

Schedule 2

Notification requirements

Sch 2.1 G

This schedule sets out the notification requirements detailed in *COLL* in respect only of notifications to be provided to the *FCA*. These notification requirements, it should be noted, are in addition to the notifications which must be made to the *FCA* under section 251 of the *Act* (Alteration of schemes and changes of manager or trustee), section 261Q of the *Act* (Alteration of contractual schemes and changes of operator or depositary) and under regulation 21 of the *OEIC Regulations* (The Authority's approval for certain changes in respect of a company).

Sch 2.2 G

1 Notification requirements

Handbook reference	Matter to be notified	Contents of notification	Trigger event	Time allowed
<i>COLL</i> Transitional provision 3	Election or revocation to comply with CIS	Details and the date from which it is to take effect	At election or revocation	Immediate
<i>COLL</i> Transitional Provision 14	Election for early compliance with the instrument	Details and the date from which it is to take effect	At election	Immediate
<i>COLL</i> 4.2.3 R (1)(b)	<i>Prospectus</i> and any revisions thereto	Copy provided	<i>Marketing scheme</i>	Before <i>marketing</i> begins
<i>COLL</i> 4.2.3A R (1)(b)	Copy of <i>prospectus</i> of the <i>master UCITS</i>	Full details, together with any amendments	On publication	Immediately on publication
<i>COLL</i> 4.2.3B R (1)	<i>Prospectus</i> of the <i>qualifying master scheme</i> of a <i>feeder NURS</i>	Copy provided	Upon request by the <i>FCA</i>	Immediate
<i>COLL</i> 4.5.14 R (2)(d)	Annual and half yearly reports	Copy of report	End of annual or <i>half-yearly accounting period</i>	Immediately on publication
<i>COLL</i> 4.5.15 R (1)(b)	Copies of the annual and half-yearly long reports of the <i>master UCITS</i>	Full details	End of annual or <i>half-yearly accounting period</i>	Immediately on publication

Handbook reference	Matter to be notified	Contents of notification	Trigger event	Time allowed
COLL 4.5.16 R (1)	Annual and half-yearly long report (or nearest equivalent documents for a <i>qualifying master scheme</i> that is a <i>recognised scheme</i>) of the <i>qualifying master scheme</i> of a feeder NURS	Copy provided	Upon request by the FCA	Immediate
COLL 4.7.7 R (2))	<i>Key investor information document</i>	Full details, together with any amendments	On first use	Immediate
COLL 4.7.7 R (3)	<i>Key investor information document</i> of the <i>master UCITS</i>	Full details, together with any amendments	On first use	Immediate
COLL 6.5.3 R (5)	Change of ACD, directors or controller of ACD or a corporate director	Details	Occurrence	Immediate
COLL 6.6.7 R	Capital of ICVC	Details if capital: (a) falls below minimum or (b) exceeds maximum	Occurrence	Immediate
COLL 6.9.11 R	Change to ICVC or to one of its officers	Details	Occurrence	14 days
COLL 6.12.3 R	Risk management process	Details in COLL 6.12.3 R (2)(a) and COLL 6.12.3 R (2)(b) and any material alterations thereof	On first use of process	On a regular basis and at least annually
COLL 6.12.6R(2)	Material change to the risk management process	Full details of change	On first use of amended process	Immediate
COLL 7.2.1 R (2) & COLL 7.2.1R (5)	Suspension or resumption of <i>dealing</i>	Details including reason for suspension	Occurrence	Immediate
COLL 7.3.5 R (5)	Winding up a solvent ICVC or terminating a solvent ICVC sub-fund (Directors)	Solvency statement	Winding up a solvent ICVC or ICVC sub-fund	Within 21 days of notice given under regulation 21 of OEIC Regulations
COLL 7.3.7 R (9)	Winding up a solvent ICVC or sub-fund of an ICVC (Depositary)	Completion of winding up or termination of a sub-fund	Winding up a solvent ICVC or ICVC sub-fund	As soon as reasonably practical after winding up completed

Handbook reference	Matter to be notified	Contents of notification	Trigger event	Time allowed
COLL 7.3.8 R (6)	Winding up a solvent <i>ICVC</i> (<i>ACD</i>)	Final accounts	Completion of winding up	Four months
COLL 7.3.8 R (6)	Winding up a solvent <i>ICVC sub-fund</i> (<i>ACD</i>)	Termination account and auditor's report	Termination of <i>sub-fund</i>	Four months
COLL 7.4.4R (6)	Winding up of an <i>AUT</i> or an <i>AUT sub-fund</i> (<i>Trustee</i>)	Completion of winding up	Winding up of an <i>AUT</i>	Immediate
COLL 7.4.5 R (5)	Winding up an <i>AUT</i> or <i>AUT sub-fund</i>	Annual reports of the <i>manager</i> and <i>trustee</i>	End of final accounting period	Four months
COLL 7.4A.5 R (5)	Winding up a solvent <i>ACS</i> or terminating a solvent <i>sub-fund</i> of a <i>co-ownership scheme</i> (<i>Authorised contractual scheme manager</i>)	Solvency statement	Winding up a solvent <i>ACS</i> or terminating a solvent <i>sub-fund</i> of a <i>co-ownership scheme</i>	Within 21 <i>days</i> of notice under section 261Q of the <i>Act</i> or within 21 <i>days</i> of request under section 261W of the <i>Act</i> .
COLL 7.4A.6 R (6)	Winding up a solvent <i>ACS</i> or terminating a solvent <i>sub-fund</i> of a <i>co-ownership scheme</i> (<i>Depositary</i>)	Completion of winding up	Winding up	Immediate
COLL 7.4A.9 R (7)	Winding up a solvent <i>ACS</i> or terminating a solvent <i>sub-fund</i> of a <i>co-ownership scheme</i>	Annual reports of <i>authorised contractual scheme manager</i> and <i>depositary</i>	End of final accounting period	Four months
COLL 7.7.22 R	Confirmation of the completion of the merger transfer	Details of completion	On completion of transfer	Immediate
COLL 7.8.37R	Suspension or resumption of <i>dealing</i>	Details including reason for suspension	Occurrence	Immediate
COLL 8.3.2 R	<i>Prospectus</i> and revisions	Full documents	Before marketing commences	Immediate
COLL 8.3.5 R (6)	Annual and half yearly reports	Copy of report	End of annual or <i>half-yearly accounting period</i>	Immediately on publication
COLL 8.6.3 R (3) & COLL 8.6.3 R (5)	Suspension or resumption of <i>dealing</i> (<i>AFM</i>)	Details including reason for suspension	Occurrence	Immediate
COLL 9.3.1 D	Notification of a <i>scheme</i> constituted in a <i>designated territory</i>	Prescribed details	Intention to market <i>scheme</i> in <i>UK</i>	As implicit from <i>rules</i> in <i>COLL</i>

Handbook reference	Matter to be notified	Contents of notification	Trigger event	Time allowed
COLL 9.3.1 D	Application under section 272 of the <i>Act</i>	Details	Intention to market <i>scheme</i> in the <i>UK</i>	Up to 6 months before commencing marketing
COLL 9.3.5D	Annual certificate of compliance for a <i>scheme</i> recognised under section 272 of the <i>Act</i>	Details in COLL 9.3.5D(1)	Date on which the <i>annual report and accounts</i> of the <i>scheme</i> is (or is due to be) published (see COLL 9.3.5D(2))	One month
COLL 11.3.9 R	Identity of investing <i>feeder UCITS</i>	Full details	After investment	Immediate
COLL 11.4.3 R	Notification of irregularities relating to a <i>master UCITS</i>	Full details	Detection	Immediate
COLL 14.2.1R	Registration as a charity with the Charity Commission	Details	On registering as a charity with the Charity Commission	Without undue delay
COLL 14.2.2R	De-registration as a charity with the Charity Commission	Details	On de-registering as a charity with the Charity Commission	Without undue delay
COLL 15.4.2R	<i>Prospectus</i> and revisions	Full documents	Before marketing commences	Immediate
COLL 15.5.2R(5)	Annual, half yearly and quarterly reports	Copy of report	End of annual or <i>half-yearly accounting period</i> , or <i>quarterly reporting period</i>	Immediately on publication
COLL 15.10.3R(3) and (8)	Suspension and resumption of <i>dealing (AFM)</i>	Details, including reason for suspension	Occurrence	Immediate