Chapter 11

Collective Portfolio Management Firms and Collective Portfolio Management Investment Firms



11.7 CAPITAL REPORTING

11.7.1

The reporting requirements of capital adequacy for a collective portfolio management firm and a collective portfolio management investment firm are set out in ■ SUP 16.12 (Integrated regulatory reporting). In summary, the relevant capital adequacy forms for its business of managing an AIF or managing a UK UCITS are as follows:

- (1) a collective portfolio management firm is required to submit FIN066 (and FSA042 if it is a UCITS firm); and
- (2) a collective portfolio management investment firm is required to submit FIN067 (and FSA042 if it is a UCITS investment firm) and also report in accordance with ■ MIFIDPRU 9.
- (3) [deleted]

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