Application for Registration as Alternative Investment Fund Manager (“AIFM”):

Checklist

November 2017

**NOTES ON COMPLETION**

1. This checklist forms part of the Application Form for registration of an Alternative Investment Fund Manager which must be submitted through Orion. Orion can be accessed on the Central Bank of Ireland’s website. <https://orion.centralbank.ie/>.
2. **Please read Regulation 4 of the European Union (Alternative Investment Fund Managers) Regulations SI 257 of 2013, Articles 2 to 5 of Commission Delegated Regulation (EU) No 231/2013, and the following as appropriate; Chapter 2 (if it is proposed to act as AIFM to a Qualifying Investor AIF), Chapters 4 (if the firm is an AIF management company) and Chapter 6 of the AIF Rulebook in conjunction with the completion of the Registration Form.**
3. **Applicants are also advised that they should not omit information which is likely to be relevant to the Central Bank’s assessment of the application. Issues arising within applications of this nature are likely to be relevant to any future assessment of individuals under the Fitness and Probity Standards.**
4. The application form is applicable only in the case of firms seeking approval as an AIF Management Company. Applicants are approved under the following applicable **Investment fund legislation:** Unit Trusts Act 1990, Part XIII of the Companies Act 1990, Investment Limited Partnerships Act 1994 and Investment Funds, Companies and Miscellaneous Provisions Act 2005. In accordance with the AIF Rulebook, an AIF Management Company is a company whose regular business is the collective portfolio management of AIFs. Where an Applicant is to be appointed as Alternative Investment Fund Manager (“AIFM”) within the meaning of Directive 2011/61/EC (“AIFMD”), it is necessary to complete the application form for authorisation as an AIFM, available from the Central Bank’s website and consult Chapter 3 of the AIF Rulebook.
5. All checklists must be **typed**.
6. All questions must be completed before the registration form can be considered. If a question does not apply, please write **not applicable** or **none** as appropriate. Do not leave any blank spaces. **(Incomplete checklists will result in Registration Form being returned.)** If the applicant is unable to submit any of the documentation requested below, please give an explanation in the covering letter (referring to the relevant question in either the Registration Form or Checklist).

N.B: An application is only considered complete when the following documentation is submitted:

* Completed Registration form (including completed Checklist);
* Relevant information/data requested by the Registration Form and/or Checklist as attachments.

1. If insufficient space has been provided for a reply or if the answer is requested on a separate sheet, please provide that information on a separate sheet and refer to it in the space provided for the answer. Please ensure that any sheets are clearly marked with the name of the organisation and referenced to the appropriate question.
2. Where applicants are required to ‘confirm’, a tick (‘✓’) placed in the relevant box will be taken as a confirmation that the relevant section has been addressed as specified.
3. Any questions that have a **YES** and a **NO** box should be completed by inserting ‘Yes’ or ‘No’ as appropriate.
4. Further information or clarification may be requested (having regard to the replies furnished) for the purpose of considering and evaluating an application.

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|  |  |  | Document Ref |  | Applicant Yes/No |  | Central Bank of Ireland |
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| **1** | Registered name of the applicant at the date of submission of the application for registration: |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
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| **2** | **Please provide an extract from the prospectus or offering document for each AIF under management by the Applicant pursuant to Article 2 and 5(2) of AIFMD Level 2 setting out a general description of the investment strategy and include at least the following:** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  | **Main categories of assets in which each AIF may invest;** |  |  |  |  |  |  |
|  | **Any industrial, geographic or other market sectors or specific classes of assets which are the focus of the investment strategy; and** |  |  |  |  |  |  |
|  | **A description of the borrowing or leverage policy in the case of each AIF.** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| **3** | **Please provide documentation outlining the following:** |  |  |  |  |  |  |
|  | **Established and implemented procedures to monitor on an on-going basis the total value of assets under management as per Article 3 and 4 of AIFMD Level 2;** |  |  |  |  |  |  |
|  | **Established procedures to regularly provide the Central Bank with information on the main instruments in which they are trading and on the principal exposures and concentrations of the AIFs they manage in order to enable the Central Bank to monitor system risk effectively.; and** |  |  |  |  |  |  |
|  | **Established procedures to ensure updated reporting to the Central Bank, at least annually, of the information set out in Section 2 of the Registration Form and Question 2 above.** |  |  |  |  |  |  |

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| **European Union (Alternative Investment Fund Managers) Regulations 2013**  **DECLARATION** | | | | | | | | |
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| [The applicant] applies for registration under the Alternative Investment Fund Managers Regulations SI 257 of 2013 on the basis of information supplied with the application and any additional information supplied to the Central Bank of Ireland in the course of this application. | | | | | | | | |
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| I/We acknowledge that the Central Bank of Ireland may disclose information in the performance of its statutory functions or otherwise as may be specifically authorised by law. | | | | | | | | |
|  |  | | | | |  |  |  |
| I/We warrant that I/we have truthfully and fully answered the relevant questions in this form and disclosed any other information which might reasonably be considered relevant for the purpose of the application. | | | | | | | | |
|  |  | | | | |  |  |  |
| I/We warrant that I/we will promptly notify the Central Bank of Ireland of any changes in the information I/we have provided and supply any other relevant information which may come to light thereafter. | | | | | | | | |
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| *Dated this* | |  | *day of* |  | *20* | | | |
| *Signed:* | | | *Position:* | | | | | |
| *Signed:* | | | *Position:* | | | | | |
| *Signed:* | | | *Position:* | | | | | |
| *For and on behalf of:*  *(Please print name of the Applicant. At least two directors must sign the declaration. Original signatures are required.)* | | | | | | | | |

*The Central Bank may process personal data provided by you in order to fulfil its statutory functions or to facilitate its business operations. Any personal data will be processed in accordance with the requirements of data protection legislation. Any queries concerning the processing of personal data by the Central Bank may be directed to* [*dataprotection@centralbank.ie*](mailto:dataprotection@centralbank.ie)*. A copy of the Central Bank’s Data Protection Notice is available at* [www.centralbank.ie/fns/privacy-statement](http://www.centralbank.ie/fns/privacy-statement)*.*

