

LOCK-IN APPLICATION

**Part I. Plan Information**

Upstate New York Engineers Pension Plan

Plan name

Actuary

Role of filer

Robert Marcella, EA

Name of filer

9000 Midlantic Drive, Suite 100

Street address of filer

rmarcella@boltonusa.com

Email address of filer

Mount Laurel, NJ, 08054

City, State, ZIP Code of filer

(609) 588-9166

Telephone number of filer

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Trustees of Upstate New York Engineers Pension Plan

Plan sponsor name

101 Intrepid Lane, P.O. Box 100 - Colvin Station

Street address of plan sponsor

dspaulding@ejbf.com

Email address of plan sponsor

Syracuse, NY, 13205-0100

City, State, ZIP Code of plan sponsor

(315) 492-1796

Telephone number of plan sponsor

Robert Marcella, EA

Plan sponsor's authorized representative's name (if any; if none, then leave these spaces blank)

9000 Midlantic Drive, Suite 100

Street address of authorized representative

rmarcella@boltonusa.com

Email address of authorized representative

Mount Laurel, NJ, 08054

City, State, ZIP Code of authorized representative

(609) 588-9166

Telephone number of authorized representative

# LOCK-IN APPLICATION

## Part II. Eligibility

The plan is eligible\* for SFA because it meets the criteria for eligibility under (check all that apply):

	§ 4262.3(a)(1) of PBGC's SFA regulation
	§ 4262.3(a)(2) of PBGC's SFA regulation
✓	§ 4262.3(a)(3) of PBGC's SFA regulation**
	§ 4262.3(a)(4) of PBGC's SFA regulation

\* PBGC will not verify a plan's assessment of its eligibility for SFA until it receives the plan's revised application. If PBGC determines that the plan was not eligible on the date when the lock-in application was filed, then the lock-in application will not establish the plan's base data.

\*\*For information on how to determine eligibility under this provision, see Section D, Item (3)c of the general instructions.

## Part III. Priority Group

This section is required only for a lock-in application filed on or before March 11, 2023. If filing after that date, then leave this section blank and skip to Part IV.

Priority Group 5. Is the plan projected to become insolvent before March 11, 2026?

Yes  No

If yes, then, except as provided below, the filer must provide a certification from the plan's enrolled actuary that the plan is eligible for Priority Group 5. This certification should specifically identify Priority Group 5 and contain sufficient information to demonstrate that the plan is eligible for Priority Group 5, including details of relevant plan projections and clear documentation of all assumptions, methods, and census data used in such projections.

Priority Group 6. Is the plan listed on [www.pbgc.gov/arp-sfa](http://www.pbgc.gov/arp-sfa) as having a present value of financial assistance in excess of \$1 billion?

Yes  No

If yes, skip to Part IV. Also, if yes and the plan is also in Priority Group 5, then the filer does not need to provide the supporting documentation described above.

If applicable, PBGC will post additional priority groups eligible to submit lock-in applications, the date PBGC will begin accepting applications for plans in additional priority groups, and any required information for a plan to demonstrate its priority group status on PBGC's website at [www.pbgc.gov](http://www.pbgc.gov). Also, PBGC may require a plan sponsor to file additional information, including information to clarify or verify the plan's priority group status.

## Part IV. Certification

This part must be signed and dated by an authorized trustee who is a current member of the board of trustees.



## LOCK-IN APPLICATION

This information collection is necessary for PBGC to properly administer the SFA program. PBGC uses the information it receives in a plan's lock-in application to record the filing date for the plan's initial application for SFA.

PBGC estimates an average per plan hour burden of 1 hour of fund office time and an average cost burden of \$800 in contractor costs. These are estimates and the actual time and cost per plan will vary depending on the circumstances of a given filing and the size of the plan.

This collection of information has been approved by the Office of Management and Budget (OMB) under control number 1212-0074 (expires 07/31/2023). Under the Paperwork Reduction Act, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.