

Collective Investment Schemes

COLL TP 1 Transitional Provisions

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Hand-book provision: coming into force
Extra time provisions					
Existing schemes electing to comply with COLL					
1	Each and every <i>rule</i> in COLL	R	Expired		
1A	Each and every <i>rule</i> in COLL	R	The <i>rules</i> in COLL do not apply to any relevant party in relation to an <i>authorised fund</i> where the winding up of the fund has commenced before 12 February 2007, provided that each relevant party shall continue to comply with the provisions of CIS as if they still applied to them.	From 12 February 2007	12 February 2007
2	Each and every <i>rule</i> in COLL	G	Expired		
3	Each and every <i>rule</i> in COLL	R			
4	Each and every <i>rule</i> in COLL	G	Expired		
5	COLL 6.9.9 R (4) to (6) (Restrictions of business for UCITS management companies)	R	Expired		
6	COLL 6.9.9 R (4) to (6) (Restrictions of business for UCITS management companies)	G	Expired		

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
7	COLL 6.6.15 (2), (4) and (5) (Committees and delegation)	R	Expired		
8	COLL 6.2 (dealing); COLL 6.3 (Valuation and pricing); (Valuation) and 16 (Table: contents of the prospectus)	R	Expired		
9	COLL 6.2 (dealing); COLL 6.3 (Valuation and pricing); COLL 5.2.5 R (Valuation) and COLL 4.2.5 R 16 (Table: contents of the prospectus)	G	Expired		
10	FEES 3.2.1 R Definition of relevant party	R	Expired		
11	COLL	R	Expired		
12	COLL 10.2.1 R	R	Expired		
13	COLL 4.2.5 R	R	Expired		
14	Amendments to COLL made by the Collective Investment Schemes Sourcebook (UCITS Eligible Assets Directive and Other Amendments) Instrument 2008	R	(1) [expired]		
			(2) [expired]		

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
(3) [expired]					
15	Amendments to COLL 5.6.3 R made by the Collective Investment Schemes Sourcebook (Amendment No 5) Instrument 2009	R	Expired		
16	COLL 4.5 and COLL 8.3.5 R to COLL 8.3.5E R	R	Expired		
17	COLL 4.5.5R (1)(a)(iv) and COLL 4.5.9R (9A)	R	Expired		
[Note: article 118(2) of the UCITS Directive]					
18	Each and every rule in COLL that relates to <i>key investor information</i>	R	Expired		
19	COLL 4.4.12 R COLL 4.4.13 R COLL 7.7.19 R	R	Expired		
20	COLL 4.4.12 R COLL 4.4.13 R	G	Expired		

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
	COLL 7.7.19 R				
21	COLL 4.2.5R (3)(qa)	R	Expired		
22	COLL 4.6.8R(8)(d)	R	Expired		
23	COLL 5.9.3 R and COLL 5.9.5 R	R	Expired		
24	COLL 8.3.4R (6)	R	Expired		
25	COLL 3 to COLL 8	R	Expired		
26	COLL 3 to COLL 8	D	Expired		
27	COLL 3 to COLL 8	G	Expired		
28	COLL 4.2.5 R(3)(ca)	R	Expired		
29	Amendments to each and every <i>rule</i> in <i>COLL</i> made by the Collective Investment Schemes (Accounting Amendments) (No 2) Instrument 2015	R	[expired]		
30	Amendments to each and every <i>rule</i> in <i>COLL</i> made by the Collective Investment Schemes (Accounting Amendments) (No 2) Instrument 2015	R	(1) [expired] (2) [expired] (3) The <i>authorised fund manager</i> must make a record of that election and retain it for a period of six years from the date it takes effect.	1 March 2015 until 6 years from the date the relevant election takes place	1 March 2015
31	COLL 4.2.5R(8)(f), (g) and (h), and COLL 4.2.5R(28)	R	[expired]		
32	COLL 4.2.5R(8)(f) and (g)(i) and (ii)	R	(1) The <i>authorised fund manager</i> of a <i>non-UCITS retail scheme</i> need not, for any <i>prospectus</i> issued before 18 March 2016, comply with COLL 4.2.5R(8)(f), (g)(i) and (ii).	From 18 March 2016 until 31	18 March 2016

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Hand-book provision: coming into force
33	COLL 4.5.7R(7)	R	(2) The <i>prospectus</i> must, however, contain a description of the <i>depository's</i> principal business activity. [expired]	March 2017	
34	COLL 4.7.2R(4)(a) and (6A)	R	(1) Paragraph (2) applies to any <i>key investor information document</i> drawn up by an <i>authorised fund manager</i> before 18 March 2016. (2) The <i>authorised fund manager</i> need not amend the <i>key investor information document</i> until it is revised as a result of a subsequent revision of the <i>key investor information</i> falling after 18 March 2016, and only if the information required by COLL 4.7.2R(4)(a) and (6A) is available to the authorised fund manager at the time of that revision.	From 18 March 2016 until 18 March 2017	18 March 2016
35	The changes set out in Annex F of the UCITS V Directive Instrument 2016 to COLL 6.6.4R(6) and (7), COLL 6 Annex 1R and COLL 12.3.4R(1)	R	The changes to the COLL provisions in column (2) do not apply to an <i>EEA UCITS management company</i> in respect of a <i>UCITS scheme</i> managed by it and the provisions continue to apply as they were in force at 17 March 2016.	18 March 2016 until the earlier of: (1) the date of application of the <i>UCITS level 2 regulation</i> ; and (2) the date the <i>EEA UCITS management company</i> enters into a <i>depository agreement</i> in respect of the <i>scheme</i> that is compliant with the terms of the <i>UCITS level 2 regulation</i>	18 March 2016

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
36	COLL 6.6A.8R	R	A <i>management company</i> may continue to retain a <i>depository</i> that does not meet the requirements in COLL 6.6A.8R if the <i>depository</i> was appointed before 18 March 2016.	From 18 March 2016 until 18 March 2018	18 March 2016
37	COLL 6.6B.8R and COLL 6.6B.11R		A <i>depository</i> that does not meet the requirements in COLL 6.6B.8R and COLL 6.6B.11R may continue to act as <i>depository</i> of a <i>UCITS scheme</i> if it was appointed before 18 March 2016.	From 18 March 2016 until 18 March 2018	18 March 2016
38	COLL 4.2.5AG	G	An <i>authorised fund manager</i> of a <i>UCITS scheme</i> or a <i>non-UCITS retail scheme</i> does not need to comply with the provisions of the <i>Securities Financing Transactions Regulation</i> referred to in COLL 4.2.5AG for: (1) a <i>sub-fund</i> that was constituted before 12 January 2016 if the <i>scheme</i> is an <i>umbrella</i> ; and (2) a <i>scheme</i> that was constituted before 12 January 2016, if the <i>scheme</i> is not an <i>umbrella</i> . [Note: article 33(2)(c) of the <i>Securities Financing Transactions Regulation</i>]	From 23 September 2016 until 12 July 2017	23 September 2016
39	COLL 8.3.4AG	G	An <i>authorised fund manager</i> of a <i>qualified investor scheme</i> does not need to comply with the provisions of the <i>Securities Financing Transactions Regulation</i> referred to in COLL 8.3.4AG for: (1) a <i>sub-fund</i> that was constituted before 12 January 2016 if the <i>scheme</i> is an <i>umbrella</i> ; and (2) a <i>scheme</i> that was constituted before 12 January 2016, if the <i>scheme</i> is not an <i>umbrella</i> . [Note: article 33(2)(c) of the <i>Securities Financing Transactions Regulation</i>]	From 23 September 2016 until 12 July 2017	23 September 2016
40	COLL 3.2.6R(8) and COLL 5.2.12R(3)(d)	R	An <i>authorised fund manager</i> is not required to update existing statements in the <i>instrument constituting the fund</i> concerning use of the derogation at COLL 5.2.12R(3) due to the amendments to the following provisions by the Collective Investment Schemes Sourcebook (Amendment No 9) Instrument 2016 until it is updated for other purposes: (a) COLL 3.2.6R(8) and (b) COLL 5.2.12R (3)(d).	From 1 October 2016 to 30 September 2019	From 1 October 2016

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Hand-book provision: coming into force
41	COLL 3.2.6R(15)	R	An <i>authorised fund manager</i> is not required to update the <i>instrument constituting the fund</i> due to the amendment to COLL 3.2.6R(15) until it is updated for other purposes.	From 1 October 2016 to 30 September 2019	From 1 October 2016
42	COLL 4.2.5R(3)(i) and COLL 5.2.12R(3)(d).	R	An <i>authorised fund manager</i> is not required to update existing statements in the <i>prospectus</i> concerning use of the derogation under COLL 5.2.12R(3) due to the amendments to the following provisions by the Collective Investment Schemes Sourcebook (Amendment No 9) Instrument 2016 until it is updated for other purposes: (a) COLL 4.2.5R(3)(i) (subject to COLL TP1.1 (43)) and (b) COLL 5.2.12R(3)(d).	From 1 October 2016 to 30 September 2017	From 1 October 2016
43	COLL 4.2.5R(3)(i), COLL 5.6.7R(1), COLL 5.6.8R, and COLL 5.7.5R	R	An <i>authorised fund manager</i> of a <i>non-UCITS retail scheme</i> is not required to comply with the amendments to the <i>rules</i> in column (2) in relation to <i>government and public securities</i> made by the Collective Investment Schemes Sourcebook (Amendment No 9) Instrument 2016.	From 1 October 2016 to 30 September 2017	From 1 October 2016
44	COLL 4.2.2R, COLL 4.2.5R, and COLL 4.2.6G.	R	An <i>authorised fund manager</i> is not required to update the <i>prospectus</i> due to the amendments to the following provisions by the Collective Investment Schemes Sourcebook (Amendment No 9) Instrument 2016 until it is updated for other purposes: (a) COLL 4.2.2R(2)(aa) (b) COLL 4.2.5R(2)(aa); (c) COLL 4.2.5R(2B)(b); (d) COLL 4.2.5R(5)(b); (e) COLL 4.2.5R(16)(b)(v); (f) COLL 4.2.5R(18)(b)(i); (g) COLL 4.2.5R(19); (h) COLL 4.2.5R(20); and (i) COLL 4.2.6G(7)(a).	From 1 October 2016 to 30 September 2017	From 1 October 2016
45	COLL 8.3.2R and COLL 8.3.4R	R	An <i>authorised fund manager</i> is not required to update the <i>prospectus</i> due to the amendments to the following provisions by the Collective Investment Schemes Sourcebook (Amendment No 9) Instrument 2016 until it is updated for other purposes: (a) COLL 8.3.2R(1A); (b) COLL 8.3.4R(2)(1A);	From 1 October 2016 to 30 September 2017	From 1 October 2016

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
46	The <i>rules and guidance</i> in COLL that relate to a <i>NURS-KII document</i> .	R	(c) COLL 8.3.4R(14)(3); and (d) COLL 8.3.4R(17)(6). An <i>authorised fund manager</i> of a <i>non-UCITS retail scheme</i> and an <i>ICVC</i> that is a <i>non-UCITS retail scheme</i> may comply with the provisions in column (2) using a <i>key investor information document</i> (as modified by a general direction from the <i>FCA</i>) created before 1 January 2018 if it: (1) had dispensation from the <i>FCA</i> through a modification by consent to market <i>units</i> of the <i>non-UCITS retail scheme</i> using that <i>document</i> until 1 January 2018; and (2) decides to draw up a <i>NURS-KII document</i> , instead of a <i>key information document</i> , in accordance with COLL 4.7 after 1 January 2018.	From 1 January 2018 until 19 February 2018	1 January 2018
47	COLL 4.3.4R(2); COLL 4.3.6R(2); COLL 8.3.6R(1) and (2)	R	A new type of payment out of <i>scheme property</i> , which is introduced by a <i>firm</i> to facilitate the operation of a <i>research</i> payment account under COBS 2.3B.3R(2), does not constitute a fundamental change under COLL 4.3.4R(2) or COLL 8.3.6R(1) requiring prior approval by meeting. Such a change will however constitute a significant change under COLL 4.3.6R(2) and COLL 8.3.6R(2) requiring pre-event notification.	From 3 January 2018 until 3 January 2020	3 January 2018
48	COLL 4.5.7R(8) and (9) and COLL 8.3.5AR(5) and (6)	R	An <i>authorised fund manager</i> is not required to include the information prescribed by COLL 4.5.7R(8) and (9) or COLL 8.3.5AR(5) and (6) in its annual long report or in a composite report in respect of any <i>annual accounting period</i> ending before 30 September 2019.	From 30 September 2019	30 September 2019
Amendments to COLL made by the Money Market Funds Regulation Instrument 2018					
48	Each and every rule in COLL amended or deleted by the Money Market Funds Regulation Instrument 2018	R	A <i>scheme</i> which satisfies the conditions in either COLL 5.9.3R or COLL 5.9.5R immediately before 21 July 2018, and in respect of which an application for authorisation as a <i>regulated money market fund</i> needs to be submitted by 21 January 2019 in accordance with article 44 of the <i>Money Market Funds Regulation</i> , shall continue to comply with the provisions of the COLL sourcebook that apply to it, or in relation to it, as at 20 July 2018 until such time as it is a <i>regulated money market fund</i> .	From 21 July 2018 to 21 March 2019	21 July 2018
Amendments made by the Collective Investment Schemes Sourcebook (Miscellaneous Amendments) Instrument 2019					
49	COLL 4.2.5R(3)(c-b), (c-a) and (o), and COLL 4.2.6G(1A)	R	The <i>rules and guidance</i> specified in column (2) apply: (1) from 7 May 2019 in respect of any <i>authorised fund</i> which is authorised on or after that date; and	From 7 May 2019 to 7 August 2019	7 May 2019

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Hand-book provision: coming into force
			(2) from 7 August 2019 in respect of any <i>authorised fund</i> which is authorised before 7 May 2019.		
Amendments made by the Collective Investment Schemes Sourcebook (Miscellaneous Amendments) Instrument 2020					
50	COLL 9.3.5D	D	COLL 9.3.5D applies from the first date on which the <i>scheme's annual report and accounts</i> is (or is due to be) published on or after 1 July 2020.	From 1 July 2020	1 July 2020

Schedule 1

Record keeping requirements

Sch 1.1 G

1 Record keeping requirements

Handbook reference	Subject of record	Contents of record	When record must be made	Retention period
COLL Transitional Provision 3	Election or re- vocation to comply with <i>CIS</i>	Details	At election or re- vocation	6 years
COLL Transitional Provision 14	Election for early compliance with the instrument	Details	At election	6 years
COLL 4.4.11 R (5)	Minutes of meetings (AFM)	Full details	As implicit from the rules in <i>COLL</i>	As implicit from the rules in <i>COLL</i>
COLL 6.2.5 R (1)	<i>Issues and cancellations of units</i> (AFM)	Full details	As implicit from the rules in <i>COLL</i>	As implicit from the rules in <i>COLL</i>
COLL 6.4.6 R (4)	Instruments of Transfer (<i>person</i> responsible for the register)	Full details	From registration	6 years
COLL 6.6.6 R (1)	General record-keeping obligations (AFM)	Such as to demonstrate compliance with the rules in <i>COLL</i>	As implicit from the rules in <i>COLL</i>	6 years
COLL 6.6.6 R (2)	<i>Units</i> held, acquired or disposed of (AFM)	Daily record of <i>units</i> held, acquired or disposed of by the AFM	As implicit in rules in <i>COLL</i>	6 years
COLL 6.6.6 R (3)	Dilution record-keeping obligations (AFM)	How the AFM calculates and estimates <i>dilution</i> and its policy and method for determining the amount of any <i>dilution levy</i> or <i>dilution adjustment</i>	As implicit from the rules in <i>COLL</i>	6 years
COLL 6.6.12 R (3)	General record-keeping obligations (<i>depository</i>)	Such as to demonstrate compliance with the rules in <i>COLL</i>	As implicit from the rules in <i>COLL</i>	6 years

Handbook reference	Subject of record	Contents of record	When record must be made	Retention period
COLL 6.13.2 R	Portfolio <i>transactions</i> relating to a <i>UCITS</i>	Full details	After transaction	5 years
COLL 6.13.3 R	Subscription and <i>redemption</i> orders	Full details	After receipt of order	5 years
COLL 6.13.4 R	Records referred to in COLL 6.13.2 R and COLL 6.13.3 R	Full details	After termination of authorisation of <i>UCITS management company</i>	Outstanding term of 5 year period
COLL 8.3.8 R (2)	Minutes of meetings (AFM)	Full details	As implicit from the <i>rules</i> in <i>COLL</i>	6 years
COLL 8.5.2 R (3)(e)	General record keeping obligations (AFM)	Full details	As implicit from the <i>rules</i> in <i>COLL</i>	As implicit from the <i>rules</i> in <i>COLL</i>
COLL 8.5.2 R (3)(f)	<i>Units</i> held, acquired or disposed of (AFM)	Daily record of <i>units</i> held, acquired or disposed of by the AFM	As implicit from the <i>rules</i> in <i>COLL</i>	6 years
COLL 8.5.4 R (2)(h)	General record keeping obligation (<i>depository</i>)	Full details	As implicit from the <i>rules</i> in <i>COLL</i>	As implicit from the <i>rules</i> in <i>COLL</i>
COLL 8.5.10 R (4)	<i>Issues</i> and <i>cancellations</i> of <i>units</i> (AFM)	Full details	As implicit from the <i>rules</i> in <i>COLL</i>	As implicit from the <i>rules</i> in <i>COLL</i>
COLL 14.3.6R	Dealings with an advisory committee	Details	As implicit from the <i>rules</i> in <i>COLL</i>	5 years
COLL TP 1.1.16	Election to comply with COLL 4.5 or COLL 8.3.5 R to COLL 8.3.5D R as those rules were in force on 5 March 2010	Details	At election	6 years

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 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>
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

Handbook reference	Matter to be notified	Contents of notification	Trigger event	Time allowed
COLL 9.3.5D	Annual certificate of compliance for a <i>scheme</i> recognised under section 272 of the Act	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

Schedule 3

Fees and other required payments

Sch 3.1 G

The provisions relating to fees for collective investment schemes are set out in FEES 1, 2, 3 and 4

Sch 3.2 G

The provisions relating to fees for collective investment schemes are set out in FEES 1, 2, 3 and 4

Schedule 4 Powers exercised

Sch 4.1 G
[deleted]

Sch 4.2 G
[deleted]

Sch 4.3 G
[deleted]

Schedule 5

Rights of action for damages

Sch 5.1 G

The table below sets out the rules in *COLL* contravention of which by an authorised person may be actionable under section 138D of the Act (Actions for damages) by a person who suffers loss as a result of the contravention.

If a Yes appears in the column headed For private person, the rule may be actionable by a private person under section 138D unless a Yes appears in the column headed Removed. A Yes in the column headed Removed indicates that the *FCA* has removed the right of action under section 138D(3) of the Act. If so, a reference to the rule in which it is removed is also given.

In accordance with The Financial Services and Markets Act 2000 (Rights of Action) Regulations 2001 (SI 2001/2256), a private person is:

- (1) any individual, except when acting in the course of carrying on a regulated activity; and
- (2) any person who is not an individual, except when acting in the course of carrying on business of any kind;

but does not include a government, a local authority or an international organisation.

The column headed For other person indicates whether the rule is actionable by a person other than a private person, in accordance with those Regulations. If so, an indication of the type of person by whom the rule is actionable is given.

Sch 5.2 G

1. Actions for damages: the New Collective Investment Schemes Sourcebook

Chapter/ Appendix	Section/ Annex	Paragraph	Right of action section 138D		
			For private person?	Removed	For other person?
All rules in <i>COLL</i>			Yes	No	No

Schedule 6

Rules that can be waived

Sch 6.1 G

1. The rules in *COLL* can be *waived* by the *FCA* under sections 138A and 138B, 250 or 261L of the *Act* (Modification or waiver of rules) or regulation 7 of the *OEIC Regulations* (Modification or waiver of *FCA* rules), except *COLL* 3.2.8R (*UCITS* obligations) and *COLL* 6.9.9R (Restrictions of business for *UCITS* management companies).

Sch 6.2 G

2. Although the *FCA* has the formal power of *waiver* under the *Act* in relation to these *rules*, much of *COLL* implements the requirements of the *UCITS Directive* by ensuring that relevant *authorised funds* comply with such requirements. Accordingly, while formal power may exist to waive such *UCITS Directive* derived rules, the *FCA*'s ability to do so is severely constrained.

