

## Additional documentation and information to market an ELTIF (*FUND 4 Annex 1R*)

<b>AIFM name</b>	
<b>FRN</b>	
<b>AIF name</b>	
<b>PRN</b>	

### **Purpose of this form**

You should complete this form if you are a *full-scope UK firm* that wishes to *market* an *ELTIF*. This form sets out the information required by the *ELTIF regulation* that is in addition to the information required by article 31 or 32 of *AIFMD*.

You may also use this form if you are a *full-scope UK firm* that wishes to notify the *FCA* of changes to the additional marketing information that was supplied previously.

### **Important information**

A *full-scope UK AIFM* that wishes to *market* an *ELTIF* also needs to complete the form in *FUND 3 Annex 1D* (Notification of intention to market an AIF in the United Kingdom) to *market* an *ELTIF* in the *United Kingdom* and *SUP 13 Annex 8BR* (Passporting: AIFMD) to *market* an *ELTIF* in an *EEA State* other than the *United Kingdom*.

### **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. Once completed, print the relevant sections and sign the declaration in section 3.
2. If you are filling in the form by hand, use black ink, write clearly and, once you have completed the relevant sections, sign the declaration in section 3.
3. All firms should answer sections 1, 2 and 3.
4. If there is not enough space on the form, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.

### **This form should be sent to:**

Fund Authorisation and Supervision Team  
Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London  
E14 5HS

An electronic copy must be submitted by email to [fundsupervision@fca.org.uk](mailto:fundsupervision@fca.org.uk)  
Website: [www.fca.org.uk](http://www.fca.org.uk)

## 1 Contact details

### 1.1 Details of the contact for this application

Contact name	
Position	
Firm	
Telephone number	
Fax number	
Email address	

## 2 Additional information to market an ELTIF

Please provide the following documentation and information

- 2.1 A copy of the prospectus of the *ELTIF* ☐ Attached
- 2.2 A copy of the key information document of the *ELTIF* in the event that it is marketed to retail clients ☐ Attached
- 2.3 Information on the facilities referred to in article 26 of the *ELTIF regulation* (continue on an additional sheet if required)

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### 3 Declaration

#### 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 issues are known to us just because they are in the public domain or have 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. If necessary, please seek appropriate professional advice before supplying information to us.

There will be a delay in processing the application if any information is inaccurate or incomplete. And failure to notify us immediately of any significant change to the information provided may result in a serious delay in the application process.

#### Data protection

For the purposes of complying with the Data Protection Act, 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 and other relevant legislation. It will not be disclosed for any other purposes without the permission of the firm concerned.

#### Declaration

By submitting this notification form:

- **I confirm that the information in this form is accurate and complete to the best of my knowledge and belief and that I 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.**
- **I confirm that I am authorised to sign on behalf of the firm.**

Tick here to confirm you have read and understood the declaration. ☐

Name	<input type="text"/>
Position	<input type="text"/>
Signature	<input type="text"/>
Date (dd/mm/yy)	<input type="text"/>

*I enclose the following sections*

Section 1 – Contact details	<input type="checkbox"/>
Section 2 – Additional information to market an ELTIF	<input type="checkbox"/>
Section 3 – Declaration	<input type="checkbox"/>

#### Note to Declaration

If you are submitting this notification electronically you do not need to provide a signature here. However, you still need to have the authority to make this notification on behalf of the firm.