# Annex I – Notification letter for the marketing of units or shares of EU AIFs in Member States other than the home Member State of the AIFM (Article 32 of the AIFMD)

NOTIFICATION OF INTENTION TO MARKET UNITS OR SHARES OF AN AIF or AIFs OF THE SAME AIFM IN A MEMBER STATE OTHER THAN THE HOME MEMBER STATE OF THE AIFM

The information provided in this notification letter should not be ambiguous

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

Yes [ ]  No [ ]

AIFM name:

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Contact details at the AIFM (registered address of the AIFM):

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|       |

Contact point for the invoicing or for the communication of any applicable regulatory fee or charges (name/position, address for correspondence, telephone number, email address)[[1]](#footnote-2):

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|       |

Member State in which the AIFM intends to market the units or shares of the AIF to professional investors:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Austria | [ ]  |  | Italy | [ ]  |
| Belgium  | [ ]  |  | Latvia | [ ]  |
| Bulgaria | [ ]  |  | Lichtenstein | [ ]  |
| Croatia | [ ]  |  | Lithuania | [ ]  |
| Cyprus | [ ]  |  | Luxembourg | [ ]  |
| Czech Republic | [ ]  |  | Malta | [ ]  |
| Denmark | [ ]  |  | Netherlands | [ ]  |
| Estonia | [ ]  |  | Norway | [ ]  |
| Finland | [ ]  |  | Poland | [ ]  |
| France | [ ]  |  | Portugal | [ ]  |
| Germany | [ ]  |  | Romania | [ ]  |
| Greece | [ ]  |  | Slovakia | [ ]  |
| Hungary | [ ]  |  | Slovenia | [ ]  |
| Iceland | [ ]  |  | Spain | [ ]  |
| Ireland | [ ]  |  |  |  |

**Facilities to retail investors (if relevant)**

In accordance with point (j) of Annex IV to Directive 2011/61/EU, please fill-in the following table to provide information on the facilities to perform the tasks referred to in Article 43a of this Directive:

|  |  |  |
| --- | --- | --- |
| **Task of facility**  | **Information on the facilities performing the tasks** | **Name/legal form/registered office/ address, e-mail and telephone number for correspondence of the person responsible to provide the facilities** |
| Process investors’ subscription, payment and redemption orders relating to the unites or shares of the AIF |       |       |
| Provide investors on how orders referred to above can be made and how repurchase and redemption proceeds are paid |       |       |
| Facilitate the handling of information relating to the exercise of investors’ rights arising from their investment in the AIF |       |       |
| Make the information and documents required pursuant to Articles 22 and 23 of Directive 2011/61/EU available to investors for the purposes of inspection and obtaining copies thereof |       |       |
| Provide investors with information relevant to the tasks that the facilities perform in a durable medium as defined in point (m) of Article 2(1) of Directive 2009/65/EC |       |       |

Does the AIF(s) have compartments?

Yes [ ]  No [ ]

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Name of the AIF or AIFs/or compart-ment(s) to be marketed in the host Member State[[2]](#footnote-3) | AIF home Mem-ber State | Legal form (common fund, unit trust, in-vestment company, partner-ship, other (please specify)) | Name and address of the de-positary of the AIF | Name of the master AIF/or compart-ment(s) (if ap-plicable) | Home Member State of the master AIF (if ap-plicable) | AIF’s investment strategy (please specify the predominant AIF and the breakdown by investment strategies as set out in the reporting template included in Regulation 231/2013) |
|       |       |       |       |       |       |       |

Information on the arrangements established to prevent units or shares of the AIF from being marketed to retail investors, including in the case where the AIFM relies on activities of independent entities to provide investment services in respect of the AIF:

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|       |

1. 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 the Commission Implementing Regulation (EU) 2021/955. [↑](#footnote-ref-2)
2. If the AIF takes the form of an umbrella AIF with multiple compartments, AIFMs should only indicate the name of the compartments of the umbrella AIF notified for marketing. AIFMs should not indicate the name of the umbrella AIF. [↑](#footnote-ref-3)