

## UK AIFM new fund under management notification

### Name of alternative investment fund manager

### Firms reference number (FRN)

### Legal entity identification code (LEI)

### Purpose of this form

You should use this form if you are a:

- full-scope UK AIFM
- small authorised UK AIFM or a
- small property UK AIFM (a small registered UK AIFM registered in accordance with regulation 10(3) of the UK AIFMD Regulation)

that wishes to notify us of a new fund that you will manage.

You should not use this form if:

- you are a SEF or RVECA manager and wish to notify us of a new fund - a dedicated form is available on the FCA website
- you are a *small AIFM* and management of the fund or funds being notified will result in you exceeding the AUM threshold. Please follow the guidance on the FCA website about how to notify us if you exceed the AUM threshold.

### Reporting of sub-funds

If an AIF takes the form of an umbrella AIF with several compartments or sub-funds, AIF-specific information should be reported at the level of the compartments or sub-funds.

For the purpose of this form, any reference to AIF includes compartments or sub-funds of that AIF that exhibit all the elements in the definition of 'AIF' in regulation 3(1)(a) of the Alternative Investment Fund Managers Regulations 2013 (ie, 'collective investment undertaking', 'raising capital', 'number of investors' and 'defined investment policy').

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### **Filling in the form**

1. If you are using your computer to complete the form:
  - use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question and
  - print out the form you have completed and sign the declaration.
2. If you are filling in the form by hand:
  - use black ink
  - write clearly and
  - sign the declaration.
3. Attached documents should be in final form and saved using the document naming convention AIFMD NEWAIF XXXXXX FRN##### YYYYMMDD replacing the X with an intuitive description of the documents, for example PROSPECTUS, PPM, LPA and replacing # with your six-digit FRN.
4. Submit the form by email to [AIFMDMaterialChange@fca.org.uk](mailto:AIFMDMaterialChange@fca.org.uk)

Alternatively you may post the application to the FCA at:

**Fund Authorisations Team  
Asset Management Department, Wholesale Supervision  
The Financial Conduct Authority  
12 Endeavour Square  
LONDON  
E20 1JN**

# 1 AIFM identification details

## 1.1 Contact details of the person we will get in touch with about this notification.

Name	
Position	
Firm	
Phone number	
Email address	

## 1.2 Which of the following apply to the AIFM?

- Full-scope UK AIFM
- Small authorised UK AIFM
- Small property UK AIFM

Note: a dedicated form is available on the FCA website for the notification of SEF and RVECA funds

# 2

## Schedule of AIFs

**2.1 Please complete the 'Schedule of AIFs' with details of all new AIFs to be managed by your firm.**

Links to schedule of AIFs:

Full-scope UK AIFM: <http://fca.org.uk/static/documents/forms/aif-schedule-full-scope-aifm.xlsx>

Small registered AIFM: <http://fca.org.uk/static/documents/forms/aif-schedule-small-registered-aifm.xlsx>

Small authorised AIFM: <http://fca.org.uk/static/documents/forms/aif-schedule-small-authorised-aifm.xlsx>

I confirm the Schedule of AIFs has been completed with details of all new AIFs.

**2.2**  I confirm that the persons who effectively conduct the business are sufficiently experienced in relation to the investment strategies pursued by the AIF to which this notification relates.

**If a separate approved person or senior person change notification has been made as a result of the change being notified please indicate this below.**

Approved persons ▶ Application identifier:

Senior persons

**2.3 Will the new AIF(s) that you are notifying be subject to any of the following UK permissions/regimes? Please follow the relevant link(s) for guidance on your obligations under these regimes.**

- |  |   |
|--|---|
| <input type="checkbox"/> UK AIFM marketing ▶           | <a href="https://www.fca.org.uk/firms/aifmd-uk">https://www.fca.org.uk/firms/aifmd-uk</a><br><a href="https://www.fca.org.uk/firms/nppr">https://www.fca.org.uk/firms/nppr</a>  |
| <input type="checkbox"/> Prospectus – technical note ▶ | <a href="http://www.fca.org.uk/your-fca/documents/technical-note-supplementary-prospectus">http://www.fca.org.uk/your-fca/documents/technical-note-supplementary-prospectus</a> |
| <input type="checkbox"/> Listing rules                 | <a href="https://www.handbook.fca.org.uk/handbook/LR.pdf">https://www.handbook.fca.org.uk/handbook/LR.pdf</a>   |

- ▶ Continue to Section 3 if you are a full-scope UK AIFM
- ▶ Continue to Section 4 if you are a small authorised UK AIFM or small property UK AIFM

# 3

## Full-scope UK AIFMs

### 3.1 For each AIF identified in the schedule of AIFs, the firm must provide the following items to the FCA.

- a) A copy of the rules or instruments of incorporation of the AIF.
- Attached for all AIFs.
- b) The firm must confirm that for each depositary listed on the schedule of AIFs, contractual arrangements are in place in accordance with FUND 3.11.19R (Written contract).
- Contractual arrangements are in place with each depositary listed on the schedule for each new AIF listed.
- c) The firm must provide all information that will be made available to investors under FUND 3.2.2R (Prior disclosure of information to investors).

Please complete the /FUND 3.2.2R checklist, which can be found at:

<https://www.fca.org.uk/publication/forms/aifmd-marketing-annex-3.doc>

Attached for all AIFs.

**3.2**  I confirm that there are adequate risk management systems in place to appropriately manage all risks relevant to the investment strategies of the AIF being notified and the risks to which this AIF is or may be exposed.

**3.3**  I confirm that, in assuming management of the AIFs notified herein, the firm will continue to be compliant with the conditions of authorisation and the requirements of AIFMD.

Please indicate below if a delegate or external valuer that has not previously been notified to the FCA will be appointed in respect of the AIF(s) being notified

We will appoint one or more delegates ▶ Please complete and submit the Notice of AIFM Delegation form

We will appoint one more external valuers ▶ Please complete and submit the relevant sections in the AIFM notification of material change form.

▶ Continue to Section 5 – Declaration and signature

# 4

## Sub-threshold AIFMs

### 4.1 Please confirm your Total Assets under Management (EUR) after the inclusion of the new AIF(s) being notified (calculated in accordance with article 2 of the AIFMD level 2).

Exclude any AIFs subject to transitional arrangements under regulations 74 and 75 of the UK AIFMD Regulations.

### 4.2 Which sub-threshold limit do you operate to?

For the purpose of this question, total AUM should be calculated in accordance with article 2 of the AIFMD level 2 regulation

- €500 million – total portfolio consists of AIFs unleveraged with no redemption rights exercisable during a period of five years following the date of initial investment in each AIF
- €100 million – total portfolio in all other cases, including any assets acquired through the use of leverage

### 4.3 Please confirm that an offering document, or an extract of an offering document covering the information referred to in article 5(2)(a) to (c) of the AIFMD level 2 regulation, has also been attached in relation to each new AIF.

- Offering document attached for all new AIFs.
- Extract of an offering document attached for all new AIFs.
- Columns N to W for small authorised AIFMs or columns L to U for small registered AIFMs in the Schedule of AIFs completed for all new AIFs.

If you can provide an offering document or an extract of an offering document that contains all of the information required by columns N to W for small authorised AIFMs or columns L to U for small registered AIFMs of the relevant schedule of AIFs, then you are not required to separately complete these columns. If the offering document or extract of the offering document does not contain all of the information required in these columns, you must provide this information separately in the schedule of AIFs

**The remainder of the section should only be completed if you specified in question 1.2 that you are a small property UK AIFM.**

**4.4 Please confirm that the AIF is fully compliant with the conditions for a small property UK AIFM specified in the UK AIFMD Regulations 10(3).**

**Tick all that apply:**

- The AIF is a collective investment scheme
- The AIF is **not** an authorised fund
- The AIF, other than during its first 180 days or last 180 days as an AIF, holds the majority of its assets as land

**4.5 Please confirm the name and FCA firm reference number of the operator of the AIF (collective investment scheme) managed by the firm.**

Under regulation 10(3)(c), an AIF managed by a small property UK AIFM must be operated, or be established and operated, by a person with a Part 4A permission to carry on the regulated activity of establishing, operating or winding up a collective investment scheme.

**4.6 Please confirm whether the AIF managed by the firm holds any investments of the kind specified for the purposes of section 22 of FSMA.**

Note: Under regulation 10(3)(b)(iv) and 10(8), an AIF managed by a small property UK AIFM may not hold any investment of a kind specified for the purposes of section 22 of FSMA, except contracts of insurance which relate to land held by the AIF, or shares through which the AIF holds land. For further guidance on investments of a kind specified for the purposes of section 22 of FSMA, please refer to PERG 2

- Yes ▶ Please provide further details below.
- No ▶ Proceed to next section.



# 5

## Declaration and signature

### Warning

Knowingly or recklessly giving us information that is false or misleading in a material particular is a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000). We expect you to take reasonable steps to ensure the accuracy and completeness of information given to us and to tell us immediately if materially inaccurate information has been provided. Contravening these requirements may lead to disciplinary sanctions or other enforcement action by us. It should not be assumed that information is known to us just because it is in the public domain or has previously been disclosed to us or another regulatory body. If you are not sure whether a piece of information is relevant, please include it anyway.

### Data Protection

For the purpose of complying with the General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018, the personal information in this form will be used by the FCA to discharge its statutory functions under the Financial Services and Markets Act 2000, the Alternative Investment Fund Managers Regulations 2013 and other relevant legislation.

The FCA processes personal data in line with the requirements of the General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018. For further information about the way we use the personal data collected in this form, please read the privacy notice available on our website: [www.fca.org.uk/privacy](http://www.fca.org.uk/privacy).

### Declaration

By submitting this notification:

- ✓ I confirm that the information in this notification is accurate and complete to the best of my/our knowledge and belief and that I/we have taken all reasonable steps to ensure that this is the case.
- ✓ I am aware that it is a criminal offence knowingly or recklessly to give the FCA information that is false or misleading in a material particular.
- ✓ Some questions do not require supporting evidence. However, the records, which demonstrate the notifying firm's compliance with the rules in relation to the questions, must be available to the FCA on request.
- ✓ I will notify the FCA immediately if there is a significant change to the information given in the notification.

<b>Date</b>	<input type="text"/>
<b>Name of signatory<sup>1</sup></b>	<input type="text"/>
<b>Position<sup>2</sup> of signatory</b>	<input type="text"/>
<b>Individual registration number (if applicable)</b>	<input type="text"/>
<b>Signature</b>	<input type="text"/>

<sup>1</sup> The signatory must be a suitable person of appropriate seniority at the firm.

<sup>2</sup> eg, Director, Sole Trader, Compliance Officer, etc.