

Form for the de-notification of marketing of units or shares of EU AIFs



For the purpose of de-notifying the marketing arrangements of an AIF/compartment of an EU alternative investment fund (“AIF”) managed by an authorised Maltese alternative investment fund manager (“AIFM”) pursuant to Article 32a of the AIFM Directive 2011/61/EU (“the AIFMD”).

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Contents



Date of de-notification:

[Insert text here]

Please specify the Member State(s) in which the AIFM will cease any new or further, direct, or indirect, offering or placement of units or shares of the AIF(s) relevant for this de-notification:

[Insert text here]

General information of the AIF:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Name of AIF | AIF Home Member State | Address of the AIF | Does the AIF have compartments?(Indicate N/A if AIF with no compartments) | Name of the AIF/ compartment to be de-notified  | LEI code of the AIF/compartment of the AIF to be de-notified |
| [Insert text here] | [Insert text here] | [Insert text here] | [Insert text here] | [Insert text here] | [Insert text here] |

General information of the AIFM:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Name of AIFM | AIFM Home Member State | Address of the registered office of the AIFM | Details of the AIFM`s website  | Contact email |
| [Insert text here] | [Insert text here] | [Insert text here] | [Insert text here] | [Insert text here] |

Can you confirm that, except in the case of closed-ended AIFs and funds regulated by Regulation (EU) 2015/760 of the European Parliament and of the Council[[1]](#footnote-1);
a) a blanket offer is made to repurchase or redeem, free of any charges or deductions, the AIF(s) units or shares held by investors in the relevant Member State(s);
b) that this offer is publicly available for at least 30 working days;
c) that the offer is addressed, directly or through financial intermediaries, individually to all investors in the relevant Member State(s) whose identity is known?

Please explain and provide relevant information.

[ ]  Yes

[ ]  No

Explanation: [Insert text here]

Can you confirm that the intention to terminate arrangements made for marketing units or shares of the relevant AIF(s) in the Member State(s) is made public by means of a publicly available medium, including by electronic means, which is customary for marketing AIFs and suitable for a typical AIF investor?

Please explain and provide relevant information.

[ ]  Yes

[ ]  No

Explanation: [Insert text here]

Can you confirm that any contractual arrangements with financial intermediaries or delegates are modified or terminated with effect from the date of the de-notification in order to prevent any new or further, direct or indirect, offering or placement of the units or shares of relevant AIF(s)?

Please explain and provide relevant information.

[ ]  Yes

[ ]  No

Explanation: [Insert text here]

Can you confirm as to whether investors in the host Member State where the de-notification takes place are still invested in the relevant AIF/compartment of an AIF at the time of de-notification?

[ ]  Yes

[ ]  No

Explanation: [Insert text here]

Is the AIFM aware of the obligation to provide investors who remain invested in the EU AIF, as well as the AIFM, with the information required under Articles 22 and 23 of the AIFMD?

[ ]  Yes

[ ]  No

Explanation: [Insert text here]

The AIFM hereby confirms that, for a period of 36 months from the date of de-notification, it shall not engage in pre-marketing of units or shares of the relevant AIF/ compartment of an AIF, or in respect of similar investment strategies or investment ideas, in the host Member State where the de-notification takes place.

[ ]  Yes

[ ]  No

Explanation: [Insert text here]

Are there any changes to the documentation and information referred to in points (b) to (f) of Annex IV that was provided as part of the initial notification in accordance with Article 32 of the AIFMD? If so, please explain and provide the amended documentation.

[ ]  Yes

[ ]  No

Explanation: [Insert text here]

Declaration

The signatories declare having answered the questions in this de-notification form completely and truthfully, and that they are authorized persons to represent the AIFM. The signatories shall state their full names and capacity and shall ensure the form is dated.

|  |  |
| --- | --- |
| Signature:[Insert text here] | Date:[Insert text here] |
| Name:[Insert text here] | First Name:[Insert text here] |
| Company:[Insert text here] | Position:[Insert text here] |
| Phone:[Insert text here] | E-mail address:[Insert text here] |

1. Regulation (EU) 2015/760 of the European Parliament and of the Council of 29 April 2015 on European long- term investment funds (OJ L 123, 19.5.2015, p. 98). [↑](#footnote-ref-1)