**Notification form designated state regime AIFMs from Jersey, Guernsey and United States[[1]](#footnote-1)**

For general instruction see page 5

## GENERAL INFORMATION

|  |  |  |
| --- | --- | --- |
| 1. Name of AIFM |  |  |
| 1. Address |  |  |
| 1. Postal code and city |  |  |
| 1. Country |  |  |
| 1. Postal address |  |  |
| 1. Postal code and city of postal address |  |  |
| 1. Telephone number |  |  |
| 1. Email |  |  |
| 1. Website |  |  |
| 1. Contact person and contact details of AIFM (name, address, telephone number and email) |  |  |
| 1. If applicable, name of the supervisory authority supervising the AIFM |  |  |
| 1. If applicable, description kind of supervision in home country (e.g. authorization manco and/or AIF) |  |  |

## INFORMATION ON COLLECTIVE INVESTMENT VEHICLES MANAGED BY AIFM

|  |  |  |
| --- | --- | --- |
| 1. Report the total value of assets under management for all AIFs managed using the method set out in Articles 2 and 10 of the Regulation No. 231/2013. If specific AIFs are not included in the calculation of the total value of assets under management, please give an explanation why. |  |  |
| 1. Give an overview of all the collective investment vehicles, whether qualifying as AIF or not, managed by the AIFM and report the value of assets under management for each individual AIF managed using the method set out in Articles 2 and 10 of the Regulation No. 231/2013. Indicate the value in Euro. The conversion rate provided by the European Central Bank (ECB) should be used to convert the total value of assets under management for all AIFs managed into Euro. If there is no ECB conversion rate available, indicate the conversion rate used. The reported information should be as recent as possible, but in any event no older than three months at the time of notification. |  |  |
| 1. Name of AIF |  |  |
| 1. Address |  |  |
| 1. Postal code and city |  |  |
| 1. Country |  |  |
| 1. Postal address |  |  |
| 1. Postal code and city of postal address |  |  |
| 1. Telephone number |  |  |
| 1. Email |  |  |
| 1. Website |  |  |
| 1. Contact person and contact details of AIF |  |  |
| 1. If applicable, name of the supervisory authority supervising the AIF |  |  |
| 1. If applicable, description kind of supervision in home country (e.g. authorization) manco and/or AIF |  |  |
| 1. Select the AIF type:  * Fund of funds * Real estate * Private equity * Hedge fund * Collective investment vehicle in financial instruments * Other: describe the AIF type   (multiple selections possible) |  |  |
| 1. Does the AIF employ leverage on a substantial basis as set out in Article 111 of the Regulation No. 231/2013?  * Yes * No |  |  |
| 1. Select the type of investors the units in the AIF will be offered to in the Netherlands (multiple answers possible):  * Professional investors * Non-professional investors   Please note that additional ongoing requirements will be applicable if units are offered to non-professional investors in the Netherlands. |  |  |
| 1. Can the AIF be offered to any type of investor in the home state or are their limitations to such offering? If limitations apply, please specify. |  |  |

Attachments (please check if sent with this notification):

* Attestation of the competent authority (from a designated state) of the AIFM and/or the AIF in which that competent authority declares that the AIFM and/or the AIF falls under its supervision.
* When applicable: Declaration of the AIFM or the AIF that it will comply with the specific Dutch non-professional regime rules (‘top-up’ retail requirements pursuant to article 4:37p Wft) (In relation to AIFMs or AIFs who offer units to non-professional investors in the Netherlands or who manage an AIF in which Dutch non-professional investors are participating

The signatories declare that they are aware of the conditions and requirements as imposed by article 2:66 section 1 and 2:73 Wft and further rules and regulations based thereon (also if amended) and will fulfill those conditions and requirements on an ongoing basis. They furthermore declare that they will comply on an ongoing basis with the specific rules, as laid down in article 4:37p Wft and rules and regulations based thereon, applicable on AIFMs or AIFs who offer units to non-professional investors in the Netherlands or on AIFMs who manage an AIF in which Dutch non-professional investors are participating.

The signatories declare having answered the questions in this notification form and annex completely and truthfully and that they are authorized persons to represent the AIFM. The notification form shall be signed by at least two authorized signatories of the AIFM. The signatories shall state their full names and capacity, and shall ensure the form is dated.

Place: Date:

Signature person 1: Signature person 2:

Name person 1: Name person 2:

Capacity person 1: Capacity person 2:

Aanvraagformulier B   
Van: mw R. Koning-Keet  
  mw R. Koning-KeetConcept Tz-Bbwb/2000/02195/kok21 augustus 2000Westeinde 1Postbus 981000 AB AmsterdamTelefoon 020 - 524 33 31Telefax 020 - 524 36 69Sector Toezicht-banken, beleggingsinstellingen en wisselkantoren**General instructions**

AIFMs[[2]](#footnote-2) notifying their exemption based on article 2:66, section 1 and article 2:73 Wft shall provide all the information requested in this notification form. This notification form must be sent through the Digital Portal on the website of the Dutch Authority for the Financial Markets (“AFM”). Only complete notification forms are accepted by AFM. Please do not forget to include:

1. the attestation of the competent authority of the AIFM and/or the AIF pursuant to article 2:73 Wft, and
2. if applicable, the declaration by the AIFM or the AIF that it will comply with the specific Dutch rules applicable on AIFMs or AIFs who offer units to non-professional investors in the Netherlands or on AIFMs who manage an AIF in which Dutch non-professional investors are participating (‘top-up’ retail requirements pursuant to article 4:37p Wft), both as required in the Annex.

The filing of this form with the AFM solely serves as a notification of the relevant entity that it wants to make use of the exemption of article 2:66, section 1 and article 2:73 Wft. The AIFM itself is responsible for ensuring that the conditions and requirements for using this exemption are met (on an ongoing basis). Upon emailing the notification form the AIFM is required to fulfill all conditions and requirements which apply on an ongoing basis to institutions making use of the designated state regime. One of these requirements is the regular reporting obligation pursuant to article 4:37n Wft and 115l Decree on Conduct of Business Supervision of Financial Undertakings under the Wft. Please note that additional requirements will be applicable on AIFMs or AIFs who offer units to non-professional investors in the Netherlands or who manage an AIF in which Dutch non-professional investors are participating (‘top-up’ retail requirements pursuant to article 4:37p Wft)

Eight weeks after emailing the complete notification form to the AFM the AIFM may start managing and/or marketing the AIF identified in this notification to investors in the Netherlands, unless the AFM before the expiry of those eight weeks announces that the notified intention to market or manage is inconsistent with the conditions and requirements of the Wft.

1. This form is intended for managers of an alternative investment fund (“AIFMs”)) with their seat in a designated state as meant in article 2:66, section 1 of the Dutch Act on Financial Supervision (“Wft”) who offer or wish to offer units in their alternative investment funds (“AIFs”) in the Netherlands or who manage or wish to manage a Dutch AIF pursuant to article 2:66, section 1 and Section 2:73 Wft. [↑](#footnote-ref-1)
2. The notion of an AIFM also covers the AIF which is managed internally. [↑](#footnote-ref-2)