

CNMV Circular 2/2017, of 25 October, on information on foreign collective investment schemes registered with the Comisión Nacional del Mercado de Valores, amending CNMV Circular 2/2011, of 9 June, on information on foreign collective investment schemes registered with the Comisión Nacional del Mercado de Valores.

## BOE 7 november 2017

CNMV Circular 2/2011, of 9 June, on information on foreign collective investment schemes registered with the Comisión Nacional del Mercado de Valores, regulates the information that foreign CIS marketed in Spain are required to submit to the CNMV and to shareholders and unit-holders. It also lays out the statistical statement that they must also send to the CNMV on a quarterly basis.

The growth in the cross-border marketing of collective investment products makes it necessary to amend CNMV Circular 2/2011 so as to obtain a general overview of the marketing of foreign CIS in Spain and to have information on their development and the characteristics of this market segment.

For this reason, statistical statement Ao1 is amended to incorporate new quantitative and qualitative variables.

It also explicitly requires non-harmonised foreign CIS to submit statistical information. Therefore, all foreign CIS marketed in Spain will be required to submit statistical statement Ao1.

Accordingly, under the authority conferred to the CNMV in Article 22 of the Regulation implementing the Collective Investment Scheme Act 35/2003, of 4 November, approved by Royal Decree 1082/2012, of 13 July, the CNMV, following a report from its Advisory Committee, in its meeting held on 25 October 2017, provided:

## Single Rule. CNMV Circular 2/2011, of 9 June, on information on foreign collective investment schemes registered with the CNMV.

CNMV Circular 2/2011, of 9 June, on information on foreign collective investment schemes registered with the CNMV is hereby amended as follows:

One. Rule Five is worded as follows:

Rule Five. Statistical statements of foreign CIS.

1. With regard to non-harmonised foreign CIS, once the non-harmonised foreign CIS has been included in the corresponding registry, the CIS must identify the entity charged with representing the CIS before the CNMV with regard to this Rule Five. This entity must report by electronic means, according to the form and technical requirements established for this purpose at any time by the CNMV, the registrations

- and de-registrations of entities marketing the CIS in Spain in a maximum period of seven days following the registration or de-registration date.
- 2. Each of the entities marketing the foreign CIS, whether harmonised or non-harmonised, will be required to submit the standard form included in the Annex to this Circular to the CNMV on a quarterly basis. In the event that the entity has not marketed any CIS for which it is registered with the CNMV during the quarter, it must send statistical statement Ao1 with the corresponding codes set at zero.
- 3. In the event that the marketing entity has delegated the sending of such information to a designated person, said person must submit the information using the standard form included in the Annex to this Circular, following a notification to the CNMV using the standard form and technical requirements established for this purpose at any time by the CNMV.
- 4. Statistical statement Ao1 shall be submitted quarterly by telematics means through the CNMV's Virtual Office. The deadline for the submission will be two months from the last calendar day of the quarter to which the information refers.

Two. The last paragraph of the preamble, indicated below, is deleted:

"With regard to non-harmonised CIS, the requirement to send information by electronic means is cancelled"

## Single final provision. Entry into force.

- 1. This Circular shall enter into force on 1 January 2018.
- 2. The first information that must be submitted in line with the new standard forms will be that relating to the first quarter of 2018.

Madrid, 25 October 2017.—The Chairman of the Comisión Nacional del Mercado de Valores, Sebastián Albella Amigo.



## STATEMENT A01 - STATISTICAL DATA OF FOREIGN CIS MARKETED IN SPAIN

Marketing Entity:

Designated Entity:

FOREIGN COLLECTIVE INVESTMENT SCHEMES MARKETED

														NET ASS	NET ASSET VALUE				COMMISSIONS		
			CIS	Com	Compartment	int	Management company	ent con	npany	Depositary	itary			End of		Mē	Management	t			
	<u> </u>													brevious							
													ISIN	ISIN quarter	End of On assets On	On assets	ő		Depositary	Depositary Subscription Redemption	Redemption
CIS type	Registry	Name	CIS type Registry Name LEI Country	٧	三	Category		Ξ	Country		三	Country	(16)	LEI Country (16) (17)	quarter (18) managed results Mixed	managed	results	Mixed	(22)	(23)	(24)
(E)	No. (2)	(3)	(1) No. (2) (3) (4) (5)	Name (6) (7)	6	(8)	Name (9) (10)	(10)	(11)	Name (12) (14) (15)	(14)	(15)			_	(19)	(20) (21)	(21)			

Month Date: 3

Year **2018** 

STATEMENT A01 (Continuation)- STATISTICAL DATA OF FOREIGN CIS MARKETED IN SPAIN

Marketing Entity:

Designated Entity:

FOREIGN COLLECTIVE INVESTMENT SCHEMES MARKETED

						gory	(0)
		SUBORDINATED	PRINCIPAL CIS		<u>=</u>	/ Cate	2
					Coun	:: ::	7
						o.	5
	TA					CISN	90
	TIVE DA <sup>-</sup>	SU			CIS	TYPE	(7.5)
	OTHER QUALITATIVE DATA					(43) SUBORDINATED TYPE CIS No.   LEI   try   Category	(01) (81) (21) (91) (12)
			FUND	P	FUNDS	(43)	
				T ETF   SELF-MANAGED   OF	(42)		
					(41)		
	INVESTMENT VOLUME	ter	Legal persons		Other	marketing   quarter   Total   persons   Total   marketing	(10) (10) (10) (10) (10) (10) (10) (10)
		End of quarter	Бә¬			Total	(30)
		End			Natural	persons	(00)
					2	Total	(5.7)
			7- 7-	Endo	previous	quarter	(96)
	UNT	Redemptions			To other previous		
	MARKETED AMOUNT	Re				Total	(27)
		Subscriptions			From other	marketing	(27) (22) antitiae (23) (24)
, ,		Suk				Total	(00)
I ONEIGIN COEEECTIVE INVESTIMENT SCHEMES MANNETED	NUMBER OF UNIT-HOLDERS / SHAREHOLDERS	er	Legal persons		persons Total Other	(29) (30) marketing Total marketing Total	antitios (31)
		End of quarter			7 Total	(30)	_
		End c	_			(53)	
			Total	(20)			
					quarter Incoming Outgoing	(27)	
					Incoming	(56)	
		30 00.7	0 .	brevious	quarter	(22)	
		0,					