

MFSA

MALTA FINANCIAL SERVICES AUTHORITY

**INVESTMENT SERVICES RULES
FOR INVESTMENT SERVICES PROVIDERS**

Schedule DII

**Notification Letter for UCITS Management Companies
wishing to provide cross-border
services under the freedom to provide services
in another EU or EEA Member State**

Name of Investment Services Licence Holder:

Date submitted:

Issued:

Introduction

- Reference should be made to the relevant provisions of the Investment Services Act (UCITS Management Company Passport) Regulations, 2011
- The worksheet is password protected and all cells are locked except for the “yellow” cells which are write-enabled. This means that the Licence Holder is allowed to insert, delete or amend “yellow” cells only.
- All Sections should be completed. Preferably, replies should not go beyond the space provided for this purpose. In case of detailed explanations, separate sheets should be used. If the Licence Holder believes that a Section does not apply, the response should be “N/A”. **ALL THE SECTIONS MUST BE COMPLETED.**
- Hard copies of this Notification Letter and supporting documents are to be submitted in English. An Excel format of the Notification Letter is available from MFSA’s web site (www.mfsa.com.mt). Applicants are encouraged to complete the Notification Letter electronically.

Notification Letter: UCITS Management Companies

To: The Director – Authorisation Unit
Malta Financial Services Authority
Attard

Dear Sir/ Madam,

Re: Notification in accordance with Regulation 4 of the Investment Services Act (UCITS Management Company Passport) Regulations, 2011

We wish to notify the MFSA that:

["the Company"]

intends to provide cross border services for the first time / additional services / change in services in:

[Redacted]

under the **freedom to provide services**.

["the Company"]

intends/ does not intend to pursue the activity of collective portfolio management

["the Company"] hereby encloses the following documents:

- Programme of operations stating the activities and services
- Description of the risk management process
- Description of the procedures and arrangements implemented to handle investor complaints

We undertake to notify the MFSA in the event of any change in any of the particulars provided in this notification, at least one month before implementing the change.

Yours sincerely,

Name	[Redacted]
Signature	[Redacted]
Title	[Redacted]

* If notification includes changes to the investment services already provided (extension or narrowing of the scope of investment services), please highlight current investment services provided and make clear the alterations.