IFM - TIED AGENT NOTIFICATION AND CHANGE OF TIED AGENT PARTICULARS NOTIFICATION FORM

# 1. Contact information

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| Type of notification: | Tied agent notification  Change of tied agents' particulars notification |
| Name of the Investment Fund Manager (“IFM”): | Insert text. |
| Home Member State of the IFM: | Luxembourg |
| Authorisation Status: | Authorised by the CSSF |
| Authorisation Date of the IFM (DD/MM/YYYY): | Insert text. |
| Activities and services for which the IFM is authorised: | 1. Collective portfolio management in accordance with   Directive 2009/65/EC  Directive 2011/61/EU   1. Management of portfolios of investments in accordance with mandates given by investors on a discretionary, client-by-client basis in accordance with   Directive 2009/65/EC  Directive 2011/61/EC   1. Investment advice in accordance with   Directive 2009/65/EC  Directive 2011/61/EC   1. safekeeping and administration in relation to units/shares of UCIs in accordance with   Directive 2009/65/EC  Directive 2011/61/EU   1. reception and transmission of orders in relation to financial instruments in accordance with   Directive 2011/61/EU |
| Address of the IFM: | Insert text. |
| Name of the contact person at the IFM: | Insert text. |
| Telephone number of the contact person at the IFM: | Insert text. |
| Email of the contact person at the IFM: | Insert text. |
| Member State in which the IFM intends to use a tied agent: | Insert text. |
| Name of the tied agent: | Insert text. |
| Address of the tied agent: | Insert text. |
| Telephone number of the tied agent: | Insert text. |
| Email of the tied agent: | Insert text. |
| Name(s) of those responsible for the management of the tied agent: | Insert text. |
| Reference or hyperlink to the public register where the tied agent is registered: | Insert text. |

# 2. Program of operations

## 2.1. Intended investment services to be provided by the tied agent.

Please fill in the appropriate MiFID services that will be provided under Directive 2009/65/EU, respectively under Directive 2011/61/EU by the tied agent.

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| MiFID Services provided under Directive 2009/65/EU: |
| promotes investment and non-core services to clients and prospective clients for which the IFM is authorised;  canvasses clients or potential clients;  provides advice to clients or potential clients in respect of financial instruments or services. |
| MiFID Services provided under Directive 2011/61/EU: |
| promotes investment and non-core services to clients and prospective clients for which the IFM is authorised;  canvasses clients or potential clients;  provides advice to clients or potential clients in respect of financial instruments or services;  receives and transmits orders from clients in respect of investment services or financial instruments. |

## 2.2. Business plan and structural organisation of the tied agent

### 2.2.1. Business Plan

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| Explain how the tied agent will contribute to the strategy of the IFM: |
| Insert text. |
| Describe what the main functions of the tied agent will be: |
| Insert text. |
| Describe the main objectives of the tied agent: |
| Insert text. |
| Please attach a forecast statement for balance sheet, profit and loss, cash flow and estimation on number of clients over an initial period of 36 months. If needed, insert a comment: |
| Insert text. |

### 2.2.2. Commercial strategy

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| Describe the types and number of clients/counterparties the tied agent will be dealing with: |
| Insert text. |
| Describe how the IFM will obtain and deal with these clients: |
| Insert text. |

### 2.2.3. Organisational structure

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| Briefly describe how the tied agent fits into the corporate structure of the IFM. Please add an organisation chart: |
| Insert text. |
| Set out the organisational structure of the tied agent, showing both functional and legal reporting lines. Please add an organisation chart: |
| Insert text. |
| Identify who will be responsible for the tied agent operations on a day-to-day basis. Please provide details of professional experience of the person(s) responsible for the management of the tied agent. Also provide the name of the person(s) working for the tied agent, their place of work, the time dedicated to the tied agent’s activities and add the relevant CVs: |
| Insert text. |
| Identify who will be responsible for the internal control of the tied agent: |
| Insert text. |
| Identify who will be responsible for dealing with complaints in relation to the tied agent: |
| Insert text. |
| Describe how the tied agent will report to the head office of the IFM: |
| Insert text. |
| Please provide a description of any critical outsourcing arrangements, where applicable: |
| Insert text. |

### 2.2.4. Systems & Controls

Provide a brief summary of arrangements for:

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| Safeguarding client money and assets, where applicable: |
| Insert text. |
| Compliance with the conduct of business and other obligations that fall under the responsibility of the Competent Authority of the host Member State according to Art. 35(8), if applicable, and record keeping under Art. 16(6) (Directive 2014/65/EU), where applicable: |
| Insert text. |
| Staff code of conduct, including personal account dealing: |
| Insert text. |
| Anti-money laundering: |
| Insert text. |
| Monitoring and control of critical outsourcing arrangements, where applicable: |
| Insert text. |
| The name, address and contact details of the accredited compensation scheme of which the IFM is a member: |
| Insert text. |

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| IFM Representative | IFM Representative |
| Name: | Name: |
| Insert text. | Insert text. |
| Date: | Date: |
| Select date. | Select date. |
| Signature: | Signature: |
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