**Notification form for carrying on a business activity in another Member State under Directive 2011/61/EU of 8 June 2011**

This document forms Annex 6.2 of AMF Instruction - Authorisation procedure for investment management companies, disclosure obligations and passporting – DOC-2008-03

**1. Name, authorisation date and number of the AIF management company covered by Directive 2011/61/EU of 8 June 2011**

Name: ………………………………..

Management company authorised by the AMF on.................................. under the number......................................................

Date of authorisation[[1]](#footnote-1) as an AIF management company:…………………………………………………..

**2. Nature of the dossier[[2]](#footnote-2)**

Name of host Member State: ……………………

 Declaration under the freedom of establishment (Establishment of a branch)

 Declaration under the freedom to provide services

**3. Person responsible for preparing the dossier**

Name: ………………………… Title/Position: ……………….

Telephone: ………………………………. Fax: ………………

Email: …………………………..

**4. Any changes to information provided along with a dossier for establishing a branch or a declaration under the freedom to provide services** shall **be notified at least one month prior to implementation, or immediately in case of an unforeseen change, by emailing the AMF at [**[passports-AIFM@amf-france.org](mailto:passports-AIFM@amf-france.org)**].**

**5. Person(s) responsible for this dossier**

Name: ……………………… Job title of signatory[[3]](#footnote-3): ……………………. Signature:

Date: ………………………

**This notification, once completed and signed, must be attached to the "demande de passeport" on ROSA.**

**Name of AIF management company covered by Directive 2011/61/EU of 8 June 2011:**........................................................................................................................................................................

**ESTABLISHMENT OF A BRANCH**

**To be accepted as complete, the dossier must include the following documents:**

* dated and signed CVsof branch directors, including date and place of birth, nationality, planned place of residence, exact nature of functions in the branch, level, nature and duration of responsibilities exercised during the last ten years, and level of knowledge of the official language of the host country.
* for each person with responsibilities in the branch, a document signed by one of the directors of the management company in France certifying that those responsible for the branch are not subject to the exclusions given in Article L. 500-1 of the Monetary and Financial Code or to equivalent exclusions in a foreign country.
* If one of the persons responsible for the branch has, in the context of his/her professional activity in France or abroad, been the subject of an investigation or of professional, administrative or judicial proceedings that resulted in a penalty, then all relevant details should be supplied.

**One copy of the dossier for the establishment of a branch should be prepared in French and English.**

**1. Member State on whose territory you plan to open a branch.**

………………………………………………………………………………………………………………………..

**2**. **Corporate name, trading name, contact details for the investment management company [postal address, contact name, telephone number and email address].**

…………………………………………………………………………………………………………………………

**3. Details of the branch.**

Name:………………………………………………………………………………………………………

Address: …………………………………………………………

Planned activity start date: ………………………………………………………….……………….……

**4. Directors responsible for the branch (two people; specify which of them will be present locally on a full-time basis).**

Last name – first name …………………… Last name – first name ……………………

Title / Position …………………………….. Title / Position ……………………………..

Telephone …………………………………. Telephone…………………………………..

Email ………………………………………. Email…………………………………………

**5. Branch programme of activity.**

|  |  |  |
| --- | --- | --- |
| **Activities mentioned in Appendix 1**  **of Directive No. 2011/61/EU of 8 June 2011** | **YES** | **NO** |
| Investment management functions which a management company shall at least perform when managing an AIF:   1. Portfolio management 2. Risk management |  |  |
| **Activities mentioned in Article 6, 4.**  **of Directive No. 2011/61/EU of 8 June 2011** | **YES** | **NO** |
| Portfolio management, including those held by pension funds and occupational retirement providers, in accordance with Article 19, paragraph 1 of Directive 2003/31/EC within the scope of mandates given by investors on a discretionary and individual basis. |  |  |
| Investment advice |  |  |
| Custodianship and administration, for units or shares in unit trusts |  |  |
| Receipt and transmission of orders for financial instruments |  |  |

**6.** **Additional Information**

If applicable: identify and describe the types of strategies that the AIF management company intends to implement through the branch.

Date and signature:………………………. Signatory name and job title[[4]](#footnote-4):…………………………

**Name of AIF management company covered by Directive 2011/61/EU of 8 June 2011:**.......................................................................................................................................................................

**DECLARATION UNDER THE FREEDOM TO PROVIDE SERVICES**

**One copy of the dossier providing a declaration under the freedom to provide services should be prepared in French and one in English.**

**1. Member State on whose territory you plan to supply the services.**

…………………..

**2. Corporate name, trading name, contact details for the investment management company [postal address, contact name, telephone number and email address].**

…………………………………………………………………………………………………………………

**3. Programme of activity.**

|  |  |  |
| --- | --- | --- |
| **Activities mentioned in Appendix 1**  **of Directive No. 2011/61/EU of 8 June 2011** | **YES** | **NO** |
| Investment management functions which a management company shall at least perform when managing an AIF:   1. Portfolio management 2. Risk management |  |  |
| **Activities mentioned in Article 6, 4.**  **of Directive No. 2011/61/EU of 8 June 2011** | **YES** | **NO** |
| Portfolio management, including those held by pension funds and occupational retirement providers, in accordance with Article 19, paragraph 1 of Directive 2003/31/EC within the framework of mandates given by investors on a discretionary and individual basis. |  |  |
| Investment advice |  |  |
| Custodianship and administration, for units or shares in unit trusts |  |  |
| Receipt and transmission of orders on financial instruments |  |  |

**4.**  **Additional Information**

If applicable: identify and describe the types of strategies that the AIF management company intends to implement directly in the host Member State.

Date and signature:………………………. Signatory name and job title [[5]](#footnote-5):……………………………

1. The AMF enclose a declaration to the effect that the management company has an authorisation compliant with the AIFM directive. [↑](#footnote-ref-1)
2. Complete a dossier for each host Member State concerned. [↑](#footnote-ref-2)
3. The signatory must be an accountable director (*dirigeant responsable*) of the management company in France, as defined by Article L 532-9 of the Monetary and Financial Code. [↑](#footnote-ref-3)
4. The signatory must be an accountable director (*dirigeant responsable*) of the management company in France, as defined by Article L 532-9 of the Monetary and Financial Code. [↑](#footnote-ref-4)
5. The signatory must be an accountable director (*dirigeant responsable*) of the management company in France, as defined by Article L 532-9 of the Monetary and Financial Code. [↑](#footnote-ref-5)