

**Investment Manager seeking clearance to act for Irish Authorised Investment Funds**

**Name of Investment Manager (the “Applicant”):**

**Entity Information**

1. **Confirm the Applicant is authorised or registered for the purpose of asset management and subject to prudential supervision:**

1. **Name and contact details of National Competent Authority / Regulatory Authority:**
2. **Name(s) of the fund(s) the Applicant is proposing to act for:**
3. **Legal Structure and Authorisation type of the fund(s) the Applicant is proposing to act for:**
4. **Address of the Applicant:**
5. **Date of Establishment:**
6. **Number of Employees:**
7. **Identify those individuals responsible for Portfolio Management within the Applicant:**
8. **Details of the Applicant’s track record in the investment management of investment funds, focussing on asset types/investment strategy, geographic/economic sector etc.:**
9. **Identify the fund(s) the Applicant is proposing to act for and the investment policies and strategies of the fund(s):**
10. **Confirm the Applicant has not, in the last 10 years, been subject to an investigation into allegations of misconduct or malpractice in connection with investment business or any other financial services, or is currently under investigation by any regulatory authority. If the Applicant has been subject of such investigation please include full details and how the issue has been resolved:**
11. **Please complete the below table regarding the Applicant’s Assets Under Management (€):**

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Retail** | **Institutional** | **Private** |
| **UCITS** |  |  |  |
| **AIFs** |  |  |  |
| **Non-Investment Funds** |  |  |  |
| **Total** |  |  |  |

**Confirm that the relevant questions in this form are answered accurately and any other information, which might be reasonably considered relevant for the purposes of this application, has been disclosed:**

**Documents to be provided:**

1. **Attestation Letter from the Management Company or Board of the fund the Applicant is proposing to act for[[1]](#footnote-1):**
2. **CVs[[2]](#footnote-2) for the individuals responsible for Portfolio Management:**
3. **Evidence of the Regulatory Status of the Applicant to include the relevant activities and instrument types for which the Applicant has received authorisation:**
4. **Ownership chart of the Applicant detailing the shareholder structure and/or position with the group, showing relevant percentage holdings:**
5. **CVs of all shareholders in the above chart who directly/indirectly hold shares/interest in the Applicant which represents above 10% of its capital or voting rights:**
6. **Audited Accounts of the Applicant (dated within the last 6 months) / unaudited Management Accounts of the Applicant (dated within the last 3 months):**

**Where this cannot be provided, please include one of the following:**

1. Where the applicant is not required to/does not produce audited financial statements, provide a copy of its latest tax returns.
2. Where the applicant is not required to/does not produce audited financial statements or tax returns, provide a copy of latest available unaudited financial statements/management accounts.
3. Where an applicant is newly established or does not produce standalone accounts, an auditor’s confirmation of financial position is required.
4. Where an applicant does not produce standalone accounts and its financial data is consolidated at group level, provide a copy of the most recent consolidated accounts, referencing financial data specific to the applicant, in particular, the level of paid up share capital.

Any personal data provided by you may be processed by the Central Bank in connection with the performance of its statutory functions. If you have any questions in relation to the processing of your personal data by the Central Bank, you may contact our Data Protection Officer at 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).

1. The attestation letter must confirm that due diligence has been performed on the proposed investment manager and include the following at a minimum:

	1. Confirmation of the regulatory status and background of the investment manager to ensure they are appropriately regulated and supervised and are not subject to legal proceedings;
	2. Confirmation that a review of the financial information has been completed to ensure the investment manager has the required level of share capital and has no contingent liabilities;
	3. Confirmation that a review of the resources, systems and procedures of the investment manager have been completed to ensure that they are sufficient to adequately carry out all the functions delegated to it; and
	4. A confirmation that they are in a position to effectively monitor the investment manager’s compliance with the relevant fund documentation and all regulatory and legislative requirements in this regard. [↑](#footnote-ref-1)
2. CVs should outline a full history of current and previous roles including title and duties in chronological order. [↑](#footnote-ref-2)