

Q	Datapoint	Factvalue	Guidance
2. Umbrella / Standalone Scheme Application Details			
1	Is the Scheme currently marketing in the UK under TMRP	Yes / No	If Yes, see Question 1A. You must have received a Direction from the FCA to make this application in order to proceed. If you submit an application outside of your designated Landing Slot, the application will be rejected and you will not receive a refund of any fees paid in association with the application.
1A	Have you been directed by the FCA to make application / received landing slot from FCA	Yes / No	Have you been directed by the FCA to make this application? (i.e. have you received your landing slot from the FCA and can confirm that this application is being submitted in the allocated landing slot window)
3. Scheme Details			
3.A Scheme Information			
2	What is the Scheme Name	Text	Please enter the full name of Scheme as authorised by the Home State Regulator
3	Scheme Legal Entity Identifier (LEI)	20 Digit Code	Please enter and validate LEI of the Scheme. If LEI not validated with search, please see 3A
3A	Alternative Scheme Identifier Type	Select from one list	Bloomberg Code / CUSIP Code / European Central Bank (ECB) Code / ISIN / National Code (NCA) / Reuters Code / SEDOL Code / Other
3B	Alternative Scheme Identifier Code	Text	Enter the code of the Alternative Scheme Identifier Type, in 3A
4	Domicile of Scheme	Text	Scheme must be domiciled in a jurisdiction granted equivalence by HMT
5	Legal Form of Scheme	Select from list	Offshore Unit Trust/ Offshore OEIC / FCP / SICAV /Other CIS / ICAV/ VCC / SICAF / Common Contractual Fund
6	Base Currency of Scheme	Select from list	Please contact recognisedcis@fca.org.uk if the currency you require is not available here
7	Authorisation Date by Home State Regulator	Date	Provide the scheme's date of authorisation by the Home State Regulator
8	Confirmation that scheme is authorised by Home State regulator	Yes / No	The Scheme and all its sub-fund in this application must be authorised by Home State Regulator in order to be eligible to apply under the OFR The scheme must also meet the criteria set out in the HMT issued designation order (e.g. the scheme must be domiciled in an approved country or territory and of a description specified in the regulations)
9	Page(s) of prospectus / UK supplement that details redress disclosures	Page Number	An operator of a recognised Overseas Funds Regime scheme must make explicit disclosures about a UK investors right to redress. For further information on these disclosures please review COLL Chapter 9. These disclosures need to be contained in the scheme documents/draft documents prior to submission of the application. Please reference both the page numbers and the document that this disclosure is contained within.
10	Has the scheme appointed a management company or operator?	Yes / No	Is the scheme self-managed (i.e. managed by a board of individual directors) or has the scheme/directors appointed a management company/operator ? If yes, please see 10A, 10B and 10C
10A	Have any supervisory/enforcement sanctions/restrictions/requirements been imposed by a National Competent Authority on you as an operator of a fund in the past 5 years	Yes / No	Provide further information so that we can understand what led to the events that led to this action
10B	Have any voluntary restrictions/requirements been agreed by you as the operator of a fund with a National Competent Authority in the past 5 years?	Yes / No	Provide further information so that we can understand what led to the events that led to this action

10C	Have any supervisory/enforcement sanctions/restrictions/requirements been imposed by a National Competent Authority on any individual senior manager of the operator?	Yes / No	Provide further information so that we can understand what led to the events that led to this action
11	Has the scheme, or any of its sub funds, suspended redemptions within the last 5 years?	Yes / No	Has the Scheme or any of its sub-funds had to temporarily suspend redemptions due to exceptional circumstances in the best interests of the underlying investors - if yes, please provide more information so S271E FSMA permits the Treasury to impose requirements on the operator of a recognised Overseas Fund. If the designation order stipulates additional requirements, please detail how you intend to meet these
12	Additional requirements stipulated by the designation order	Text	
3.B Key Governing Parties			
13	Key Contact - First name / last name / phone number / email address for the key contact person for FCA enquiries in respect of the scheme	Text	The contact details of an employee at the firm that will act as our contact point if we were to have questions regarding the scheme
14	Fund Board directors - full name / nationality / date of birth for each director	Text	Please ensure this is completed for all schemes that have not appointed a management company. A maximum of 10 directors can be added. If you wish to add more than 10, please contact recognisedcis@fca.org.uk
15	Trustee / Depository	FRN / LEI search	For Funds that are currently marketing in the UK under TMPR, this information will auto-populate. If the information displayed is incorrect please email recognisedcis@fca.org.uk for assistance. For non-TMPR Funds, please provide the Firm Reference Number of the Trustee/Depository of the scheme, via our Firms Register. If you cannot find the FRN, please select "LEI" and enter LEI details. If you cannot find a match after exhausting both options, please email recognisedcis@fca.org.uk for assistance.
16	UK Facilities Agent	FRN / LEI search	Provide the details of the firm who will provide facilities to UK investors (as set out in COLL 9) For Funds that are currently marketing in the UK under TMPR, this information will auto-populate. If the information displayed is incorrect please email recognisedcis@fca.org.uk for assistance. For non-TMPR Funds, please provide the Firm Reference Number of the UK Facilities Agent of the scheme, via our Firms Register. If you cannot find the FRN, please select "LEI" and enter LEI details. If you cannot find a match after exhausting both options, please email recognisedcis@fca.org.uk for assistance.
17	How will these facilities be provided? Physical presence/address or Electronic?	Physical presence (address) / Electronic	Will you have an office in the UK that UK investors can visit or contact – if so, this is a physical presence (see 17A) Or will facilities be provided without a Physical presence and through electronic means (UK investors use electronic means of communication with the operator/management company of the scheme and have consented to continue to do so) - if so select Electronic (see 17B)
17A	Is physical presence / address the SAME as the UK Facilities agent above?	Yes / No	If No, see 17AA
17AA	Provide address of UK facilities agent	Text	Please enter address details that will appear on the FCA Register in relation to this Scheme
17B	Provide the website address	Text	Please enter website details that will appear on the FCA Register in relation to this Scheme
18	UK Address of Services of Notices	FRN / LEI search	As required under s271F (1) (b) of the Financial Services and Markets Act (FSMA), you must provide us with details of your UK Representative for service of notices, or other documents required or authorised to be served on the operator. Please try to find this firm within our Register, using the search options provided below. If you cannot find the firm, then firm details may be entered manually (18A)
18A	UK Address of Services of Notices	Text	Address for Services of Notices firm entered manually

3.C Other Parties			
Fund Sponsor			
19	Does your sub-fund have a sponsor?	Yes / No	A fund sponsor is an entity that is involved in the formation of the fund and normally promotes the fund/introduces investors to the fund If yes, see 19A
19A	LEI or FRN of Sponsor	LEI / FRN search	If no results from search, details of fund sponsor can be entered manually
19B	Does the sponsor receive any payments/remuneration from scheme property?	Yes / No	If yes, detail any payment the sponsor receives from scheme property and what activities they receive the payment for
20	Will your financial promotions be approved by a UK Authorised Firm?	Yes / No	If the operator is not an authorised person in the UK, any financial promotion that it issues must be approved by an authorised person (unless an exemption under the Financial Promotions Order applies). This differs from the previous European single market rules which allowed operators of EEA UCITS recognised under s264 FSMA and the Temporary Marketing Permissions Regime to issue their own financial promotions in the UK. See COBS 4.10 If yes, see 20A. If, no see 20B
20A	Provide the identity of the UK Authorised firm that is responsible for approving your financial promotions in the UK	FRN search	All UK Authorised Firms will have an FRN, please search using our Register.
20B	Why are you not having your financial promotions approved by a UK authorised firm?	Text	If applicable, please set out an overview of the Financial Promotions Order exemption that you intend to use and why it is relevant to your scheme
21	Has any other entity or individual played a critical role in the establishment or design of the scheme or will have an ongoing influence on the management of the scheme that has not already been detailed?	Yes / No	If yes, see 21A
21A	Provide the names and addresses of any other entity or individual who will have an ongoing influence on the management of the scheme or has played a critical role in the establishment or design of the scheme that has not already been detailed and the role they have/will play in the scheme	Text	For individuals see 21AA. For firms see 21AB A maximum of 10 individuals can be added. If you wish to add more than 10, please contact recognisedcis@fca.org.uk
21AA	Individuals with Influence Details	First Name / Last Name / Nationality / DoB / Address / Detail what role the person has played to date/will play going forward in regard to the scheme	Please advise where there is an individual that has been involved in the establishment of the scheme or is exercising significant influence over the scheme, providing relevant details of the role played as appropriate

21AB	Firms with Influence Details	Firm Name / Address (principal place of business) / Detail what role the entity has played to date/will play going forward in regard to the scheme / LEI or FRN of firm	Please advise where there is an entity (that is not captured in this application form) that is exercising significant influence over the Fund, providing relevant details of the role played as appropriate. Investment Manager, sponsor/promoter or distributor is captured later in this form.
3.D Fund Information			
22	What is the Scheme Name Scheme Legal Entity Identifier (LEI) Alternative Scheme Identifier Type Alternative Scheme Identifier Code	Details Autopopulated from Q2 to 3B	
23	Is the sub-fund authored as a Money Market Fund?	Yes / No	If yes, see 23A. If no see 24
23A	If the fund is a money market fund, please delete this sub fund from the application	N/A	Money Market Funds are not currently eligible to apply for recognition under the OFR
24	Is the sub fund an exchange-traded fund?	Yes / No	
25	Is the sub fund a feeder fund?	Yes / No	A fund that invests more than 85% of its assets into a single Master Fund If yes see 25A to 25C
25A	Name of Master Fund	Text	Please enter the full name of Scheme as authorised by the Home State Regulator
25B	LEI of Master Fund	Text	
25C	Domicile of Master Fund	Select from list of countries	
26	Does the sub fund use derivatives?	Yes / No	If yes, see 26A and 26AA
26A	How are derivatives used within the sub fund?	Select from list	Investment Purposes / Efficient Portfolio Management / Both
26AA	What method are you using to calculate your derivative exposure?	Select from list	Commitment Approach / Value at Risk Approach / Other. If other, please specify
27	Select the category that best describes your sub fund	Select from list	Equity Developed Market (Large Cap) / Equity Developed Market (Small Cap / Mixed Cap) / Equity Emerging Market (Large Cap) / Equity Emerging Market (Small Cap / Mixed Cap) Bond Investment Grade / Bond Non-Investment Grade / Mixed Grade / Mixed Asset / Funds of Funds - Standard / Mixed Asset / Funds of Fund - Exotic / Absolute return fund (including funds that imply a guarantee) / Risk targeted volatility managed fund / Money Market Fund / Property Fund / Speculative Derivative Focus / Other Select all applicable from:
28	Select the main categories of assets the sub fund will invest in	Select from list	Cash and cash equivalent / Listed equities / Unlisted equities / Corporate bonds not issued by financial institutions / Corporate bonds issued by financial institutions / Sovereign bonds / Municipal bonds / Convertible bonds not issued by financial institutions / Convertible bonds issued by financial institutions / Loans / Structured/secured products / Equity derivatives / Fixed income derivatives / CDS (Credit default swap) / Foreign exchange / Interest rate derivatives / Commodity Derivatives / Other derivatives / Physical: real estate / Physical: Commodities / Physical: Timber / Physical: Art and collectables / Physical: Transportation assets / Physical: Other / Infrastructure / Other alternative assets / Cryptocurrency / Tokenised Assets / Investment in CIS operated/managed by the AFM / Investment in CIS not operated/managed by the AFM / Other

29	Select the primary geographic location of the sub fund's assets	Select from list	Please select the geographic region that the sub-fund has the largest exposure to from: Africa Asia and Pacific (other than Middle East) / Europe (EEA) / Europe (other than EEA) / Middle East / North America / South America / Supranational/multiple region
30	Is ESG a factor in how the holdings are selected for the sub fund?	Yes / No	
31	Are any benchmarks used in either the construction or performance measurement of the sub fund?	Yes / No	If yes, see 31A and 31AA
31A	Provide the name of any benchmark used in either construction or performance measurement	Text	See COLL4.2.5.3(c-b)R for a description of types of benchmark
31AA	Indicate the type of benchmark	Select from list	Constraining / Comparator / Target
32	Is the sub fund actively or passively managed?	Select from list	Active / Passive
33	What is the dealing frequency of the sub fund?	Select from list	Daily / Weekly / Fortnightly / Other. If other, please provide further details
34	What type of investors does this sub fund target?	Select from list	Retail / Institutional / Both
35	Are any promotional payments paid to third parties for the distribution/promotion of the sub fund?	Yes / No	UK rules do not permit promotional payments to be paid to anyone other than the operator/management company. See COLL 6.7.12R If yes, see 35A
35A	What is being paid and to whom and what purpose is the payment for?	Yes / No	
36	How much of the annual management charge does the operator/management company retain?	% Value	If you as operator pay away part of your annual management charge to other parties, please confirm how much of the AMC you retain.
Objectives, Policy and Strategy			
37	Detail the investment objective of the sub fund	Text	Use the text that is in your prospectus
38	Detail the investment policy of the sub fund	Text	Use the text that is in your prospectus
39	Detail any investment strategy which has not been disclosed above	Text	Use the text that is in your prospectus
Latest Fund Valuation			
40	What is the base currency of the sub-fund?	Select from list	The sub-fund will have a base currency, and this is the currency in which the financial reports of the sub-fund are prepared If currency not available in list, currency details can be entered manually
41	Please provide the current assets under management (AUM) for the sub fund at the last reported month end in the base currency of the sub fund.	Numerical value	We expect the data provided to be at least a reasonable estimate, in line with PS24/7
42	AUM Valuation Date	Select Date	
43	Current assets under management (AUM) of the sub fund attributed to UK investors/via UK distribution channels	Numerical value	The last reported month end in the base currency of the sub fund We expect the data provided to be at least a reasonable estimate, in line with PS24/7.
44	UK AUM Valuation Date	Select Date	
4. Unit / Share Class			
45	Name of the Unit/Share class	Text	Please enter the full name of Scheme as authorised by the Home State Regulator
46	ISIN of Unit / Share Class	ISIN Code	We request the ISIN Code identifier, if you have one. Other identifier types are available, including: Bloomberg Code / CUSIP Code / European Central Bank (ECB) Code / ISIN / National Code (NCA) / Reuters Code / SEDOL Code / Other
47	Eligible Investor Types	Select from list	Retail / Institutional / Both

48	Is this an accumulation or income unit/share class?	Select from list	Accumulation / Income Accumulation share classes reinvest the income received back into the fund and do not distribute to shareholders. Income share classes pay out income at an agreed frequency to shareholders
49	Is this share/unit class tokenised?	Yes / No	
50	Ongoing Charges / TER	% Value	The ongoing charges figure (OCF)/total expense ratio (TER) is the charge you'll pay over a year for as long as you hold your investment and relates to the costs of running the fund.
51	Minimum investment into the fund (in appropriate currency)	Numerical text (select from list)	Minimum investment into the fund
52	What is the Investment management fee?	Numerical text (select from list)	How much the investment manager receives for the provision of investment management services. If the charge is an Up to charge – what they are currently being paid
53	Are any promotional payments paid to third parties for the distribution/promotion of the share class?	Yes / No	UK rules do not permit promotional payments to be paid to anyone other than the operator/management company. See COLL 6.7.12R If yes, provide details of the promotional payments paid to third parties
54	Initial/Entry charge (if applicable)	% Value	Do you charge investors an initial/entry charge on their investment? If so, please tell us how much is charged. If you have the ability to charge an initial/entry charge but this is always waived, please enter 0% if you consider that this will continue to be the case
55	Redemption charge (if applicable)	% Value	Do you charge investors redemption/exit charge when they redeem their investment? If so, please tell us how much is charged. If you have the ability to charge a redemption/exit charge but this is always waived, please enter 0% if you consider that this will continue to be the case
56	Do you charge a performance fee?	Yes / No	If yes, provide details of the performance fee
5. Investment Manager			
57	Do you delegate/sub delegate investment management activities in respect of this fund?	Yes / No	If yes, please add at least one investment manager. A maximum of 20 firms can be added. If you wish to add more than 20, please contact recognisedcis@fca.org.uk. See 57A
57A	Investment Manager/Sub delegate investment manager LEI or FRN	LEI or FRN search	If search invalid, enter details manually
58	Indicate if the investment manager is a delegated investment manager or a sub-delegated investment manager	Select from list	Delegate / Sub-delegate
6. Supporting Documents			
59	Document type	Select from list	At least one document is mandatory. A maximum of 25 supporting documents can be added. If you wish to add more than 25, please email your case officer with the additional documents. Supporting documents can be provided in Microsoft Word, Microsoft Excel or PDF format. Before you start submitting you should follow the FCA naming convention - "XYZ Prospectus YYYYMMDD" (SCHEME NAME_DOCUMENT TYPE_DATE YYYYMMDD). To change the document attached, click the Upload Files option to make your selection. Please choose from: Annual/Interim report / Home State Regulator approval letter/attestation / Investor Communications / Key investor information document/Cosumer Composite Investment (CCI) document / Model portfolio/Portfolio statement / Supplement/addendum to Prospectus / UK Supplement / Other