

---

## STATUTORY INSTRUMENTS

---

# 2001 No. 1228

## The Open-Ended Investment Companies Regulations 2001

### PART II

#### FORMATION, SUPERVISION AND CONTROL

##### *Authorisation*

##### **Particulars of directors**

**13.**—(1) Subject to paragraph (2), an application for an authorisation order must contain the following particulars with respect to each person proposed as a director of the company—

- (a) in the case of an individual, his present name, any former name, his usual residential address, his nationality, his business occupation (if any), particulars of any other directorships held by him or which have been held by him and his date of birth;
- (b) in the case of a body corporate [<sup>F1</sup>or firm that is a legal person under the law by which it is governed], its corporate or firm name and the address of its registered or principal office.

(2) The application need not contain particulars of a directorship—

- (a) which has not been held by a director at any time during the 5 years preceding the date on which the application is delivered to the Authority;
- (b) which is held by a director in a body corporate which is dormant and, if he also held that directorship for any period during those 5 years, which was dormant for the whole of that period; or
- (c) which was held by a director for any period during those 5 years in a body corporate which was dormant for the whole of that period.

(3) For the purposes of paragraph (2), a body corporate is dormant during a period in which no significant transaction occurs; and it ceases to be dormant on the occurrence of such a transaction.

(4) In paragraph (1)(a)—

- (a) name means a person's Christian name (or other forename) and surname, except that in the case of a peer, or an individual usually known by a title, the title may be stated instead of his Christian name (or other forename) and surname or in addition to either or both of them;
- (b) the reference to a former name does not include—
  - (i) in the case of a peer, or an individual normally known by a British title, the name by which he was known previous to the adoption of or succession to the title;
  - (ii) in the case of any person, a former name which was changed or disused before he attained the age of 18 years or which has been changed or disused for 20 years or more; or
  - (iii) in the case of a married woman, the name by which she was known previous to the marriage; and

---

*Status: Point in time view as at 12/05/2011. This version of this provision has been superseded.*

*Changes to legislation: There are currently no known outstanding effects for the The Open-Ended Investment Companies Regulations 2001, Section 13. (See end of Document for details)*

---

(c) the reference to directorships is a reference to directorships in any body corporate whether or not incorporated in [<sup>F2</sup>the United Kingdom].

(5) In paragraph (3) the reference to a significant transaction is, in relation to a company within the meaning of [<sup>F3</sup>section 1 of the 2006 Act], a reference to a significant accounting transaction within the meaning of [<sup>F4</sup>section 1169(2) [<sup>F3</sup>of that Act], other than a transaction to which subsection (3) of that section applies].

#### **Textual Amendments**

- F1** Words in reg. 13(1)(b) substituted (12.5.2011) by The Companies Act 2006 (Consequential Amendments and Transitional Provisions) Order 2011 (S.I. 2011/1265), art. 1(2), **Sch. 2 para. 4(a)** (with Sch. 3)
- F2** Words in reg. 13(4)(c) substituted (12.5.2011) by The Companies Act 2006 (Consequential Amendments and Transitional Provisions) Order 2011 (S.I. 2011/1265), art. 1(2), **Sch. 2 para. 4(b)** (with Sch. 3)
- F3** Words in reg. 13(5) substituted (12.5.2011) by The Companies Act 2006 (Consequential Amendments and Transitional Provisions) Order 2011 (S.I. 2011/1265), art. 1(2), **Sch. 2 para. 4(c)** (with Sch. 3)
- F4** Words in reg. 13(5) substituted (6.4.2008) by The Companies Act 2006 (Consequential Amendments etc) Order 2008 (S.I. 2008/948), art. 2(2), **Sch. 1 para. 221** (with arts. 6, 11, 12)

**Status:**

Point in time view as at 12/05/2011. This version of this provision has been superseded.

**Changes to legislation:**

There are currently no known outstanding effects for the The Open-Ended Investment Companies Regulations 2001, Section 13.