



EUROPEAN
COMMISSION

Brussels, 15.12.2023
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ANNEX 5

ANNEX

to the

Commission Implementing Regulation

**laying down implementing technical standards for the application of
Directive 2009/65/EC of the European Parliament and of the Council with regard to the
form and content of the information to be notified in respect of the cross-border
activities of undertakings for collective investment in transferable securities (UCITS),
UCITS management companies, the exchange of information between competent
authorities on cross-border notification letters, and amending Regulation (EU)
No 584/2010**

ANNEX V

Attestation of the competent authority of the authorisation of a management company under Article 17(3), third subparagraph, and Article 18(2), third subparagraph, of Directive 2009/65/EC

ATTESTATION ESTABLISHED BY _____
(Name of the competent authority of the management company's home Member State)

Section 1. Department responsible for the establishment of the attestation within the competent authority of the management company's home Member State

Department	
Address of the competent authority	
Email address of the department establishing the statement	

Section 2. Identification of the management company

Management company	
Management company's LEI	
Management company's national identification code (where available)	
Management company's home Member State	
Address and, where different from address, registered office/domicile	
Details of management company's website	

Section 3. Scope of the authorisation of the management company

The management company has been authorised in _____ (*name of the home Member State*) to conduct the following activities and provide the following services by _____ (*name of the home competent authority*):

☐ **Investment management**

☐ **Marketing**

Administration

- ☐ Legal and fund management accounting services
- ☐ Customer inquiries
- ☐ Valuation and pricing (including tax returns)
- ☐ Regulatory compliance monitoring
- ☐ Maintenance of unit-holder register
- ☐ Distribution of income
- ☐ Unit issues and redemptions
- ☐ Contract settlements (including certificate dispatch)
- ☐ Record keeping

Non-core services

- ☐ Management of portfolios of investments, including those owned by pension funds, in accordance with mandates given by investors on a discretionary, client-by-client basis, where such portfolios include one or more of the instruments listed in Annex I, Section C to Directive 2014/65/EU
- ☐ Investment advice concerning one or more of the instruments listed in Annex I, Section C to Directive 2014/65/EU
- ☐ Safekeeping and administration in relation to units of collective investment undertakings

The management company is subject to the following restrictions regarding the types of UCITS it is authorised to manage (<i>where applicable</i>)	
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(The attestation shall be signed and dated by a representative of the competent authority of the management company's home Member State. The signatory shall state his or her full name and capacity.)

Date	
Name and capacity of the signatory	
Signature	