
STATUTORY INSTRUMENTS

2011 No. 1613

FINANCIAL SERVICES AND MARKETS

The Undertakings for Collective Investment
in Transferable Securities Regulations 2011

Made - - - - 30th June 2011

Coming into force 1st July 2011

THE UNDERTAKINGS FOR COLLECTIVE INVESTMENT
IN TRANSFERABLE SECURITIES REGULATIONS 2011

PART 1

Citation and Commencement

1. These Regulations may be cited as the Undertakings for Collective...

PART 2

Amendments to the Financial Services and Markets Act 2000

2. Amendment of the Financial Services and Markets Act 2000

PART 3

Amendments to secondary legislation

3. Amendment of the Open-Ended Investment Companies Regulations 2001
4. Amendment of the Financial Services and Markets Act 2000
(Compensation Scheme: Electing Participants) Regulations 2001
5. Amendment of the Financial Services and Markets Act 2000 (Disclosure of
Confidential Information) Regulations 2001
6. Amendment of the Financial Services and Markets Act 2000 (Collective
Investment Schemes Constituted in other EEA States) Regulations 2001

PART 4

MERGERS

7. Interpretation
8. (1) This Part applies to any reconstruction or amalgamation which...
9. Application for authorisation

Changes to legislation: *The Undertakings for Collective Investment in Transferable Securities Regulations 2011 is up to date with all changes known to be in force on or before 14 April 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) View outstanding changes*

10. Modification of information
11. Report by depositary or auditor
12. Right of redemption
13. Consequences of a merger
14. Publication of a merger

PART 5

DIVISIONS

15. Division of a master UCITS

PART 5A

DEPOSITARIES

- 15A Interpretation
- 15B Depositary liability: general provisions
- 15C Depositary liability for loss of financial instruments held in custody
- 15D Depositary liability for other losses

PART 5B

REQUIREMENTS ON THE FINANCIAL CONDUCT AUTHORITY

- 15E Interpretation
- 15F FCA requirement to share depositary information
- 15G FCA's ability to refuse to act on requests for information
- 15H Reporting of infringements
- 15I Disclosure of information regarding penalties

PART 6

CONSEQUENTIAL AMENDMENTS AND REVIEW

16. Consequential amendments
17. Review

PART 7

18. Transfer of UCITS directive functions
Signature

Schedule 1 — CONSEQUENTIAL AMENDMENTS

1. The Financial Services and Markets Act 2000 (Regulated Activities) Order 2001
2. The Financial Services and Markets Act 2000 (Promotion of Collective Investment Schemes) (Exemptions) Order 2001
3. The Electronic Commerce Directive (Financial Services and Markets) Regulations 2002
4. The Reporting of Savings Income Information Regulations 2003
5. The Financial Conglomerates and Other Financial Groups Regulations 2004
6. The Montserrat Reporting of Savings Income Information Order 2005

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7. The Financial Services and Markets Act 2000 (Financial Promotion) Order 2005
8. The Financial Services and Markets Act 2000 (Controllers) (Exemption) Order 2009

SCHEDULE 2 — Directive functions transferred to the Authority

1. The purposes mentioned in regulation 18 are as follows.
2. To specify the information to be provided to the Authority...
3. To specify— (a) the information to be provided to the...
5. To determine standard forms, templates and procedures for the notification...
6. To specify the information to be provided to the Authority...
7. To establish standard forms, templates and procedures for the provision...
8. To specify the provisions concerning the content of the prospectus,...
9. To specify the conditions which need to be met by...

Explanatory Note

Changes to legislation:

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[View outstanding changes](#)

Changes and effects yet to be applied to :

- Regulations revoked by [2023 c. 29 Sch. 1 Pt. 2](#)