**Notification letter for the marketing of units or shares of EU AIFs/ELTIFs** **(EUROPEAN LONG TERM INVESTMENT FUND) in Member States and/or home Member State of the AIFM (Article 31/32 of the AIFMD and Article 31 of Regulation (EU) 2015/760 on ELTIFs)**

Initial notification?

Yes  No

**Member State(s) in which the AIFM intends to market the units or shares of the AIF/ELTIF:**

**PART 1 Information on the AIFM or internally managed AIF/ELTIF**

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

Name of the AIFM/ internally managed AIF/ELTIF:

AIFM/internally managed AIF/ELTIF LEI (if available):

National identification code of the AIFM/internally managed AIF/ELTIF (if available):

AIFM/internally managed AIF/ELTIF’s home Member State:

Luxembourg

Address and registered office/domicile if different from address:

Details of AIFM/internally managed AIF/ELTIF’s website:

Details of contact person at the AIFM/internally managed AIF/ELTIF:

Name:

Position:

Telephone number:

Email address:

Contact point for the invoicing or for the communication of any applicable regulatory fee or charges (if different) [[1]](#footnote-1):

Name of the company:

Name:

Position:

Address for correspondence (if different):

Telephone number:

E-mail address:

Duration of the AIFM/ internally managed AIF/ELTIF, if applicable:

**Section 2. Attachments (Title of document or name of electronic file attachment)**

(1) The latest **signed** version of the AIF/ELTIF rules or instruments of incorporation

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

(3) The AIF/ELTIF’s latest annual report (if available)

(4) Any additional information referred to in Article 23(1) of Directive 2011/61/EU for each AIF/ELTIF the AIFM intends to market (Paragraph (f) of Annex IV)

(5) Other (please specify)

**PART 2 Information on the AIF/ELTIFs to be marketed in the home Member State of the AIFM**

**Name of the AIF/ELTIF:**

AIF home Member State:

Legal form of the AIF/ELTIF (please tick appropriate box):

common fund  unit trust  investment company  partnership

other (please specify)

Constitution date of the AIF/ELTIF:

Does the AIF/ELTIF have compartments?

Yes  No

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Code number (CSSF number: ex: O9999\_1) | Name of the AIF/ compartment(s) to be marketed[[2]](#footnote-2) | LEI of the AIF/compartment(s), if available | Name of the depositary of the AIF (should include the address) | AIF/compartment(s) investment strategy | Is the AIF/compartment a feeder AIF? (if yes fill in the next table) |
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Master-feeder structures (if applicable):

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| Name of the master AIF or compartment(s) (should include address) | Home Member State of the master AIF | AIFM of the master AIF/or compartment (should include address) | | Home Member State of the AIFM |
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**PART 3 Compliance with the national laws and regulations of the Member State where the AIF/ELTIFs are intended to be marketed**

AIFMs or internally managed AIFs shall refer to the website of the competent authorities of each Member State for details of which items of information shall be provided in this section and for complete and up to date information on the national laws, regulations and administrative provisions governing marketing requirements. A list of relevant website addresses is available at [www.esma.europa.eu](http://www.esma.europa.eu)

**Section 1. Arrangements made for marketing of units or shares of AIFs**

Proposed start date for marketing in host country:

Targeted type of investors:

professional investors

retail investors

other (please specify)

1. Arrangements made for marketing of units of AIFs (*please tick the appropriate box*):

an investment firm in accordance with Directive 2014/65/EU;

a credit institution in accordance with Directive 2013/36/EU;

a UCITS management company in accordance with Directive 2009/65/EC;

an authorised AIFM in accordance with the AIFMD;

a tied agent in accordance with Directive 2014/65/EU

other (please specify)      .

1. Information about arrangements made for the marketing of AIFs and, where relevant, 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 (Paragraph (h) of annex IV of AIFMD)

(only if the ELTIF is marketed to professional investors)

Please provide a detailed description on the arrangements established to prevent units or shares of the AIF from being marketed to retail investors (How does the AIFM make sure that the potential investor is a professional investor? Is there any staff training? ...)

Please provide a short description of the envisaged marketing strategy in the Member State of the AIFM in relation to each fund the marketing of which is intended, including details about the marketing means (e.g. any roadshows, telephone calls, websites, ...).

Please state if the marketing is conducted via the Internet or other electronic systems, there are separate access channels for each type of investor (retail, semi-professional and professional investors).

1. Facilities to retail investors (if relevant):

The manager of an ELTIF the units or shares of which are intended to be marketed to retail investors shall, in each Member State where it intends to market such units or shares, put in place facilities available for making subscriptions, making payments to unit- or shareholders, repurchasing or redeeming units or shares and making available the information which the ELTIF and the manager of the ELTIF are required to provide.

|  |  |  |
| --- | --- | --- |
| 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 investor’s subscription, payment and redemption orders relating to the unites or shares of the ELTIF |  |  |
| 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 investor’s rights arising from their investment in the ELTIF |  |  |
| 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 |  |  |

1. Any additional information referred to in article 23(1) for each AIF/ELTIF the AIFM intends to market (Paragraph (f) of annex IV of AIFMD)

Please fill in appendix

Identification of the depositary of the AIF (Paragraph (c) of annex IV of AIFMD)

1. The indication of the member states in which it intends to market the compartments of the AIF to professional investors (Paragraph (g) of annex IV of AIFMD)

**Section 2. Other information required by the competent authorities of the host Member State in accordance with Article 5(1) of Regulation (EU) 2019/1156**

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**Declaration**

I hereby confirm (i) that the information provided in this notification letter contains all the relevant information as required by the applicable legislation, (ii) that the information in this form is accurate and complete to the best of my knowledge and belief and (iii) that I am authorized to sign on behalf of the AIFM manager:

Yes  No

|  |  |
| --- | --- |
| Signature: | Date: |
| Name: | First name: |
| Company: | Position: |
| Phone: | E-mail address: |

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-1)
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-2)