



3d Investment Regulation

The integrated and comprehensive solution

3d Investment Regulation

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3d Investment Regulation

The integrated and comprehensive solution

3d Investment Regulation is a single website solution which allows you to access many different regulations and associated documents by means of one seamless product

Investment regulations can be complex, detailed and often lengthy. To complicate matters, **no single body provides all the regulatory information you are likely to need**, not the FSA, not HMRC, not HM Treasury. Where do you go to find the information you need? Which body regulates on the subject you are looking for and, if you find it, can you be sure they are the only one or have you missed something important?

To get around this, **3d** have put together **a single website** which takes all the information you are likely to need from numerous different sources and places it into one easy-to-use focussed product. Let us know if you think something should be included in the service if it's not already there. A major benefit is that **we convert pdf files to text/graphics** to ensure the highest level of accessible, consolidated information, with text of all changes retained.

3d Investment Regulation is an integrated and comprehensive package. Behind the scenes is a complex product but **the user is not overwhelmed** because information not currently required is tucked away until such time as you need it. The product is designed with an overriding concern for the delivery of accurate and consistent content in a standardised way, providing a simple and intuitive to use, yet well-structured, knowledge database that allows users to **access information quickly**.

All the regulations and guidance notes are **easily accessible** (both current and historic - we do not remove data that is out of date) and work together as a **complete, efficient whole** through the use of hyperlinks. These hyperlinks are cross-referenced across documents, even where the documents are issued by different bodies.

No longer will you need to pick up bits of information here and there - interdependent rules can be viewed together; **no need to visit various websites**.

All amendments are consolidated, with the text of any previous version retained in its entirety; so not only do you know the current position, but you also know what it was prior to the amendment.

3d Investment Regulation is updated daily so minimal user effort is involved to keep up with regulatory changes. In addition, we produce a **simple weekly email** which shows the **Additions** over the past week, **Events and Deadlines** coming up and links to the **most popular pages** viewed on 3d. You can also choose to receive a **daily deadline email**.

Talk to us about how to **integrate 3d** with **Compliance Manuals** and **Operational Procedures Manuals**, thereby ensuring these are consistent, relevant and current. Rules and regulations can be available to everyone in your organisation, promoting greater compliance awareness.

If you work in or around UK investment operations, including administering OEICs, Unit Trusts, ISAs, Credit Unions and Child Trust Funds, **3d Investment Regulation is an invaluable tool**.

A demonstration can easily be arranged - just contact Robert Easterbrook
Alternatively, register your interest (without obligation) at
www.ukregulation.co.uk/home/register



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3d Investment Regulation gives you access to the following and more:

Anti-Money Laundering: FATF Recommendations, Money Laundering legislation, including Proceeds of Crime Act, Terrorism Acts 2000 and 2006, Counter-Terrorism Act 2008 and Prevention of Terrorism Act 2005, plus Watch List Checking facility

Europe: Member States, Directives, Speeches, Press Releases, plus items issued by CESR, CEBS, CEIOPS, ESC, ESME and **International:** Guernsey, Ireland, Isle of Man, Jersey

European Directives: UCITS, UCITS IV, Eligible Assets, Markets in Financial Instruments (MiFID), AIFMD, Transparency, Prospectus, Credit Institutions, E-Commerce, Money Laundering, Savings, Distance Marketing, Financial Conglomerates, PLC Safeguards, Capital Adequacy, Solvency II, Acquisitions, Banking Consolidation, Insurance Mediation, Payment Services

FSA items: Press Releases, Policy Statements, Consultation Papers, Discussion Papers, Feedback Statements, Newsletters, Disciplinary Notices, Guidance Notes, Annual Reports, Management Plans, Board Minutes, Financial Risk Outlooks, Dear CEO letters, Statements

FSA Handbook: Glossary, PRIN, SYSC, COND, APER, FIT, FINMAR, GEN, FEES, GENPRU, BIPRU, INSPRU, MIPRU, UPRU, IPRU-INS, IPRU-INV, COBS, ICOBS, MCOB, BCOBS, CASS, MAR, TC, SUP, DEPP, DISP, COMP, COAF, BSOCS, COLL, CRED, ELM, PROF, RCB, REC, LR, PR, DTR; plus modules no longer in force: PRU, COB, ML, AUTH, ENF, DEC, CIS, ECO; Special guides, Regulatory Guides (BSOG, COLLG, CRAG, EG, PERG, RPPD, UNFCOG), UKLA, Rule-making Instruments, Handbook Notices, Guidance Notes, Development Newsletters, Waivers, Forms

Previous Self-Regulatory Organisations Rules and Regulations of IMRO, PIA, LAUTRO, FIMBRA and SFA, plus IMRO Reporters, PIA Regulatory Updates and SFA Board Notices

ISA Regulations, HMRC Guidance Notes for ISA Managers, ISA Bulletins and Newsletters, Consultation Papers, Press Releases, Recognised Stock Exchanges, SDRT regulations

Child Trust Fund legislation, CTF Bulletins and HMRC Guidance Notes for CTF Providers

VAT, including HMRC Press Bulletins, VAT Notices, Business Briefs

Financial Services and Markets Act 2000 in its entirety - fully consolidated by amendments plus Financial Services Act 2010

Trustee Acts of 1925 and 2000, Trustee Investments Act 1961, Power of Attorney legislation

Data Protection Act 1998 and Legal Guidance

Statutory Instruments 1988 onwards

Relevant sections of the **Companies Acts**, **Finance Acts**, **Insolvency Act** and **Taxes Acts**

UK Listing Authority: LIST! Newsletters, MarketWatch Newsletters, City Code on Takeovers and Mergers, Rules of the London Stock Exchange, The Takeover Panel: Code Committee Statements, Consultation Papers, Practice Statements

SORP on Financial Statements of Authorised Funds

Investment Management Association (IMA) Circulars since 1996

[IMA Circulars are only available to Full and Affiliate Members of IMA]

Tax Incentivised Savings Association (TISA) Technical Bulletins since 1995

[TISA Bulletins are only available to Members of TISA]

Citicorp Trustee Co Ltd (CTCL) News and Views

Bank of New York Trust & Depository Co. Ltd (BoNY) Fund Focus Newsletters

Brown Brothers Harriman Investor Services Limited (BBH) OEICs/UTs Updates



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3d Investment Regulation is a very easy to use, web-based system for navigating UK investment regulations

Register

To register for access to 3d, please go to www.ukregulation.co.uk/home/register
You will then receive an email confirming registration,
providing a current subscription is available to you or your organisation

Login

To log in, please go to www.ukregulation.co.uk/home/login/
Your login details are your email address and your chosen password
For future access, 3d suggest you bookmark the following page in your internet browser:
www.ukregulation.co.uk/contents/latestadditions
Providing cookies are enabled in your browser, you should not need to enter your login details each time you
access 3d Investment Regulation after the first time, unless you login from an alternative computer
Please advise us if your contact email address or phone changes so that we can update our records

3dWeekly

3dWeekly is a popular email service which shows you the additions to 3d Investment Regulation over the
past week, Events and Deadlines coming up and links to the top 25 pages viewed in the past 7 days.
It is addressed solely to those who have opted-in to such information from 3d.
If you wish to receive these emails please ensure you have ticked the 'Tick box to receive' checkbox on
your account details page on the 3d website at www.ukregulation.co.uk/home/register

Hyperlinks

3d Investment Regulation web pages contain many hyperlinks - click to move to other pages
Move the mouse pointer over the link until it changes to a pointing finger and click the link once

Home

Clicking this link will take you back to the front page of 3d Investment Regulation

About us

Provides more detail about 3d and the contents of our single website solution

Contact us

Shows how to get in touch with 3d Investments Limited

FAQs

In this area we give you answers to some Frequently Asked Questions

Latest additions

Shows the latest significant additions to 3d Investment Regulation
(the service is constantly being updated 'behind the scenes')
If you find something is incorrect or out of date, please advise us immediately so we can correct the item

Events

Lists relevant events - please advise 3d should you wish to see particular items listed here


Deadlines

Displays important dates coming up in the future

Forum

A forum where you can exchange information with other 3d users

Full contents

www.ukregulation.co.uk/contents/ displays the contents page of 3d Investment Regulation
Select the area of interest by 'drilling down', ie following the menu 'drop-down' items
Menu titles with blue arrows  indicate subsections are available
Menu titles without blue arrows are direct links to relevant pages
You may be able to use a **right click** on your mouse to open items in a **new window**



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Searching

The best way to find something in particular? Try one of **four routes**:

Index Index

Perhaps the first place to visit as this is where 3d have linked key words and key phrases to specific items
Type the first few letters of the key word or key phrase you are looking for
Select and display the item you want by clicking on View topics
Then click on one of the bulleted items displayed under the heading **Index**
Please let us know if you would like to see any particular key words or key phrases added to our list

Search Search

If the Index doesn't get you to what you need, please use the search function at the top right of the screen
Enter the word or phrase that you wish to find (lowercase or UPPERCASE makes no difference)
To look for a particular rule, eg: COLL 3.2.6, just enter 3.2.6 and click GO
Clicking GO searches all pages on our site, looking for an exact match with the phrase/word entered
A maximum of 50 results per page are returned immediately
- you can increase the number of results shown to 100, 200, 400 or 600 per page
The results are sorted alphabetically initially and there is an option to sort by date, based on what we call the 'reference date' of an item
Clicking on a result will take you straight to the found item, highlighted in yellow
When you click the mouse on a link the item will open in a new browser window' -
this avoids having to redo the search each time you navigate away from the results page

Advanced Search

The Advanced Search facility enables you to narrow your search to one section and by date
For example, you can look for MiFID within Europe. within European Directives, by entering the following:

Search for

Match type

Categories

After

Before

Show ALL Include ALL (eg Original Text) pages

Please do not hesitate to contact us should you have any difficulty getting to the right place

Google Search

On enter site:ukregulation.co.uk followed by the search term you are looking for.
For example: site:ukregulation.co.uk 3d

Watched Pages

Want to know when a particular page on 3d is updated?

To be notified by email of significant changes, please click on the **W** icon at the top right of the 3d screen (just below the Search area) or click the [Watch this page](#) link at the bottom of the relevant page. You can see a list of your watched pages at www.ukregulation.co.uk/contents/watchedtopics




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Printing

Several options are available:

To print an individual page

Click ; go to **File** and **Print** or press **Ctrl +P** and then press **Print**

To print selected text

Highlight the appropriate text

Click the **Printer** icon (or go to **File** and **Print**) (or press **Ctrl +P**), click on the **Selection** button and then press **Print**



These arrows allow you to move sequentially **backwards** and **forwards** through the pages of a document

Your History

By default, displays a list of pages you have viewed in the past 7 days;

the number of days' history you want to show can be changed to *Today, 30 days, 90 days, 365 days*

Bookmarks

all pages viewed may be added to your 'Favourites' at any time either by

clicking  or by going to Favourites and clicking on 'Add to Favourites'

Copy and Paste

Highlight text to be copied, **right-click mouse**, choose **Copy** and then **Paste** into your document.

Internet Addresses

Click on these (for example www.ukregulation.co.uk) and, provided you remain connected to the Internet, you will immediately be taken to the **relevant web page** in a new window.

E-mail Addresses

Click on these (for example 3d@ukregulation.co.uk) and a **new e-mail message** to the relevant recipient will be created for you to complete.

Error


We normally receive an error message if a broken or incorrect hyperlink has been clicked but, if you get an error message, please advise us immediately so that we can correct the error.

Offline version

3d Investment Regulation is intended to be utilised 'online' via an internet connection, but we appreciate that some users will want to use the system when an internet connection is not available. 3d can therefore make available an 'offline' version of the website. Please contact us for further details.

USEFUL BROWSER TOOLS

Back

To return to the last page viewed in your browser, click the **Back**  button

It will take you back sequentially through the screens you have just viewed, one screen at a time

Recent pages

To view one of the pages you have visited in this session, click the arrow next to the **Forward** button and then select the page you want from the list

Forward

To return to the page you were on before you clicked the **Back** button, click the **Forward**  button



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Abbreviations used throughout 3d

ABI	Association of British Insurers
ACCA	Association of Chartered Certified Accountants
AIMA	Alternative Investment Management Association
AITC	Association of Investment Trust Companies
APB	Audit Practices Board
ASB	Accounting Standards Board
AUTIF	Association of Unit Trusts and Investment Funds (now IMA)
BBA	British Bankers' Association
BBH	Brown Brothers Harriman
BIS	Bank for International Settlements
BoE	Bank of England
BoNY	Bank of New York
CC	Charity Commissioners
CD	Consultation Paper
CEBS	Committee of European Banking Supervisors
CEIOPS	Committee of European Insurance and Occupational Pensions Supervisors
CESR	Committee of European Securities Regulators
CTCL	Citicorp Trustee Company Limited
CTF	Child Trust Funds
EFAMA	European Funds and Asset Management Association
FATF	Financial Action Task Force
FEFSI	European Federation of Investment Funds and Companies
FIMBRA	Financial Intermediaries, Managers and Brokers Regulatory Association
FiSMA	Financial Services and Markets Act 2000
FOS	Financial Ombudsman Service Limited
FRC	Financial Reporting Council
FSA	Financial Services Authority
FSAH	FSA Handbook of Rules and Guidance
FSCP	Financial Services Consumer Panel
FSCS	Financial Services Compensation Scheme
FSMA	Financial Services and Markets Act 2000
FSPF	Financial Services Practitioner Forum
FSPP	Financial Services Practitioner Panel
GN	Guidance Note
HMRC	HM Revenue and Customs
HMT	HM Treasury
IAIS	International Association of Insurance Supervisors
IASB	International Accounting Standards Board
IMA	Investment Management Association
IMRO	Investment Management Regulatory Organisation
IOSCO	International Organisation of Securities Commissions
IR	Inland Revenue (now HMRC)
JMLSG	Joint Money Laundering Steering Group
LAUTRO	Life Assurance and Unit Trust Regulatory Organisation
LSE	London Stock Exchange
ML	Money Laundering
MLGN	Money Laundering Guidance Notes
OECD	Organisation for Economic Co-operation and Development
PEPMA	PEP Managers' Association (now TISA)
PPFV	Pension Fund Pooling Vehicles
PIA	Personal Investment Authority
PII	Professional Indemnity Insurance
PIMA	PEP and ISA Managers' Association (now TISA)
PR	Press Release
PS	Policy Statement
PTM	Panel on Takeovers and Mergers
Regs	Regulations
RIA	Regulatory Impact Assessment
RPI	Retail Prices Index
SDRT	Stamp Duty Reserve Tax
SFA	Securities and Futures Authority
SIB	Securities and Investments Board
SOCA	The Serious Organised Crime Agency
SORP	Statements of Recommended Practice
SP	Statements of Practice
SRO	Self-Regulating Organisation
SSAP	Statement of Standard Accounting Practice
TISA	Tax Incentivised Savings Association
UKLA	UK Listing Authority
UT	Unit Trust
VAT	Value Added Tax