

Chapter 2

Authorised fund applications

2.1 Authorised fund applications

Application

2.1.1 R This chapter applies to any *person* seeking to arrange for the authorisation of a *scheme*.

Purpose

2.1.2 G This chapter helps in achieving the *statutory objectives* of protecting *consumers* by ensuring that any application for authorisation of a fund meets certain standards.

Explanation

- 2.1.3 G
- (1) This chapter sets out the requirements that a *person* must follow in applying for an *authorisation order* for a *scheme* under regulation 12 of the *OEIC Regulations* (Applications for authorisation), section 242 of the *Act* (Applications for authorisation of unit trust schemes) or section 261C of the *Act* (Applications for authorisation of contractual schemes).
 - (2) ■ COLLG 3A (The FCA’s responsibilities under the Act) and ■ COLLG 4A (The FCA’s responsibilities under the OEIC Regulations) provide more information on what the *Act* and the *OEIC Regulations* require in relation to ongoing notifications to the *FCA*.

Specific requirements on application

- 2.1.4 D
- An application for an *authorisation order* in respect of an *authorised fund* must be:
- (1) in writing in the manner directed and contain the information required in the application form available from the *FCA*;
 - (2) addressed for the attention of a member of *FCA* staff responsible for *collective investment scheme* authorisation matters; and
 - (3) delivered to the *FCA*'s address by one of the following methods:
 - (a) posting; or

- (b) leaving it at the *FCA*'s address and obtaining a time-stamped receipt; or
- (c) delivery by hand to a member of *FCA* staff responsible for *collective investment scheme* authorisation matters.

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