Notification letter

Notification of the intention of an AIFM to manage AIFs established in a member state other than its home member state in accordance with article 33(2) of directive 2011/61/EU (AIFMD) or to establish a branch in with article 33(3) of directive 2011/61/EU (AIFMD).

in Click or tap here to enter text.

(the host Member State(s))

Are you notifying amendments to information already provided in an initial notification?

Yes  No

*If the answer to this question is ‘Yes’, please fill-in only the updated information compared to the previous notification and indicate the date of the previous notification:* Click or tap here to enter text.

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**PART I**

**Information on the AIFM**

|  |  |
| --- | --- |
| Information on the AIFM or internally managed AIF | |
| AIFM (\* | Click or tap here to enter text. |
| AIFM LEI (\* | Click or tap here to enter text. |
| National identification code of the AIFM (where available) (\* | Click or tap here to enter text. |
| AIFM’s home Member State (\* | Click or tap here to enter text. |
| Address and, where different from address, registered office/domicile | Click or tap here to enter text. |
| Duration of the AIFM, where applicable | Click or tap here to enter text. |
| Details of AIFM’s website | Click or tap here to enter text. |
| (\* This field should always be filled-in, also in the case of updates. | |
|  | |
| **Contact details of the department (or contact point) responsible for the notification letter within the AIFM** | |
| Department (or contact point) | Click or tap here to enter text. |
| Telephone number | Click or tap here to enter text. |
| Email address | Click or tap here to enter text. |
|  | |
| **Details of the third party (where the AIFM or internally managed AIF designates a third party to make the notification)** | |
| Third party | Click or tap here to enter text. |
| Address and, where different from address, registered office/domicile | Click or tap here to enter text. |
| Department (or contact point) | Click or tap here to enter text. |
| Telephone number | Click or tap here to enter text. |
| Email address | Click or tap here to enter text. |
|  | |
| **Contact point for the transmission of the invoice or for the communication of any applicable regulatory fee or charges (if applicable) (\*** | |
| Name of the entity | Click or tap here to enter text. |
| Address and, where different from address, registered office/domicile | Click or tap here to enter text. |
| Department (or contact point) | Click or tap here to enter text. |
| Telephone number | Click or tap here to enter text. |
| Email address | Click or tap here to enter text. |
| (\*Please indicate a single contact point for the transmission of the invoice or for the communication of any applicable regulatory fee or charge referred to in Article 9 of Regulation (EU) 2019/1156 and in Article 2 of Implementing Regulation (EU) 2021/955. That contact point may be the same as the contact point designated within the AIFM, or a contact point within an appointed third party. | |
|  | |
| Please specify which email address among that specified in this section (contact point at the AIFM, contact point within the appointed third party or contact point for the transmission of the invoice) is the preferred address to which the host NCA can transmit the confidential information (inter alia, login and password to access the national systems for reporting) | Click or tap here to enter text. |

**PART 2**

**Information to be notified pursuant to Article 33(2) of Directive 2011/61/EU**

*This Part must be filled only where the AIFM intends to conduct its activities in the host Member State under the freedom to provide services. Where the AIFM intends to conduct its activities in the host Member State exclusively through a branch, this Part shall be left blank, and Part 3 shall be filled in*

*The information on facilities to retail investors must be filled in case marketing of the AIFs targets retail investors.*

**Section 1. Programme of operations**

Please indicate the scope of activities of the AIFM in the host Member State

**Investment management**

Portfolio management

Risk management

**Administration**

Legal and fund management accounting services

Customer inquiries

Valuation and pricing, including tax returns

Regulatory compliance monitoring

Maintenance of unit-/shareholder register

Distribution of income

Unit/shares issues and redemptions

Contract settlements, including certificate dispatch

Record keeping

Marketing

Activities related to assets of the AIF

**Investment and non-core services**

Management of portfolios of investments, including those owned by pension funds and institutions for occupational retirement provision in accordance with Article 32 of Directive (EU) 2016/2341 of the European Parliament and of the Council of 14 December 2016 on the activities and supervision of institutions for occupational retirement provision (IORPs) (OJ L 354, 23.12.2016, p. 37), in accordance with mandates given by investors on a discretionary, client-by-client basis.

Investment advice

Safe-keeping and administration in relation to shares or units of collective investment undertakings

Reception and transmission of orders in relation to financial instruments

|  |  |
| --- | --- |
| Description of the strategy of the AIFM in the host Member State (e.g., indication of the volume of business envisaged, types of investors with which the AIFM will be dealing and how the AIFM will obtain and deal with those investors) | Click or tap here to enter text. |
|  | |
| Summary details of controls over delegation arrangements with third parties in connection with the activities carried out in the host Member State | Click or tap here to enter text. |

**Section 2.  Information on the AIFs to be managed in the host Member State**

*Please fill the table below with any information available on existing AIFs that the AIFM intends to manage in the host Member State. Where an AIF takes the form of an umbrella AIF with several compartments or sub-funds, references to the AIF in the table below shall be understood as referring to the compartment or sub-fund to be managed in the host Member State and not to the umbrella AIF, which shall be identified separately in the corresponding column.*

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name of the AIF to be managed in the host Member State | Date of incorporation or constitution (where applicable) | Legal form of the AIF [[1]](#footnote-1) | LEI of the AIF  (where available) | Name of the depositary of the AIF | Duration of the AIF  (where applicable) | AIF national identifi-cation code  (where available) | Name of the umbrella AIF (where applicable) | AIF’s investment strategy [[2]](#footnote-2) |
| Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
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Master-feeder structures (if applicable):

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Name of the master AIF or compartment(s) | LEI of master AIF or compartment(s) (where available) | AIFM of the master AIF/compartment (where different from the AIF’s AIFM) | LEI of the AIFM of the master AIF/compartment (where different from the AIF’s AIFM and where available) | Home Member State of the master AIF (where different from the AIF’s home Member State) | Home Member State of the AIFM (where different from the master AIF’s home Member State) |
| Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
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**PART 3**

*Information to be provided by the AIFM pursuant to Article 33(3) of Directive 2011/61/EU to carry out its activities in the host Member State(s) through a branch*

**Section 1. Information on the branch**

|  |  |
| --- | --- |
| Identification of the branch | |
| Name of the branch (\* | Click or tap here to enter text. |
| National identification code of the branch in AIFM Home State (where available) (\* | Click or tap here to enter text. |
| National identification code of the branch in the Member State where the branch is established (where available) (\* | Click or tap here to enter text. |
| Address and, where different from address, registered office/domicile (\* | Click or tap here to enter text. |
| Details of the branch’s website (where different from the AIFM’s website) | Click or tap here to enter text. |
| \*) This field should always be filled-in, also in the case of updates, where information concerning the branch is provided | |

|  |  |
| --- | --- |
| Department (or contact point) from which documents may be obtained in the Member State where the branch is established | |
| Department (or contact point) | Click or tap here to enter text. |
| Address and, where different from address, registered office/domicile | Click or tap here to enter text. |
| Telephone number | Click or tap here to enter text. |
| Email address | Click or tap here to enter text. |

**Section 2. Programme of operations of the branch**

The branch will carry out the following activities and provide the following services in the host Member State(s):

**Investment management**

Portfolio management

Risk management

**Administration**

Legal and fund management accounting services

Customer inquiries

Valuation and pricing, including tax returns

Regulatory compliance monitoring

Maintenance of unit-/shareholder register

Distribution of income

Unit/shares issues and redemptions

Contract settlements, including certificate dispatch

Record keeping

Marketing

Activities related to assets of the AIF

**Investment and non-core services**

Management of portfolios of investments, including those owned by pension funds and institutions for occupational retirement provision in accordance with Article 32 of Directive (EU) 2016/2341 of the European Parliament and of the Council of 14 December 2016 on the activities and supervision of institutions for occupational retirement provision (IORPs) (OJ L 354, 23.12.2016, p. 37), in accordance with mandates given by investors on a discretionary, client-by-client basis.

Investment advice

Safe-keeping and administration in relation to shares or units of collective investment undertakings

Reception and transmission of orders in relation to financial instruments

**Section 3. Operational structure of the branch**

|  |  |
| --- | --- |
| Description of the risk management process put in place by the AIFM at the level of the branch based on Article 45 of the Delegated Regulation (EU) No 231/2013 | Click or tap here to enter text. |
|  | |
| Description of the functional, geographical, and legal reporting | Click or tap here to enter text. |
|  | |
| Description of the place of the branch into the corporate structure of the AIFM, or of the group where the AIFM is a member of a group | Click or tap here to enter text. |
|  | |
| Description of the rules in place for reporting by the branch to the head office of the AIFM | Click or tap here to enter text. |
|  | |
| Summary of the systems and controls in place at the level of the branch as set out in Article 2(3)(d) of Commission Delegated Regulation (EU) 2024/912 ( 1 ) (\* | Click or tap here to enter text. |
| \*) Commission Delegated Regulation (EU) 2024/912 of 15 December 2023 supplementing Directive 2011/61/EU of the European Parliament and of the Council with regard to regulatory technical standards specifying the information to be notified in relation to the cross-border activities of managers of alternative investment funds (AIFMs) (OJ L, 2024/912, 25.3.2024, ELI: http://data.europa.eu/eli/ reg\_del/2024/912/oj). | |
|  | |
| Description of the controls over delegation arrangements with respect to activities carried out in the host Member State | Click or tap here to enter text. |
|  | |
| Description of the arrangements for the compliance with the obligations that fall under the responsibility of the competent authority of the host Member State in which the branch is established according to Article 45(2) of Directive 2011/61/EU | Click or tap here to enter text. |
|  | |
| Description of the procedures put in place, and the human and material resources allocated, to comply with anti-money laundering and counter financing of terrorism obligations | Click or tap here to enter text. |
|  | |
| Please provide forecast statements for both, profit/loss and cash flow, over an initial 36-month period | Click or tap here to enter text. |

**Section 4. Termination of the branch**

*This section should not be filled in an initial notification. It should be filled only in the event of an update, where the termination of the branch is envisaged.*

|  |  |
| --- | --- |
| Details and processes for winding down the business operations, including details of the measures to protect the interests of investors in the host Member State, how complaints are resolved and the discharge of any outstanding liabilities | Click or tap here to enter text. |
|  | |
| Schedule of the planned termination | Click or tap here to enter text. |

|  |  |
| --- | --- |
| Date | Click or tap here to enter text. |
| Name and capacity of the signatory | Click or tap here to enter text. |
| Signature |  |

1. The legal form is one of the following: common fund, unit trust, investment company, or any other legal form available under the national legislation of the AIF home Member State. [↑](#footnote-ref-1)
2. Please specify the predominant AIF type and the breakdown by investment strategies as set out in the reporting template included in Annex IV of Commission Delegated Regulation (EU) No 231/2013. [↑](#footnote-ref-2)