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**

This form is intended for European (non-Dutch) authorized managers (“AIFMs”) who wish to offer units in the Netherlands to qualified investors, as defined in article 1:1 Dutch act on financial supervision (“Wft”), in (i) a non-European alternative investment fund (“AIF”), (ii) an European feeder AIF of a non-European master AIF, or (iii) an European feeder AIF of an European master AIF which is not managed by an authorized European AIFM, pursuant to article 1:13b section 3 Wft (implementing article 36 of the Alternative Investment Fund Managers Directive (“AIFMD”)).

AIFMs[[1]](#footnote-1) notifying their exemption based on article 1:13b section 3 Wft shall provide all the information requested in this notification form. Only complete notification forms are accepted by the Netherlands Authority for Financial Markets (“AFM”). Please do not forget to include the documents as required in the Annex to this notification form.

This notification is for informational purposes only. The AIFM itself is responsible for ensuring that the requirements for using the exemption of article 1:13b section 3 Wft are met. Upon submitting the notification form the AIFM is required to fulfill all requirements as laid down in article 1:13b section 3 Wft and further rules and regulations based thereon (also if amended) on an ongoing basis.

After uploading this complete notification form to the AFM, the AIFM may start marketing the non-European AIF, the European feeder AIF of a non-European master AIF, or the European feeder AIF of an European master AIF which is not managed by an authorized European AIFM, identified in this notification to qualified investors in the Netherlands.

In due time, the AIFM can denotify a notified AIF when (1) the AIF contains no Dutch investor(s) and (2) the AIFM, as far as reasonably foreseeable, has no intention to market units in the AIF in the Netherlands anymore. In order to denotify a notified AIF please upload your written denotification request confirming that:

1. the AIF contains no Dutch investor(s); and

2. the AIFM, as far as reasonably foreseeable, has no intention to market units in the AIF in the Netherlands anymore.

## GENERAL INFORMATION EU AIFM

|  |  |  |
| --- | --- | --- |
| 1. Name of AIFM |  |  |
| 1. LEI code of AIFM |  |  |
| 1. Address |  |  |
| 1. Postal code and place of residence |  |  |
| 1. Country |  |  |
| 1. P.O. Box |  |  |
| 1. Postal code of P.O. Box |  |  |
| 1. Telephone number |  |  |
| 1. Telefax number |  |  |
| 1. E-Mail |  |  |
| 1. Website |  |  |
| 1. Contact person and contact details AIFM |  |  |

## IF APPLICABLE, INFORMATION ON THE NON-EU AIF

|  |  |  |
| --- | --- | --- |
| 1. Name of non-EU AIF |  |  |
| 1. LEI code of non-EU AIF |  |  |
| 1. Address |  |  |
| 1. Postal code and place of residence |  |  |
| 1. Country |  |  |
| 1. Governing law |  |  |
| 1. P.O. Box |  |  |
| 1. Postal code of P.O. Box |  |  |
| 1. Telephone number |  |  |
| 1. Telefax number |  |  |
| 1. E-Mail |  |  |
| 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. Confirmation that the supervisory authority of the country of origin of the non-EU AIF and the home state regulator of the EU AIFM have entered into a cooperation agreement (as set out in article 36 AIFM-Directive)  GENERAL INFORMATION ON THE RELEVANT DEPOSITARY OF THE NON-EU AIF |  |  |
| 1. Name |  |  |
| 1. Address |  |  |
| 1. Postal code and place of residence |  |  |
| 1. Country |  |  |
| 1. Does the depositary carry out the duties as set out in article 21 section 7, 8 and 9 AIFMD? |  |  |
| 1. If applicable, name of supervisory authority supervising the depositary and description of the kind of supervision in the home country of the depositary (e.g. authorization or registration) |  |  |

## IF APPLICABLE, INFORMATION ON THE EU FEEDER AIF AND THE (NON-)EU MASTER AIF

|  |  |  |
| --- | --- | --- |
| 1. Name of EU feeder AIF |  |  |
| 1. LEI code of EU feeder AIF |  |  |
| 1. Address |  |  |
| 1. Postal code and place of residence |  |  |
| 1. Country |  |  |
| 1. Governing law |  |  |
| 1. P.O. Box |  |  |
| 1. Postal code of P.O. Box |  |  |
| 1. Telephone number |  |  |
| 1. Telefax number |  |  |
| 1. E-Mail |  |  |
| 1. *Only if EU feeder invests in a non-EU master AIF:*  * Name non-EU master AIF * Address non-EU master AIF * Place of residence non-EU master AIF * If applicable: description of kind of supervision on non-EU master AIF * name, address of and kind of supervision on the AIFM managing the non-EU master AIF |  |  |
| 1. *Only if EU feeder invests in a EU master AIF which is not managed by an authorized EU AIFM:*  * Name EU master AIF * Address EU master AIF * Place of residence EU master AIF * If applicable: description of kind of supervision on EU master AIF * name, address of and kind of supervision on the AIFM managing the EU master AIF |  |  |

The units in the AIF are restricted to be offered to qualified investors, as defined in article 1:1 Wft, in the Netherlands.

|  |  |  |
| --- | --- | --- |
| 1. Explain how the AIFM will ensure that the AIF will not be marketed to others than qualified investors in the Netherlands |  |  |

The signatories declare having answered the questions in this notification form and annex completely and truthfully. The signatories declare that they are aware of the conditions and requirements as imposed by article 1:13b section 3 Wft and will fulfill those conditions and requirements on an ongoing basis. The signatories also declare 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 confirmation is dated.)

Place: Date:

Signature person 1: Signature person 2:

Name person 1: Name person 2:

Capacity person 1: Capacity person 2:

**Annex**

The following documents needs to be submitted with this notification form:

* Proof of authorization of the EU AIFM by the home state regulator; and
* A confirmation[[2]](#footnote-2) from the home state regulator of the EU AIFM that the AIF(s) which is/are notified with this notification form falls/fall within the scope of the AIFM’s authorization as described in article 1:13b section 3(d) Wft.

1. The notion AIFM also covers the AIF which is managed internally. [↑](#footnote-ref-1)
2. This confirmation does not need to have a specific format as long as its content contains the required confirmation. [↑](#footnote-ref-2)