

## ANNEX I

## NOTIFICATION LETTER

(Article 1 of 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)

## NOTIFICATION OF INTENTION TO MARKET UNITS OF UCITS

IN \_\_\_\_\_  
(the host Member State)

## PART A

Name of the UCITS: \_\_\_\_\_

UCITS home Member State: \_\_\_\_\_

Legal form of the UCITS (please tick appropriate one box):

- common fund
- unit trust
- investment company

Does the UCITS have compartments? Yes/No

Name of the UCITS and/or compartment(s) to be marketed in the host Member State	Name of share class(es) to be marketed in the host Member State <sup>(1)</sup>	Duration <sup>(2)</sup>	Code numbers <sup>(3)</sup>

<sup>(1)</sup> If the UCITS intends to market only certain share classes, it should list only those classes

<sup>(2)</sup> If applicable

<sup>(3)</sup> If applicable (e.g. ISIN)

Name of the management company/self-managed investment company:

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Management company's home Member State: \_\_\_\_\_

Address and registered office/domicile if different from address

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Details of management company's website: \_\_\_\_\_

Details of contact person at the management company

Name/Position: \_\_\_\_\_

Telephone number: \_\_\_\_\_

E-mail address: \_\_\_\_\_

Fax number: \_\_\_\_\_

Duration of the company, if applicable: \_\_\_\_\_

Scope of activities of the management company in the UCITS host Member State:

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Additional information about the UCITS (if necessary):

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**Attachments:**

(1) The latest version of the fund rules or instruments of incorporation, translated if necessary in accordance with Article 94(1)(c) of Directive 2009/65/EC.

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(Title of document or name of electronic file attachment)

(2) The latest version of the prospectus, translated if necessary in accordance with Article 94(1)(c) of Directive 2009/65/EC.

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(Title of document or name of electronic file attachment)

(3) The latest version of the key investor information, translated if necessary in accordance with Article 94(1)(b) of Directive 2009/65/EC.

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(Title of document or name of electronic file attachment)

(4) The latest published annual report and any subsequent half-yearly report, translated if necessary in accordance with Article 94(1)(c) of Directive 2009/65/EC.

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(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 UCITS home Member State, even if copies have previously been provided to that authority. If 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.

Indicate where the latest electronic copies of the attachments can be obtained in future:

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## PART B

The following information is provided in conformity with the national laws and regulations of the UCITS host Member State in relation to the marketing of units of UCITS in that Member State.

UCITS shall refer to the website of the competent authorities of each Member State for details of which items of information shall be provided in this section. A list of relevant website addresses is available at [www.cesr.eu](http://www.cesr.eu)

### 1. 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
- any other management company authorised under Directive 2009/65/EC
- credit institutions
- authorised investment firms or advisers
- other bodies

(1) \_\_\_\_\_

(2) \_\_\_\_\_

(3) \_\_\_\_\_

### 2. Arrangements for the provision of facilities to unit-holders in accordance with Article 92 of Directive 2009/65/EC:

Details of paying agent (if applicable):

Name: \_\_\_\_\_

Legal form: \_\_\_\_\_

Registered office: \_\_\_\_\_

Address for correspondence (if different): \_\_\_\_\_

Details of any other person from whom investors may obtain information and documents:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Manner in which the issue, sale, repurchase or redemption price of units of UCITS will be made public:

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3. Other information required by the competent authorities of the host Member State in accordance with Article 91(3) of Directive 2009/65/EC

Include (if required by the UCITS host Member State):

- details of any additional information to be disclosed to unit-holders or their agents;
- in case a UCITS makes use of any exemptions from rules or requirements applicable in the UCITS host Member State in relation to marketing arrangements for the UCITS, a specific share class or any category of investors, details of the use made of such exemptions;

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If required by the UCITS host Member State, evidence of payment due to the competent authorities of the host Member State:

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#### PART C

Confirmation by the UCITS

We hereby confirm that the documents attached to this notification letter contain all relevant information as provided for in the Directive 2009/65/EC. The text of each document is the same as that previously submitted to the competent authorities of the home Member State, or is a translation that faithfully reflects that text.

(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/her full name and capacity, and shall ensure the confirmation is dated.)

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## ANNEX II

## UCITS ATTESTATION

(Article 2 of 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)

\_\_\_\_\_ is the competent authority in:  
(name of the competent authorities of the UCITS home Member State)

\_\_\_\_\_  
(the UCITS home Member State)

Address: \_\_\_\_\_

Telephone number: \_\_\_\_\_

E-mail address: \_\_\_\_\_

Fax number: \_\_\_\_\_

that carries out the duties provided for in Article 97(1) of Directive 2009/65/EC.

For the purpose of Article 93(3) of Directive 2009/65/EC,

\_\_\_\_\_ certifies that  
(name of competent authority, as above)

\_\_\_\_\_  
(name of UCITS, i.e. the name of the common fund, unit trust or investment company)

is established in: (name of its home Member State)

\_\_\_\_\_ was set up on: (date of approval of the fund rules or instrument of incorporation of the UCITS)

\_\_\_\_\_ has registry number (if applicable UCITS registry number in its home Member State)

\_\_\_\_\_ registered with (if applicable name of the authority responsible for the register)

\_\_\_\_\_ is based at:

\_\_\_\_\_  
(for investment companies only, address of the UCITS' head office)

is: (please tick appropriate one box)

either  a common fund/unit trust

List of all compartments approved in the home Member State, if applicable

Serial no.	Name
1	
2	
3	
....	

managed by the management company:

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(name and address of the management company)

or  an investment company:

List of all compartments approved in the home Member State, if applicable

Serial no.	Name
1	
2	
3	
....	

that: (please tick appropriate one box)

either  has designated a management company

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(name and address of the designated management company)

or  is self-managed

and fulfils the conditions set out in Directive 2009/65/EC

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

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