**Notification form designated state regime AIFMs from Hong Kong SAR[[1]](#footnote-2)**

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 postal adress |  |  |
| 1. Telephone number |  |  |
| 1. Email |  |  |
| 1. Website |  |  |
| 1. Is the AIFM authorized by the SFC[[2]](#footnote-3) |  |  |
| 1. If applicable, description kind of supervision in home country (e.g. authorization manco and/or AIF); is AIFM authorized or is AIF authorized or both and how? |  |  |

## 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. Name and contact details of appointed local representative per fund (address, city, telephone number and email ) |  |  |
| 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 (is AIF authorized or is AIFM authorized or both and how?) |  |  |
| 1. Select the AIF type:  * General equity fund, * Bond fund * Mixed funds * Index fund (other than exchange-traded fund). |  |  |
| 1. Does the AIF net derivative exposure (leverage) as defined in 7.26 of the Code on Unit Trusts and Mutual Funds (UT Code) exceed 100% of the fund’s net asset value?  * Yes * No |  |  |
| 1. Please confirm that the fund will not be offered to professional investors in the Netherlands  * Only available for non-professional investors |  |  |
| 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):

* the offering documents in Dutch;
* the Key Investor Information Document (KIID) as required by Regulation (EU) No 583/2010 in Dutch;

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 relevant rules and regulations such as those set out in the Circular (also if amended) and will fulfill those conditions and requirements on an ongoing basis.

The signatories declare having answered the questions in this notification form completely and truthfully, have sent all attachments 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[[3]](#footnote-4) 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 uploaded together with your application. Only complete notification forms are accepted by the Dutch Authority for Financial Markets (“AFM”). Please do not forget to include:

1. a duly signed and completed application form available on the AFM website;
2. the offering documents in Dutch;
3. the Key Investor Information Document (KIID) as required by Regulation (EU) No 583/2010 in Dutch;

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 AIFMs 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.

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”) or AIFs with their seat in Hong Kong SAR in relation to 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-2)
2. Securities and Futures Commission of Hong Kong SAR. [↑](#footnote-ref-3)
3. The notion of an AIFM also covers the AIF which is managed internally. [↑](#footnote-ref-4)