
STATUTORY RULES OF NORTHERN IRELAND

2004 No. 335

FINANCIAL SERVICES

**Open-Ended Investment Companies
Regulations (Northern Ireland) 2004**

*Made - - - - 10th August 2004
To be laid before Parliament under paragraph 7(3)
of the Schedule to the Northern Ireland Act 2000.*

Coming into operation –

*For the purposes of
regulation 6 15th September 2004*

For all other purposes 1st November 2004

**OPEN-ENDED INVESTMENT COMPANIES
REGULATIONS (NORTHERN IRELAND) 2004**

PART I

GENERAL

1. Citation, commencement and extent
2. Interpretation

PART II

FORMATION, SUPERVISION AND CONTROL

General

3. Open-ended investment company
4. Registration by the Authority
5. Safekeeping of scheme property by depositary
6. FSA rules
7. Modification or waiver of FSA rules
8. Notices: general
9. Publication
10. The Authority's procedures
11. The Tribunal

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Authorisation

12. Applications for authorisation
13. Particulars of directors
14. Authorisation
15. Requirements for authorisation
16. Representations against refusal of authorisation
17. Certificates

Names

18. Registrar's approval of names
19. Prohibition on certain names
20. Registrar's index of company names

Alterations

21. The Authority's approval for certain changes in respect of a company
22. Procedure when refusing approval of proposed changes

Ending of authorisation

23. Ending of authorisation
24. Procedure

Powers of intervention

25. Directions
26. Applications to the court
27. Procedure on giving directions under regulation 25 and varying them on Authority's own initiative
28. Procedure: refusal to revoke or vary direction
29. Procedure: revocation of direction and grant of request for variation

Investigations

30. Power to investigate

Winding up

31. Winding up by the court
32. Dissolution on winding up by the court
33. Dissolution in other circumstances

PART III

CORPORATE CODE

Organs

34. Directors
35. Directors to have regard to interests of employees
36. Inspection of directors' service contracts
37. General meetings
38. Capacity of company
39. Power of directors and general meeting to bind the company
40. No duty to enquire as to capacity etc.

- 41. Exclusion of deemed notice
- 42. Restraint and ratification by shareholders
- 43. Events affecting company status
- 44. Invalidity of certain transactions involving directors

Shares

- 45. Shares
- 46. Share certificates
- 47. Exceptions from regulation 46
- 48. Bearer shares
- 49. Register of shareholders
- 50. Power to close register
- 51. Power of court to rectify register
- 52. Share transfers

Operation

- 53. Power incidental to carrying on business
- 54. Name to appear in correspondence etc.
- 55. Particulars to appear in correspondence etc.
- 56. Contracts
- 57. Execution of documents
- 58. Execution of deeds outside the United Kingdom
- 59. Authentication of documents
- 60. Official seal for share certificates
- 61. Personal liability for contracts and deeds
- 62. Exemptions from liability to be void
- 63. Power of court to grant relief in certain cases
- 64. Punishment for fraudulent trading
- 65. Power to provide for employees on cessation or transfer of business

Reports

- 66. Reports: preparation
- 67. Reports: accounts
- 68. Reports: voluntary revision
- 69. Auditors

Mergers and divisions

- 70. Mergers and divisions

PART IV

THE AUTHORITY'S REGISTRATION FUNCTIONS

- 71. Register of open-ended investment companies
- 72. Companies' registered numbers
- 73. Delivery of documents to the Authority
- 74. Keeping of company records by the Authority
- 75. Inspection etc. of records kept by the Authority
- 76. Provision by the Authority of documents in non-legible form
- 77. Public notice by the Authority of receipt and issue of certain documents
- 78. Exclusion of deemed notice

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PART V
MISCELLANEOUS

- 79. Contraventions
- 80. Offences by bodies corporate etc.
- 81. Jurisdiction and procedure in respect of offences
- 82. Evidence of grant of probate etc.
- 83. Minor and consequential amendments
- 84. Revocation etc.
Signature

SCHEDULE 1
DEPOSITARIES

Appointment

- 1. On the coming into effect of an authorisation order in...
- 2. Subject to regulations 21 and 26, any subsequent appointment of...

Retirement

- 3. The depositary of a company may not retire voluntarily except...

Rights

- 4. The depositary of a company is entitled –

Statement by depositary ceasing to hold office

- 5. (1) Where the depositary of a company ceases, for any...
- 6. (1) This paragraph applies where copies of a statement have...

SCHEDULE 2
INSTRUMENT OF INCORPORATION

- 1. The instrument of incorporation of an open-ended investment company must...
- 2. The statements referred to in paragraph 1(a) are –
- 3. (1) The instrument of incorporation must contain provision as to...
- 4. (1) The instrument of incorporation must also contain provision as...
- 5. (1) Once an authorisation order has been made in respect...
- 6. (1) The provisions of a company's instrument of incorporation are...

SCHEDULE 3
REGISTER OF SHAREHOLDERS

General

- 1. (1) Subject to sub-paragraph (2), every open-ended investment company must...
- 2. The register of shareholders is prima facie evidence of any...
- 3. No notice of any trust, express, implied or constructive, is...
- 4. A company must exercise all due diligence and take all...

Contents

5. (1) The register of shareholders must contain an entry consisting...
6. (1) This paragraph does not apply to any issue or...
7. The register of shareholders must contain a monthly statement of...
8. (1) This paragraph applies where the aggregate number of shares...

Location

9. The register of shareholders of a company must be kept...

Index

10. (1) Every company must keep an index of the names...

Inspection

11. (1) Subject to regulation 50 and to FSA rules, the...

Agent's default

12. (1) Sub-paragraphs (2) and (4) apply where, in accordance with...
SCHEDULE SHARE TRANSFERS
4

General

1. The instrument of incorporation of a company may contain provision...
2. Where any shares are transferred to the company, the company...

Transfer of registered shares

3. (1) Where a transfer of shares is made by the...
4. (1) Except in the case of any transfer of shares...
5. In the case of any transfer of shares which meets...
6. (1) A company may, before the end of the period...
7. (1) Where, in respect of any transfer of shares, the...

Transfer of bearer shares

8. A transfer of title to any bearer share in a...
9. Where the holder of bearer shares proposes to transfer to...

Miscellaneous

10. Nothing in the preceding provisions of this Schedule prejudices any...
11. A transfer of registered shares that are held by a...
12. On the death of any one of the joint holders...
SCHEDULE AUDITORS
5

Eligibility

1. No person is eligible for appointment as auditor of an...
2. (1) A person is ineligible for appointment as auditor of...
3. (1) No person is to act as auditor of a...

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Appointment

4. (1) Every company must appoint an auditor or auditors in...
5. If, in any case, no auditors are appointed as required...
6. (1) The directors of a company, or the company in...
7. (1) Sub-paragraphs (2) to (5) apply to the appointment, as...

Rights

8. (1) The auditors of a company have a right of...
9. (1) The auditors of a company are entitled –

Remuneration

10. (1) The remuneration of auditors of a company who are...
11. (1) Subject to sub-paragraph (2), the power of the Department...

Removal

12. (1) A company may by resolution remove an auditor from...

Rights on removal or non-reappointment

13. (1) A resolution at a general meeting of a company...
14. (1) An auditor who has been removed from office has,...

Resignation

15. (1) An auditor of a company may resign his office...
16. (1) This paragraph applies where a notice of resignation of...
17. (1) An auditor who has resigned has, notwithstanding his removal,...

Statement by auditor ceasing to hold office

18. (1) Where an auditor ceases for any reason to hold...
19. (1) If a person ceasing to hold office as auditor...
20. Section 249(1) of the Act (disqualification of auditor for breach...

SCHEDULE MERGERS AND DIVISIONS

6

1. This Schedule applies to any reconstruction or amalgamation involving an...
2. An open-ended investment company may apply to the court under...
3. A public company may apply to the court under Article...
4. (1) The schemes falling within this paragraph are –
5. For the purposes of this Schedule, Articles 418 to 420...
6. (1) All the provisions of the 1986 Order referred to...

SCHEDULE MINOR AND CONSEQUENTIAL AMENDMENTS

7

Stock Transfer Act (Northern Ireland) 1963 (c. 24 (N.I.))

1. For section 1(4)(f) of the Stock Transfer Act (Northern Ireland)...

Companies (Northern Ireland) Order 1986 (S.I. 1986/1032 (N.I. 6))

2. (1) Article 36 of the Companies (Northern Ireland) Order 1986...
3. (1) Article 207(2A) of the 1986 Order (interests to be...

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4. In Article 217(1)(h) of the 1986 Order (interests to be...
5. In Article 228(1) of the 1986 Order (definitions for Part...
6. In Article 667(2) of the 1986 Order (exemptions from application...

Pension Schemes (Northern Ireland) Act 1993 (c. 49)

7. In section 34(6) of the Pension Schemes (Northern Ireland) Act...

The Company Directors Disqualification (Northern Ireland) Order 2002(S.I. 2002/3150 (N.I.4))

8. In Schedule 1 to the Company Directors Disqualification (Northern Ireland)...
Explanatory Note