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| **Notification form for managers of an alternative investment fund with their seat in a designated state or a non-designated state pursuant to 1:13b Dutch Act on Financial Supervision (“Wft”)** |
| 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 Wft or with their seat in a non-designated state who offer or want to offer units in an alternative investment fund (“AIF”) to qualified investors, as defined in article 1:1 Wft, in the Netherlands or who manage or want to manage a Dutch AIF pursuant to article 1:13b section 1 and 2 Wft (article 42 Alternative Investment Fund Managers Directive). |

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 notifying their exemption based on article 1:13b section 1 and 2 Wft shall provide all the information requested in this notification form. This notification form must be completed and uploaded together with your application. Only complete notification forms are accepted by the Netherlands Authority for Financial Markets (“AFM”). Please do not forget to include an attestation of the competent authority of the AIFM[[1]](#footnote-1) as required in the Annex.

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 1 and 2 Wft are met. Upon emailing the notification form the AIFM is required to fulfill all requirements as laid down in article 1:13b section 1 and 2 Wft and further rules and regulations based thereon (also if amended) on an ongoing basis. One of these requirements is the regular reporting obligation on the principal markets and instruments in which the AIFM trades on behalf of the AIFs it manages (article 3:74c Wft).

After uploading this complete notification form to the AFM, the AIFM may start managing and/or marketing the AIF identified in this notification to qualified investors in the Netherlands.

In due time, the AIFM is able to 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 AIFM

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| --- | --- | --- |
| 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 |  |  |
| 1. If applicable, name of the supervisory authority supervising the AIFM |  |  |
| 1. If applicable, description kind of supervision in home country (e.g. authorization or registration) |  |  |

## AUM OF COLLECTIVE INVESTMENT VEHICLES MANAGED BY AIFM

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| --- | --- | --- |
| 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. |  |  |

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## GENERAL INFORMATION ON THE RELEVANT AIF

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| 1. Name of AIF |  |  |
| 1. LEI code of AIF |  |  |
| 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. If applicable, name of the supervisory authority supervising the AIF |  |  |
| 1. If applicable, description kind of supervision in home country (e.g. authorization or registration) |  |  |
| 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 |  |  |

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

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| 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 1 and 2 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 document needs to be submitted with this notification form:

* An attestation of the competent authority of the AIFM in which it confirms that it is able to effectively comply with the cooperation agreement between that competent authority and the AFM as set out in article 1:13b section 1 and 2 Wft in respect of the specific AIFM identified under question 1.

This attestation does not need to have a specific format. Any form of attestation is acceptable as long as its content satisfies the AFM and DNB that the notified entity is a ‘covered entity’ under the cooperation agreement and that the competent authority of the AIFM is consequently able to effectively impose the agreed terms under the cooperation agreements in relation to the particular non-EU AIFM which is notified pursuant to this notification form.

1. The notion AIFM also covers the AIF which is managed internally. [↑](#footnote-ref-1)