

Notification letter for pre-marketing to potential professional investors in the European Union

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| For the purpose of notifying pre-marketing arrangements by Dutch authorised alternative investment fund managers (**AIFMs**) pursuant to the CBDF Regulation 2019/1156, the AIFM Directive 2011/61/EU (the **AIFMD**) as amended by CBDF Directive 2019/1160 and the Dutch Act on Financial Supervision (**Wft**). |

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| AIFM |  |  |   |  |  |
| *AIFM name* |  |  |  |  |  |
| *LEI code of AIFM* |  |  |  |  |  |
| *Contact details at the AIFM. Please include registered office/domicile if different from address.* |  |  |  |  |  |
| *Details of contact person at the AIFM.* |  |  |  |  |  |

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| AIF |  |  |  |  |  |
| *Member State(s) in which pre-marketing to professional investors is taking or has taken place:* |  |  | [ ]  Austria[ ]  Belgium[ ]  Bulgaria[ ]  Croatia[ ]  Cyprus[ ]  Czech Republic[ ]  Denmark[ ]  Estonia[ ]  Finland[ ]  France[ ]  Germany[ ]  Greece[ ]  Hungary[ ]  Ireland[ ]  Italy[ ]  Latvia[ ]  Lithuania[ ]  Luxembourg[ ]  Malta[ ]  Netherlands[ ]  Poland[ ]  Portugal[ ]  Romania[ ]  Slovakia[ ]  Slovenia[ ]  Spain[ ]  Sweden |  |  |
| *Period during which pre-marketing is taking place or has taken place[[1]](#footnote-1):* |  |  |  |  |  |
| *Description of the pre-marketing information provided[[2]](#footnote-2):* |  |  |  |  |  |
| *Does the AIF have compartments or subfunds?*  |  |  | Yes/no |  |  |
| Name of AIF and/or compartment or subfund to be pre-marketed in the host Member State[[3]](#footnote-3) | AIF home Member State | Legal form[[4]](#footnote-4)  | Constitution date of AIF/ compartment or subfund  | AIF’s and/or compartment’s or subfund’s investment strategy  |
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| Third parties |  |  |  |  |  |
| *Name of third party engaging in pre-marketing on behalf of the AIFM, if applicable:* |  |  |  |  |  |
| *Address and registered office/domicile of the third party (if different from address):* |  |  |  |  |  |
| *Details of third party's contact person:* |  |  |  |  |  |
| *The third party acting on behalf of the AIFM is authorized as (please tick the appropriate box):* |  |  | [ ]  an investment firm in accordance with Directive 2014/65/EU; [ ]  a credit institution in accordancewith Directive 2013/36/EU;[ ]  a UCITS management company in accordance with Directive 2009/65/EC;[ ]  an authorised AIFM in accordance with the AIFMD;[ ]  a tied agent in accordance with Directive 2014/65/EU. |  |  |

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| The AIFM hereby confirms that it shall ensure that potential investors in the relevant Member State do not acquire units or shares in the relevant AIF or the compartment(s) or subfund(s) through this pre-marketing and that the investors contacted as part of this pre-marketing may only acquire units or shares in that AIF or that compartment or subfund through marketing permitted under the marketing rules provided by the AIFMD.  |
| **Yes**  | [ ]   | **No**  | [ ]   |
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| Any subscription by professional investors in the relevant Member State (including those subscribing at their own initiative and including those which have not been approached during the pre-marketing phase), within 18 months of the AIFM having begun pre-marketing, to units or shares of the AIF or the compartment(s) or subfund(s) referred to in the information provided in this form, or of an AIF or compartment or subfund established as a result of this pre-marketing, shall be considered to be the result of marketing and shall be subject to the applicable notification procedures referred to in the AIFMD.  |

For a period of 36 months from the date referred to in point (c) of the first subparagraph of paragraph 1 of article 32 bis AIFMD, the AIFM shall not engage in pre-marketing of units or shares of the EU AIFs referred to in the relevant de-notification form, or in respect of similar investment strategies or investment ideas, in the Member State identified in such de-notification form.

I/we hereby confirm (i) that the information provided in this notification letter contains all the relevant information as required by the applicable legislation, (ii) that the information in this form is accurate and complete to the best of my knowledge and belief and (iii) that I/we am/are authorized to sign on behalf of the AIFM.

Signature person 1: Signature person 2:

Name person 1: Name person 2:

Capacity person 1: Capacity person 2:

Place: Place:

Date: Date:

1. The pre-marketing period indicated in this section should be the same for all the Member States mentioned in this document. In case of different pre-marketing dates per Member State a separate notification letter should be provided. [↑](#footnote-ref-1)
2. If a specific investment strategy that is being provided relates to an existing compartment or subfund or to a compartment or subfund to be constituted, the information regarding the investment strategy can be provided in the table on page on this page. If not, the specific investment strategy or strategies can be provided here. [↑](#footnote-ref-2)
3. If the AIF takes the form of an umbrella AIF with multiple compartments or subfunds, AIFMs should only indicate the name of the compartments or subfunds of the umbrella AIF notified for pre-marketing. AIFMs should not indicate the name of the umbrella AIF. [↑](#footnote-ref-3)
4. Common fund, unit trust, investment company, partnership, other (please specify). [↑](#footnote-ref-4)