NOTIFICATION LETTER

NOTIFICATION MADE BY A MANAGEMENT COMPANY OF ITS INTENTION TO PURSUE THE ACTIVITIES FOR WHICH IT HAS BEEN AUTHORISED IN ANOTHER MEMBER STATE IN ACCORDANCE WITH ARTICLE 17(2) OR ARTICLE 18(1) OF DIRECTIVE 2009/65/EC.

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| IN (the host Member State(s)) | Insert text. |

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| Type of notification | [ ]  Free provision of services[ ]  Establishment of a branch |

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| Does this letter amend information already provided in an initial communication?[ ]  Yes [ ]  No*In case the answer to this question is ‘Yes’, please fill-in only the updated information compared to the previous communication and indicate the date of the previous notification:*Select date. |

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# PART 1:

# Information on the management company

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| Information on the management company |
| Management company[[1]](#footnote-1): | Insert text. |
| Management company’s LEI1: | Insert text. |
| National identification code of the management company (where available)1: | Insert text. |
| Management company’s home Member State1: | Insert text. |
| Address and, where different from address, registered office/domicile: | Insert text. |
| Details of management company’s website: | Insert text. |

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| Contact details of the responsible department (or contact point) within the management company |
| Department (or contact point): | Insert text. |
| Telephone number: | Insert text. |
| Email address: | Insert text. |

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| Details of the third party (where the management company designates a third party to make the notification) |
| Third party: | Insert text. |
| Address and, where different from address, registered office/domicile: | Insert text. |
| Department (or contact point): | Insert text. |
| Telephone number: | Insert text. |
| Email address: | Insert text. |

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| Contact point for the transmission of the invoice or for the communication of any applicable regulatory fee or charges (where applicable)[[2]](#footnote-2) |
| Name of entity: | Insert text. |
| Department (or contact point): | Insert text. |
| Address and, where different from address, registered office/domicile: | Insert text. |
| Telephone number: | Insert text. |
| Email address: | Insert text. |

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| Please specify which email address among that specified in this section (contact point at the management company, 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): |
| Insert text. |

*The details of the compensation scheme intended to protect investors can be found in the attached document entitled “Identification of compensation schemes intended to protect investors pursuant to Articles 17(3) and 18(2) of Directive 2009/65/EC"*

# PART 2:

# Information to be provided by the management company pursuant to Article 17(1) and (2) of Directive 2009/65/EC to conduct its activities in the host Member State(s) through a branch

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

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| Section 1. Information on the branch |
| Identification of the branch |
| Name of the branch[[3]](#footnote-3): | Insert text. |
| National identification code of the branch in management company’s Home Member State (where available)3: | Insert text. |
| National identification code of the branch in Member State where the branch is established (where available)3: | Insert text. |
| Address and, where different from address, registered office/domicile3: | Insert text. |
| Details of the branch’s website (where different from the management company’s website): | Insert text. |

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

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| Section 2. Programme of operations of the branch |
| The branch will conduct the following activities and provide the following services in the host Member State(s): |
| Investment management: [ ]  |
| Marketing: [ ]  |
| Administration: [ ]  Legal and fund management accounting services [ ]  Customer inquiries [ ]  Valuation and pricing (including tax returns) [ ]  Regulatory compliance monitoring [ ]  Maintenance of unit-holder register [ ]  Distribution of income [ ]  Unit issues and redemptions [ ]  Contract settlements (including certificate dispatch) [ ]  Record keeping |
| Non-core services: [ ]  Management of portfolios of investments, including those owned by pension funds, in accordance with mandates given by investors on a discretionary, client-by-client basis, where such portfolios include one or more of the instruments listed in Annex I, Section C to Directive 2014/65/EU of the European Parliament and of the Council[[4]](#footnote-4) [ ]  Investment advice concerning one or more of the instruments listed in Annex I, Section C to Directive 2014/65/EU [ ]  Safekeeping and administration in relation to units of collective investment undertakings |

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| Please indicate how the branch will contribute to the strategy of the management company: | Insert text. |
| Please indicate whether the management company is a member of a group and, in this case, how the branch will contribute to the strategy of the group: | Insert text. |
| Please indicate the strategy of the branch (e.g., indication of the volume of business envisaged, types of investors with which the management company will be dealing and how the management company will obtain and deal with those investors): | Insert text. |
| Please provide forecast statements for both profit and loss and cash flow over an initial 36-month period: | Insert text. |

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| Section 3. Organisational structure of the branch |
| Description of the functional, geographical, and legal reporting lines: | Insert text. |
| Description of the place of the branch into the corporate structure of the management company, or of the group where the management company is a member of a group: | Insert text. |
| Description of the rules in place for reporting by the branch to the head office of the management company: | Insert text. |
| Description of the risk management process put in place by the management company at the level of the branch based on Articles 40 to 43 of the Commission Directive 2010/43/EU[[5]](#footnote-5): | Insert text. |
| Summary of the systems and controls in place at the level of the branch as set out in Article 1(3)(f) of Commission Delegated Regulation (EU) 2024/911[[6]](#footnote-6): | Insert text. |
| Description of the arrangements for the compliance with the rules drawn up by the management company’s host Member State pursuant to Article 14 of Directive 2009/65/EC: | Insert text. |
| Description of the procedures put in place, and the human and material resources allocated, to comply with anti-money laundering obligations: | Insert text. |
| Organisation chart of the branch: | Insert text. |

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| 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 to an initial notification, where the termination of the branch initially notified 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: | Insert text. |
| Schedule of the planned termination: | Insert text. |

# PART 3:

# Activities to be conducted under the freedom to provide services pursuant to Article 18(1) of Directive 2009/65/EC

*This Part must be filled only where the management company intends to conduct its activities in the host Member State under the freedom to provide services. Where the management company intends to conduct its activities in the host Member State exclusively through a branch, this Part shall be left blank, and Part 2 shall be filled in.*

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| The management company will conduct the following activities and provide the following services in the host Member State(s): |
| Investment management: [ ]  |
| Marketing: [ ]  |
| Administration: [ ]  Legal and fund management accounting services [ ]  Customer inquiries [ ]  Valuation and pricing (including tax returns) [ ]  Regulatory compliance monitoring [ ]  Maintenance of unit-holder register [ ]  Distribution of income [ ]  Unit issues and redemptions [ ]  Contract settlements (including certificate dispatch) [ ]  Record keeping |
| Non-core services : [ ]  Management of portfolios of investments, including those owned by pension funds, in accordance with mandates given by investors on a discretionary, client-by-client basis, where such portfolios include one or more of the instruments listed in Annex I, Section C to Directive 2014/65/EU [ ]  Investment advice concerning one or more of the instruments listed in Annex I, Section C to Directive 2014/65/EU [ ]  Safekeeping and administration in relation to units of collective investment undertakings |

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| Please indicate how the activities to be conducted in the host Member State will contribute to the strategy of the management company and, where the management company is a member of a group, how the activities to be conducted in the host Member State will contribute to the strategy of the group: |
| Insert text. |

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| Date: | Select date. |
| Name and capacity of the signatory: | Insert text. |
| Signature: |

1. This field should always be filled-in, also in the case of updates. [↑](#footnote-ref-1)
2. 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. This contact point may be the same as the contact point designated within the management company, or a contact point within an appointed third party. [↑](#footnote-ref-2)
3. This field should always be filled-in, also in the case of updates, where information concerning the branch is provided. [↑](#footnote-ref-3)
4. Directive 2014/65/EU of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Directive 2002/92/EC and Directive 2011/61/EU (OJ L 173, 12.6.2014, p. 349). [↑](#footnote-ref-4)
5. Commission Directive 2010/43/EU of 1 July 2010 implementing Directive 2009/65/EC of the European Parliament and of the Council as regards organisational requirements, conflicts of interest, conduct of business, risk management and content of the agreement between a depositary and a management company (OJ L 176, 10.7.2010, p. 42). [↑](#footnote-ref-5)
6. Commission Delegated Regulation (EU) 2024/911 of 15 December 2023 supplementing Directive 2009/65/EC 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 management companies and undertakings for collective investment in transferable securities (UCITS) (OJ L, 2024/911, 25.3.2024, ELI: https://eur-lex.europa.eu/eli/reg\_del/2024/912/oj) [↑](#footnote-ref-6)