



2024/913

25.3.2024

**COMMISSION IMPLEMENTING REGULATION (EU) 2024/913  
of 15 December 2023**

**laying down implementing technical standards for the application of Directive 2011/61/EU of the European Parliament and of the Council with regard to the form and content of the information to be notified in respect of the cross-border activities of alternative investment fund managers and the exchange of information between competent authorities on cross-border notification letters**

(Text with EEA relevance)

THE EUROPEAN COMMISSION,

Having regard to the Treaty on the Functioning of the European Union,

Having regard to Directive 2011/61/EU of the European Parliament and of the Council of 8 June 2011 on Alternative Investment Funds Managers and amending Directives 2003/41/EC and 2009/65/EC and Regulations (EC) No 1060/2009 and (EU) No 1095/2010 <sup>(1)</sup>, and in particular Article 31(5), second subparagraph, Article 32(8), second subparagraph, and Article 33(8), second subparagraph thereof,

Whereas:

- (1) The exchange of information between competent authorities is part of the administrative procedures in relation to the notifications of alternative investment funds managers (AIFMs) wishing to carry out marketing or management activities, to provide services or to establish a branch in host Member States. To close those administrative procedures in a smooth, fast, unbureaucratic, and reliable way, it is necessary to specify and harmonise the exchange of information between competent authorities by the development of harmonised forms, templates, cooperation procedures and the implementation of communication by electronic means.
- (2) To transmit the huge amount of information, sent and received in regard of the notifications between the Member States, without loss of time and in a reliable, cost-efficient and unbureaucratic manner, it is essential that the information concerned is provided by electronic means. While such information might be provided by email, it should be possible to provide that information also by other, potentially more advanced electronic technology. It is therefore necessary to set out a detailed procedure for those electronic transmissions and for dealing with technical problems that might occur in the process of the transmission of the information between the competent authorities.
- (3) The provisions in this Regulation are closely linked since they deal with the form and content of the information to be exchanged between AIFMs and the national competent authorities of home and host Member States where the AIFM intends to provide cross-border services. To ensure coherence between those provisions, which should enter into force at the same time, and to facilitate a comprehensive view and efficient access for AIFMs and national competent authorities, it is appropriate to include them in a single regulation.
- (4) This Regulation is based on the draft implementing technical standards submitted to the Commission by the European Securities and Markets Authority (ESMA).
- (5) ESMA has conducted open public consultations on the provisions of the draft implementing technical standards on which this Regulation is based relating to the template notification letters for the marketing and the management of alternative investment funds (AIFs) in host Member States, analysed the potential related costs and benefits and requested the advice of the Securities and Markets Stakeholder Group established in accordance with Article 37 of Regulation (EU) No 1095/2010 of the European Parliament and of the Council <sup>(2)</sup>.

<sup>(1)</sup> OJ L 174, 1.7.2011, p. 1.

<sup>(2)</sup> Regulation (EU) No 1095/2010 of the European Parliament and of the Council of 24 November 2010 establishing a European Supervisory Authority (European Securities and Markets Authority), amending Decision No 716/2009/EC and repealing Commission Decision 2009/77/EC (OJ L 331, 15.12.2010, p. 84).

- (6) To enable AIFMs and competent authorities to adapt to the new requirements laid down in this Regulation, it is appropriate to defer its application,

HAS ADOPTED THIS REGULATION:

*Article 1*

**Form and content of standard model notification letters**

1. When notifying the competent authorities of its home Member State of each EU AIF that the EU AIFM intends to market in the home Member State in accordance with Article 31(2) of Directive 2011/61/EU, an EU AIFM shall use the model set out in Annex I to this Regulation.
2. When notifying the competent authorities of its home Member State of each EU AIF that the EU AIFM intends to market in Member States other than its home Member State in accordance with Article 32(2) of Directive 2011/61/EU, an EU AIFM shall use the model set out in Annex II to this Regulation.
3. When communicating the information referred to in Article 33(2) of Directive 2011/61/EU AIFMs shall use the model set out in Annex III and, where the AIFM intends to establish a branch as referred to in Article 33(3) of Directive 2011/61/EU, in addition use the model set out in Annex V to this Regulation.

*Article 2*

**Transmission of the notifications made in accordance with Article 33(2) of Directive 2011/61/EU**

1. Competent authorities shall publish on their websites the email address or other communication channel that is to be used to send the notifications made by AIFMs in accordance with Article 33(2) of Directive 2011/61/EU.
2. AIFMs shall send the notifications referred to in paragraph 1 either in a machine-readable format to the email address published in accordance with paragraph 1 or by any other communication channels put in place by competent authorities.

*Article 3*

**Templates to be used for the exchange of information between competent authorities**

The competent authorities of an AIFM's home Member State shall use the template set out in Annex IV to this Regulation for the statement referred to in Article 32(3), second subparagraph of Directive 2011/61/EU.

*Article 4*

**Transmission of notifications between competent authorities**

1. Competent authorities shall designate a single contact point for the communication and transmission of the information and documents referred to in Article 3. Competent authorities shall notify the details of that contact point, and any modification of that contact point, to every other competent authority.
2. Competent authorities shall ensure that their designated email address, or other communication channel, for receiving notifications is monitored each working day.

3. Competent authorities shall send the information and documents referred to in Article 3 by email or, if other communication channels are chosen, in a machine-readable format, to the contact point referred to in paragraph 1.

*Article 5*

**Entry into force and application**

This Regulation shall enter into force on the twentieth day following that of its publication in the *Official Journal of the European Union*.

This Regulation shall apply from 14 April 2024 .

This Regulation shall be binding in its entirety and directly applicable in all Member States.

Done at Brussels, 15 December 2023.

*For the Commission*  
*The President*  
Ursula VON DER LEYEN

ANNEX I

**Model notification letter for the marketing of EU AIFs under Article 31(2) of Directive 2011/61/EU**

NOTIFICATION LETTER

NOTIFICATION OF THE INTENTION TO MARKET UNITS OR SHARES OF AN AIF OR AIFs MANAGED BY THE SAME AIFM IN THE HOME MEMBER STATE OF THE AIFM IN ACCORDANCE WITH ARTICLE 31(2) OF DIRECTIVE 2011/61/EU (AIFMD) <sup>(1)</sup>.

IN \_\_\_\_\_ (the home Member State of the AIFM)

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: \_\_\_\_\_

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- PART 1 – Information on the AIFM or internally managed AIF
- PART 2 – Information on the AIFs to be marketed in the home Member State of the AIFM
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  - Section 3. Attachments

PART 1

**Information on the AIFM or internally managed AIF**

Information on the AIFM or internally managed AIF	
AIFM or internally managed AIF <sup>(1)</sup>	
AIFM or internally managed AIF LEI <sup>(1)</sup>	
National identification code of the AIFM or internally managed AIF (where available) <sup>(1)</sup>	
AIFM's or internally managed AIF's home Member State <sup>(1)</sup>	
Address and, where different from address, registered office/domicile	
Duration of the AIFM or internally managed AIF, where applicable	
Details of AIFM's or internally managed AIF's website	

<sup>(1)</sup> 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 or internally managed AIF

Department (or contact point)	
Telephone number	
Email address	

<sup>(1)</sup> This notification letter should also be used for AIF that also qualify as European Long Term Investment Fund and are marketed under Article 31 of Regulation (EU) 2015/760 of the European Parliament and of the Council of 29 April 2015 on European long-term investment funds (OJ L 123, 19.5.2015, p. 98) in conjunction with Article 31(2) of Directive 2011/61/EU.

Details of the third party (where the AIFM or internally managed AIF designates a third party to make the notification)	
Third party	
Address and, where different from address, registered office/domicile	
Department (or contact point)	
Telephone number	
Email address	

Department (or contact point) for the transmission of the invoice or for the communication of any applicable regulatory fee or charges (if applicable) <sup>(1)</sup>	
Name of the entity	
Address and, where different from address, registered office/domicile	
Department (or contact point)	
Telephone number	
Email address	

<sup>(1)</sup> Please indicate a single contact 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 of the European Parliament and of the Council of 20 June 2019 on facilitating cross-border distribution of collective investment undertakings and amending Regulations (EU) No 345/2013, (EU) No 346/2013 and (EU) No 1286/2014 (OJ L 188, 12.7.2019, p. 55) and in Article 2 of Commission Implementing Regulation (EU) 2021/955 of 27 May 2021 laying down implementing technical standards for the application of Regulation (EU) 2019/1156 of the European Parliament and of the Council with regard to the forms, templates, procedures and technical arrangements for the publications and notifications of marketing rules, fees and charges, and specifying the information to be communicated for the creation and maintenance of the central database on cross-border marketing of AIFs and UCITS, as well as the forms, templates and procedures for the communication of such information (OJ L 211, 15.6.2021, p. 30). This contact point may be the same as the contact point designated within the AIFM, or the contact point within an appointed third party.

### Information on the AIFs to be marketed in the home Member State of the AIFM

#### Section 1. Identification of the AIFs

Please fill the table below with information for each AIF you intend to market, creating a new table for each AIF and by indicating only one share class (name and ISIN) on each line. 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 marketed in the home Member State of the AIFM and not to the umbrella AIF, which shall be identified separately in the corresponding column.

Name of the AIF to be marketed	Date of incorporation or constitution of the AIF	AIF's home Member State	Legal form of the AIF <sup>(1)</sup>	LEI of the AIF (where available)	Marketing to retail investors <sup>(2)</sup>	Name of each share class of the AIF	ISIN of the AIF/of each share class of the AIF (where available)	Name of the depository of the AIF	Duration of the AIF (where applicable)	AIF national identification code (where available)	Name of the umbrella AIF (where applicable)	AIF's investment strategy <sup>(3)</sup>

<sup>(1)</sup> 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.

<sup>(2)</sup> Where allowed in the home Member State of the AIFM: 'Yes'/'No'. Where legislation of the home Member State of the AIFM does not allow marketing to retail investors, please indicate 'N/A'.

<sup>(3)</sup> 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 of 19 December 2012 supplementing Directive 2011/61/EU of the European Parliament and of the Council with regard to exemptions, general operating conditions, depositaries, leverage, transparency and supervision (OJ L 83, 22.3.2013, p. 1).

Master-feeder structures (where applicable):

Name of the master AIF or compartment(s)	LEI of the 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 of the master AIF (where different from master AIF's home Member State)

## Section 2. Arrangements made to prevent marketing to retail investors

Please provide 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 AIF3 <sup>(1)</sup>	
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(<sup>1</sup>) This information must be filled only in respect of the AIFs the marketing of which is envisaged to professional investors only. No arrangements need to be put in place in respect of AIFs that the AIFM/self-managed AIF intends to market to retail investors, where permitted by the national legislation of the home Member State of the AIFM in accordance with Article 43 of Directive 2011/61/EU. In case this notification letter refers to both AIFs targeting professional investors and AIFs targeting retail investors, please indicate information only in respect of AIFs targeting only professional investors.

## Section 3. Attachments

The latest version of the AIF rules or instruments of incorporation (*where available*).

The latest version of the offering document (e.g., prospectus) (*where available*).

The AIF's latest annual report (*where available*).

Any additional information referred to in Article 23(1) of Directive 2011/61/EU for each AIF to be marketed <sup>(2)</sup>.

Other (please specify).

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(*title of document or name of electronic file attachment*)

Date	
Name and capacity of the signatory	
Signature	

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<sup>(2)</sup> Paragraph (f) of Annex III of Directive 2011/61/EU.

ANNEX II

**Model notification letter for the cross-border marketing of EU AIFs under Article 32(2) of Directive 2011/61/EU**

NOTIFICATION LETTER

NOTIFICATION OF THE INTENTION TO MARKET UNITS OR SHARES OF AN AIF OR AIFs MANAGED BY THE SAME AIFM IN A MEMBER STATE OTHER THAN THE HOME MEMBER STATE OF THE AIFM IN ACCORDANCE WITH ARTICLE 32(2) OF DIRECTIVE 2011/61/EU (AIFMD) <sup>(1)</sup>.

IN \_\_\_\_\_ (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: \_\_\_\_\_

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PART 2 – Information on the AIFs to be marketed in the host Member State      PART 2 – Information on the AIFs to be marketed in the host Member State

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    Section 3. Attachments      Section 3. Attachments

PART 1

**Information on the AIFM or internally managed AIF**

**Section 1. Identification of the AIFM or internally managed AIF**

Information on the AIFM or internally managed AIF	
AIFM or internally managed AIF <sup>(1)</sup>	
AIFM or internally managed AIF LEI <sup>(1)</sup>	
National identification code of the AIFM or internally managed AIF (where available) <sup>(1)</sup>	
AIFM's or internally managed AIF's home Member State <sup>(1)</sup>	
Address and, where different from address, registered office/domicile	
Duration of the AIFM or internally managed AIF, where applicable	
Details of AIFM's or internally managed AIF's website	

<sup>(1)</sup> This field should always be filled-in, also in the case of updates.

<sup>(1)</sup> This notification letter should also be used for AIF that also qualify as European Long Term Investment Fund and are marketed under Article 31(2) of Regulation (EU) 2015/760 in conjunction with Article 32(2) of Directive 2011/61/EU.



Contact details of the department (or contact point) responsible for the establishment of the notification letter within the AIFM or internally managed AIF

Department (or contact point)	
Telephone number	
Email address	

Details of the third party (where the AIFM or internally managed AIF designates a third party to make the notification)

Third party	
Address and, where different from address, registered office/domicile	
Department (or contact point)	
Telephone number	
Email address	

Contact point for the transmission of the invoice or for the communication of any applicable regulatory fee or charges (if applicable) <sup>(1)</sup>

Name of the entity	
Address and, where different from address, registered office/domicile	
Department (or contact point)	
Telephone number	
Email address	

<sup>(1)</sup> 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 provided in this section (contact point at the AIFM or internally managed AIF, 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 any confidential information (inter alia, login and password to access the national systems for reporting)	
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## Section 2. Facilities to retail investors (where relevant)

Pursuant to Article 32(1) of Directive 2011/61/EU, EU AIFMs are authorised to market units or shares of EU AIFs they manage to professional investors in other Member States than their home Member State. However, Member States may allow AIFMs to market to retail investors in their territory units or shares of AIFs they manage in accordance with Article 43 of Directive 2011/61/EU.

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

In accordance with point (j) of Annex IV of 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(1) of this Directive:

Task of the facility	Information on the facilities performing the tasks	Name/legal form/registered office/address, email, and telephone number for correspondence of the entity responsible to provide the facilities
Process investor's subscription, payment, and redemption (or repurchase) orders relating to the units or shares of the AIF		
Provide investors with information on how orders referred to above can be made and how redemption (or repurchase) proceeds are paid		
Facilitate the handling of information relating to the exercise of investor's 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 Article 43a(1)(e) of Directive 2011/61/EU.		
Act as a contact point for communicating with the competent authorities		

**Information on the AIFs to be marketed in the host Member State**

**Section 1. Identification of the AIFs**

Please fill the table below with information for each AIF you intend to market in the host Member State, creating a new table for each AIF and by indicating only one share class (name and ISIN) on each line. 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 marketed 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 marketed in the host Member State	Date of incorporation or constitution of the AIF	AIF's home Member State	Legal form of the AIF <sup>(1)</sup>	LEI of the AIF (where available)	Marketing to retail investors <sup>(2)</sup>	Name of each share class of the AIF	ISIN of the AIF/of each share class of the AIF (where available)	Name of the depositary of the AIF	Duration of the AIF (where applicable)	AIF national identification code (where available)	Name of the umbrella AIF (where applicable)	AIF's investment strategy <sup>(3)</sup>

<sup>(1)</sup> 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.  
<sup>(2)</sup> Where allowed in the home Member State of the AIFM: 'Yes'/'No'. Where legislation of the home Member State of the AIFM does not allow marketing to retail investors, please indicate 'N/A'.  
<sup>(3)</sup> 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.

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)

**Section 2. Arrangements made for marketing of units or shares of AIFs**

Units or shares of the AIF/AIF compartments will be marketed by:

- the AIFM that manages the AIF or the internally managed AIF
- credit institutions
- authorised investment firms or advisers
- Other bodies, including bodies located in a third country. Please specify:

\_\_\_\_\_

Please provide 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 <sup>(1)</sup>

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<sup>(1)</sup> This information must be filled only in respect of the AIFs the marketing of which is envisaged to professional investors only. No arrangements need to be put in place in respect of AIFs that the AIFM/self-managed AIF intends to market to retail investors, where permitted by the national legislation of the home Member State of the AIFM in accordance with Article 43 of Directive 2011/61/EU. In case this notification letter refers to both AIFs targeting professional investors and AIFs targeting retail investors, please indicate information only in respect of AIFs targeting only professional investors.

**Section 3. Attachments**

The latest version of the AIF rules or instruments of incorporation.

The latest version of the offering document (e.g., prospectus).

The AIF's latest annual report (if available).

Any additional information referred to in Article 23(1) of Directive 2011/61/EU for each AIF to be marketed (Paragraph (f) of Annex IV).

Other (please specify).

\_\_\_\_\_

*(title of document or name of electronic file attachment)*

Date	
Name and capacity of the signatory	
Signature	

ANNEX III

**Model notification letter to be submitted by an EU AIFM to the competent authority of its home Member State to manage EU AIFs established in other Member States under Article 33(2) of Directive 2011/61/EU or to establish a branch in other Member State under Article 33(3) of Directive 2011/61/EU**

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 OR TO ESTABLISH A BRANCH IN ACCORDANCE WITH ARTICLE 33(3) OF DIRECTIVE 2011/61/EU.

IN \_\_\_\_\_ (the host Member State(s))

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

Yes  No

In case 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: \_\_\_\_\_

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Section 1. Information on the branch

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Section 3. Operational structure of the branch

Section 4. Termination of the branch

PART 1

**Information on the AIFM**

Information on the AIFM	
AIFM <sup>(1)</sup>	
AIFM LEI <sup>(1)</sup>	
National identification code of the AIFM (where available) <sup>(1)</sup>	
AIFM's home Member State <sup>(1)</sup>	
Address and, where different from address, registered office/domicile	
Duration of the AIFM (where applicable)	
Details of AIFM's website	

<sup>(1)</sup> 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)	
Telephone number	
Email address	
Details of the third party (where the AIFM or internally managed AIF designates a third party to make the notification)	
Third party	
Address and, where different from address, registered office/domicile	
Department (or contact point)	
Telephone number	
Email address	
Contact point for the transmission of the invoice or for the communication of any applicable regulatory fee or charges (if applicable) <sup>(1)</sup>	
Name of the entity	
Address and, where different from address, registered office/domicile	
Department (or contact point)	
Telephone number	
Email address	
<p><sup>(1)</sup> 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.</p>	
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)	

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.*

**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)	
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Summary details of controls over delegation arrangements with third parties in connection with the activities carried out in the host Member State	
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## 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 <sup>(1)</sup>	LEI of the AIF (where available)	Name of the depositary of the AIF	Duration of the AIF	AIF's national identification code (where available)	Name of the umbrella AIF (where applicable)	AIF's investment strategy <sup>(2)</sup>

<sup>(1)</sup> 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.

<sup>(2)</sup> Please specify the predominant AIF type and the breakdown by investment strategies as set out in the reporting template included in Annex IV of Delegated Regulation (EU) No 231/2013.

Master-feeder structures (if applicable):

Name of the master AIF or compartment(s)	LEI of the master AIF or compartment(s) (where available)	AIFM of the master AIF/compartment (where different from the AIF's AIFM)	LEI 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)



## 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**

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

**Section 1. Information on the branch**

Identification of the branch	
Name of the branch <sup>(1)</sup>	
National identification code of the branch in AIFM Home State (where available) <sup>(1)</sup>	
National identification code of the branch in the Member State where the branch is established (where available) <sup>(1)</sup>	
Address and, where different from address, registered office/domicile <sup>(1)</sup>	
Details of the branch's website (where different from the AIFM's website)	

<sup>(1)</sup> 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)	
Address and, where different from address, registered office/domicile	
Telephone number	
Email address	

**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, 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	
Description of the functional, geographical, and legal reporting	
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	
Description of the rules in place for reporting by the branch to the head office of the AIFM	
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 <sup>(1)</sup>	
<sup>(1)</sup> 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: <a href="http://data.europa.eu/eli/reg_del/2024/912/oj">http://data.europa.eu/eli/reg_del/2024/912/oj</a> ).	
Description of the controls over delegation arrangements with respect to activities carried out in the host Member State	

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	
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	
Please provide forecast statements for both, profit/loss and cash flow, over an initial 36-month period	

#### 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	
Schedule of the planned termination	
Date	
Name and capacity of the signatory	
Signature	

ANNEX IV

Statement on the authorisation of an AIFM under Article 32(3), second subparagraph, of Directive 2011/61/EU

STATEMENT ESTABLISHED BY \_\_\_\_\_ (name of the competent authority of the AIFM home Member State)

Section 1. Department responsible for the establishment of the statement within the competent authority of the AIFM home Member State

Department	
Address of the NCA	
Email address of the department establishing the statement	

Section 2. Identification of the authorised AIFM

AIFM	
AIFM's LEI	
AIFM's home Member State	
Address and, where different from address, registered office/domicile	

Section 3. Scope of the authorisation of the AIFM

The authorisation of the AIFM is limited to the management of AIFs with the following investment strategy:

\_\_\_\_\_

(The attestation shall be signed and dated by a representative of the competent authority of the AIFM home Member State. The signatory shall state his or her full name)

Date	
Name and capacity of the signatory	
Signature	

ANNEX V

**Model notification letter regarding persons responsible for a branch to be submitted by EU AIFM to the competent authority of its home Member State intending to establish a branch in other Member States under Article 33(3), letter (c), of Directive 2011/61/EU**

NOTIFICATION LETTER

NOTIFICATION OF PERSONS RESPONSIBLE FOR A BRANCH <sup>(1)</sup> RELATED TO THE INTENTION OF AN AIFM TO ESTABLISH A BRANCH IN A MEMBER STATE OTHER THAN ITS HOME MEMBER STATE IN ACCORDANCE WITH ARTICLE 33, PARAGRAPH (3), LETTER (C), OF DIRECTIVE 2011/61/EU.

IN \_\_\_\_\_ (the host Member State)

Identification of the AIFM	
AIFM	
AIFM LEI	
National identification code of the AIFM (where available)	
AIFM's home Member State	
Address and, where different from address, registered office/domicile	

Identification of the branch	
Name of the branch	
National identification code of the branch in AIFM's Home State (where available)	
National identification of the branch in the Member State where the branch is established (where available)	
Address and, where different from address, registered office/domicile	

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

Yes  No

In case the answer to this question is 'Yes', please highlight below the updated information compared to the previous notification and indicate the date of the previous notification: \_\_\_\_\_

**NOTIFICATION OF A PERSON RESPONSIBLE FOR:**

- The management of the branch
- The termination of the operations of the branch <sup>(2)</sup>

<sup>(1)</sup> Please submit one separate form for each relevant person and one form per electronic file only.

<sup>(2)</sup> Notification of a person responsible for the termination of a branch should only be filled as an update where the termination of the branch is envisaged.

Identification of notified person and contact details	
Surname	
First name	
Position or function performed	
Start date for this position	
End date for this position (where relevant)	
Telephone number	
Email address	
Additional remarks	
Additional remarks, where indicated (e.g. former name in case of name changes, position changes etc.)	
Date	
Signature of notified person	
Date	
Name and capacity of the signatory for the AIFM/branch (!)	
Signature	
(!) Should not be identical with notified person.	