

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**

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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(1) 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.