

**THE UNIVERSITY OF WINNIPEG TRUSTEED PENSION PLAN TRUST  
ANNUAL CONFLICT REPORT**

(For the Period \_\_\_\_\_)

**NAME:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**Instructions.** Please answer every question by marking a check in the appropriate box. If you answer "yes" to any of the questions, please provide details using the attached Details Information Sheet and clearly indicate your name, the date and the question(s) to which the additional information relates.

*Important Information for New Trustees:* In the case of a new Trustee completing this report for the first time, it is understood by the Board of Trustees of The University of Winnipeg Trusteed Pension Plan Trust that you may not have had any prior exposure to the Plan, the Pension Trust Fund or its operation. To the extent that any questions in this report pertain to the administration of the Plan or the assets of the Pension Trust Fund, you are required to answer these questions based only on your actual knowledge, and are not expected to make any investigations or inquiries with regard to the past administration of the Plan and the Pension Trust Fund over and above your ordinary duties as a Trustee. It is, however, important that all questions be answered truthfully based on your actual knowledge, whether acquired as a Trustee or otherwise.

*Important Information for Stakeholder-Appointed Trustees:* The Trust Agreement establishing and continuing The University of Winnipeg Trusteed Pension Plan Trust expressly contemplates the appointment of Stakeholder-Appointed Trustees by the Stakeholders of the Plan. Accordingly, a Stakeholder-Appointed Trustee will not be deemed to be in a conflict of interest merely by virtue of the fact that he or she was appointed by a particular Stakeholder of the Plan, nor by virtue of his or her status as an employee or representative of any Stakeholder or his or her participation in the Plan as a Member or Pensioner. It is further understood that University Appointees are not in a conflict of interest merely by virtue of the fact that the University is a sponsor of the Plan and may be providing services to the Plan from time to time as an administrative agent. Nevertheless, each Stakeholder-Appointed Trustee is still expected to answer all of the questions in the Conflict Report and to fully disclose his or her status in respect of all such matters.

Once you have completed the report, **please return it as follows:**

Chair, Board of Trustees  
The University of Winnipeg Trusteed Pension Plan Trust

**Note: The Chair of the Board of Trustees shall submit a completed Conflict Report on an annual basis to the Vice-Chair of the Board of Trustees.**

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**Definitions.** In this Conflict Report, unless the context requires otherwise, all words and phrases the first letters of which are capitalized shall have the meanings set out in the Trust Agreement, except for the following words and phrases which shall have the following meanings:

**"Board of Trustees"** means collectively the parties having executed and delivered the Trust Agreement as trustees of the Pension Trust Fund, and such Stakeholder-Appointed Trustees and External Trustees, or successors thereto, as may be appointed from time to time, pursuant to and in accordance with the Trust Agreement, as amended from time to time.

**"Closely Related Person"** means, in relation to you, your marital or common law spouse or any member of your immediate family, a business associate of yours, a close personal friend of yours and any other Person or Persons in a similarly proximate relationship to you.

**"Pension Trust Fund"** means the fund, comprised of the Trust Property, maintained by the Board of Trustees in order to provide for the payment of the benefits described in the Plan.

**"Person"** includes an individual, a corporation, a partnership, a trust, an unincorporated organization, the government of a country or any political subdivision thereof or any agency or department of any such government, and the executors, administrators or other legal representatives of an individual in such capacity.

**"Plan"** The University of Winnipeg Trusteed Pension Plan, as amended from time to time.

**"Trust"** means the University of Winnipeg Trusteed Pension Plan Trust.

**"Trust Agreement"** means the amended and restated trust agreement dated •, 2007 between the University of Winnipeg of the first part, UWFA of the second part, AESES of the third part, IUOE of the fourth part, the Retirement Association of the fifth part and each of the founding Trustees comprising the Board of Trustees of the sixth part, as amended from time to time.

**"Trust Property"** means all of the representations, rights, title and interest in and to any and all assets or entitlements held by the Board of Trustees in respect of the Pension Trust Fund.

#### A. PERSONAL CIRCUMSTANCES

	YES	NO
1. Do you or, to your knowledge, do any of your Closely Related Persons, (a) have any financial interest in, or are entitled to a benefit from, any Person that is/was a custodian of any Trust Property, (b) has (or has had) Trust Property invested in or loaned to it, or (c) is seeking to have Trust Property invested in or loaned to it. If yes, provide details. (It is not necessary to disclose your ownership of shares in a publicly traded company, provided that you do not own more than 3% of the issued and outstanding shares of that company).		
2. Have you, or are you aware of any of your Closely Related Persons that have, entered into any arrangement either express or implied under which you (or any of your Closely Related Persons) are entitled to a benefit either now or in the future from any Person that is in a business relationship with the Plan, the Pension Trust Fund or any service provider, supplier or advisor to the Plan or the Pension Trust Fund? If yes, provide details. (It is not necessary to disclose your ownership of shares in a publicly traded company, provided that you do not own more than 3% of the issued and outstanding shares of that company).		
3. Have you, or are you aware of any of your Closely Related Persons who have, accepted any gift, entertainment or other favours that would have a total value of \$100 or more on an annual basis from any Person that is, was or is seeking to be a custodian of any Trust Property, or that has or is seeking to have Trust Property invested in or loaned to it, or is otherwise in a business relationship with the Plan, the Pension Trust Fund or any service provider, supplier or advisor to the Plan or the Pension Trust Fund? If yes, provide details.		
4. Are you, or are you aware of any of your Closely Related Persons who are, a Member (or eligible to be a Member), Pensioner or other beneficiary of the Plan? If yes, provide details.		
5. Are you, or have you at any time been a Regent of the University or an employee or officer of any of the University, AESES, IUOE, UWFA or the Retirement Association, or are you aware of any Closely Related Persons that are or, at any time, have been, any of the foregoing? If yes, provide details.		

YES	NO
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**B. KNOWLEDGE ABOUT THE PLAN AND THE PENSION TRUST FUND**

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| 6.  | Do you know of any transactions that have occurred which would contravene any laws or regulations governing the Board of Trustees (for example, misappropriation of funds, improper expense claims, failure to comply with the terms of the Trust Agreement, etc.). If yes, provide details.  |  |  |
| 7.  | Do you know of any instances in which confidential information about the activities of the Trust may have improperly been disclosed to anyone outside of the Board of Trustees or their authorized representatives? If yes, provide details.  |  |  |
| 8.  | Do you know of any transactions that are not accurately and fairly reflected in the books and records of the Trust? If yes, provide details.  |  |  |
| 9.  | Do you have, or are you aware of any Closely Related Person which has, any direct or indirect interest, or any interest whatsoever and howsoever derived, in any transaction with the Board of Trustees or in any entity which is a party to a transaction with the Board of Trustees (for example, in the Pension Trust Fund's investment manager)? If yes, provide details. |  |  |
| 10. | Have you authorized or entered into, or are you aware of any transactions made on behalf of the Board of Trustees that were not executed or carried out in accordance with the Trust Agreement? If yes, provide details.  |  |  |
| 11. | Do you know of any violations of the Trust Agreement or of any policies established by the Board of Trustees which have not been reported to the Board of Trustees or its Committees? If yes, provide details.  |  |  |
| 12. | Are you aware of any other activities which may conflict with the Plan, the Trust Agreement or the fiduciary duties of the Trustees? If yes, provide details.   |  |  |

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\_\_\_\_\_ I have attached a Details Information Sheet

\_\_\_\_\_ I have not attached a Details Information Sheet

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The answers given herein and the attached information (if any) are, to the best of my knowledge, true and accurate.

DATED this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

**Signature:**\_\_\_\_\_

**THE UNIVERSITY OF WINNIPEG TRUSTEED PENSION PLAN TRUST**  
**ANNUAL CONFLICT REPORT**  
(For the Period \_\_\_\_\_)

**DETAILS INFORMATION SHEET**

**NAME:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**Question #** \_\_\_\_\_

**Details:** \_\_\_\_\_  
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**Question #** \_\_\_\_\_

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**Question #** \_\_\_\_\_

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**Question #** \_\_\_\_\_

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