

Recognition of a qualifying Umbrella Overseas Collective Investment Scheme under the Overseas Funds Regime (OFR)

This user guide will help you:

- Apply for recognition of a qualifying Umbrella Overseas Collective Investment Scheme under the **Overseas Funds Regime (OFR)**

Important information to note:



An Umbrella scheme is a scheme that:

- has the intention to establish two or more sub-funds;
- and whose fund rules or instruments of incorporation enable it to have two or more sub-funds.

This application is appropriate for firms that meet the following conditions:

- New and Existing Operators/ Fund Management Companies of an umbrella scheme that wants to apply for the recognition of a new EEA (European Economic Area) UCITS (excluding money market funds) to OFR.

How to submit the application on Connect for recognition of a qualifying **Umbrella Overseas Collective Investment Scheme** under OFR

You will need to log into **Connect** to make your application.

We recommend that you use Chrome to access **Connect** when drafting applications as the system has been optimised for this specific browser.

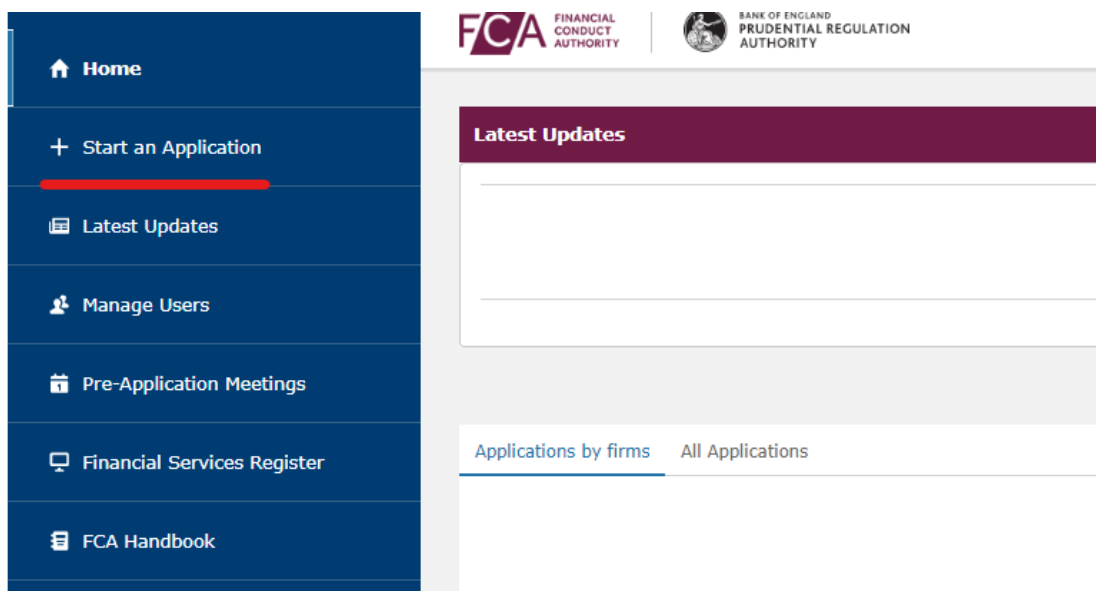
Avoid opening the same application in multiple tabs and ensure you have saved and closed the application before getting other users to review.

Please ensure that the scheme operator has completed an enrolment application. If an enrolment application has not been completed, you will not be able to access the relevant application form. Further details and a how to guide on enrolment, can be found [here](#).

Click [here](#) to log into **Connect**.

Locating the Form

When you first log into **Connect**, you will start on the Home Screen, click on **“Start an Application”**.



Next, search for **"Overseas Funds Regime"** using the search bar or scroll down the page.

Select **"Start Application"** to display the Umbrella Scheme application form.

Start an application

Overseas Funds Regime

Applications for: XXXX YYYY ZZZZ OPERATOR 05 **Change Firm**

OVERSEAS FUNDS REGIME (OFR)

Fund Applications

Use these forms to apply for recognition of an overseas Collective Investment Scheme under the OFR and the addition of new sub fund(s) to an umbrella scheme already recognised in the UK under the OFR.

Apply for Recognition of a Standalone Collective Investment Scheme subject to the Overseas Funds Regime (OFR)

Use this form to apply for recognition of an eligible Standalone overseas Collective Investment Scheme under the Overseas Funds Regime (OFR) - A Standalone scheme is a scheme that does not have two or more sub-funds; and whose fund rules or instruments of incorporation do not enable it to have two or more sub-funds.

Start Application

Apply for Recognition of an Umbrella Collective Investment Scheme subject to the Overseas Funds Regime (OFR)

Use this form to apply for recognition of a qualifying Umbrella overseas Collective Investment Scheme under the Overseas Funds Regime (OFR) - An Umbrella scheme is a scheme that has the intention to establish two or more sub-funds; and whose fund rules or instruments of incorporation enable it to have two or more sub-funds.

Start Application

Apply for Recognition of a new sub fund(s) to an Umbrella Collective Investment Scheme already recognised in the UK under the Overseas Funds Regime (OFR)

Use this form to apply for recognition of an additional sub-fund(s) to an Umbrella Collective Investment Scheme that is already recognised in the UK under the Overseas Funds Regime (OFR). Please check the [Financial Services Register](#) to ensure the Umbrella Collective Investment Scheme has been recognised in the UK before you start the application if you are unsure.

Start Application

Show less...

A **"Before you start"** pop up window will appear. Please read the information before you proceed.

Before you start

Please ensure that you have copies of all the required supporting documents ready to upload along with the application form. (Further details of the requirements can be found on our website). Supporting documents can be provided in Microsoft Word, Microsoft Excel or PDF format.

Please note that this submission does not immediately validate the contents of the documents provided, these will be checked later by Fund Case Officers. Please take care to submit the correct documentation. Also, ensure that documents are not password protected. Documents are uploaded using a secure web protocol and will only be accessible to FCA employees.

Start Application

Then click **"Start Application"** within the pop-up window.

Important information to note:

Before applying for Scheme recognition, please check all of the linked firms on the [Financial Services Register](#) first to ensure that you have the **Firm Reference Numbers (FRN)** you will need for the application.

Also check that the address and contact details are correct as firm details selected with the **FRN** cannot be updated within the application.



There are **5 sections** within the Recognition Application:

- 1) **"Applicant Details"**
- 2) **"Umbrella Scheme Application Details"**
- 3) **"Scheme Details"**
- 4) **"Supporting Documents"**
- 5) **"Declaration"**

You will see the **"Application Reference Number"** at the top of the application as well as the **"Checklist"** button. The **"Submit Application"** button will be greyed out until all five sections have been marked as **"Complete"**.

1 Applicant Details


Click **"Start"** to enter **"Applicant Details"**.

| FORM | STATUS | |
|-------------------------------------|-----------------------------------|--------------|
| Applicant Details | <input type="radio"/> Not Started | Start |
| Umbrella Scheme Application Details | <input type="radio"/> Not Started | Start |
| Scheme Details | <input type="radio"/> Not Started | Start |
| Supporting Documents | <input type="radio"/> Not Started | Start |
| Declaration | <input type="radio"/> Not Started | Start |

Submit Application

Within the **"Application Timings"** section, please let us know if there are any timing factors that you would like the **Case Officer** to take into account. For example, if you would like a decision by a certain date, please indicate this here.

Applicant Details

 Use this section to provide the information required about the applicant and any timing factors that it would like us to consider for your application

Application Timings

* Does the applicant have any timing factors that it would like us to consider?
Yes

If Yes, please enter date required?

* Please provide an explanation for the timing date requested

If there are timing factors to consider, select **"Yes"** and enter further information where relevant in the text boxes provided.

Please note that the case officer will review the application within **2 months** and consider any timing factors where possible.

“Applicant Details” will be prepopulated with details from your user profile. The contact detail fields are editable, so you can review and amend where needed.

The grey fields in this section cannot be amended in the form.

Then click **“Save and Next”**.



To change the information in the grey fields, you will need to select the **personal details** icon from the Connect sidebar to edit the details.

If your email address has changed, you will need to create a new account as this is permanently linked to your account.

- In the event of the above, please ensure that your **Principal User (PU)** removes the old account and adds the new one with the correct email.

2 Umbrella Scheme Application Details

Click **"Start"** to enter **"Umbrella Scheme Application Details"**.

| FORM | STATUS | |
|-------------------------------------|-----------------------------------|-----------------------|
| Applicant Details | Complete | Edit |
| Umbrella Scheme Application Details | <input type="radio"/> Not Started | Start |
| Scheme Details | <input type="radio"/> Not Started | Start |
| Supporting Documents | <input type="radio"/> Not Started | Start |
| Declaration | <input type="radio"/> Not Started | Start |

[Submit Application](#)

Within **"Application Details"** you will have the option to notify if the application you are looking to make is for a new scheme not known to the FCA or one currently marketing in the UK under the **Temporary Marketing Permissions Regime (TMPR)**.

Application Details

* Is this application in respect of a scheme that is currently marketing in the UK under the Temporary Marketing Permissions Regime?

No

Please note that once this section is completed by clicking 'Save' OR 'Save and Next', you will no longer be able to change your selections

[Back to Application](#) [Previous](#) [Save](#) [Save and Next](#)

Select **"No"** from the drop-down list and click **"Save and Next"**.



Important information to note:

Once you click **"Save and Next"** in this section, you cannot go back and make amendments so please ensure all information is accurate.

3 Scheme Details

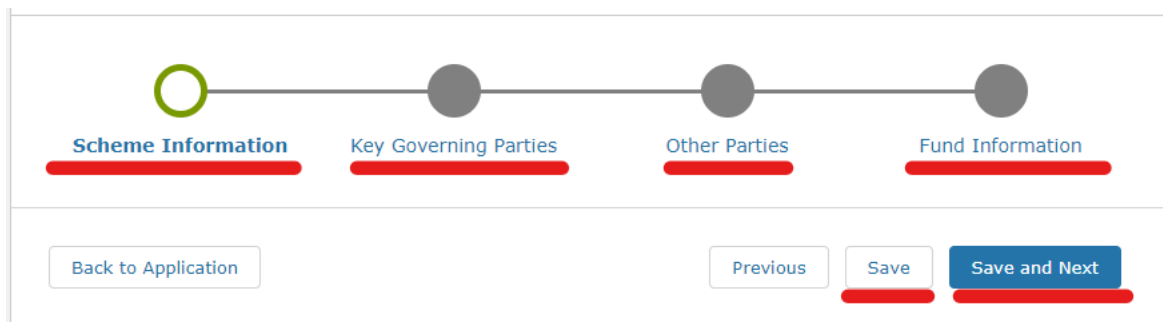
Click **"Start"** to enter **"Scheme Details"**.

| FORM | STATUS | |
|-------------------------------------|---------------|-----------------------|
| Applicant Details | ✔ Complete | Edit |
| Umbrella Scheme Application Details | ✔ Complete | Edit |
| Scheme Details | ○ Not Started | Start |
| Supporting Documents | ○ Not Started | Start |
| Declaration | ○ Not Started | Start |

[Submit Application](#)

There are four pages to complete:

Scheme information, Key Governing Parties, Other Parties and Sub Fund Information.



Page Status Key:

- ✔ Completed
- In Progress
- Not Started



You can navigate between each page, however, please ensure that you **"Save"** before moving to avoid losing the information entered.

Umbrella Scheme Information

On this page, you will be able to add the details of the Scheme by searching via the **LEI** or entering the details **Manually**.



Where a **Legal Entity Identifier (LEI)** is provided, please note that the following sections will cross validate the **LEI** with **GLEIF**. To ensure successful validation, the Entities status must show as "Active" and the Reg. Status as "Issued".

Reg. Status ▼ Entity Status ▼

ISSUED ACTIVE

Umbrella Scheme Information



An LEI is a 20 digit code that is unique to a legal entity – if your scheme has an LEI please enter it here. Ensure you enter the scheme LEI and not the operator's. If the scheme does not have an LEI then provide an alternative scheme identifier.

Search by LEI

00000000000000000000 Search Clear

You can **either** use the LEI of the Scheme by entering the 20-character code, clicking "**Validate LEI**" and "**Confirm**" on the pop-up box that follows:

Fund

00000000000000000000 - Fund 1

Confirm

Or by **Manually** entering the Name and Alternative Scheme Identifier from the drop-down options by confirming the Scheme **could not be found** via the **LEI** search.

Alternative Scheme Identifier Type

--None--

Alternative Scheme Identifier

Please note you cannot progress to the next section of the application if you have entered an **LEI** and an alternative identifier. Where the scheme has an **LEI** please use this.

There will be several sections to complete within this page, some important sections include the following: -



The scheme (and all associated sub funds) must have been authorised/approved by your Home State Regulator for you to make this application. The scheme (and all associated sub funds) 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).

- Confirmation that the scheme is authorised by your home state regulator and meets the criteria set out in the designation order.



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.

- The page(s) of the prospectus/UK supplement which details the redress disclosure required by COLL 9.

The following options will only appear if you confirm that the scheme has appointed a **management company/ operator**. If you select **"Yes"** to any of the questions, a text box will appear for you to add further information.

* Has the scheme appointed a management company/operator? ⓘ

Yes

* 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?

--None--

* 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?

--None--

* Have any supervisory/enforcement sanctions/restrictions/requirements been imposed by a National Competent Authority on any individual senior manager of the operator?

--None--

* Has the scheme, or any of its sub funds, suspended redemptions within the last 5 years? ⓘ

--None--

Lastly on this page, there is the **"Additional Requirements under s271E FSMA"**. If there are no additional requirements in the designation order, please enter n/a. Once completed, click **"Save and Next"** to continue.

Additional Requirements under s271E FSMA



S271E FSMA permits the Treasury to impose requirements on the operator of a recognised Overseas Fund. The designation order will include any requirements that are to be applied to an operator. If any requirements are to be applied, please detail the requirement and provide an explanation of how each requirement would be satisfied. Sufficient information needs to be included so that we can determine whether or not you would meet the requirement(s).

If the designation order stipulates additional requirements, please detail how you intend to meet these.

[Back to Application](#)

[Previous](#)

[Save](#)

[Save and Next](#)

Key Governing Parties

This page will gather information on the key parties in relation to the scheme.

Main Application Contact

Key contact person for FCA enquiries in respect of the scheme

* First Name

* Surname

* Phone

* Email



The **Main Application contact** should be able to answer our questions about the Scheme for the duration of the application review period.

The **Fund Board Directors** section should only be populated where the scheme is **self-managed**.

Fund Board Directors

Where there are directors on the fund board, please provide the full name, nationality and date of birth for each director

Board Directors

+ Add Board Director

Click on **"Add Board Director"** to open the pop-up window displayed below.

Board Directors

* First Name

* Last Name

* Nationality

--None--

* Date of Birth

Cancel Save


Click **"Save"** to exit this pop up and lastly, click **"Save and Next"** to continue.

If an error is made or you want to delete the individual, you can click on the **“Edit”** or **“Delete”** buttons.



For both the **Trustee/Depository** and **UK Facilities Agent**, you can use either an **FRN** or **LEI**. Please use the **FRN** principally whenever possible.

Trustee/Depository

 Please select the Trustee/Depository of the scheme. If you cannot find a match, please email recognisedcis@fca.org.uk for assistance.

* Search By
 FRN LEI

* Search by FRN

For the **UK Facilities Agent**, you will need to confirm whether facilities are supplied to UK investors via **electronic** or **physical** means.

UK Facilities Agent

 Provide the details of the firm who will provide facilities to UK investors (as set out in [COLL 9](#)) Please try to find this firm within our Register, using the search options provided below. If you cannot find the firm, please email recognisedcis@fca.org.uk for assistance.

Search By
 FRN LEI

Search by FRN

If you choose **electronic means**, you will need to provide the relevant **website URL** where these facilities are supplied.

* How will these facilities be provided? Physical presence/address or Electronic?

Electronic ▼

* Please provide the website address

If you choose **physical means**, you will be prompted to confirm whether the address is the same as the one displayed, or if the facilities are provided from a different address.

By Selecting **"No"**, you will have the option to manually provide the address details at which the UK facilities requirements are supplied.

* How will these facilities be provided? Physical presence/address or Electronic?

Physical presence/address

* Is the Physical presence/address the SAME as displayed above?

No

For **UK Address for Services of Notices**, where the UK firm cannot be found by FRN or LEI, there is the option to manually enter the firm details by selecting **"Yes"** in the last drop-down box.

UK Address for Services of Notices



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 services 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.

Search By

FRN LEI

Search by LEI

Search by LEI

Search

Confirm that firm could not be found via Search?

--None--

Back to Application

Previous

Save

Save and Next

Once all mandatory fields are completed, click **"Save and Next"**.

Other Parties

Unless a financial promotions order exemption applies, the Scheme's Financial Promotions must be approved by a **UK Authorised firm**.

You will be able to select the firm using their FCA issued **FRN**. **FRN's** can be found on the **FS Register** by searching the firm's name.



This differs from the previous European single market rules which allowed operators of EEA UCITS to issue their own financial promotions in the UK. Please see [COBS 4.10](#).

Financial promotions approval and UK marketing



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](#)

* Will your financial promotions be approved by a UK Authorised Firm?

Yes



Provide the identify of the UK Authorised firm that is responsible for approving your financial promotions in the UK, using the search options provided below.

* Search by FRN

Search

If you select **"No"**, you will be required to provide further information as to why your financial promotions are not being approved and if you are relying on a Financial Promotions Order exemption, state which one.

* Will your financial promotions be approved by a UK Authorised Firm?

No

* Why are you not having your financial promotions approved by a UK authorised firm?

You will need to provide the names and addresses of any other entities or individuals 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.

Do **not** include names of delegated investment managers here, this will be asked for later in the application form.

Firms or Individuals with influence over the scheme

* 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?

--None--

[Back to Application](#)

[Previous](#)

[Save](#)

[Save and Next](#)

Firms with Influence Details

* Firm Name

* Address (principal place of business)

* Please detail what role the entity has played to date/will play going forward in regard to the scheme. ⓘ

LEI

FRN

Cancel Save

Individuals with Influence Details

* First Name

* Surname

* Nationality

--None--

* Date of Birth

* Address

* Please detail what role the person has played to date/will play going forward in regard to the scheme. ⓘ

Cancel Save

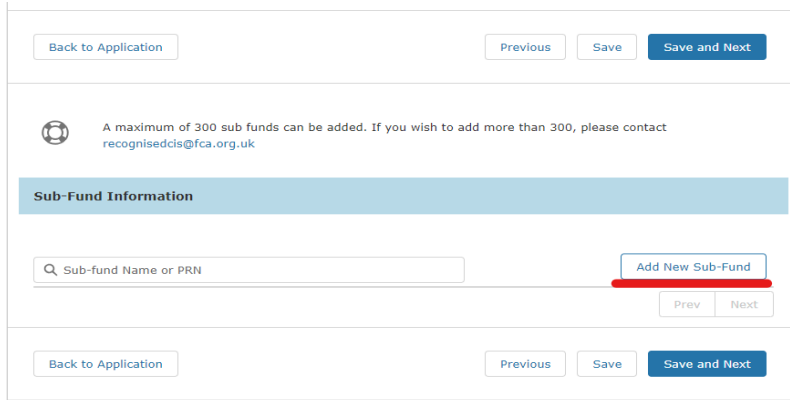
If you need to amend or delete the information provided against a **Firm** or **Individual**, you can do so by clicking the buttons provided.



If you click **"delete all"** there will be a further warning to confirm the request.

Fund Information

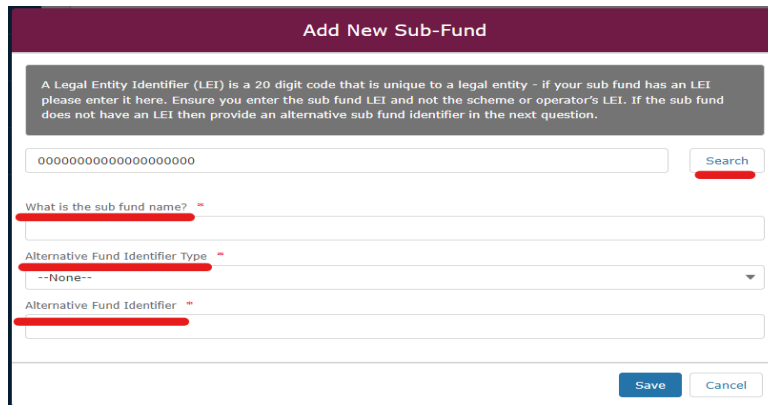
On this page, you will be able to add the **Sub Funds** you want to market in the UK under **OFR**.



Firstly, you will click **"Add New Sub-Fund"** and the following window will pop up.

From there, you can either:

Enter the **LEI** and Click **"Search"**. If correct, it will automatically populate the fields from **GLEIF**.



Or you can enter the information manually under **"Sub fund name"**, **"Alternative Fund Identifier Type"** and **"Alternative Fund Identifier"**.

You will then see the sub fund added and marked "yellow" to show it is in progress.

If you add more than one Sub Fund, you will be able to collapse and re-open them using the arrow in the blue banner.

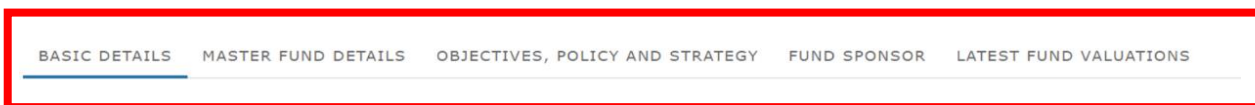
Click on **"Add Details"** to open the **"Basic Details"** window.

The screenshot shows a 'Sub-Fund Information' window. At the top is a search bar labeled 'Sub-fund Name or PRN' and an 'Add New Sub-Fund' button. Below is a table with one row for 'Fund 1'. The table has columns for 'Identifier Type', 'Identifier', and 'Status'. The 'Identifier Type' is 'Other', the 'Identifier' is '00000000000000000000', and the 'Status' is 'In Progress'. There is an 'Add Details' button next to the 'Status' column. Below the table are three tabs: 'UNIT/SHARE CLASS', 'INVESTMENT MANAGER', and 'SUPPORTING DOCUMENTS'.

The **Basic Details** window will have five tabs:

- Basic Details
- Master Fund Details
- Objectives, Policy, and Strategy
- Fund Sponsor
- Latest Fund Valuations

You will be able to click each tab individually and re-visit previous sections.



Before exiting the window, please ensure you always hit **"quick save"** to store the information entered. When you have completed all the sections, click **"Submit"**.

Three buttons are shown: 'Quick Save', 'Submit', and 'Cancel'.



Important information to note:

Money market funds are not currently eligible for OFR.

There will be several important fields to complete, please ensure that you review each question with care and review our OFR policy statement to ensure the information entered is correctly captured.

Basic Details

[BASIC DETAILS](#)
 [MASTER FUND DETAILS](#)
 [OBJECTIVES, POLICY AND STRATEGY](#)
 [FUND SPONSOR](#)
 [LATEST FUND VALUATIONS](#)

* Is the sub fund authorised as a Money Market fund?

No

* What is the sub fund name? ⓘ

Fund 1

* Alternative Identifier Type

Other

Alternative Identifier

0000000000000000000000000000000000

* Is the sub fund an exchange-traded fund?

--None--

* Is the sub fund a feeder fund? ⓘ

--None--

* Does the sub fund use derivatives?

No

Quick Save
Submit
Cancel

If the sub fund is an Exchange Traded Fund (ETF), for the dealing frequency question, please select daily.

* What is the dealing frequency of the scheme?

--None--

Please ensure that for the question below the annual management charge (AMC) you enter is the percentage of the overall AMC the operator retains. If you pay away part of the AMC to other parties (i.e., 15% of the fee goes to the investment manager), then the AMC = 85%.

* Are any promotional payments paid to third parties for the distribution/promotion of the sub fund?

--None--

* How much of the annual management charge does the operator/management company retain? ⓘ

The below **“Master Fund Details”** page is only available if you have confirmed the fund is a **“Feeder Fund”** in **“Basic details”**.

Master Fund Details

BASIC DETAILS **MASTER FUND DETAILS** OBJECTIVES, POLICY AND STRATEGY FUND SPONSOR LATEST FUND VALUATIONS

As the Sub Fund is a Feeder Fund, please enter Master Fund Details.

Please provide the name of the Master Fund

Please provide the LEI of the Master Fund

Please provide the domicile of the Master Fund

Quick Save

Submit


Cancel

The first two boxes of the **"Objectives, Policy and Strategy"** page are mandatory and have extended word limits, however if this is reached, please detail the page of the **prospectus** where the information is listed.

The information added should be the sub fund's current investment objective, policy, (and strategy if relevant).

Objectives, Policy and Strategy

BASIC DETAILS MASTER FUND DETAILS **OBJECTIVES, POLICY AND STRATEGY** FUND SPONSOR LATEST FUND VALUATIONS

 Please provide the same text as used in your prospectus.

* Detail the investment objective of the sub fund

* Detail the investment policy of the sub fund

Detail any investment strategy which has not been disclosed above

Quick Save

Submit

Cancel

If there is a **Fund Sponsor** associated with the scheme/sub fund, you will be able to search the sponsor with an **FRN** or **LEI** as well as manually entering the details.

A **Fund Sponsor** is an entity that is involved in the manufacturing or formation of the fund and normally promotes/introduces investors to the fund.

Fund Sponsor

BASIC DETAILS MASTER FUND DETAILS OBJECTIVES, POLICY AND STRATEGY **FUND SPONSOR** LATEST FUND VALUATIONS

* Does your sub-fund have a sponsor? ⓘ
Yes

Please identify the sponsor and provide details of any payments the sponsor receives from scheme property and what activities they receive the payment for

Search By
 FRN LEI

Please confirm that Sponsor details cannot be found
--None--

* Does the sponsor receive any payments/remuneration from scheme property?
--None--

Detail any payment the sponsor receives from scheme property and what activities they receive the payment for?

Quick Save Submit Cancel

On the **"Latest fund valuations"** page, for the final two questions, please make best-efforts to answer these - if you do not know the exact figure/dates, please put the best-efforts approximate figure/date.

Latest Fund Valuations

BASIC DETAILS MASTER FUND DETAILS OBJECTIVES, POLICY AND STRATEGY FUND SPONSOR **LATEST FUND VALUATIONS**

What is the base currency of the sub-fund? ⓘ
--None--

If you cannot find your currency in the list above, please provide the currency details here.

* 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.

* AUM Valuation Date

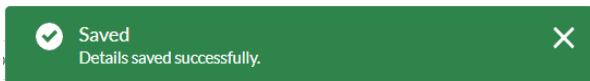
* Please provide the current assets under management (AUM) of the sub fund attributed to UK investors/via UK distribution channels at the last reported month end in the base currency of the sub fund. ⓘ

* UK AUM Valuation Date

Quick Save Submit Cancel

Once completed when you click **"Submit"**, the window will close.

At the top of the application page, the **"Saved"** message will pop up.



You will also be able to check if the details have been saved as next to **"Add Details"** the status will show **"Completed"**.

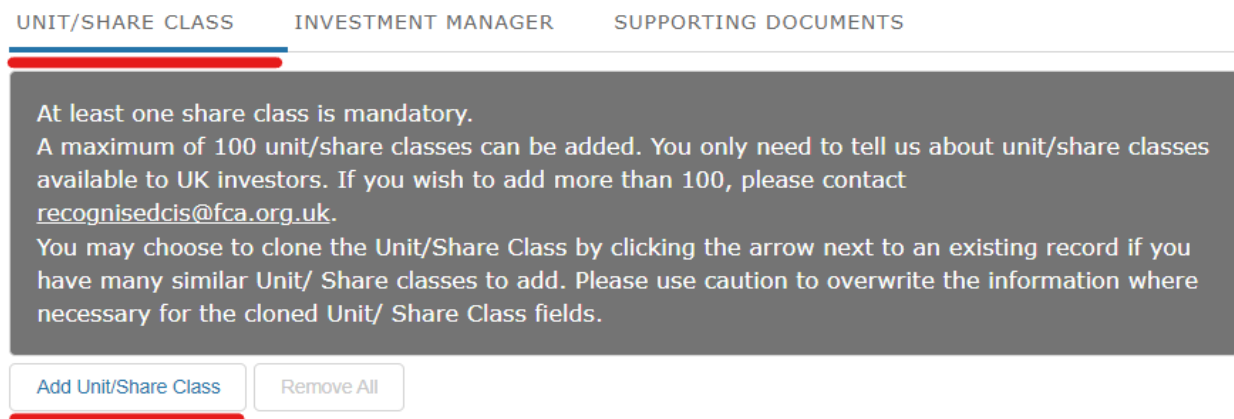


If any of the sections have been missed or the window does not successfully complete all the validation checks, the relevant tab will be highlighted in **red**, and it will display an **"Error"** message at the top.



Unit/Share Class

Next, click on the **"Unit/Share Class"** tab and then click on **"Add Unit/Share Class"**.



Please note, you are only required to provide the details of the **Unit/Share classes** that will be marketed to investors in the UK. You do not need to provide the details for **all** the **Unit/Share classes** issued by the sub fund(s).

A window will pop up, enter the relevant information, ensuring all mandatory fields are completed and then click **"Save"**.

We want to know what costs apply to the end UK investor. Please provide the details that you use on the KIID.

Add Unit/Share Class

* Please provide the name of the Unit/Share class



Please only notify us of unit/share classes you intend to market in the UK. Kindly use the ISIN Code identifier if you have one. This can be selected from the picklist below.

Identifier Type

Identifier

* Eligible Investor Types

* Is this an accumulation or income unit/share class?

* Is this share/unit class tokenised?

* Ongoing Charges / TER

* Minimum investment into the fund (Please select appropriate currency)

What is the Investment management fee?



UK rules do not permit promotional payments to be paid to anyone other than the operator/management company. See COLL 6.7.12R

* Are any promotional payments paid to third parties for the distribution/promotion of the share class?

Initial/Entry charge (if applicable)

Redemption charge (if applicable)

Do you charge a performance fee?

Save

Cancel



For **ETFs**, If you are aware of any increased charges that UK investors are subject to – please use the increased figure.



To clone an existing **Unit/Share class**, click on the arrow next to the existing share class details to display the drop-down menu. Then select **"clone"** to proceed.

Please note that you can use the **"Clone"** feature to assist you filling in Funds with similar **Unit/ Share Class** details, where applicable. Please use caution to ensure that you overwrite any fields that must be amended to ensure that you are submitting the correct and accurate version of each unit/share class.

UNIT/SHARE CLASS ✔ INVESTMENT MANAGER SUPPORTING DOCUMENTS

At least one share class is mandatory.
A maximum of 100 unit/share classes can be added. You only need to tell us about unit/share classes available to UK investors. If you wish to add more than 100, please contact recognisedcis@fca.org.uk.
You may choose to clone the Unit/Share Class by clicking the arrow next to an existing record if you have many similar Unit/ Share classes to add. Please use caution to overwrite the information where necessary for the cloned Unit/ Share Class fields.

Add Unit/Share Class Remove All

Show 10 ↓ Search in 1 records

| Unit/Share class Name | Identifier Type | Identifier | |
|-----------------------|-----------------|------------|---|
| Unit/Share class | National Code | 2223333 | <div style="border: 1px solid #ccc; padding: 2px; display: inline-block;"> <div style="border-bottom: 1px solid #ccc; padding: 2px;">Edit</div> <div style="border-bottom: 1px solid #ccc; padding: 2px; color: red;">Clone</div> <div style="border-bottom: 1px solid #ccc; padding: 2px;">Delete</div> </div> |

A validation check will run to ensure that **Unit/Share classes** do not have the same name to avoid duplication errors.

You are also able to search through the **Unit/Share Classes** that you have added using the search box by entering the name and identifier.



When adding the KIIDs for each **Unit/Share Class**, please note you can add them in one document, for example, if there are 20 Unit/Share Classes, upload **one** word document with all **20** KIIDs copy and pasted into this document.

Investment Manager

Under **“Investment Manager”**, you will be able to add firms using their LEI and FRN details as well as confirming if they are a delegate/sub delegate in relation to the sub fund. No more than 20 firms can be added.

UNIT/SHARE CLASS INVESTMENT MANAGER SUPPORTING DOCUMENTS

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

* Do you delegate/sub delegate investment management activities in respect of this fund?

Yes ▼

Add Investment Manager Remove All

Add Investment Manager

Please select the Investment Manager/Sub delegate Investment Manager

Search By
 FRN LEI

Confirm that Investment Manager details cannot be found
--None-- ▼

* Indicate if the investment manager is a delegated investment manager or a sub-delegated investment manager
--None-- ▼

Save **Cancel**

Once Completed, you can exit this window by clicking **“Save”**.

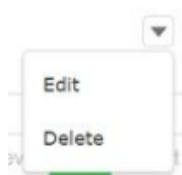
You can add up to 20 firms and you are also able to search through the **Investment Managers** you have added by using the search box and entering the name and or **LEI/FRN**.

Show Search in 1 records

| Investment Manager Name | FRN | LEI |
|-------------------------|-----|--------------------------|
| Investment Manager 1 | | 000000000000000000 00 |

Prev **1** Next

After adding an **Investment Manager**, if you need to edit or delete the firm, you can do so by clicking the arrow and selecting from the drop down.



Supporting Documents

Lastly, you will need to add the **supporting Documents** applicable to the Scheme. You can do so by clicking **"Add Supporting Document"**.

UNIT/SHARE CLASS INVESTMENT MANAGER SUPPORTING DOCUMENTS

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.

[Add Supporting Document](#) [Remove All](#)

Please ensure that all documents uploaded are named in line with the convention as displayed in the pop-up window.

Add Supporting Document

Supporting Document

* Document Type:

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.

* This document is required.

[Upload Files](#) Or drop files

[Save](#) [Cancel](#)

Once all 4 sub-sections have been completed, the indicator will show as **"Green"** against all the completed sub funds, and you can then click **"save and next"**.

The screenshot displays the 'Sub-Fund Information' section. At the top, there is a search bar labeled 'Sub-fund Name or PRN'. Below it, a table lists sub-funds. The first entry is 'Sub Fund 1' with identifier '000001'. The status is 'Completed', and there is a trash bin icon and a dropdown arrow. Below the table, there is a section for 'Identifier Type' (LEI) and 'Status' (Completed), with an 'Add Details' button. At the bottom, there are three green checkmarks indicating completion for 'UNIT/SHARE CLASS', 'INVESTMENT MANAGER', and 'SUPPORTING DOCUMENTS'.

If at any point, you need to **"delete"** a sub fund from your application, you can do so via clicking the "Bin" icon.

You can restore a deleted sub fund by clicking on the reverse button if removed accidentally.



4 Supporting Documents


| Application Reference Number | 0003682800 | Last Modified By | [Redacted] |
|-------------------------------------|--|-----------------------|------------|
| FORM | STATUS | | |
| Applicant Details | <input checked="" type="checkbox"/> Complete | Edit | |
| Umbrella Scheme Application Details | <input checked="" type="checkbox"/> Complete | Edit | |
| Scheme Details | <input checked="" type="checkbox"/> Complete | Edit | |
| Supporting Documents | <input type="radio"/> Not Started | Start | |
| Declaration | <input type="radio"/> Not Started | Start | |
| Submit Application | | | |

Please add the **Supporting Documents** at Scheme Level with the naming convention as set out below. i.e., Prospectus/Instrument etc.

Supporting Documents

* Document Type:

--None-- Please select an item in the list.



Supporting documents can be provided in Microsoft Word, Microsoft Excel or PDF format. At least one document is mandatory. 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.

* This document is required.

[Remove](#)

[Upload Files](#) Or drop files

[Add Document](#)

[Back to Application](#) [Previous](#) [Save](#) [Save and Next](#)

5 Declaration

Click **“Start”** to enter **“Declaration”**.

| FORM | STATUS | |
|-------------------------------------|---------------|-----------------------|
| Applicant Details | ✔ Complete | Edit |
| Umbrella Scheme Application Details | ✔ Complete | Edit |
| Scheme Details | ✔ Complete | Edit |
| Supporting Documents | ✔ Complete | Edit |
| Declaration | ○ Not Started | Start |

[Submit Application](#)

Ensure you have read and understood the **“Declaration”**.

Declaration

This application or notification must be submitted by a person of appropriate seniority within the notifying firm or on behalf of the notifying firm.

By submitting this application or notification I confirm that:

The information in this application or notification is accurate and complete to the best of my knowledge and belief and that I have taken all reasonable steps to ensure that this is the case. I also certify that any document included or appended to this application is a true copy of the original. I have read any notes that accompanied the form.

I am aware that if I knowingly or recklessly provide information that is false and misleading in a material particular in this application or notification, I will contravene a legislative requirement and may be the subject of enforcement action.

I will notify the FCA immediately if there is a material change to the information provided in this form.

For the purposes of complying with data protection legislation, please read our privacy notices:

FCA's privacy notice <https://www.fca.org.uk/data-protection>

Bank of England's privacy notice <https://www.bankofengland.co.uk/prudential-regulation/authorisations>

These notices will tell you what to expect when the FCA and/or the Bank of England collects personal information, including how and why we use your personal information and who to contact if you have any queries or wish to exercise your rights.

Review & Confirmation

* I confirm that a permanent copy of this application, signed by myself and the signatories, will be retained for an appropriate period, for inspection at the FCA/PRA's request.

To confirm you have read the **“Declaration”**, tick the box, and add details to the **“Authorised Signatory”** section.

Authorised Signatory

This section will be completed partially within the form and with the expectation that it will be printed, signed by the authorised Signatory, and then stored.

Authorised Signatory

Authorised Signatory 1

* Signatory Name
Janine Lovey

* Signatory Position

* Signature Date
02-May-2024

Signature (to be signed on the printed version only)

[Add Another Signatory](#)



- The **Signature Date** must be the date of submission.
- Additional Signatories can be added by clicking **"Add Another Signatory"**
- An **Authorised Signatory** can be an employee or senior manager at the firm with sufficient authority to submit the application.

Then click **"Save and Next"**.

6 Submission

Before you submit your application, check to confirm that all sections are marked as **Complete** in the **"Status"** column.

| FORM | STATUS |
|---|---------------------------------|
| Applicant Details | ✓ Complete Edit |
| Umbrella Scheme Application Details | ✓ Complete Edit |
| Scheme Details | ✓ Complete Edit |
| Supporting Documents | ✓ Complete Edit |
| Declaration | ✓ Complete Edit |
| Application is ready for submission. Submit Application | |

Then click **"Submit Application"**. A pop-up window will appear. Please read the contents and click **"Submit"**.

Confirm Submit Application

Once the submission of your application/notification has completed, you will remain on the Application Home Page. Here you will be able to select each section of the submitted application/notification and print the hard copies. The application/notification is to be signed by designated signatories and kept for your records. Please use the Application Reference Number in any correspondence.

[Cancel](#) [Submit](#)

Please read the details of the **"Confirm Transaction"** section and then click **"Accept"**.

Confirm Transaction

In order to submit this application you will need to make the payment of a **non-refundable fee**.
The fee payable for **Application Reference Number:** () is **£** ()

By submitting this application you confirm that you are a person who is suitable to make this application and that the information provided is correct to the best of your knowledge and belief. Knowingly or recklessly giving the FCA and/or PRA information which is false or misleading in a material particular may be a criminal offence (section 398 of the Financial Services and Markets Act 2000).

I have read this declaration and I understand the consequences of submitting this Application.

[Accept](#) [Cancel](#)

Your payment process may take a couple of minutes to complete. Please do not click refresh or leave the page.

The payment screen will follow, please enter payment details, and click on **“Pay Now”**.

The screenshot shows the payment interface. At the top left are the logos for the Financial Conduct Authority (FCA) and the Bank of England Prudential Regulation Authority. Below these is a 'Total' field with a currency selector set to 'GBP'. A row of payment logos (VISA, Mastercard, American Express) is displayed. The main section is titled 'Pay with a new card' and contains a form to 'Add new card'. The form has five input fields: 'Holder Name', 'Card Number', 'Expiry Month' (with a dropdown menu), 'Expiry Year' (with a dropdown menu), and 'Security Code'. A blue 'PAY NOW' button is located at the bottom right of the form.

The payment Confirmation screen is then displayed. Click on **“Click Here”** to return to the application home page.

The screenshot shows the 'Payment Confirmation' screen. It starts with a thank you message: 'Thank you for your payment. Please note that your payment is in the process of being applied to your application. This may take up to five minutes. When your payment has been applied, your account balance will update accordingly.' Below this is a 'Payment Summary' table with the following data:

| Payment Summary | |
|-----------------------------|------------------------------|
| Amount | |
| Transaction Reference | INTACT-0000138484 |
| Transaction Processing Date | Tue Jul 09 10:25:47 GMT 2024 |

Below the table, it says 'Please retain this as proof of receipt.' At the bottom, there is a red underlined link that says 'Click here to return to the Application home page.'

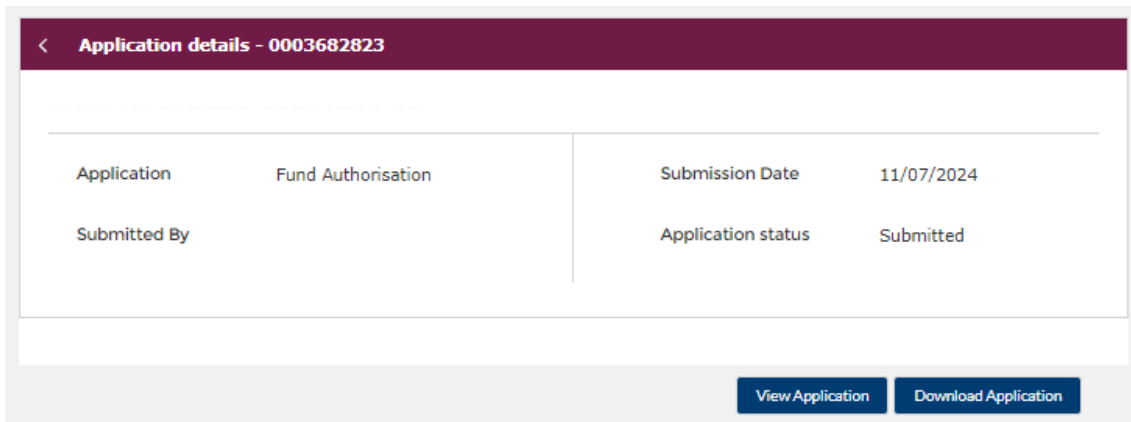
A confirmation email will be sent to you to confirm payment and another email to confirm receipt of the application.



If you need to re-visit or download your application, you can do so via the **“Home”** Button and Clicking on the relevant Application under **“Application Number”** and lastly, **“View Application”**.

The screenshot shows the application dashboard. On the left is a dark blue sidebar titled 'Connect' with several menu items: 'Home' (with a home icon and a red underline), 'Start an Application', 'Latest Updates', 'Manage Users', 'Pre-Application Meetings', and 'Financial Services Register'. The main content area at the top right has the FCA and Bank of England logos. Below the logos is a 'Latest Updates' section with a dark purple header and a list of updates. At the bottom, there is a section titled 'Applications by firms' with a red underline and a link to 'All Applications'.

You can then re-open the application by clicking **“View Application”** or **“Download Application”** for a PDF copy.



The screenshot shows a web interface for application details. At the top, there is a dark purple header bar with a back arrow and the text "Application details - 0003682823". Below the header is a white content area containing a table of application information. At the bottom right of the content area, there are two dark blue buttons: "View Application" and "Download Application".

| Application details - 0003682823 | | | |
|----------------------------------|--------------------|--------------------|------------|
| Application | Fund Authorisation | Submission Date | 11/07/2024 |
| Submitted By | | Application status | Submitted |