLAN ADMINISTRATOR</b>			
6.1	Responsibilities of the Local Plan Administrator		
6.4	Document Retention		

<b>RULE REFERENCE</b> <b>N.J.A.C.</b> <b>5:37-</b>	<b>SUBJECT</b>	<b>PLAN DOCUMENT</b>	<b>SERVICE AGREEMENT</b>
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<b>THE CONTRACTOR</b>			
7.1	Award of Service Agreements		
7.2	Ban on Solicitation Prior to Award of Contract		
7.3	Insurance Companies		
7.4	Mutual Fund Companies		
7.5	Nonprofit Corporations		
7.6	Banking Institutions		
7.7	Nondiscrimination		
7.8	Contractor Disclosure		
7.9	Bonding and Insurance- Prototypical Service Agreement		
7.10	Provision for Rules to be Part of Service Agreement		
7.11	Responsibilities of the Contractor		
7.12	Quarterly Report — Prototypical Plan		
7.13	Credit to Accounts		
<b>ENROLLMENT</b>			
8.1	Joinder Agreement		
8.2	Leave of Absence		
<b>INVESTMENT POLICIES</b>			
9.1	Eligible Investments		
9.2	Choice of Investments		
9.3	Investment Certification		
9.4	Timing of Investments		
<b>ACCOUNTING PROCEDURES</b>			
10.1	Pooling of Funds		
10.3	Compliance Requirement — Prototypical Plan		
10.5	Deferrals		
10.7	Return to Participants		
10.8	Participant Records Confidential		
10.9	Plan Records		

**DEFERRED COMPENSATION  
PLAN INVESTMENT CERTIFICATION**

This is to certify that the investment options offered by the

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for deferred compensation plans administered for local governmental units in New Jersey pursuant to *N.J.S.A. 43:15B-1 et seq.* will comply with the investment requirements established pursuant to *N.J.S.A. 43:15B-3c.*

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(Signature of Authorized Representative)

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(Name Typed)

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(Position/Title)

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(Address)

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(Phone Number)

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(Date)