

SUP 16 Ann 12G: Reports from depositaries of ICVCs, AUTs and ACSs (see SUP 16.6.9G)

1 Table

1. Depositaries of AUTs and ACSs

(1) Form 1 at the end of this annex provides a suggested format for the submission of the reports.

(2) The quarterly report should be completed each year as at 31 March, 30 June, 30 September, and 31 December.

(3) The report should be signed by an *approved person* who has responsibility for the *firm's depositary* area.

(4) A *firm* should refer to *COLL 6* and *COLL 6.2.12G* before completing this report.

2. Depositaries of ICVCs

(1) Form 2 at the end of this annex provides a suggested format for the submission of the reports.

(2) The quarterly report should be completed each year as at 31 March, 30 June, 30 September, and 31 December.

(3) The report should be signed by an *approved person* who has responsibility for the *firm's depositary* area.

(4) A *firm* should refer to *COLL 6* and *COLL 6.2.12G* before completing this report.

SUP 16: Reporting requirements

Annex 12G

Form 1

Quarterly Return of Notifiable Breaches – Authorised Unit Trusts and authorised contractual schemes

1. Pricing Errors

Authorised Fund Manager	Did status of authorised fund manager change in quarter? (Note)	No. of pricing errors of 0.5% and above	No. of pricing errors below 0.5%, where depositary does not consider authorised fund manager's controls to be adequate	No. of authorised unit trusts or authorised contractual schemes in operation

Note = From “controls adequate” to “controls inadequate” (or vice versa). Where the authorised fund manager’s status changed, the report should state the date of that change and the number of reportable breaches of COLL 6 before and after that change of status.

2. Negative Boxes

Authorised Fund Manager	Did status of authorised fund manager change in quarter? (Note 1)	No. of negative boxes where COLL 6.2.10R has not been applied. (Note 2)	No. of authorised unit trusts or authorised contractual schemes in operation

Note 1 = From “controls adequate” to “controls inadequate” (or vice versa). Where the authorised fund manager’s status changed, the report should state the date of that change and the number of reportable breaches of COLL 6 before and after that change of status.

Note 2 = The application of COLL 6.2.10R relates to the correction of an error by the authorised fund manager with the depositary’s agreement in accordance with COLL 6.2.10R.

The statistical information above has been provided to the *FCA* in accordance with *SUP* 16.6.8R(1).

Knowingly or recklessly giving the *FCA* information which is false or misleading in a material particular may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000). *SUP* 15.6.1R and *SUP* 15.6.4R require an *authorised person* to take reasonable steps to ensure the accuracy and completeness of information given to the *FCA* and to notify the *FCA* immediately if materially inaccurate information has been provided. *SUP* 16.3.11R requires an *authorised person* to submit reports containing all the information required. *APER* 4.4.6E provides that, where an *approved person* is responsible for reporting matters to the *FCA*, failure to inform the *FCA* of materially significant information of which he is aware is a breach of *Statement of Principle* 4. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the *FCA*. It should not be assumed that information is known to the *FCA* merely because it is in the public domain or has previously been disclosed to the *FCA* or another regulatory body. If there is any doubt about the relevance of information, it should be included.

See *SUP* 16.3 for method of submission.

I confirm that the information in this form is accurate and complete to the best of my knowledge and belief.

Signed

Name

Position

Date

SUP 16: Reporting requirements

Annex 12G

Form 2

Quarterly Return of Notifiable Breaches – Investment Companies with Variable Capital

1. Pricing Errors

Authorised Corporate Director (ACD)	Did status of ACD change in quarter? (Note)	No. of pricing errors of 0.5% and above	No. of pricing errors below 0.5%, where depositary does not consider ACD's controls to be adequate	1. No. of Investment Companies with Variable Capital in operation
Note = From "controls adequate" to "controls inadequate" (or vice versa). Where the ACD's status changed, the report should state the date of that change and the number of reportable breaches of CIS 4 before and after that change of status.				

2. Negative Boxes

Authorised Corporate Director (ACD)	Did status of ACD change in quarter? (Note 1)	No. of negative boxes where CIS 4.3.12R has not been applied. (Note 2)	2. No. of Investment Companies with Variable Capital in operation
Note 1 = From "controls adequate" to "controls inadequate" (or vice versa). Where the ACD's status changed, the report should state the date of that change and the number of reportable breaches under CIS 4 before and after that change of status.			
Note 2 = The application of CIS 4.3.12R relates to the correction of an error by the ACD with the depositary's agreement in accordance with CIS 4.3.12R.			

The statistical information above has been provided to the *FCA* in accordance with *SUP* 16.6.8R(2).

Knowingly or recklessly giving the *FCA* information which is false or misleading in a material particular may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000). *SUP* 15.6.1R and *SUP* 15.6.4R require an *authorised person* to take reasonable steps to ensure the accuracy and completeness of information given to the *FCA* and to notify the *FCA* immediately if materially inaccurate information has been provided. *SUP* 16.3.11R requires an *authorised person* to submit reports containing all the information required. *APER* 4.4.6E provides that, where an *approved person* is responsible for reporting matters to the *FCA*, failure to inform the *FCA* of materially significant information of which he is aware is a breach of *Statement of Principle* 4. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the *FCA*. It should not be assumed that information is known to the *FCA* merely because it is in the public domain or has previously been disclosed to the *FCA* or another regulatory body. If there is any doubt about the relevance of information, it should be included.

See *SUP* 16.3 for method of submission.

I confirm that the information in this form is accurate and complete to the best of my knowledge and belief.

Signed

Name

Position

Date