User Guide: Filing notifications relating to UK Authorised Funds and Recognised Funds under OFR or Section 272 of FSMA

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Overview

These changes will modernise the way we collect and manage information and will provide a more efficient experience for firms. We are taking these steps to be a more digital regulator and to streamline our processes.

This guide is suitable for the following:

- Firms filing scheme documents relating to an UK authorised or overseas recognised fund marketing under OFR or section 272 of FSMA.

Logging into Connect

Log into Connect via My FCA.

To follow the steps under "**Locating the Form**", you must be a registered user for a UK Authorised Firm or Recognised Operator. If you are not enabled, please speak to the firm's Principal User or an Administrator to give you the correct access.

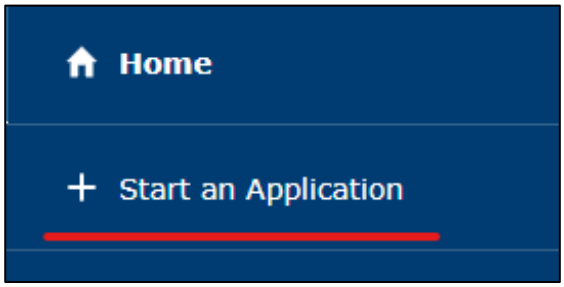
For guidance on granting user access, refer to the Connect user guide.

We recommend using **Google Chrome to access Connect** when drafting applications as the system has been optimised for this browser.

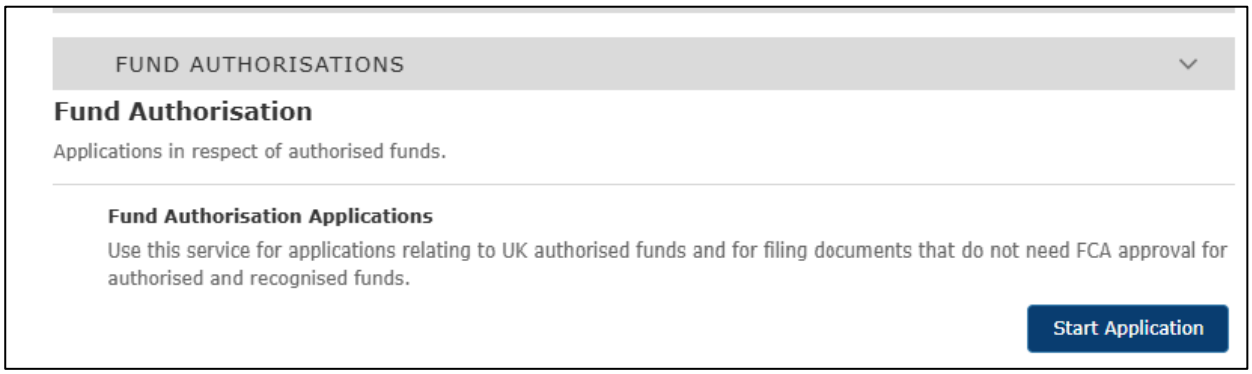
Avoid opening the same application in multiple tabs. Before asking another user to review or submit your application, ensure that you have saved and closed it.

Locating the Form

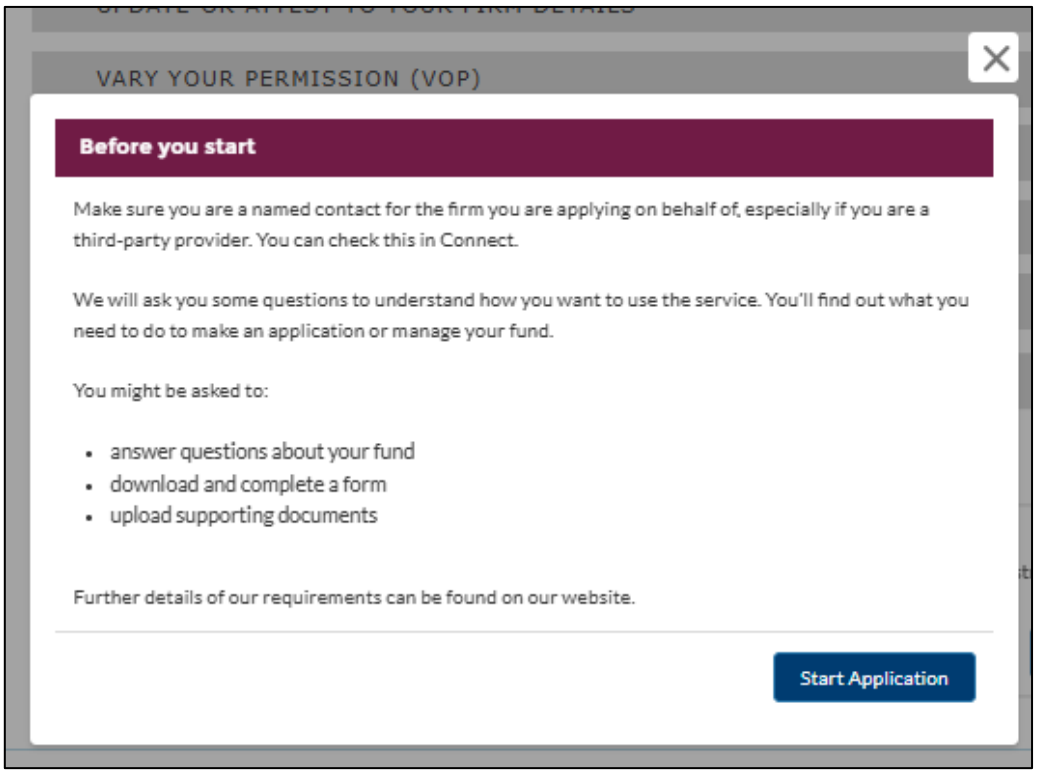
When you first log into Connect, you will start on the Home Screen, click on "**Start an Application**".



From there, click on the arrow next to "**Fund Authorisations**" and again on "**Show More**" until you see the expansion as demonstrated below. Then click "**Start an Application**".



1. You will be presented with the below pop-up, once you have read the message you will need to click "**Start Application**".



2. This will then take you to the application where the following message will be played back:

Fund authorisations

Use this service for applications relating to authorised funds.

You can:

- apply for a new scheme to be authorised in the UK - including Authorised Contractual Schemes, Authorised Unit Trusts or Investment Companies with Variable Capital
- request approval to change an existing authorised fund
- notify us of an approved change that has been made to a fund (Form FN)
- file scheme documents that do not need approval

What to know before using this service

Make sure you are a named contact for the firm you are applying on behalf of, especially if you are a third-party provider. You can check this in Connect (opens in new tab).

In this service you will submit either a notification or an application. Applications require approval from us.

We will ask you some questions to understand how you want to use the service. You'll find out what you need to do to make an application or manage your fund.

You might be asked to:

- answer questions about your fund
- download and complete a form
- upload supporting documents

You can save your progress and return later if you need to.

For help with authorised fund applications, email ukcis@fca.org.uk

For help with recognised fund applications, email recognisedcis@fca.org.uk.

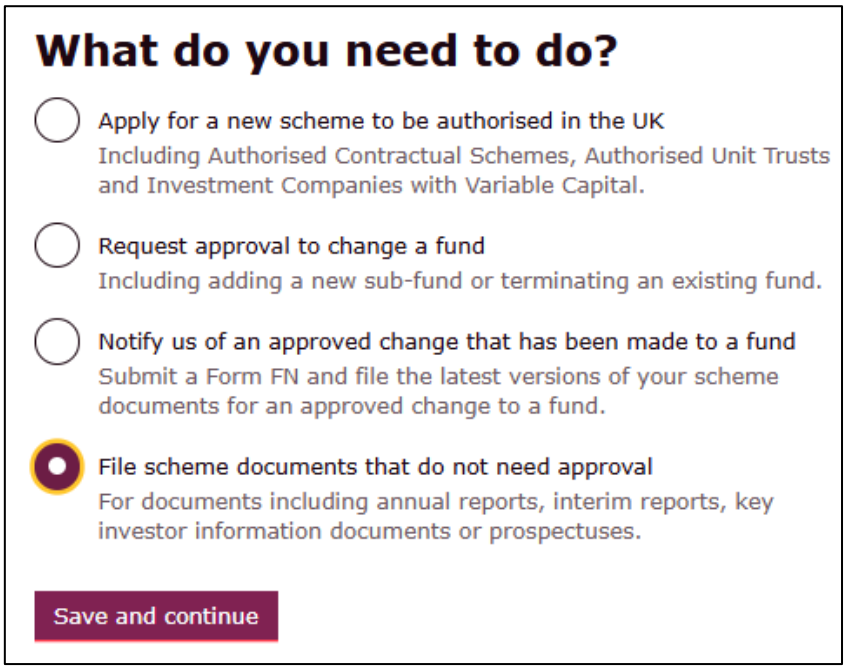
How we will use your information

To comply with the Data Protection Act 2018 and the General Data Protection Regulation (EU) 2016/679, the personal information you provide in this application will be used by the FCA to discharge its statutory functions under relevant legislation. It will not be disclosed for any other purposes without the applicant's permission.

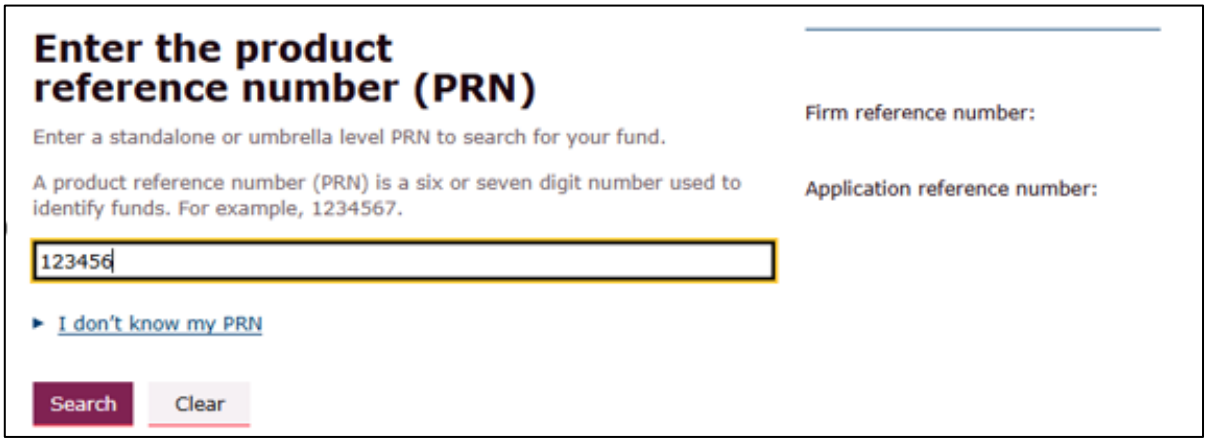
3. Once you click "**Start Now**", you will be led through a few multiple-choice questions relating to the type of application you want to submit. Your first option will relate to the scheme type, and the second option will be the application type.

Application Type

4. Click on "**File scheme documents that do not need approval**" to upload your document/s.

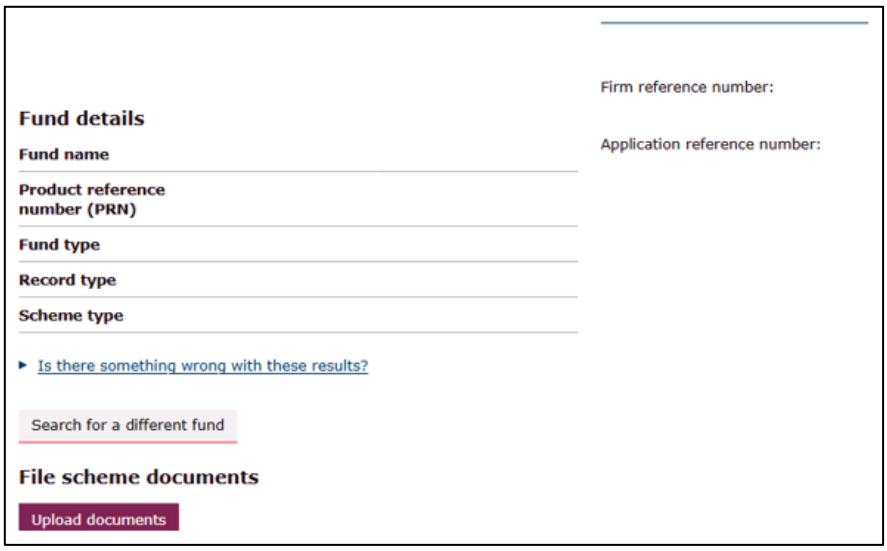


5. Next, you will need to enter the PRN of the scheme your application relates to.

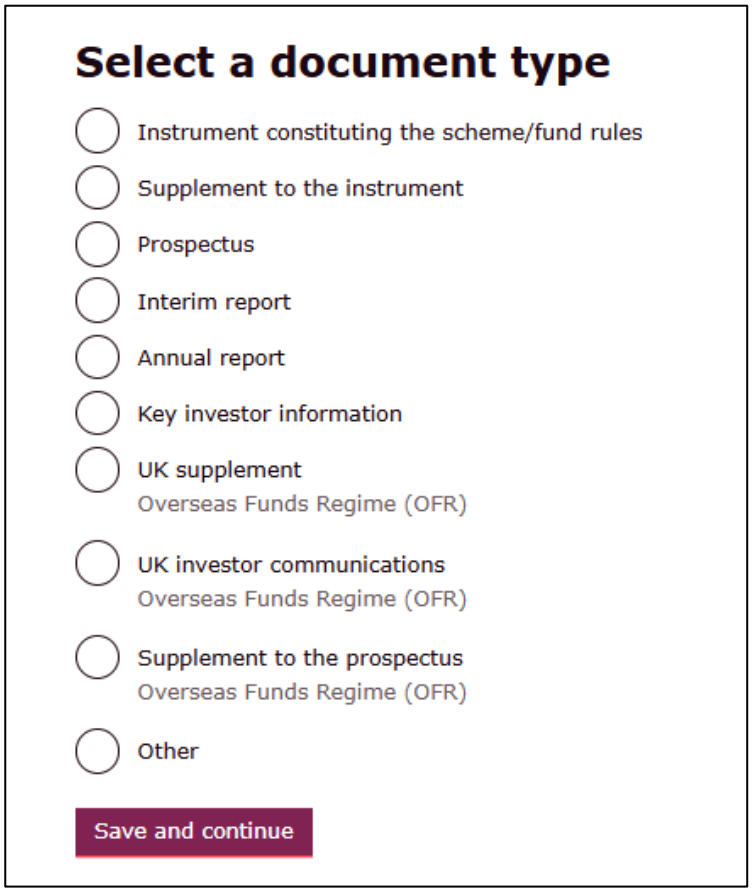


6. The next page will play back the fund details that have been submitted: Fund name, Product reference number (PRN), Fund type, Record type and Scheme type. If the information is incorrect, you can amend them by clicking **'is there something wrong with these results?'**

   Then click "**Upload documents**".



7. The following document types are available for upload. Select the one that you wish to upload



Most of the options are appropriate to UK Authorised Schemes, however the ones that reference "**OFR**" in brackets is only appropriate to overseas schemes marketing into the UK under OFR or Section 272 of FSMA.

You will only be able to upload **one** document for the following:

- Instrument
- Supplement to the instrument
- Prospectus
- Interim Report
- Annual Report

You will be able to upload **thirty** documents for the following:

- Key Investor information
- UK Supplement (OFR)
- UK investor communications (OFR)
- Supplement to the prospectus (OFR)
- Other

One long-running "**Key Investor Information**" document can be submitted per sub fund if they fall under the same date.

Documents need to be named in the following format:

Scheme Name – Document type – date (yyyymmdd)

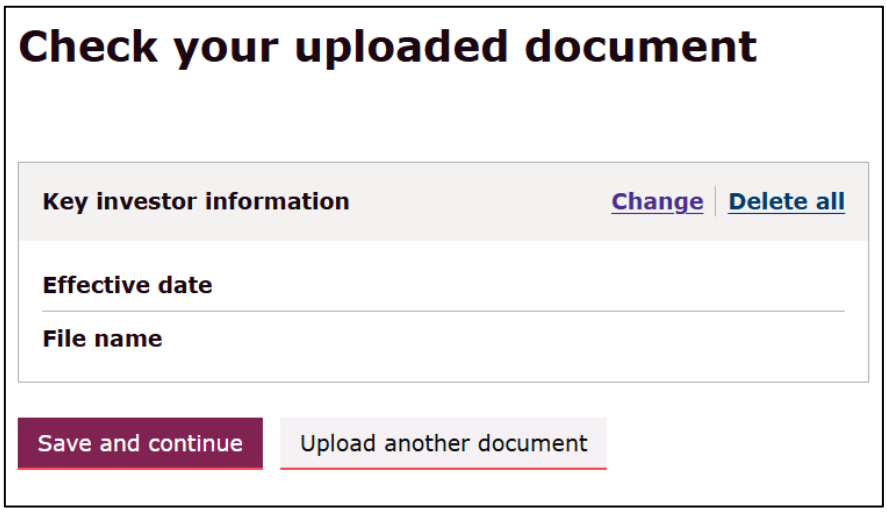
For "Key Investor Information**"**

Sub fund name – Document type – Date (yyyymmdd)

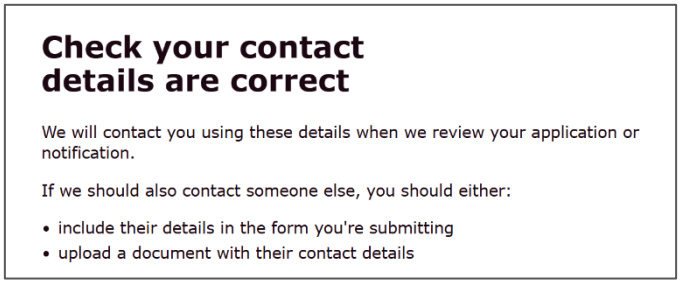


- While uploading your documents, please ensure that you allow the scanning to progress until completion before you click "**Save and Continue**" or the following error will be returned.

8. You will be able to review the documents uploaded in your application any time prior to submission.

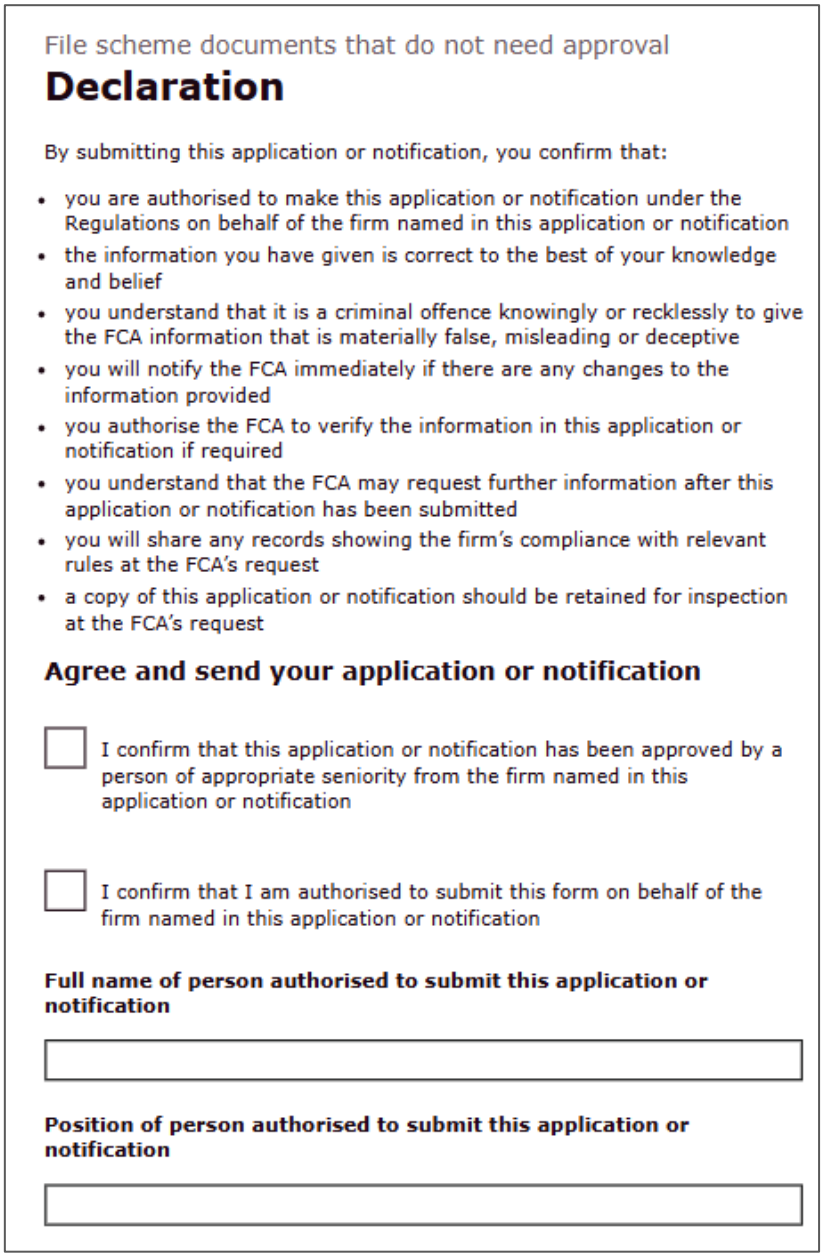


9. You will be prompted to check that the contact details are correct for the person submitting the application.

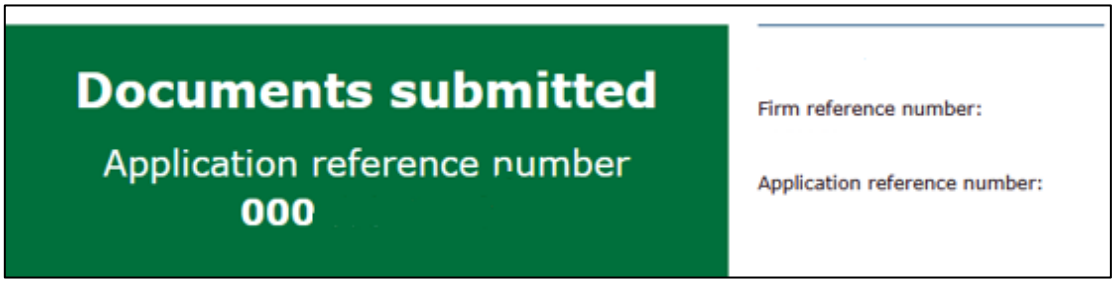


The person submitting the declaration will be the person we contact regarding the application or notification.

Once you have entered your information, click "**Confirm and Save**".



10. Once sent, the confirmation email will be sent to the submitter's user mailbox, and the green application banner should appear.

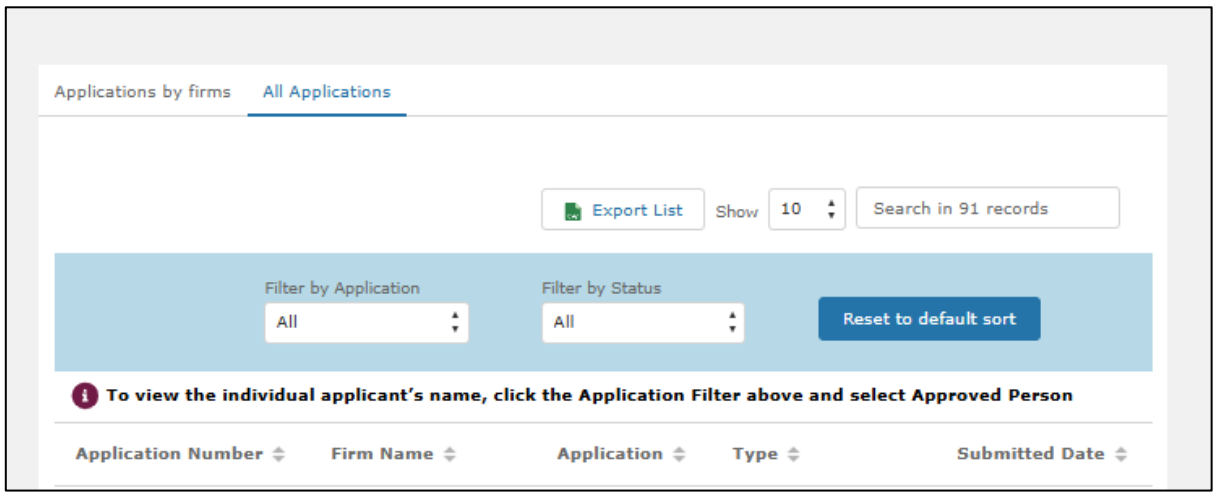


Navigating between your application

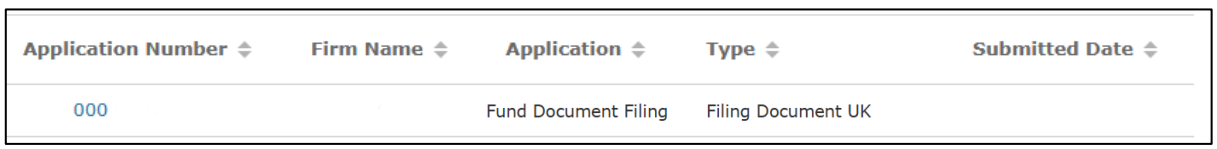
If you hit "**Save and come back Later**" while entering the information in your application, you will be taken back to the home page

The Application reference number will always be visible on the right-hand side of your application.

You will have the option to search applications by the firms you are assigned to, or by the application reference number itself.



When you decide to re-visit the application, click on the Application reference number in blue.



From there, click "**Edit**" and you will then return to your application.

Frequently Asked Questions

- **I am unable to log into my Connect account**

In the first instance, contact your principal user to re-set your multi-factor authentication. If this fails, contact the Supervision Hub.

- **I am getting an error when I try to locate/submit an application**

If you are unable to locate the document, please refer to the User Management Guide in the first instance. If your barrier is more a system issue, please contact the Supervision Hub.

- **I did not receive my automated confirmation email**

Please contact the Supervision Hub.

- **I got a notification that my application was deleted.**

Applications that lay dormant for 3 months will be deleted by the system. We ask that unused draft applications are deleted to prevent any confusion.

Further Help

Contact Details:

Supervision Hub:

- Phone Number:
    - 0300 500 0597 from the UK
    - +44 207 066 1000 from abroad

  Email: firm.queries@fca.org.uk

We're open Monday, Tuesday, Wednesday and Friday, 9am to 5pm.
We're open Thursday, 10am to 5pm.