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Additional Information

Level 1 Regulation
Undertakings for Collective Investment in Transferable Securities Directive (UCITS) Directive 2009/65/EC

Topic
Disclosures

Subject Matter
Notification of UCITS and UCITS management companies; exchange of information between competent authorities

Question
If the UCITS attestation transmitted to the competent authority of the home Member State lists all the existing investment compartments of a UCITS, should the UCITS undertake a notification procedure for all the investment compartments it intends to market in a Member

State?

ESMA Answer

01-07-2012

Original language

[ESMA 34-43-392 UCITS Q&A, section 4, Q&A 1c]

Yes. Even if the UCITS attestation lists all the existing investment compartments of a UCITS, the marketing of these investment compartments in a Member State is possible only if the competent authority of the host Member State has been duly notified by the competent authority of the home Member State.