



2024/910

25.3.2024

COMMISSION IMPLEMENTING REGULATION (EU) 2024/910

of 15 December 2023

laying down implementing technical standards for the application of Directive 2009/65/EC 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 undertakings for collective investment in transferable securities (UCITS), UCITS management companies, the exchange of information between competent authorities on cross-border notification letters, and amending Commission Regulation (EU) No 584/2010

(Text with EEA relevance)

THE EUROPEAN COMMISSION,

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

Having regard to Directive 2009/65/EC of the European Parliament and of the Council of 13 July 2009 on the coordination of laws, regulations and administrative provisions relating to undertakings for collective investment in transferable securities (UCITS) ⁽¹⁾, and in particular Article 17(10), fourth subparagraph, Article 18(5), fourth subparagraph, Article 20(5), fourth subparagraph, and Article 95(2), second subparagraph thereof,

Whereas:

- (1) The exchange of information between competent authorities is part of the administrative procedures in relation to the notifications of management companies and UCITS wishing to conduct 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 dependable, 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) Commission Regulation (EU) No 584/2010 ⁽²⁾ has harmonised certain aspects of the procedure for the notification of marketing of UCITS in a host Member State. In particular, the Regulation sets out a standard notification letter and UCITS attestation. Directive (EU) 2019/1160 of the European Parliament and of the Council ⁽³⁾ amended Directive 2009/65/EC to introduce new requirements as regards the content of the notification letter to be submitted by management companies for the marketing of their units or shares in a host Member State. Those amendments should be reflected in Regulation (EU) No 584/2010, which should therefore be amended accordingly.

⁽¹⁾ OJ L 302, 17.11.2009, p. 32.

⁽²⁾ Commission Regulation (EU) No 584/2010 of 1 July 2010 implementing Directive 2009/65/EC of the European Parliament and of the Council as regards the form and content of the standard notification letter and UCITS attestation, the use of electronic communication between competent authorities for the purpose of notification, and procedures for on-the-spot verifications and investigations and the exchange of information between competent authorities (OJ L 176, 10.7.2010, p. 16).

⁽³⁾ Directive (EU) 2019/1160 of the European Parliament and of the Council of 20 June 2019 amending Directives 2009/65/EC and 2011/61/EU with regard to cross-border distribution of collective investment undertakings (OJ L 188, 12.7.2019, p. 106).

- (4) The provisions in this Regulation are closely linked since they deal with the form and content of the information to be exchanged between management companies and the national competent authorities of home and host Member States where the management companies intend 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 management companies and national competent authorities, it is appropriate to include them in a single regulation.
- (5) This Regulation is based on the draft implementing technical standards submitted to the Commission by the European Securities and Markets Authority (ESMA). ESMA took into account existing market practices and the rules as currently laid down in Chapter I of Regulation (EU) No 584/2010.
- (6) 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 UCITS 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 ⁽⁴⁾.
- (7) To enable management companies 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 submitting the notification letter referred to in Article 93(1) of Directive 2009/65/EC, a UCITS shall use the model set out in Annex I to this Regulation.
2. When providing the documentation referred to in Article 20(1) of Directive 2009/65/EC, a management company shall use the model set out in Annex II to this Regulation.

Article 2

Transmission of the notifications made in accordance with Article 20(1) and Article 17(2) letter (d) of Directive 2009/65/EC

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 management companies in accordance with Article 20(1) of Directive 2009/65/EC.
2. Management companies 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

1. The competent authorities of a management company's home Member State shall communicate to the competent authorities of the management company's host Member State the information received in accordance with Article 17(2) and Article 18(1) of Directive 2009/65/EC using the templates set out in Annex III and, where the management company intends to establish a branch, in addition communicate the information under Article 17(2) letter (d) of Directive 2009/65/EC using the template set out in Annex VII to this Regulation.

⁽⁴⁾ 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).

2. The competent authorities of a UCITS home Member State shall communicate the details of any compensation scheme as referred to in Article 17(3), first subparagraph, and Article 18(2), second subparagraph, of Directive 2009/65/EC using the template set out in Annex IV to this Regulation.
3. The competent authorities of a management company's home Member State shall use the template set out in Annex V to this Regulation for the attestation referred to in Article 17(3), third subparagraph, and Article 18(2), third subparagraph, of Directive 2009/65/EC.
4. The competent authorities of a management company's home Member State shall use the template set out in Annex VI to this Regulation for the attestation referred to in Article 93(3), second subparagraph, of Directive 2009/65/EC.

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.
4. The communication and transmission of the information and documentation referred to in Article 17(3), first subparagraph, Article 18(2), first, second and third subparagraphs, and Article 93(3), second subparagraph, of Directive 2009/65/EC shall not be considered to have taken place in any of the following cases:
 - (a) an information or documentation that had to be communicated or transmitted is missing, is incomplete, or is in a format other than that specified in paragraph 3;
 - (b) the competent authorities of a management company's or of a UCITS home Member State did not use the contact point designated in accordance with paragraph 1 by the competent authority of the UCITS or management company's host Member State;
 - (c) the competent authorities of a management company's or of a UCITS home Member State have failed to transmit the complete information and documentation as a result of a technical failure in their electronic system.
5. Competent authorities of the management company's or of the UCITS home Member State shall notify the management company about the transmission of the complete information or documentation referred to in Article 17(3), first subparagraph, Article 18(2), first, second and third subparagraphs, and Article 93(3), second subparagraph, of Directive 2009/65/EC only after having ensured that that information or documentation has been transmitted to the receiving competent authority.
6. Competent authorities of the management company's or the UCITS home Member State that have been informed or have become aware that the complete information or documentation referred to in Article 17(3), first subparagraph, Article 18(2), first, second and third subparagraphs, and Article 93(3), second subparagraph, of Directive 2009/65/EC has not been transmitted shall immediately take steps to transmit that complete information and documentation.

Article 5

Receipt of notifications between competent authorities

1. Competent authorities that receive the information or documentation referred to in Article 17(3), first subparagraph, Article 18(2), first, second and third subparagraphs, and Article 93(3), second subparagraph, of Directive 2009/65/EC shall notify the competent authorities of the management company's or of the UCITS home Member State as soon as possible, but no later than 5 working days from the date of the receipt of that information or documentation, and using the contact point referred to in Article 4(1), of whether:
 - (a) the information and documentation are complete;

(b) the information and documentation can be viewed and printed.

2. The competent authorities of the management company's or of the UCITS home Member State that have not received the notification referred to in paragraph 1 or have not received such notification within the time limit set out in paragraph 1 shall contact the competent authorities of the Member State in which the management company wishes to carry out the activities for which it has been authorised or in which the UCITS proposes to market its units or shares, and ascertain whether or not the transmission of the complete information and documentation has taken place.

Article 6

Amendments to Regulation (EU) No 584/2010

Regulation (EU) No 584/2010 is amended as follows:

- (1) Chapter I is deleted;
- (2) Annexes I and II are deleted.

Article 7

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 July 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 to be submitted by a UCITS for the cross-border marketing of UCITS under Article 93(1) of Directive 2009/65/EC

NOTIFICATION LETTER

NOTIFICATION OF INTENTION TO MARKET UNITS OF UCITS

IN _____ (the host Member State) ⁽¹⁾

Are you notifying amendments to information already provided in an initial notification? Yes No

In case the answer to this question was '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 management company or internally managed UCITS

Section 1. Identification of the management company or internally managed UCITS

Information on the management company or internally managed UCITS	
Management company or internally managed UCITS ⁽¹⁾	
Management company's or internally managed UCITS' LEI ⁽¹⁾	
National identification code of the management company or internally managed UCITS (where available) ⁽¹⁾	
Management company's or internally managed UCITS' home Member State ⁽¹⁾	
Address and registered office/domicile, where different from address	

⁽¹⁾ Please fill-in one notification letter for each Member State where the marketing of UCITS is intended.

Details of management company's or internally managed UCITS' website	
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(¹) 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 management company or internally managed UCITS	
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Department (or contact point)	
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Telephone number	
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Email address	
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Details of the third party (where a third party is designated by the management company or internally managed UCITS to make the notification)	
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Third party	
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Address and, where different from address, registered office/domicile	
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Department (or contact point)	
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Telephone number	
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Email address	
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Department (or contact point) for the transmission of the invoice or for the communication of any applicable regulatory fee or charges (where applicable) (¹)	
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Name of the entity	
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Address and, where different from address, registered office/domicile	
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Department (or contact point)	
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Telephone number	
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Email address	
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(¹) 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 management company, or a contact point within an appointed third party.

Please specify which email address provided in this section (contact point at the management company or internally managed UCITS, contact point within the appointed third party or contact point for the transmission of the invoice) is the preferred address to which the host national competent authority 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 investors

In accordance with Article 93(1) of Directive 2009/65/EC, please fill-in the following table to provide information on the facilities to perform the tasks referred to in Article 92(1) of that Directive:

Tasks	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 subscription and redemption (or repurchase) orders and make other payments to unitholders relating to the units of the UCITS		
Provide investors with information on how orders can be made and how redemption (or repurchase) proceeds are paid		
Facilitate the handling of information and access to procedures and arrangements referred to in Article 15 of Directive 2009/65/EC relating to investors' exercise of their rights		
Make the information and documents required pursuant to Chapter IX of Directive 2009/65/EC available to investors		
Provide investors with information relevant to the tasks that the facilities perform in a durable medium		
Act as a contact point for communicating with the competent authorities		

Information on the UCITS

Section 1. Identification of the UCITS

Please fill the below table with information for each UCITS you intend to market in the host Member State, creating a new table for each UCITS and by indicating only one share class (name and ISIN) on each line. Where a UCITS takes the form of an umbrella UCITS with several compartments or sub-funds, references to the UCITS 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 UCITS, which shall be identified separately in the corresponding column.

Name of the UCITS to be marketed in the host Member State	UCITS home Member State	Legal form of the UCITS ⁽¹⁾	LEI of the UCITS (where available)	Name of share class(es) to be marketed in the host Member State ⁽²⁾	ISIN of share class(es) to be marketed in the host Member State ⁽²⁾	Duration of the UCITS (where applicable)	National identification code of the UCITS (where available)	Name of the umbrella UCITS (where applicable)

⁽¹⁾ 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 UCITS home Member State.

⁽²⁾ Please list only those share classes the marketing of which is intended.

Section 2. Arrangements made for marketing of units of UCITS

Units of the UCITS/UCITS compartments will be marketed by:

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

Section 3. Attachments

(1) The latest version of the fund rules or instruments of incorporation, and a translation where required by Article 94(1), point (c), of Directive 2009/65/EC.

(Title of document or name of electronic file attachment)

(2) The latest version of the prospectus, and a translation where required by Article 94(1), point (c), of Directive 2009/65/EC.

(Title of document or name of electronic file attachment)

(3) The latest version of the key investor information, and a translation where required by Article 94(1), point(b), of Directive 2009/65/EC.

(Title of document or name of electronic file attachment)

(4) The latest published annual report and any subsequent half-yearly report, and a translation where required by Article 94(1), point (c), of Directive 2009/65/EC (where available).

(Title of document or name of electronic file attachment)

(5) Where required by the UCITS host Member State, evidence of payment due to the competent authorities of the host Member State

(Title of document or name of electronic file attachment)

Note:

The latest versions of the required documents must be attached to this letter for onward transmission by the competent authorities of the UCITS home Member State, even where copies have been provided to that authority previously. Where any of the documents have previously been sent to the competent authorities of the UCITS host Member State and remain valid, the notification letter may refer to that fact.

Provide the link to the latest electronic copies of the attachments:

PART 3

Confirmation of completeness

Confirmation by the UCITS

We hereby confirm that the documents attached to this notification letter contain all relevant information as provided for in Directive 2009/65/EC.

(The notification letter shall be signed by an authorised signatory of the UCITS, or a third person empowered by a written mandate to act on behalf of the notifying UCITS, in a manner which the competent authorities of the UCITS home Member State accept for certification of documents. The signatory shall state his or her full name and capacity and shall ensure the confirmation is dated.)

Date	
Name and capacity of the signatory	
Signature	

ANNEX II

Model letter to be submitted by a management company to the competent authorities of the UCITS home Member State under Article 20(1) of Directive 2009/65/EC

NOTIFICATION LETTER

NOTIFICATION OF THE INTENTION OF A MANAGEMENT COMPANY TO MANAGE A UCITS ESTABLISHED IN ANOTHER MEMBER STATE IN ACCORDANCE WITH ARTICLE 20(1) OF DIRECTIVE 2009/65/EC

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 1

Information on the management company

Information on the management company	
Management company ⁽¹⁾	
Management company's LEI ⁽¹⁾	
National identification code of the management company (where available) ⁽¹⁾	
Management company's home Member State ⁽¹⁾	
Address and, where different from address, registered office/domicile	
Details of management company's website	
⁽¹⁾ 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 within the management company	
Department (or contact point)	
Telephone number	

Email address	
Details of the third party (where the management company 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) ⁽¹⁾	
Name of the entity	
Department (or contact point)	
Address and, where different from address, registered office/domicile	
Telephone number	
Email address	
<p>(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 Commission Implementing Regulation (EU) 2021/955. That contact point may be the same as the contact point designated within the management company, or a contact point within an appointed third party.</p>	
<p>Please specify which email address provided 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 any confidential information (inter alia, login and password to access the national systems for reporting)</p>	

PART 2

Identification of the delegate and the delegated functions

Please replicate the information in Part 2 for each delegate and delegated functions.

Name of the delegate	
Delegate's home Member State	
Address and registered office/domicile, where different from address	

The delegate will conduct the following activities and provide the following services in the host Member State(s) on behalf of the management company:

Investment management

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

Please describe the reporting line in place between the delegate and the management company	
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PART 3

Attachments

Written contract with the depository of the concerned UCITS in the UCITS home Member State.

Other (where applicable, please specify).

(title of document or name of electronic file attachment)

Note:

The latest versions of the required documents listed above must be attached to this letter for onward transmission by the competent authorities of the management company’s home Member State, even where copies have been provided to that authority previously. Where any of the documents have previously been sent to the competent authorities of the management company’s host Member State and remain valid, the notification letter may refer to that fact.

Provide the link to the latest electronic copies of the attachments	
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Date	
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Name and capacity of the signatory	
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Signature	
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ANNEX III

Model for the communication by the competent authorities of a management company’s home Member State to the competent authorities of the management company’s host Member State of information under Article 17(2) or Article 18(1) of Directive 2009/65/EC

NOTIFICATION LETTER

COMMUNICATION OF INFORMATION REGARDING A 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.

IN _____ (the host Member State(s))

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 communication: _____

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Section 2. Programme of operations of the branch

Section 3. Organisational structure of the branch

Section 4. Termination of the branch

PART 3 – Activities to be conducted under the freedom to provide services

PART 1

Information on the management company

Information on the management company	
Management company ⁽¹⁾	
Management company’s LEI ⁽¹⁾	
National identification code of the management company (where available) ⁽¹⁾	
Management company’s home Member State ⁽¹⁾	
Address and, where different from address, registered office/domicile	
Details of management company’s website	

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

Contact details of the responsible department (or contact point) within the management company	
Department (or contact point)	
Telephone number	
Email address	

Details of the third party (where the management company 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 (where applicable) ⁽¹⁾	
Name of entity	
Department (or contact point)	
Address and, where different from address, registered office/domicile	
Telephone number	
Email 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. 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.

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)	
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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.

Section 1. Information on the branch

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

⁽¹⁾ 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 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 ⁽¹⁾
- 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

Please indicate how the branch will contribute to the strategy of the management company	
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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	
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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)	
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Please provide forecast statements for both, profit/loss and cash flow, over an initial 36-month period	
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Section 3. Organisational structure of the branch

Description of the functional, geographical, and legal reporting lines	
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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	
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⁽¹⁾ 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).

Description of the rules in place for reporting by the branch to the head office of the management company	
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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 Commission Directive 2010/43/EU ⁽¹⁾	
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⁽¹⁾ 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 depository and a management company (OJ L 176, 10.7.2010, p. 42).

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 ⁽¹⁾	
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⁽¹⁾ 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: http://data.europa.eu/eli/reg_del/2024/911/oj).

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	
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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	
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Organisation chart of the branch	
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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 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.	
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Schedule of the planned termination.	
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PART 3

Activities to be conducted under the freedom to provide services

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.

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

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	
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Date	
Name and capacity of the signatory	
Signature	

ANNEX IV

Attestation of the competent authority of compensation schemes intended to protect investors pursuant to Article 17(3), first subparagraph, and Article 18(2), second subparagraph, of Directive 2009/65/EC

ATTESTATION ESTABLISHED BY _____ (name of the competent authority of the management company's home Member State)

Section 1. Department responsible for the establishment of this attestation within the competent authority of the management company's home Member State

Department	
Address of the competent authority	
Email address of the department establishing the statement	

Section 2. Identification of management company this attestation relates to

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

Section 3. Identification of the investor compensation scheme

Investor compensation scheme	
Address of the investor compensation scheme	
Registered office/domicile of the investor compensation scheme where different from its address	
Details of the investor compensation scheme's website	

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

Date	
Name and capacity of the signatory	
Signature	

ANNEX V

Attestation of the competent authority of the authorisation of a management company under Article 17(3), third subparagraph, and Article 18(2), third subparagraph, of Directive 2009/65/EC

ATTESTATION ESTABLISHED BY _____ (name of the competent authority of the management company's home Member State)

Section 1. Department responsible for the establishment of the attestation within the competent authority of the management company's home Member State

Department	
Address of the competent authority	
Email address of the department establishing the statement	

Section 2. Identification of the management company

Management company	
Management company's LEI	
Management company's national identification code (where available)	
Management company's home Member State	
Address and, where different from address, registered office/domicile	
Details of management company's website	

Section 3. Scope of the authorisation of the management company

The management company has been authorised in _____ (name of the home Member State) to conduct the following activities and provide the following services by _____ (name of the home competent authority):

- 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

The management company is subject to the following restrictions regarding the types of UCITS it is authorised to manage (where applicable)	
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(The attestation shall be signed and dated by a representative of the competent authority of the management company's home Member State. The signatory shall state his or her full name and capacity.)

Date	
Name and capacity of the signatory	
Signature	

Attestation of the competent authority under Article 93(3), second subparagraph, of Directive 2009/65/EC

ATTESTATION ESTABLISHED BY _____ (name of the competent authority of the UCITS home Member State)

Section 1. Department responsible for the establishment of the attestation within the competent authority of the UCITS home Member State

Department	
Address of the competent authority	
Email address of the department establishing the statement	

Section 2. Identification of the UCITS whose units will be marketed in the host Member State

Please fill the below table with information for each UCITS that is notified for marketing in the host Member State. Where a UCITS takes the form of an umbrella UCITS with several compartments or sub-funds, references to the UCITS 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 UCITS, which shall be identified separately in the corresponding column.

Name of the UCITS	Name of the umbrella UCITS (where applicable)	Legal form ⁽¹⁾	UCITS LEI (where available)	Date of authorisation	UCITS national identification code (where available)	Duration of the UCITS (where applicable)	Management company ⁽²⁾	Management company LEI	Management company national identification code (where available)

⁽¹⁾ The legal form is one of the following: common fund, unit trust or investment company.

⁽²⁾ The management company shall be identified only for externally managed UCITS. In case of internally managed investment companies, please leave blank.

Section 3. Attestation of the fulfilment of the conditions set out in Directive 2009/65/EC

The below signatory certifies that the UCITS identified in section 2 of the present attestation fulfil the conditions set out in Directive 2009/65/EC and may market

their units in _____ (*the host Member State*).

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

Date	
Name and capacity of the signatory	
Signature	

ANNEX VII

Model for the communication by the competent authorities of a management company's home Member State to the competent authorities of the management company's host Member State under Article 17(2) letter (d) of Directive 2009/65/EC

NOTIFICATION LETTER

NOTIFICATION OF PERSONS RESPONSIBLE FOR A BRANCH ⁽¹⁾ RELATED TO THE INTENTION OF A MANAGEMENT COMPANY TO ESTABLISH A BRANCH IN A MEMBER STATE OTHER THAN ITS HOME MEMBER STATE IN ACCORDANCE WITH ARTICLE 17, PARAGRAPH (2), LETTER (D) OF DIRECTIVE 2009/65/EC.

IN _____ (the host Member State)

Identification of the management Company	
Management company	
Management company LEI	
National identification code of the management company (where available)	
Management company'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 the management company's home Member State (where available)	
National identification code 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 ⁽²⁾

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

⁽²⁾ Notification of a person responsible for the termination of the branch should only be filed as an update where the termination of the branch is envisaged.

Identification of notified person	
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	
Name and capacity of the signatory	
Signature	