



## ABI Investment Classification Panel

### Funds Moving Sector or Merging - Information Request Form

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#### Procedure and Guidelines for Funds Moving Sector or Merging

This document is designed to describe the process and information requirement for fund providers and fund managers, either moving funds across sectors or merging funds.

Based on the information supplied by the Provider (using the specified form), the Investment Classification Panel (ICP), will evaluate requests from providers to alter the classification status of a fund and determine what happens to the performance history of the fund.

#### Procedure

1. Complete the attached form and send it to Jake Moeller at Lipper: [jake.moeller@thomsonreuters.com](mailto:jake.moeller@thomsonreuters.com) cc. Lucy Ashton at ABI: [lucy.ashton@abi.org.uk](mailto:lucy.ashton@abi.org.uk).
2. Your request will be tabled by the ABI's Investment Classification Panel (ICP) at the meeting following receipt of your completed form.
3. Meetings are currently bimonthly.
4. The ICP will assess your request. If there are any contentious issues, these will be discussed and evaluated.
5. Depending on the individual merits of the case, it may be that we need further information, in which case we will notify you.
6. Otherwise, the data vendors will be asked to move the fund to the requested sector.
7. In the event of a provider disagreeing with the decision of the ICP, an appeals procedure is adopted. This is dealt with by the ICP.

#### Appeals Procedure

A representative from the provider will be asked to appear and put their case to the ICP in person. The ICP's position will be clearly explained to the provider and a final decision taken by majority vote.

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#### Contacts:

Please contact the following people for Funds Moving Sector Form or related information.

#### ABI

Lucy Ashton Tel: 020 7216 7421

#### Lipper

Jake Moeller Tel: 020 7542 3218



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1. Please answer the questions provided. In completing the form, it will be helpful if particular attention and consideration could be paid to:
  - In the event of a fund merger, the size of the funds and the rationale and objective for merging.
  - If moving a fund between sectors, how similar the sectors are and how closely the fund has mirrored the funds in the sector it is moving into.

<p><b>Contact Name:</b></p> <p><b>Company Name:</b></p> <p><b>Address Details:</b></p>    <p><b>Tel:</b></p> <p><b>Fax:</b></p> <p><b>Email:</b></p>	<p><b>Fund Name(s):</b></p>          <p><b>Date of Application:</b></p>
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#### Information

**1. Rationale for proposed Move or Merger**

Please provide a paragraph on the reasons behind the proposed move.

**2. Sector**

Please state the fund(s) current sector(s) and the sector you are applying to move the fund(s) into.

**3. Fund Objective**

Please describe the objective of the fund, to include any changes over the last 5 years.

**4. Fund Size**

Please provide the current fund(s) size, the proposed fund(s) size if different and the annual history of the fund size over the last 5 years.

**5. Other funds**

Please provide details of other funds in the same sector (current or proposed) offered by your organisation.

**6. Marketing**

Please state marketing status of the fund, together with any *relevant* history, e.g. open or closed, open to new business only.

**7. Policyholders**

Is it anticipated that there will be proposed action in respect of policyholders?

**8. Other Information**

Please provide any other relevant material facts that in your opinion affect the presentation of your case.

#### ABI Sectors Criteria

Details of the current ABI sectors criteria can found on the [following link](#)

If you have any questions about the sectors criteria, please contact Lucy Ashton on: [lucy.ashton@abi.org.uk](mailto:lucy.ashton@abi.org.uk) or 0207 216 7421