

**MFSA**

---

MALTA FINANCIAL SERVICES AUTHORITY

**Guidance Notes on the completion of the  
National Private Placement Notification Forms  
pursuant to the provisions of the  
Alternative Investment Fund Managers Directive  
[Directive 2011/61/EU]**

### CONTENTS

1.	INTRODUCTION AND INSTRUCTIONS .....	3
2.	ARTICLE 36 NOTIFICATION FORM .....	5
2.1.	<i>SHEET #1: COVER SHEET</i> .....	5
2.2.	<i>SHEET #2: DECLARATION</i> .....	5
2.3.	<i>SHEET #3: INSTRUCTIONS</i> .....	6
2.4.	<i>SHEET #4: DETAILS OF THE EU AIFM</i> .....	6
2.5.	<i>SHEET #5.1: DETAILS OF THE AIF(s)</i> .....	7
2.6.	<i>SHEET #5.2: ADDITIONAL INFORMATION</i> .....	10
2.7.	<i>SHEET #6: COMMENTS AND REMARKS</i> .....	10
3.	ARTICLE 42 NOTIFICATION FORM .....	11
3.1.	<i>SHEET #1: COVER SHEET</i> .....	11
3.2.	<i>SHEET #2: DECLARATION</i> .....	11
3.3.	<i>SHEET #3: INSTRUCTIONS</i> .....	12
3.4.	<i>SHEET #4: DETAILS OF THE NON-EU AIFM</i> .....	12
3.5.	<i>SHEET #5.1: DETAILS OF THE AIF(S)</i> .....	13
3.6.	<i>SHEET #5.2: ADDITIONAL INFORMATION</i> .....	15
3.7.	<i>SHEET #6: COMMENTS AND REMARKS</i> .....	15
4.	DE MINIMIS NOTIFICATION FORM.....	16
4.1.	<i>SHEET #1: COVER SHEET</i> .....	16
4.2.	<i>SHEET #2: DECLARATION</i> .....	16
4.3.	<i>SHEET #3: INSTRUCTIONS</i> .....	17
4.4.	<i>SHEET #4: DETAILS OF THE EU AIFM</i> .....	17
4.5.	<i>SHEET #5.1: DETAILS OF THE AIF(S)</i> .....	18
4.6.	<i>SHEET #5.2: ADDITIONAL INFORMATION</i> .....	20
4.7.	<i>SHEET #6: COMMENTS AND REMARKS</i> .....	20
5.	QUERIES.....	20

## 1. **INTRODUCTION AND INSTRUCTIONS**

The National Private Placement Regime ('NPPR') allows Alternative Investment Fund Managers ('AIFMs') to market Alternative Investment Funds ('AIFs') in the instances where these cannot be marketed in terms of the passporting regimes outlined in Articles 31 to 33 of the Alternative Investment Fund Managers Directive ('AIFMD').



To be able to market in Malta in terms of the NPPR, an AIFM must satisfy a number of conditions as prescribed in the [AIFMD](#) and transposed in the [Investment Services Act \(Alternative Investment Fund Manager\) \(Third Country\) Regulations, 2013](#). The NPPR may only be used for marketing to professional investors.

The Authority has issued **three** notification forms to be compiled by AIFMs in order to market AIFs to professional investors, these being:

- (i) the Article 36 Notification Form,
- (ii) the Article 42 Notification Form; and
- (iii) the De Minimis Notification Form.

**Marketing to retail investors pursuant to the NPPR will only be allowed if a specific authorisation to market to retail investors is obtained from the MFSA.**

Each AIFM can enter up to 20 AIFs in one notification. In the instances where the notification relates to more than 20 AIFs, the AIFM will be required to complete another form. The AIFM shall also be required to attach to the notification form for submission to the Authority a copy of the latest approved offering document(s) of each AIF marketed.

The notification forms have been created using Microsoft Excel with restrictions and validations on the fields to ensure that the data provided is as expected. Each form is divided into **six** sections. To successfully complete the form, all mandatory fields must be completed as further specified in this document. Successful completion of each section will be confirmed by the  turning into .

Reference to 'EU' throughout the forms and this document should be understood as referring to 'EU and EEA'.

The completed NPPR notification forms and offering document(s) are to be emailed on the address below:

[aifmdnppr@mfsa.com.mt](mailto:aifmdnppr@mfsa.com.mt).

# MFSA

## MALTA FINANCIAL SERVICES AUTHORITY

The Notification Form submitted should be accompanied by the appropriate fee, otherwise the request will not be processed. A confirmation of receipt will then be sent by the MFSA together with a notification number. AIFMs should wait until this confirmation is received before commencing marketing. The MFSA may reserve the right to request further information if necessary.

The fee structure which is current at the time of writing (but may be subject to change) is shown below. Applicants are advised to check that the fee structure below is current at the time of submitting the Notification Form.

	<b>Application Fee</b>	<b>Annual Fee</b>
	<i>EUR</i>	<i>EUR</i>
<b>Scheme</b>	2500.00	3000.00
<b>Per Scheme Sub-Funds [Per Sub-Fund]</b>	450.00	500.00

Any person who knowingly or recklessly furnishes information or makes a statement which is inaccurate, false or misleading in any material respect is guilty of an offence under the Investment Services Act, 1994.

If, after the notification has been submitted, the AIFM becomes aware that the information submitted has changed or if the AIFM becomes aware of any material fact that affects the information submitted, the AIFM must immediately inform the MFSA.

Responsibility for the submission of all relevant information rests with the AIFM.

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.

All questions should be answered. Kindly insert "N/A" in any fields indicated in the Form which are not relevant.

Additional notes for completion of the forms are detailed below.

### 2. ARTICLE 36 NOTIFICATION FORM

The Article 36 Notification Form provides for the marketing in Malta to professional investors by an EU AIFM (above threshold) of:

- (i) non-EU AIFs or
- (ii) EU Feeder AIFs (with non-EU Master or non-EU Master AIFM)

managed by the EU AIFM.

#### 2.1. SHEET #1: COVER SHEET

<b>Person Filing the Notification Form</b>	<i>The name and surname of the individual submitting the form.</i>
<b>Date</b>	<i>The date on which the notification form was submitted.</i>

#### 2.2. SHEET #2: DECLARATION

The various elements of this sheet should be completed as follows:

##### *Declaration*

<b>Declaration</b>	<i>A 'YES' must be selected in order to proceed to the second part of the sheet.</i>
--------------------	--

##### *Contact Details*

<b>Name</b>	<i>The name of the individual submitting the notification form.</i>
<b>Surname</b>	<i>The surname of the individual submitting the notification form.</i>
<b>Address</b>	<i>The contact address of the person submitting the notification form.</i>
<b>Post Code</b>	<i>The post code of the individual submitting the notification form.</i>
<b>Country</b>	<i>The country where the individual submitting the notification form is based.</i>
<b>Email</b>	<i>The email address of the individual submitting the notification form.</i>
<b>Position</b>	<i>The job title of the individual submitting the notification form.</i>
<b>Telephone</b>	<i>The telephone number of the person submitting the notification form.</i>
<b>Date</b>	<i>The date on which the notification form was submitted.</i>

### 2.3. SHEET #3: INSTRUCTIONS

The individual from the EU AIFM submitting the notification form should take note of the instructions provided. These can also be found in Section 1.

### 2.4. SHEET #4: DETAILS OF THE EU AIFM

The various elements of this sheet should be completed as follows:

#### *Details of the EU AIFM*

<b>Legal Name</b>	<i>The full legal name of the AIFM as per its latest constitutional documents.</i>
<b>Identification Number</b>	<i>The unique identifier issued to the AIFM by its national competent authority. For Maltese AIFMs this corresponds to the licence number.</i>
<b>Home Country</b>	<i>The country where the AIFM is domiciled (to choose from drop-down list).</i>
<b>National Competent Authority</b>	<i>The national competent authority of the AIFM (to choose from drop-down list).</i>

#### *Registered Office Details*

<b>Address</b>	<i>The registered address of the AIFM.</i>
<b>Post Code</b>	<i>The registered address of the AIFM.</i>
<b>Country</b>	<i>The country where the AIFM's registered office is based.</i>
<b>Email</b>	<i>The email address of the AIFM's registered office.</i>
<b>Telephone</b>	<i>The telephone number of the AIFM's registered office.</i>

#### *Invoice Details*

<b>Address</b>	<i>Only if different from the AIFM &lt;Registered Office Details&gt;.</i>
<b>Post Code</b>	<i>Only if different from the AIFM &lt;Registered Office Details&gt;.</i>
<b>Country</b>	<i>Only if different from the AIFM &lt;Registered Office Details&gt;.</i>
<b>Email</b>	<i>Only if different from the AIFM &lt;Registered Office Details&gt;.</i>
<b>Telephone</b>	<i>Only if different from the AIFM &lt;Registered Office Details&gt;.</i>

#### *Assets under Management*

<b>AUM</b>	<i>The category of assets under management calculated in accordance with the AIFMD (to choose from drop-down list).</i>
<b>Amount</b>	<i>The amount (in Euros) of assets under management.</i>

### 2.5. SHEET #5.1: DETAILS OF THE AIF(s)

The various elements of this sheet should be completed as follows:

#### *Details of the AIF(s)*

<b>AIF Legal Name</b>	<i>The full legal name of the AIF as per its latest constitutional documents and/ or offering documents.</i>
<b>AIF ID Number Type</b>	<i>The type of ID code used as a reference for the AIF (to choose from drop-down list).</i>
<b>Identification Number</b>	<i>The identification or reference number for the AIF.</i>
<b>Home Country</b>	<i>The country where the AIF is domiciled (to be selected from drop-down list).</i>
<b>AIF National Competent Authority</b>	<i>The national competent authority of the AIF.</i>
<b>End of Financial Period</b>	<i>The date when the AIF's financial period ends.</i>

<b>AIF Type</b>	<i>The type of AIF (to choose from drop-down list).</i>
<b>Master AIF Legal Name</b>	<i>The name of the master AIF of the feeder AIF.</i>
<b>Master AIF Home Country</b>	<i>The country where the master AIF of the feeder AIF is domiciled.</i>
<b>Master AIF National Competent Authority</b>	<i>The national competent authority of the master AIF.</i>
<b>Legal Name of the AIFM of the Master AIF</b>	<i>The full legal name of the AIFM of the master AIF.</i>
<b>Home Country of the AIFM of the Master AIF</b>	<i>The country where the AIFM of the master AIF is domiciled (to choose from drop-down list).</i>

### *Entity Responsible for Safekeeping<sup>1</sup>*

<b>Legal Name</b>	<i>The full legal name of the entity performing safekeeping functions.</i>
<b>Home Country</b>	<i>The country where the entity performing safekeeping functions is domiciled (to choose from drop-down list).</i>
<b>Identification Number</b>	<i>Identification or reference number of the entity performing safekeeping functions. For a Maltese entity this should be the Licence Number.</i>

### *Entity Responsible for Cash Monitoring<sup>2</sup>*

<b>Legal Name</b>	<i>The full legal name of the entity performing cash monitoring functions.</i>
<b>Home Country</b>	<i>The country where the entity performing cash monitoring functions is domiciled (to choose from drop-down list).</i>
<b>Identification Number</b>	<i>Identification or reference number of the entity performing cash monitoring functions. For a Maltese entity this should be the Licence Number.</i>

### *Entity Responsible for Oversight<sup>3</sup>*

<b>Legal Name</b>	<i>The full legal name of the entity performing oversight functions.</i>
<b>Home Country</b>	<i>The country where the entity performing oversight functions is domiciled (to choose from drop-down list).</i>
<b>Identification Number</b>	<i>Identification or reference number of the entity performing oversight functions. For a Maltese entity this should be the Licence Number.</i>

### *Portfolio Management*

<b>Portfolio Management</b>	<i>To indicate whether portfolio management is carried out by the AIFM in full or whether there is any delegation to any other entity (to choose from drop down list). Additional information on delegation including names of delegates and national competent authorities should be provided in Sheet #6.</i>
-----------------------------	---

<sup>1</sup> In case more entities are appointed this should be specified in <Sheet #6 – Comments and Remarks>.

<sup>2</sup> In case more entities are appointed this should be specified in <Sheet #6 – Comments and Remarks>.

<sup>3</sup> In case more entities are appointed this should be specified in <Sheet #6 – Comments and Remarks>.



### *Risk Management*

<b>Risk Management</b>	<i>To indicate whether risk management is carried out by the AIFM in full or whether there is any delegation to any other entity (to choose from drop down list). Additional information on delegation including names of delegates and national competent authorities should be provided in Sheet #6.</i>
------------------------	--

### *Independent Valuation Agent<sup>4</sup>*

<b>Legal Name</b>	<i>The full legal name of the independent valuation agent (if appointed).</i>
<b>Identification Number</b>	<i>Identification or reference number of the independent valuation agent.</i>

### *Independent Transfer Agent<sup>5</sup>*

<b>Legal Name</b>	<i>The full legal name of the independent transfer agent (if appointed).</i>
<b>Identification Number</b>	<i>Identification or reference number of the independent transfer agent.</i>

### *Independent Auditors<sup>6</sup>*

<b>Legal Name</b>	<i>The full legal name of the independent auditors (if appointed).</i>
-------------------	--

### *Prime Broker(s)<sup>7</sup>*

<b>Entity Name (1)</b>	<b>Legal</b>	<i>The name of the prime broker used by the AIF (if any)</i>
<b>Entity Name (2)</b>	<b>Legal</b>	<i>The name of any additional prime broker used by the AIF (if any)</i>
<b>Entity Name (3)</b>	<b>Legal</b>	<i>The name of any additional prime broker used by the AIF (if any)</i>

<sup>4</sup> In case more entities are appointed this should be specified in <Sheet #6 – Comments and Remarks>.

<sup>5</sup> In case more entities are appointed this should be specified in <Sheet #6 – Comments and Remarks>.

<sup>6</sup> In case more entities are appointed this should be specified in <Sheet #6 – Comments and Remarks>.

<sup>7</sup> In case more entities are appointed this should be specified in <Sheet #6 – Comments and Remarks>.

*2.6. SHEET #5.2: ADDITIONAL INFORMATION*

The individual submitting the notification form should indicate the manner in which the information is made available to investors.

*2.7. SHEET #6: COMMENTS AND REMARKS*

The individual submitting the notification form should include additional comments and remarks pertaining to the information submitted in the form in the appropriate space on this sheet.

### 3. ARTICLE 42 NOTIFICATION FORM

The Article 42 Notification Form provides for the marketing in Malta to professional investors by a non-EU AIFM (above or below threshold) of:

- (i) EU AIFs; or
- (ii) non-EU AIFs

managed by the non-EU AIFM.

#### 3.1. SHEET #1: COVER SHEET

<b>Person Filing the Notification Form</b>	<i>The name and surname of the individual submitting the form.</i>
<b>Date</b>	<i>The date on which the notification form was submitted.</i>

#### 3.2. SHEET #2: DECLARATION

The various elements of this sheet should be completed as follows:

##### *Declaration*

<b>Declaration</b>	<i>A 'YES' must be selected in order to proceed to the second part of the sheet.</i>
--------------------	--

##### *Contact Details*

<b>Name</b>	<i>The name of the individual submitting the notification form.</i>
<b>Surname</b>	<i>The surname of the individual submitting the notification form.</i>
<b>Address</b>	<i>The contact address of the person submitting the notification form.</i>
<b>Post Code</b>	<i>The post code of the individual submitting the notification form.</i>
<b>Country</b>	<i>The country where the individual submitting the notification form is based.</i>
<b>Email</b>	<i>The email address of the individual submitting the notification form.</i>
<b>Position</b>	<i>The job title of the individual submitting the notification form.</i>
<b>Telephone</b>	<i>The contact telephone number of the person submitting the notification form.</i>
<b>Date</b>	<i>The date on which the notification form was submitted.</i>

### 3.3. SHEET #3: INSTRUCTIONS

The individual from the EU AIFM submitting the notification form should take note of the instructions provided. These can also be found in Section 1.

### 3.4. SHEET #4: DETAILS OF THE NON-EU AIFM

The various elements of this sheet should be completed as follows:

#### *Details of the Non-EU AIFM*

<b>Legal Name</b>	<i>The full legal name of the AIFM as per its latest constitutional documents.</i>
<b>Identification Number</b>	<i>The unique identifier issued to the AIFM by its national competent authority. For Maltese AIFMs this corresponds to the licence number.</i>
<b>Home Country</b>	<i>The country where the AIFM is domiciled (to choose from drop-down list).</i>
<b>National Competent Authority</b>	<i>The national competent authority of the AIFM (to choose from drop-down list).</i>

#### *Registered Office Details*

<b>Address</b>	<i>The registered address of the AIFM.</i>
<b>Post Code</b>	<i>The registered address of the AIFM.</i>
<b>Country</b>	<i>The country where the AIFM's registered office is based.</i>
<b>Email</b>	<i>The email address of the AIFM's registered office.</i>
<b>Telephone</b>	<i>The telephone number of the AIFM's registered office.</i>

#### *Invoice Details*

<b>Address</b>	<i>Only if different from the AIFM &lt;Registered Office Details&gt;.</i>
<b>Post Code</b>	<i>Only if different from the AIFM &lt;Registered Office Details&gt;.</i>
<b>Country</b>	<i>Only if different from the AIFM &lt;Registered Office Details&gt;.</i>
<b>Email</b>	<i>Only if different from the AIFM &lt;Registered Office Details&gt;.</i>
<b>Telephone</b>	<i>Only if different from the AIFM &lt;Registered Office Details&gt;.</i>

#### *Assets under Management*

<b>AUM</b>	<i>The category of assets under management calculated in accordance with the AIFMD (to choose from drop-down list).</i>
<b>Amount</b>	<i>The amount (in Euros) of assets under management.</i>

### 3.5. SHEET #5.1: DETAILS OF THE AIF(S)

The various elements of this sheet should be completed as follows:

#### *Details of the AIF*

<b>AIF Legal Name</b>	<i>The full legal name of the AIF as per its latest constitutional documents and/ or offering documents.</i>
<b>AIF ID Number Type</b>	<i>The type of ID code used as a reference for the AIF (to choose from drop-down list).</i>
<b>Identification Number</b>	<i>The identification or reference number for the AIF.</i>
<b>Home Country</b>	<i>The country where the AIF is domiciled (to be selected from drop-down list).</i>
<b>AIF National Competent Authority</b>	<i>The national competent authority of the AIF.</i>
<b>End of Financial Period</b>	<i>The date when the AIF's financial period ends.</i>

<b>AIF Type</b>	<i>The type of AIF (to choose from drop-down list).</i>
<b>Master AIF Legal Name</b>	<i>The name of the master AIF of the feeder AIF.</i>
<b>Master AIF Home Country</b>	<i>The country where the master AIF of the feeder AIF is domiciled.</i>
<b>Master AIF National Competent Authority</b>	<i>The national competent authority of the master AIF.</i>
<b>Legal Name of the AIFM of the Master AIF</b>	<i>The full legal name of the AIFM of the master AIF.</i>
<b>Home Country of the AIFM of the Master AIF</b>	<i>The country where the AIFM of the master AIF is domiciled (to choose from drop-down list).</i>

### *Custodian/ Depository*

<b>Legal Name</b>	<i>The full legal name of the custodian/ depository (if appointed)</i>
<b>Home Country</b>	<i>The country where the custodian/ depository is domiciled (to choose from drop-down list).</i>
<b>Identification Number</b>	<i>Identification or reference number of the custodian/ depository. For a Maltese entity this should be the Licence Number.</i>

### *Portfolio Management*

<b>Portfolio Management</b>	<i>To indicate whether portfolio management is carried out by the AIFM in full or whether there is any delegation to any other entity (to choose from drop down list). Additional information on delegation including names of delegates and national competent authorities should be provided in Sheet #6.</i>
-----------------------------	---

### *Risk Management*

<b>Risk Management</b>	<i>To indicate whether risk management is carried out by the AIFM in full or whether there is any delegation to any other entity (to choose from drop down list). Additional information on delegation including names of delegates and national competent authorities should be provided in Sheet #6.</i>
------------------------	--

### *Independent Valuation Agent<sup>8</sup>*

<b>Legal Name</b>	<i>The full legal name of the independent valuation agent (if appointed).</i>
<b>Identification Number</b>	<i>Identification or reference number of the independent valuation agent.</i>

### *Independent Transfer Agent<sup>9</sup>*

<b>Legal Name</b>	<i>The full legal name of the independent transfer agent (if appointed).</i>
<b>Identification Number</b>	<i>Identification or reference number of the independent transfer agent.</i>

<sup>8</sup> In case more entities are appointed this should be specified in <Sheet #6 – Comments and Remarks>.

<sup>9</sup> In case more entities are appointed this should be specified in <Sheet #6 – Comments and Remarks>.

### *Independent Auditors<sup>10</sup>*

<b>Legal Name</b>	<i>The full legal name of the independent auditors (if appointed).</i>
-------------------	--

### *Prime Broker(s)<sup>11</sup>*

<b>Entity Legal Name (1)</b>	<i>The name of the prime broker used by the AIF (if any)</i>
<b>Entity Legal Name (2)</b>	<i>The name of any additional prime broker used by the AIF (if any)</i>
<b>Entity Legal Name (3)</b>	<i>The name of any additional prime broker used by the AIF (if any)</i>

### *Other Entities Marketing the AIF in Malta<sup>12</sup>*

<b>Entity Legal Name (1)</b>	<i>The name of any additional entity marketing the AIF in Malta.</i>
<b>Entity Legal Name (2)</b>	<i>The name of any additional entity marketing the AIF in Malta.</i>
<b>Entity Legal Name (3)</b>	<i>The name of any additional entity marketing the AIF in Malta.</i>

### 3.6. SHEET #5.2: ADDITIONAL INFORMATION

The individual submitting the notification form should indicate the manner in which the information is made available to investors.

### 3.7. SHEET #6: COMMENTS AND REMARKS

The individual submitting the notification form should include additional comments and remarks pertaining to the information submitted in the form in the appropriate space on this sheet.

<sup>10</sup> In case more entities are appointed this should be specified in <Sheet #6 – Comments and Remarks>.

<sup>11</sup> In case more entities are appointed this should be specified in <Sheet #6 – Comments and Remarks>.

<sup>12</sup> In case more entities are marketing the AIF this should be specified in <Sheet #6 – Comments and Remarks>.

### 4. DE MINIMIS NOTIFICATION FORM

The De Minimis Notification Form provides for the marketing in Malta to professional investors by an EU AIFM (below threshold) of:

- (i) EU AIFs; or
- (ii) non-EU AIFs

managed by the EU de minimis AIFM.

#### 4.1. SHEET #1: COVER SHEET

<b>Person Filing the Notification Form</b>	<i>The name and surname of the individual submitting the form.</i>
<b>Date</b>	<i>The date on which the notification form was submitted.</i>

#### 4.2. SHEET #2: DECLARATION

The various elements of this sheet should be completed as follows:

##### *Declaration*

<b>Declaration</b>	<i>A 'YES' must be selected in order to proceed to the second part of the sheet.</i>
--------------------	--

##### *Contact Details*

<b>Name</b>	<i>The name of the individual submitting the notification form.</i>
<b>Surname</b>	<i>The surname of the individual submitting the notification form.</i>
<b>Address</b>	<i>The contact address of the person submitting the notification form.</i>
<b>Post Code</b>	<i>The post code of the individual submitting the notification form.</i>
<b>Country</b>	<i>The country where the individual submitting the notification form is based.</i>
<b>Email</b>	<i>The email address of the individual submitting the notification form.</i>
<b>Position</b>	<i>The job title of the individual submitting the notification form.</i>
<b>Telephone</b>	<i>The telephone number of the person submitting the notification form.</i>
<b>Date</b>	<i>The date on which the notification form was submitted.</i>



### 4.3. SHEET #3: INSTRUCTIONS

The individual from the EU AIFM submitting the notification form should take note of the instructions provided. These can also be found in Section 1.

### 4.4. SHEET #4: DETAILS OF THE EU AIFM

The various elements of this sheet should be completed as follows:

#### *Details of the EU AIFM*

<b>Legal Name</b>	<i>The full legal name of the AIFM as per its latest constitutional documents.</i>
<b>Identification Number</b>	<i>The unique identifier issued to the AIFM by its national competent authority. For Maltese AIFMs this corresponds to the licence number.</i>
<b>Home Country</b>	<i>The country where the AIFM is domiciled (to choose from drop-down list).</i>
<b>National Competent Authority</b>	<i>The national competent authority of the AIFM (to choose from drop-down list).</i>

#### *Registered Office Details*

<b>Address</b>	<i>The registered address of the AIFM.</i>
<b>Post Code</b>	<i>The registered address of the AIFM.</i>
<b>Country</b>	<i>The country where the AIFM's registered office is based.</i>
<b>Email</b>	<i>The email address of the AIFM's registered office.</i>
<b>Telephone</b>	<i>The telephone number of the AIFM's registered office.</i>

#### *Invoice Details*

<b>Address</b>	<i>Only if different from the AIFM &lt;Registered Office Details&gt;.</i>
<b>Post Code</b>	<i>Only if different from the AIFM &lt;Registered Office Details&gt;.</i>
<b>Country</b>	<i>Only if different from the AIFM &lt;Registered Office Details&gt;.</i>
<b>Email</b>	<i>Only if different from the AIFM &lt;Registered Office Details&gt;.</i>
<b>Telephone</b>	<i>Only if different from the AIFM &lt;Registered Office Details&gt;.</i>

#### *Assets under Management*

<b>AUM</b>	<i>The category of assets under management calculated in accordance with the AIFMD (to choose from drop-down list).</i>
<b>Amount</b>	<i>Amount (in Euros) of assets under management.</i>

### 4.5. SHEET #5.1: DETAILS OF THE AIF(S)

The various elements of this sheet should be completed as follows:

#### *Details of the AIFs*

<b>AIF Legal Name</b>	<i>The full legal name of the AIF as per its latest constitutional documents and/ or offering documents.</i>
<b>AIF ID Number Type</b>	<i>The type of ID code used as a reference for the AIF (to choose from drop-down list).</i>
<b>Identification Number</b>	<i>The identification or reference number for the AIF.</i>
<b>Home Country</b>	<i>The country where the AIF is domiciled (to be selected from drop-down list).</i>
<b>AIF National Competent Authority</b>	<i>The national competent authority of the AIF.</i>
<b>End of Financial Period</b>	<i>The date when the AIF's financial period ends.</i>

<b>AIF Type</b>	<i>The type of AIF (to choose from drop-down list).</i>
<b>Master AIF Legal Name</b>	<i>The name of the master AIF of the feeder AIF.</i>
<b>Master AIF Home Country</b>	<i>The country where the master AIF of the feeder AIF is domiciled.</i>
<b>Master AIF National Competent Authority</b>	<i>The national competent authority of the master AIF.</i>
<b>Legal Name of the AIFM of the Master AIF</b>	<i>The full legal name of the AIFM of the master AIF.</i>
<b>Home Country of the AIFM of the Master AIF</b>	<i>The country where the AIFM of the master AIF is domiciled (to choose from drop-down list).</i>

### *Custodian/ Depository*

<b>Legal Name</b>	<i>The full legal name of the custodian/ depository (if appointed)</i>
<b>Home Country</b>	<i>The country where the custodian/ depository is domiciled (to choose from drop-down list).</i>
<b>Identification Number</b>	<i>Identification or reference number of the custodian/ depository. For a Maltese entity this should be the Licence Number.</i>

### *Portfolio Management*

<b>Portfolio Management</b>	<i>To indicate whether portfolio management is carried out by the AIFM in full or whether there is any delegation to any other entity (to choose from drop down list). Additional information on delegation including names of delegates and national competent authorities should be provided in Sheet #6.</i>
-----------------------------	---

### *Risk Management*

<b>Risk Management</b>	<i>To indicate whether risk management is carried out by the AIFM in full or whether there is any delegation to any other entity (to choose from drop down list). Additional information on delegation including names of delegates and national competent authorities should be provided in Sheet #6.</i>
------------------------	--

### *Independent Valuation Agent<sup>13</sup>*

<b>Legal Name</b>	<i>The full legal name of the independent valuation agent (if appointed).</i>
<b>Identification Number</b>	<i>Identification or reference number of the independent valuation agent.</i>

### *Independent Transfer Agent<sup>14</sup>*

<b>Legal Name</b>	<i>The full legal name of the independent transfer agent (if appointed).</i>
<b>Identification Number</b>	<i>Identification or reference number of the independent transfer agent.</i>

<sup>13</sup> In case more entities are appointed this should be specified in <Sheet #6 – Comments and Remarks>.

<sup>14</sup> In case more entities are appointed this should be specified in <Sheet #6 – Comments and Remarks>.

### *Independent Auditors*<sup>15</sup>

<b>Legal Name</b>	<i>The full legal name of the independent auditors (if appointed).</i>
-------------------	--

### *Prime Broker(s)*<sup>16</sup>

<b>Entity Name (1)</b>	<b>Legal</b>	<i>The name of the prime broker used by the AIF (if any)</i>
<b>Entity Name (2)</b>	<b>Legal</b>	<i>The name of any additional prime broker used by the AIF (if any)</i>
<b>Entity Name (3)</b>	<b>Legal</b>	<i>The name of any additional broker used by the AIF (if any)</i>

#### 4.6. SHEET #5.2: ADDITIONAL INFORMATION

The individual submitting the notification form should indicate the page/s of the offering document where the information requested is provided for each AIF.

#### 4.7. SHEET #6: COMMENTS AND REMARKS

The individual submitting the notification form should indicate the manner in which the information is made available to investors.

## 5. QUERIES

Further information on the application of the Malta NPPR will be included in the FAQ on the AIFMD published by the MFSA.

Any queries in relation to the NPPR notification forms are to be addressed to Mr Jonathan Sammut ([JSammut@mfsa.com.mt](mailto:JSammut@mfsa.com.mt)), Ms Claire Tanti ([CTanti@mfsa.com.mt](mailto:CTanti@mfsa.com.mt)) or Mr Andrew Said ([ASaid@mfsa.com.mt](mailto:ASaid@mfsa.com.mt)).

<sup>15</sup> In case more entities are appointed this should be specified in <Sheet #6 – Comments and Remarks>.

<sup>16</sup> In case more entities are appointed this should be specified in <Sheet #6 – Comments and Remarks>.