

Chapter 11

Collective Portfolio Management Firms and Collective Portfolio Management Investment Firms

11.7 CAPITAL REPORTING

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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]