

**NEW COLLECTIVE INVESTMENT SCHEMES SOURCEBOOK  
(INTRODUCTION OF NORTHERN IRELAND OEICS) (AMENDMENT)  
INSTRUMENT 2004**

**Powers exercised**

- A. The Financial Services Authority makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
- (1)
    - (a) section 138 (General rule-making power);
    - (b) section 145 (Financial promotion rules);
    - (c) section 156 (General supplementary powers);
    - (d) section 157(1) (Guidance);
    - (e) section 340 (Appointment); and
    - (f) paragraph 17(1) of Schedule 1 (Fees); and
  - (2) regulation 6 (FSA rules) of The Open-Ended Investment Companies Regulations (Northern Ireland) 2004 (SR 2004/335).
- B. The rule-making powers identified above are specified for the purpose of section 153(2) (Rule-making instruments) of the Act.

**Commencement**

- C. This instrument comes into force on 1 November 2004.

**Amendments to the New Collective Investment Schemes sourcebook**

- D. The New Collective Investment Schemes sourcebook is amended in accordance with Annex A to this instrument.

**Amendments to the Glossary**

- E. The Glossary is amended in accordance with Annex B to this instrument.

**Citation**

- F. This instrument may be cited as the New Collective Investment Schemes Sourcebook (Introduction of Northern Ireland OEICs) (Amendment) Instrument 2004.

By order of the Board  
16 September 2004

## Annex A

### Amendments to the New Collective Investment Schemes sourcebook

In this Annex underlining indicates new text.

Table: contents of the instrument constituting the scheme

3.2.6 R This table belongs to *COLL* 3.2.4R (Matters which must be included in the instrument constituting the scheme)

...

ICVCs: unit transfers

21 A statement that the *person* designated for the purposes of paragraph 4 of Schedule 4 to the *OEIC Regulations* (Share transfers) or for an ICVC established in Northern Ireland, paragraph 3 of Schedule 4 to the Open-Ended Investment Companies Regulations (Northern Ireland) 2004 (SR 2004/335) is the *person* who, for the time being, is the *ACD* of the *ICVC*.

...

Consequences of commencement of winding up or termination

7.3.6 R (3) ...

(b) if winding up an *ICVC*, publish notice of the commencement of the winding up (if the head office of the *ICVC* is situated in England and Wales or Wales) in the London Gazette, or (if the head office of the *ICVC* is situated in Scotland) in the Edinburgh Gazette or (if the head office of the *ICVC* is situated in Northern Ireland) in the Belfast Gazette.

## Annex B

### Amendment to the Glossary

In this Annex underlining indicates new text.

Amend the following definition as shown:

*OEIC Regulations*      the Open-Ended Investment Companies Regulations 2001 (SI 2001/1228) or for an ICVC established in Northern Ireland, the Open-Ended Investment Companies Regulations (Northern Ireland) 2004 (SR 2004/335).